**CHAPTER 2**

**FRAMEWORK OF THE THEORIES**

The writer has mentioned in the previous chapter about the politeness theory and FTA. The purpose of this research is to find out more about FTA that occurred between Donald Trump and Hillary Clinton at the presidential debate. To support it, the writer applies the theory of FTA. These theories include definitions, FTAs, and types of FTAs.

This study deals with everything that is related with FTA that has been proposed by Brown and Levinson (1978) and many other authors. In understanding the political strategies that has been employed by the participants of the debate, it is important to know the factors that influence the debate participants in choosing words that threatens other’s face. The theory is used as below.

* 1. **Politeness Theory**

According to Mills (2003, p.6) Politeness is the expression of the speakers’ intention to mitigate face threats that carried by a certain face threatening acts toward another. According to Lakoff (1972:910) Politeness is what we think is appropriate behavior in particular situations in an attempt to achieve and maintain successful social relationships with others. People are not born to be polite, but people can learn how to be polite. The writer has been found the characteristics of politeness by Geoffrey Leech.

Geoffrey Leech has been proposed eight characteristics of politeness in his book which entitled *the pragmatic of politeness* in 2014.

* + 1. The first characteristic, Politeness is generally thought to be a good thing but sometimes impolite is needed, so politeness is not obliged to do, because people usually do impolite unless there is a reasons to be polite.

For example, a member of the concert audience could have bowed, hissed, or sat in stony silence when the time for applause arrived.

* + 1. The second characteristic, there are varying gradations of polite and impolite behavior. It means that in certain situations, someone will say something less polite or more polite than what the other person says.

For example, it can be illustrated in a highly conventionalized form in our example of the violin performance. A bow is a gesture of lowering oneself physically, and hence socially—and the deeper the bow, the more self-lowering and polite it is deemed to be. The clapping and cheering, on the other hand, is a response signaling appreciation or high evaluation of someone’s performance and the louder and the more prolonged the clapping is, the greater the appreciation signaled and the more polite the response.

* + 1. The third characteristic, there is more general importance that can be attached to the concept of social norms as it has been developed in sociological, games theoretic, and evolutionary psychological thinking recognized by members of society, as to how polite to be for a particular occasion (Bicchieri 2006, Posner 2002, Huang and Wu 1994).

It means that the action can be said polite or impolite depends on how to deal with particular occasion based on the concept of social norms that apply in the particular members of society.

* + 1. The fourth characteristic, how far politeness will occur is depends on the situation itself. There are so many activities where impoliteness dominates over politeness.

Example where impoliteness is generally more dominate than politeness are : (1) The leader of the opposition questioning the prime minister at “Question Time” in the British House of Commons, (2) Certain “reality” TV shows, where contestants are routinely humiliated or shown as being subjected to verbal abuse, (3) Training recruits in an army boot camp, (4) Interrogation of a prisoner of war or a crime suspect, (5) Hostile cross-examination in a court of law, (6) Heckling a speaker at a political meeting.

* + 1. The fifth characteristic, there is reciprocal asymmetry in polite behavior between two people. It means that the speaker responds to something with an inappropriate or exaggerated answer to what the other person should say.

For example :

A1= You’re such a wonderful cook! B1= I’m such a wonderful cook !

A2= You’re such a lousy cook! B2= I’m such a lousy cook !

From the example above, the response (A1) toward (B1) is something that inappropriate thing to say meanwhile the response (A2) toward (B1) would be natural thing to say.

* + 1. The sixth characteristic is an aspect of politeness that can make itself recognizable in repetitive behavior, which is to a lesser or greater degree or level.

For example, two people who were in a restaurant and insist on paying the bill.

A = I’ll pay the bill

B = No, you won’t – I will

A = NO! really I insist

From the example above, actually follows rather naturally from the reciprocal asymmetry of politeness as discussed in the fourth characteristic above. A attributes high value to B by offering to pay for B’s dinner. B (responding) attributes high value to A by offering to pay for A’s dinner and so on. Because of the mutually contradictory positions maintained by A and B, B cannot accept A’s valuation and A cannot accept B’s. The tug of war has to be played out, often by reaching some kind of compromise (e.g., “OK, but I’ll pay next time”).

* + 1. The seventh characteristic, it is fairly central to politeness that it involves the passing of some kind of transaction of value between the speaker and the other party. For example, in thanking, we thank someone FOR something; in requesting, we make a request FOR something; in making an offer or invitation, we offer something to the addressee. The “something” referred to here is something of value (either material or abstract) that is supposed to pass from one person to the other.

Often the typical responses to these speech acts are also polite, but in an opposite way to the speech act itself. (Again, reciprocal asymmetry is at work.) For example, the response to a thank-you is often to deny A’s owing a debt to B: “Not at all,” “It was nothing,” “No problem,” “Don’t mention it.”

* + 1. The eight characteristic, its tendency to preserve a balance of value between the participants A and B. This is particularly clear in the cases of thanks and apologies.
	1. **Politeness Strategy**

Brown and Levinson (1978) has been proposed four politeness strategies. They are Bald-on Record, Positive Politeness, Negative Politeness, and Off-Record.

Figure 1: Politeness Strategies Proposed by Brown and Levinson

The speaker can decide want to do FTA or not. If the speaker wants to do FTA, there are four possibilities such as Bald-On-Record, Positive Politeness, Negative Politeness, and Off-Record. If the speaker decides not to do FTA or he/she thinks that the degree of face threatening is too great, he/she can avoid the FTA or say nothing.

* + 1. **Bald-On-Record**

Bald-On-Record is a straightforward strategy. It means that it is a way to say something directly. Speaker does not do any efforts to minimize FTA that can occur to the hearer. If the weightiness of FTA is small (speaker has a close relationship with hearer or speaker has a higher power than hearer) then speaker can do Bald-On-Record. The utterance *“shut the window, Jen”* as an example of Bald-On-Record when the speaker has a higher power than the hearer. The utterance *“give me a pen”* is also considered as an example of Bald-On-Record when the speaker has a close relationship with the hearer. When an action that threatens face is considered as the interest of the hearer, speaker can also perform Bald-On-Record.

* + 1. **Positive Politeness**

Positive politeness is a strategy that used to minimize FTA. Speaker is oriented towards the positive face of the hearer which appeals to hearer’s desire to be liked and approved of. *“hey, Blondie, what are you studying, then ? French and Italian ? join the club !”*. *“Blondie”* indicates that the speaker uses in-group identity markers toward the hearer. *“what are you studying, then ?”* indicates that the speaker expresses an interest in Hearer. *“Join the club”* indicates that the speaker claim a common ground with the hearer. Another some sub-strategies of positive politeness are: (1) seek agreement, (2) avoid disagreement, (3) be optimistic, (4) give sympathy, (5) notice and attend to hearer interest, wants, needs, and goods, (6) exaggerate (interest, approval, sympathy with hearer), (7) joke, (8) convey that speaker and hearer are cooperators, (9) assert speaker’s knowledge and concern for hearer’s wants, (10) offer, promise, (11) include speaker and hearer’s activity, (12) give reasons, (13) fulfill hearer’s wants for some X.

* + 1. **Negative Politeness**

Negative politeness is oriented towards a hearer’s negative face, which appeals to the hearer’s desire not to be impeded or put upon, to be left free to act as they choose. In Negative Politeness, there are a distances between speaker and hearer to show a respect. Negative Politeness shows deference markers, minimizing imposition, etc. The utterance *“We could perhaps meet”* indicates that the speaker is being conventionally indirect. The utterance *“if you had any time”* is considered as an example of Negative Politeness when the speaker try to minimize imposition. The utterance *“I’m sorry to bother you, but can I ask you for…..”* contains expressions of apology for the imposition. Another sub-strategies of Negative Politeness are: (1) hedge, (2) admit the impingement and beg forgiveness (3) point of view distancing, (4) impersonalize speaker and hearer (5) go on record as incurring a debt , (6) give a deference, do not presume/assume, (7) do not coerce hearer, (8) be pessimistic.

* + 1. **Off-Record**

Off-record is used if the speaker wants to threaten hearer’s face but does not want to take a responsibility for it. This can also call as indirect communication because the speaker let the hearer to interpret of the utterance by himself. The utterance *“uh, I forgot my pen”* indicates that the speaker does Off-Record. The speaker wants the hearer to lend him a pen. Another sub-strategies of Off-Record are: (1) give hints, (2) use metaphors, (3) be ambiguous, (4) be vague, (5) be incomplete, (6) use ellipsis.

* 1. **Face Work**

Face is one of the most important social attributes, because face can explain a person's feelings about his self-esteem and reputation that can be damaged by the other person at any time. Face work theory has been proposed by Goffman (1967:5) in his book entitled On Face-Work: An Analysis of Ritual Elements in Social Interaction. He says that face is an image of self-image that explains in the social attributes that has been approved when someone makes a good showing of themselves.

According to Brown and Levinson (1987:61), he says that Face can explain the emotions of someone who comes along with the utterances that has been spoken. According to Yule (1996), he says that Face also can explain the image of each individual, because face is a person’s public self-image, that is why face has the meaning in the saying to lose face.

According to brown and Levinson (1987) inspired by Goffman (1967) says that in communicating, we must maintain a self-image of both speakers. It is because each speech has the potential to threaten both of the speaker's face that called as FTA (Face Threatening Act). There are two types of face.

* + 1. **Positive Face**

Positive face has been proposed by Goffman (1967) in his book entitled On Face-Work: An Analysis of Ritual Elements in Social Interaction. He says that Positive face is the need to be appreciated. Face work that is aimed at positive face is called “solidarity politeness”; this kind of politeness is achieved by giving compliments.

For example : your friend asks for a ride to the airport

Positive face needs: you think, I better take him because I want him to like me and I want the reputation of being a reliable person (Goffman : 1967)

* + 1. **Negative Face**

Negative face has been proposed by Goffman (1967) in his book entitled On Face-Work: An Analysis of Ritual Elements in Social Interaction. He says that Negative face is the need to not be disturbed or put upon. Face work that deals with negative face is known as “respect politeness” and can be achieved by not infringing another’s domain in the communication.

For example : your friend asks for a ride to the airport

Negative face needs : you think, this is not favorable, I do not feel like driving this guy to the airport. I have other stuff that I could be doing, like sleeping, or saving the gasoline in my car. He can find his own ride. (Goffman : 1967)

* 1. **Face Wants**

Face wants is everyone’s desire in order to make their self-image or their face will be respected by other person. According to Brown and Levinson (1987:63), He says everyone want their goals, possessions, and achievement to be appreciated by others*.* It means that every participants in the social process has the need to be appreciated by others. Yule (1996) also says that everyone has expectations of his or her image to be respected.

* 1. **FTA ( Face Threatening Acts )**

In pragmatics, we discuss many things and it includes FTA or Face Threatening Acts. FTA is very important in communication, because FTA can determine the particular purpose of communication. FTA is an act which challenges the face wants of an interlocutor. According to Yule (1996 : 61), FTA can happen if someone say something that represents a threat to another individual’s expectation regarding self-image. According to Brown and Levinson (1987), Face-Threatening Acts may threaten either the speaker's face or the hearer's face, and they may threaten either positive face or negative face. Brown and Levinson (1987: 74-77) also says that the use of FTA is influenced by three social factors, there are power, social distance, and rate of imposition.

* + 1. **FTAs Threatening the Hearer’s Face**

According to Brown and Levinson, some utterances can damage or threaten another person’s face that is called as FTA. An utterances has the potential to damage the hearer’s face either Positive Face or Negative Face.

* + - 1. **Positive Face**

Positive face is the need to be appreciated. Face work that is aimed at positive face is called “solidarity politeness”. Positive face of the hearer can be threatened if the speaker does not save the hearer’s face. FTAs threatening the hearer’s self-image include (i) expressions negatively evaluating the hearer’s Positive Face, e.g. disagreement, criticism, complaints, accusations, contradictions, disagreements etc., as well as (ii) expressions which show that the speaker does not care about H’s Positive Face, e.g. expressions of violent emotions, taboo topics, bad news, emotional topics, interruptions etc.

Examples :

Criticism: “I think your report was not concise enough.” The hearer’s positive face is threatened because s/he is blamed for having done sth. baldly, i.e. his/her self-image is negatively evaluated.

Expression of emotions: "You’re feeling sad because of your ex-boyfriend, aren’t you?” The speaker addresses a topic which involves a state of emotional weakness on the part of the hearer, i.e. the speaker does not care about the 'public self-image' of the hearer, that threatening his/her face.

* + - 1. **Negative Face**

Negative face is the need to not be disturbed. Face work that deals with negative face is known as “respect politeness”. Negative face of the hearer can be threatened if the hearer is disturbed their personal freedom. FTAs restricting the hearer’s personal freedom include (i) acts predicating a future act of the hearer, e.g. orders/requests, suggestions/advice, reminding, threats/warnings/dares, (ii) acts predicating a future act of the speaker towards the hearer, e.g. offers/promises, and (iii) acts expressing a desire of the speaker towards the hearer or his/her goods, e.g. compliments, expressions of emotions.

Example :

Order: “Please give me that book.” The speaker expresses an anticipation of some future action of the hearer and thereby restricts his/her personal freedom. Promise: “I promise I will come by tomorrow.” The speaker states a future action in which the hearer should be involved.

Compliment: “I really like you.” The speaker expresses positive emotions towards the hearer which may involve an anticipation of a positive reaction by the hearer (giving thanks/expressing positive emotions towards the speaker).

* + 1. **FTAs threatening the Speaker’s Face**

According to Brown and Levinson, some utterances can damage or threaten another person’s face that is called as FTA. An utterance has the potential to damage not only the hearer’s face, but also the speaker’s face either positive face or negative face.

* + - 1. **Positive Face**

Positive face is the need to be appreciated. Face work that is aimed at positive face is called “solidarity politeness”. Positive face of the speaker can be threatened if the speaker does not save his/her face. FTAs threatening the speaker’s self-image include apologies, acceptance of a compliment, breakdown of physical/emotional control, self-humiliation, confession etc.

Example:

Apology: “I think I made a huge mistake.” The speaker makes a statement about his/her own shortcomings, thereby 'damaging' his/her own positive self-image/face.

* + - 1. **Negative Face**

Negative face is the need to not be disturbed. Face work that deals with negative face is known as “respect politeness”. Negative face of the speaker can be threatened if the speaker is humiliate his self in the communication. FTAs threatening the speaker’s personal freedom include the expression of thanks, acceptance of thanks/offers/compliments, apologies, excuses etc.

Example:

Expression of thanks: “Thank you so much for your help.” The speaker expresses thanks because he/she feels obliged to do so. His personal freedom is threatened in the moment of speaking.

* 1. **Social Factors**

Brown and Levinson developed a theory on the relationship between the intensity of the treat to face and linguistically realized politeness. The intensity of the treat to face is expressed by social factors that is linked to an FTA. The social factors are power, social distance, and rate of imposition.

* 1. **Power**

Power is an example of a relationship where anyone can do something without losing face (Brown and Levinson, 1987: 76).

* 1. **Social Distance**

Social distance is a standard of social contact between speakers and hearer to know each other (Brown and Levinson, 1987: 76-77)

* 1. **Rate of Imposition**

Rare of imposition is the relative status of speech acts in the situations that are less threaten to the face (Brown and Levinson, 1987: 77). Brown and Levinson did not indicate how values are to be assigned to power, social distance, and rate of imposition. But it should be clear that the value for power is different in the following examples.

A = excuse me, sir, would it be all right if I close the window ?

B = mind me closing the window ?

From the examples above, A is more likely to be said by employee to his boss, while in the same situation, B might be said by the boss to the employee. In this examples parameters rate of imposition and social distance have the same value.