

CHAPTER II

THEORY AND METHOD

1.1 Theoretical Framework

1.1.1 Character

According to Abrams & Harpham (2009), characters are the individuals portrayed within the narrative who possess unique qualities of morality, intellect, and emotion. They are inferred by the reader through their dialogue and actions. Forster (1927) divided two types of character namely: flat character and round character.

A flat character is built from a single trait or idea, and when more aspects are added, the character becomes more complex and multi-dimensional. Flat characters can often be summed up in a single statement or sentence. For example, the sentence “*I must be particularly careful to be kind*” implies that the character is concerned about being kind. Other characters in the story may see through the character’s kindness and recognize that it is a product of their carefulness rather than a genuine and multi-dimensional aspect of their personality (Forster, 1927).

A round character is a character who has complex personalities. Their behaviors and motivations are unpredictable. Round characters can perform tragic roles for extended periods and evoke a range of emotions in the audience (Forster, 1927).

2.1.2 Characterization

Characterization is how the author makes the people in the story seem real. The characterization of a character can be influenced by the events that she or he

experienced (Meyer, 1990). In a movie, how a character thinks, behaves, and communicates can give readers insights into their personality and traits (Burroway, 1992).

Meyer (1990:64) explains two methods in presenting the characterization of the characters, namely *showing* and *telling*. In the showing method, the characters reveal themselves indirectly through what they do and what they say. To find out their characterization, the reader must pay attention to the verbal and non-verbal activities of the characters because the author does not provide an evaluation or interpretation of the characters he creates. Through the showing method, the author allows the reader to know the characterization through their understanding in interpreting the character's speech and actions.

In the telling method, the author directly lets the reader know the character's characterization by his perspective. In other words, the telling method is used to find out characterization through the author's point of view. Through the telling method, the reader can easily find out the characterizations based on the author's description. The telling method usually reveals characterization through character names, appearances, and the author's speech (Meyer, 1990).

2.1.3 Speech Acts

The theory of speech acts was first proposed by J. L. Austin in 1962 through his book entitled *How to do things with words*. Austin (1962) stated that language is used to perform an action. His theory was later developed by Searle as his student. Searle (1976) stated that speech acts are the basic or the minimal units of linguistic communication.

Austin (1962) divides three types of speech acts: locutionary, illocutionary, and perlocutionary. Even though there are three types of speech acts, this study focuses on the types of illocutionary acts. Illocutionary act is a speech acts that contain a certain meaning to ask someone to do something (Austin, 1962). 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).

2.1.4 Directive Speech Acts

Searle (1976) categorizes illocutionary acts into five categories: assertive, commissive, declaration, expressive, and directive. In this study, the writer only focused on directive speech acts. Searle (1976) defined directive speech act as a speech that aims to make the hearer to do something as the speaker expects. It may be a simple directive such as, "*I invite you to do it*" or "*I suggest that you do it*", or it may be a very fierce attempt at getting the listener to do what the speaker is saying.

In line with Searle's definition, Yule (1996) also stated that a directive is a speech act that aims to get the listener to perform a certain action or to tell someone to do something. In using the directive speech act, the speaker tries to express what they want. The examples of directive speech act can be seen as follows.

- a. "*Could you lend me a pen, please*"
- b. "*Don't touch that!*" (Yule, 1996)

2.1.5 Types of Directive Speech Acts

Yule (1996) identified four types of directive speech acts: suggestion, order, command, and request. They differ in politeness, forcefulness, and level of obligation. The explanation about each type can be seen as follows.

2.1.5.1 Suggestion

A suggestion is a speech act intended to induce the addressee to consider or accept a particular option or course of action (Traugott & Pratt, 1980). Suggestions can vary in their degree of forcefulness, from very indirect (e.g., "Have you considered...?") to more direct (e.g., "You should..."). The authors also note that suggestions often involve some level of politeness or deference, as the speaker seeks to influence the addressee's behavior without appearing overly forceful or rude. The examples of suggestions can be seen as follows.

1. *"I suggest we go to the movies."*
2. *"How about going to the movies?"* (Traugott & Pratt, 1980:223)

The examples above are directive speech act in the type of suggest. The verb 'suggest' in example 1 indicates that the utterance was expressed by a performative verb, which is a verb that directly conveys the type of speech act being performed. Meanwhile, example 2 is a suggest in the form of an interrogative.

2.1.5.2 Order

Order is a speech that occurs when the speaker makes the listener do something according to the order. A person can order someone to do something based solely on his position of power, whether that the power is institutionally approved or not. It means that someone can give the hearer an order without any formal or institutional authority over them. In other words, orders can be given by anyone, regardless of their status or position of power.

Meanwhile, in command, the speaker must have a stronger position of authority over the interlocutor. An indicator of successful order is that the listeners take future actions by complying with the order (Searle & Vanderveken, 1985:198). The examples of order can be seen in the following sentences.

1. *“Be the one who wins two gold medals!” (Rangkuti, et al., 2019:627)*
2. *“You’d better do it” (Searle & Vandervaken, 1985: 156)*

Example 1 represents an order spoken by an athlete coach to an athlete. The imperative "be" suggests that the speaker expects the listener to take on a particular identity or role, which adds to the forcefulness of the utterance. The authority in this case comes from the persuasive power of the message itself, which is intended to inspire the listener to take on a particular identity or role. The message is delivered in a forcefully and directly, using language that suggests a high level of confidence and expectation of success (Rangkuti, Zulfan, & Lubis, 2019).

Meanwhile, example 2 is an example of indirect order. In this situation, the speaker relies on features of the conversational background that are part of the speaker's and the hearer's common knowledge, such as social norms and expectations.

2.1.5.3 Command

“Commanding” and “ordering” may sound the same. However, the differences between them can be distinguished based on the power or authority of the speaker. Command is a speech act usually uttered by someone with authority and power to make the interlocutor have no option to refuse the command. In giving a command, the speaker must have a stronger position of authority than the interlocutor (Searle & Vanderveken, 1985:201).

The mode of achievement for commands is more restricted than for order since there is a higher level of expectation of compliance and the speaker must rely on their position of authority to achieve the intended outcome (Searle & Vanderveken, 1985:69). In responding to a command speech, the interlocutor sometimes does not respond to the speech by saying anything but by directly perform an action intended by the speaker. The examples of directive command can be seen as the following sentences.

1. “*I command you to go.*” (Traugott & Pratt, 1980: 234)
2. “*Go!*” (Traugott & Pratt, 1980: 234)

The utterances above are examples of directive commands uttered in different forms. Example 1 is a command that utters in the declarative form, which implies a

higher degree of power or authority of the speaker. This type of greeting is often used in military or disciplinary contexts or in situations with a clear hierarchy of power and authority. Meanwhile, example 2 is uttered as an imperative and does not convey the same level of authority or power. This type of utterance is often used in everyday communications and can be seen as more casual.

2.1.5.4 Request

Request is a type of directive speech act that allows the hearer to refuse the speaker's wants (Searle & Vanderveken, 1985: 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, 1995:269). The requests may also be interrogative, such as, *'Can you?', 'Could you?', 'Will you?', 'Would you?'* (Yule, 1996:56). The examples of requests can be seen in the following sentences.

1. *"Do you know the way to the Palace Hotel?"* (Searle & Vanderveken, 1985:10)
2. *"Sir, you're standing on my foot"* (Searle & Vanderveken, 1985:10)
3. *"Can you reach the salt?"* (Searle & Vanderveken, 1985:28)
4. *"Please turn off the radio"* (Traugott & Pratt, 1980: 234)

The examples illustrate different types of requests based on their form and intended function. Example 1 is an interrogative request, where the speaker is not just asking a question but requesting the hearer to show them the way to the hotel. Example 2, the speaker describes the location of the listener but also requests him to get off their foot. Example 3 is also a request, as the speaker is not just asking a question but requesting the hearer to pass the salt. Example 4 demonstrates a polite request, as the speaker uses the word "please" to make their request more courteous. These examples are based on Searle and Vanderveken's (1985) classification of requests as a type of directive speech act.

2.1.6 Direct and Indirect Speech Act

Before discussing direct and indirect speech acts, it would be better to distinguish speech acts through their sentence structure. The simplest approach to differentiate between the various types of speech acts is to consider the basic sentence types, declarative, interrogative, and imperative, combined with the three general communicative functions: statement, question, and command or request. By understanding how these sentence types and communicative functions can be used together, it is possible to identify and classify different types of speech acts and the intentions behind them. Some examples of determining speech acts through different types of sentences can be seen as follows (Yule, 1996:54).

- a. You wear a seat belt. (declarative)
- b. Do you wear a seat belt? (interrogative)
- c. Wear a seat belt! (imperative)

Direct and indirect speech acts are two ways to distinguish directive speech acts. In direct speech acts, there is a clear correspondence between the sentence structure and its intended function. Conversely, indirect speech acts have an indirect connection between structure and function. In a direct speech act, a declarative sentence functions to make a statement. However, in the indirect speech act, the declarative sentence functions to make a request. Indirect speech acts are generally considered more polite than direct speech acts (Yule, 1996:55). Here are some examples that illustrate the relationship between structure and function.

- a) Close the door!
- b) Move out of the way!
- c) You're standing in front of the TV.
- d) Could you pass the salt?

Example (a) shows that the utterance is a direct command which spoken in imperative form. Meanwhile, example (b) shows that the speaker says tend to make a direct command in the form of imperative. Example (c) shows that the speaker makes an indirect request in the form of declarative. Example (d) indicates that the speaker utters an indirect request in the form of interrogative. The direct and indirect speech act aims to get the hearer to do something as the speaker wants. In direct and indirect speech acts, the speaker not only expects an answer from the interlocutor but the speaker wants the interlocutor to take action immediately (Yule, 1996).

1.1.7 IFIDs

Illocutionary Force Indicating Device (IFID) is a term used to describe linguistic cues in a sentence that signal the intended illocutionary force of a speech act, such as making a request, giving an order, asking a question, or making a promise. One device of IFID is a performative verb, which is a verb that explicitly names the illocutionary act being performed. Examples of performative verbs such as “promise” and warn” in the sentence "I promise you that" or "I warn you that." Other IFIDs include word order, stress, and intonation. Lowered tone can also indicate the illocutionary force of a speech act to convey a warning or a threat (Yule, 1996).

1.1.8 Felicity Conditions

Yule (1996) defined felicity condition as necessary condition to achieve the goal of speech act, so that the listeners will understand the intended meaning behind the utterance. Searle (1976) proposed four conditions to indicate successful speech acts: propositional content condition, preparatory condition, sincerity condition, and essential condition.

The propositional content condition requires that the speaker's language accurately expresses the context in which it is performed, and listeners must comprehend the speaker's speech. For example, in a request and suggestion, the speaker wants the hearer to perform a future action but it does not imply that the hearer necessarily wants to perform the action.

The preparatory conditions refer to the circumstances that must be in place before the act can be performed successfully. For example, in a request, the speaker

must believe that the hearer is able to perform the requested action. In the case of a suggestion, the speaker has some reason to believe that the suggestion is relevant and appropriate to the hearer's situation.

On the other hand, the sincerity condition requires that the speaker genuinely intends to perform the speech act and that their expression is not intended to mislead or deceive the hearer. For example, in a suggestion, the speaker must genuinely believe that their opinion or advice would benefit the hearer.

Meanwhile, the essential condition varies depending on the type of speech act being performed. For a request, the essential condition is that the speaker wants the hearer to perform the action. In the case of a suggestion, the essential condition requires that the speaker believes that the suggested action is in the hearer's best interest and that the hearer recognizes this belief.

1.1.9 Politeness Strategies

Brown and Levinson (1987) defined politeness as a social strategy used to manage face-threatening acts in communication. In this case, face-threatening refers to a person's public self-image or social identity. There are several factors that influence politeness such as distance, closeness, status, age, and power (Yule, 1996).

According to Brown and Levinson (1987), the concept of face is divided into positive face and negative face. Positive face is the desire of individuals to have their wants, needs, and opinions accepted and valued by others, at least to some extent. Meanwhile, negative face is a communication approach that tries to reduce face-threatening acts by showing deference, reducing imposition, and using indirect

language. By using negative politeness, the speaker acknowledges and respects the other person's negative face, which is the desire for autonomy and freedom from imposition (Brown & Levinson, 1987).

Brown and Levinson (1987) proposed four types of politeness strategies such as: bald on record, off record, positive politeness, and negative politeness. In bald on record strategy, the speaker is willing to risk face-threatening acts in order to convey the message with maximum efficiency. The speaker tends to use direct imperatives, such as "Help!" rather than using "Please help me."

Meanwhile, the off-record strategy involves speakers indirectly conveying a message, allowing the listener to interpret it for themselves. The use of off-record strategy may be useful for avoiding direct confrontation or imposing on the listener's negative face, while also creating ambiguity about the intended meaning. The off-record strategies include giving hints, using contradictions, ironic language, metaphors, and rhetorical questions. For example, the statement "It's cold here" can be an instance of the off-record strategy, where the speaker uses indirect language to hint to the interlocutor to turn off the air conditioner.

The other strategies are called positive politeness dan negative politeness. Positive politeness is a way of communication that focuses on enhancing the hearer's positive face by using compliments and other tactics that minimize the risk of threatening their self-image. This strategy involves acknowledging the hearer's interests, using flattering language, using appropriate forms of address, using humor, expressing optimism, and asking for reasons. For example, "Bring me your dirty

clothes, honey” means that the speaker uses a positive politeness with address forms to enhance the addressee’s positive face.

The last strategy is called negative politeness. Negative politeness is a communication strategy that addresses the other person's negative face. Negative politeness involves several strategies, including indirect language, posing question, expressing pessimism, minimizing the imposition, apologizing, showing deference, and go on record.

2.2 Research Method

This section divided into four parts: type of research, data and data source, method of collecting data, and method of analyzing data.

2.2.1. Type of The Research

This study was designed using descriptive-quantitative research. Descriptive research is research that includes surveys and fact-finding questions of various types. In descriptive research, the researcher reports on something that has happened or is currently happening; the researcher has no control over the variables. Meanwhile, quantitative research relies on measuring the quantity or amount of a given phenomenon. This method is best suited for phenomena that can be expressed in numerical terms (Kothari, 1990).

2.2.2 Data and Data Source

The writer used the *Sense and Sensibility* movie and its script as the primary data. The script is used to collect the utterances, and the movie is used to observe Elinor and Marianne's tone and expression. The movie is available to watch on the website

<https://www.facebook.com/watch/?v=306374983590073>. Meanwhile, the script is available on <https://imsdb.com/scripts/Sense-and-Sensibility.html>. The data population in this study are all directive speech acts uttered by Elinor and Marianne in *Sense and Sensibility* movie. The writer analyzed all of the data in the population, which is known as total sampling. The total sample in this study are 68 utterances.

2.2.3 Method of Collecting Data

The observation method was used to collect data for this study, using a non-participant technique because the writer was not directly involved in the film. According to Marshall and Rossman (1989:79), observation is a method that involves a structured way of documenting and describing events, actions, and objects in a specific social context that is being studied. It allows researchers to gain insight into the behaviors of individuals or groups and know the meaning behind their behavior (Marshall & Rosmann, 1989).

2.2.4 Method of Analyzing Data

To analyze the data, the writer used a pragmatic inference approach. According to Grygiel (2016), pragmatic inference is a process of reaching conclusions based on existing facts or evidence. Through pragmatic inference, logical conclusions are formed according to the reader's observations and previous knowledge (Grygiel, 2016). The analysis process involved several steps as follows.

1. Watching the entire *Sense and Sensibility* multiple times to understand the storyline
2. Reading the movie script available on the internet

3. Making notes of each directive speech act uttered by Marianne and Elinor.
4. Identifying the types of directive speech acts
5. Classifying the types of directive speech acts which can reveal the
characterization of the character
6. Calculating the number of frequencies and proportion of each types directive
speech act
7. Analyzing the data
8. Drawing conclusions based on the analysis.