CHAPTER II

LITERATURE REVIEW

A. Speech Act

1. Definition of Speech Act

Speech act is included in pragmatic study. Finegan stated that "speech acts are actions that are carried out through language".[7] Austin also stated "speech act refers to an act that is performed when making a utterance".[8] for example give orders and make request. As Nihat Bayat discribes that while using the language people do not produce only an isolated series of sentence, but also perform an action.[9] In other words, by using the language they either do something or makes others do something. Searle shares "speech acts are the basic unit of linguistic communication".[10] Felix-Brasdefer also says "languages have different linguistic resources for communicating speech acts".[11] It can be concluded that the speech act is an action or activity that arises as a result of a speech, or a response from an utterance.

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[7] Finnegan,et al, *language and it's structure* (New york : longman, 1992).

[8] Austin,J.L, *how to do things with words* (Oxford : oxford university press,1962).

[9] Nihat Bayat, social and behavoiur sciences *A study on the use of speech acts*, Vol. 70, (2013), 213-221.

[10] Searle, J.R, *An Essay in the Philoshopy of language*, *Speech Act* (Cambridge: Cambridge University Press, 1969).

[11] Felix-Brasdefer, J, Cesar.*Politeness in Mexico and United States* (Philadhelpia: John Benjamins pubhlising company,2008).

2. **level of Speech acts**

Austin in Karim El Hiani identifies there are three main categories governing the performance of speech acts : [12]

1) Locutionary act, it refers to the lateral meaning of utterance.

2) Illocutionary act, it has a specific force on the interlocutor.

3) Perlocutionary act, it is concern with the sequences of the speaker's utterance on the hearer so as to achieve a specific goal by the speaker. For instance, convincing, changing the hearer's mind and so forth.

Of these three levels based on yule "the most discussed is Illocutionary ". Indeed, the term "speech act" is generally interpreted quite narrowly.[13]

3. **Classification of speech acts**

Searle stated in Rosberly Lopez Montero that he details a categorization of speech act in five types according to their definition and usage in communication. They are : Declarations, Representatives, Expressives, Directives, and Commisives.[14]

The following are kind of speech act. [15]

a) Declarations, is kind of speech act that change the world via their utterance.

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[12] Karim El Hiani, Social and behavoiur sciences, *Performing speech acts among moroccan EFL advanced learners*, Vol.199, (2015), 479-485.

[13] Yule,george, *Pragmatics* (Oxford : Oxford university press, 1996).

[14] Rosberly lopez montero, Revista de lenguas modernas, *Most common refusal strategies used by students of English Teaching as a Foreign Language*, No. 23, (2015), 137-148.

[15] Yule,george, *Pragmatics* (Oxford : Oxford university press, 1996).

b) Representatives, is kind of speech act that state what the speaker believes to be the case or not, like statements of fact, assertions, conclusions, and descriptions.

c) Expressives is kind of speech act that state what the speaker feels. They express psychological states such as statement of pleasure, pain, likes, joy, or sorrow.

d) Directives is kind of speech act that speakers use to get someone else to do something. They are commands, orders, requests, suggestions.

e) Commissives is kind of speech act that speakers use to commit themselves to some future action. They are promise, threats, refusals, and pledge.

4. Direct and Indirect Speech act

Searle stated in Farahnaz Mohd. Khalib and Asma Tayeh that indirectness as being when one illocutionary act is performed indirectly via the performance of another.[16] In terms of indirectness, there are two types of speech acts; direct and indirect Speech act. Yule state that "A direct speech act is an utterance that is performed by the speakers means exactly and literally". [17] Speech can be recognized as an indirect speech

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[16] Farahnaz Mohd. Khalib,Asma Tayeh, social and behavioral science, *Indirectness in English request among Malay university students*, Vol.134, (2014), 44-52.

[17] Yule,george, *Pragmatics* (Oxford : Oxford university press, 1996).

act if the literal meaning of the locus is different from the intended meaning.

Searle introduced the idea of an indirect speech act. He describes that "In indirect speech acts the speaker communicates to the hearer more than he actually says by way of relying on their mutually shared background information, both linguistic and nonlinguistic, together with the general powers of rationality and inference on the part of the hearer."[18] From the definition above, researcher can be concluded that the direct speech act happens since they perform their functions in a direct and literal manner, and direct speech can be perform in two ways : (1) by making a direct, literal utterance, or (2) by using a performative verbs that name the speech act. Although indirect speech act, it's perform not direct, literal statement of various acts to be performed.

5. **Refusal**

Speech act of refusal is one type of response that is not liked. Refusal is one of a small number of speech acts that can be characterized as a response to the actions of others, not as actions initiated by the speaker. [19] Chen, ye, & zhang stated in Ming-fang lin "A refusal is a speech act by which a speaker refuse, to engage in an action proposed by

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[18] Searle, J.R, *Speech Act. An Essay in the Philoshopy of language* (Cambridge: Cambridge University Press, 1969).

[19]Gass, susan M. & Houck, N, *Interlanguage refusal: A cross culture study of japanese-English* (Berlin : Mouton de Gruyter.1999).

the interlocutor".[20] Searle stated in Felix-Brasdefer " Refusal is belong to the category of commisives because they commit the refuser to the performing an action. Beebe et al adds In scarcella that "refusals can be used in response to request, invitations, offers, and suggestions.[21] Gass and Houck also stated in Tuba Demirkol that refusals emerge as a response to an initiating act which can be in the form of a request, suggestion, offer, or invitation done by another person.[22] So, it can be concluded that Refusal is a negative response that arises from the other person without an initiative from the speaker caused by several things. This response is very disliked by many people because it can cause several effects. and usually used in four expression respone. They are request, invitations, offers, and suggestions.

6. Classification of Refusals

Searle and Vanderveken said in Mansoor Tavakoli and Salva Shirinbaksh that when a speaker says 'no' to some speech acts such a request, offer, invitation and suggestion, refusals take place.[23] As previously mentioned, refusal is initiated by four types of acts : request,

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[20] Ming-fang lin, Journal of languageteaching and research, An interlanguage pragmatic study on chinese EFL learners' refusal: Perception and performance, No.3,(may, 2014),642-653.

[21] J. Cesar Felix-Brasdefer, Journal of Pragmatic *Linguistic politeness in Mexico: Refusal strategies among male speakers of Mexican Spanish,* No.38, (2006), 2158-2187.

[22] Tuba Demirkol, International Conference on Teaching and Learning English as an Additional Language, *How do we say 'No' in English*, (April, 2016), 14-17.

[23] Mansoor Tavakoli, Salva Shirinbakhsh, International Journal of Society, culture and language, *Backward Pragmatic Transfer: The Case of Refusals in Persian,* (October 2013).

invitation, offer, and suggestion. [24] Each type can be categorized based on different communicative functions. The following are :[25]

1. Refusal of request

   A request is an act of asking politely or formally for something. Request as an initiating is divided into four types :

   a) Request for favor (e.g borrowing or help)

   b) Request for permission/acceptance/agreement (e.g job aplication)

   c) Request for information/advice (e.g product information)

   d) Request for action (e.g payment)

2. Refusal of offers

   An offer is an expression of readiness to do or give something. Offers as an initiating act is divided into four types :

   a) Gift offer

   b) Favor offer (e.g giving a ride)

   c) Food/drink offer

   d) Opportunity offer (e.g job promotion)

3. Refusals of invitations

   An invitation is a written or verbal request inviting someone to go somewhere or to do something. Invitation as an initiating act is divided into two types : ritual invitation, and real invitation.

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[24] yang, jia, *How to say "no" in chinese: A pragmatic study of refusal strategies in five TV series* (Ohio: the Ohio state university, 2008).

[25] Felix-Brasdefer, J, Cesar.*Politeness in Mexico and United States* (Philadhelpia: John Benjamins pubhlising company,2008).

a) Ritual invitation often occurs at the end of the interactions. It functions as a leave-taking act between interlocutors. Through unspecific expressions of invitation, the inviter shows the willingness of maintaining relationship with the listener in the future. For example 'come to visit me sometime'.

b) Real invitation, shows speakers' sincere intention to treat the listener and function as an invitation. For example 'do you want to come with me to the movie?'

4. Refusal of suggestions

A suggestion is an idea or plan put forward for consideration. Suggestion as initiating act is divided into two types: solicited suggestion and unsolicited suggestion.

a) Solicited suggestion: the suggestion asked by the interlocutor

b) Unsolicited suggestion: the suggestions voluntarily given by the interlocutor.

   1. Personal suggestion: the suggestions given by the speaker to establish or/and maintain the relationship between the listener.

      • Show concern :'' the weather is getting old. You'd better wear more clothes.''

      • Develop conversation rapport:''time is running late. Go home earlier !''

- Establish or show membership in a group:''because I consider you as my insider. I suggest you not go.''

2. Commercial suggestion: suggestion to guide others' commercial thoughts or behaviors, such as the suggestions to buy by salesmen or advertisements.

7. Refusal Strategies

Beebe et al said in Yinling Guo that "the refusals were not as much studied but are being paid increasing attention to".[26] Refusals often include explanation/reasons why such refusals are necessary. As Beebe et al says that "Refusal strategies function to reassure the recipient of the refusal that he or she is still approved of but that there are necessary reasons for the refusal, and that the refuser regrets the necessity for the refusal".[27] the point is refusal strategy is important because with our strategy we can explain to them that their request is not wrong, but there is a certain thing or reason that we cannot fulfill it. and we can still maintain good relationship.

Beebe et al. proposed in Hatime Ciftci "A classification of refusals comprised of three categories: direct refusals; indirect refusals; and adjunct to refusals". In direct refusals, the speaker can use either

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[26] Yinling Guo, Theory and practice in Language Studies Chinese and American Refusal Strategy: A Cross-cultural Approach, Vol.2, No. 2, (february,2012), 247.

[27] Beebe, L. M., Takahashi, T, & Ulliss-weltz, R, On the Development of Comminicative Competence in a second language, *Pragmatics Transfer in ESL refusal*. In R. Scarcella, E. Andersen, S.D. Krashen Eds, (New york: Newbury House,1990), 55-73.

performative verbs (I refuse) or non performative statements with direct "no" and negative willingness/ability (I can't/I won't/I don't think so).[28]

According to felix-Brasdefer "If a refusal response is expressed indirectly, the degree of inference increases as the speaker must choose the appropriate form to soften the negative effects of a direct refusal".[29] Indirect refusals may include the following strategies :[30]

1. Statement of regret (I'm sorry.../ I feel terrible...)

2. Wish (I wish I could help you ...)

3. Excuse, reason, explanation, (My children will be home that night. / I have a headache).

4. Statement of alternative.

   ✓ I can do X instead of Y (i'd rather ... /I'd prefer ...)A

   ✓ Why don't you do X instead of Y (why don't you ask someone else ?)

5. Set condition for future or past acceptance (if you had asked me earlier. I would have ...)

6. promise of future acceptance (I'll do it next time./I promise I'll.../next time I'll ....)

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[28] Hatime Ciftci, International Association of Research in Foreign Language Education and Applied Linguistics ELT Research Journal, *Refusal strategies in Turkish and English: a cross-culture study*, Vol. 5, No.1, (2016), 4.

[29] J. Cesar Felix-Brasdefer, *Politeness in Mexico and United States* (Philadhelpia: John Benjamins pubhlising company,2008).

[30] Mansoor Tavakoli, Salva Shirinbakhsh, International Journal of Society, culture and language, *Backward Pragmatic Transfer: The Case of Refusals in Persian,* (October 2013).

7. Statement of principle (I never do business with friends.)

8. Statement of Philosophy (one can't be too careful.)

9. Attempt to dissuade interlocutor.

   1) Threat of statement of negative consequences to the requester (I won't be any fun tonight to refuse an invitation).

   2) Guilt trip (waitress to customers who wan't to sit a while: I can't make a living of people who just order coffee.)

   3) Cricitize the request/requester (statement of negative feeling or opinion; insult/attack (who do you think you are?/ that's a terrible idea!).

   4) Request for help, empathy, and assistance by dropping or holding the request.

   5) Let interlocutor off the hook. (Don't worry about it./that's okay./you don't have to).

   6) Self defense (I'm trying my best./ I'm doing all I can do.)

   7) Acceptance that function as a refusal

     a. Unspecific or indefinite reply

     b. Lack of enthusiasm

   8) Aviodance

     a. Nonverbal

       1. Silence

       2. Hesitation

3. Doing nothing

4. Physical departure

   b. Verbal

1. Topic switch

2. Joke

3. Repetition of part of request (Monday ?)

4. Postponement (I will think about it.)

5. Hedge (gee, I don't know./ I'm not sure)

Beside direct and indirect refusal, the interlocutor often uses adjunts to complete the refusal. Adjuncts to refusal include : [31]

1. Statement of positive opinion/feeling or agreement (that's a good idea.../I'd love too...)

2. Statement of empathy (I realize you are in a difficult situation)

3. Pause fillers (uhh/well/oh/uhm)

4. Gratitude / appreciation (thanks for the invitation, but ...)

8. **Refusal Sequences**

Felix-brasdefer says based on Beebe et al. "The linguistic expressions employed in a refusal sequence may include direct and indirect strategies. [32] Blum, House and kasper says in Ahmad affendi, S,

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[31] Ahmad affendi, s. Norma saad. Siti Jamilah B, International seminar on generating knowledge through Research, *Refusal Strategies used By Malay ESL student and English Native speakers to refuse a request*, (2016), 257-258.

[32] Beebe, L. M., Takahashi, T, & Ulliss-weltz, R, On the Development of Comminicative Competence in a second language *Pragmatics Transfer in ESL refusal*. In R. Scarcella, E. Andersen, S.D. Krashen Eds, (New york: Newbury House,1990), 55-73.

Norma saad, Siti Jamilah B. that the refusal can be seen as a series of the following sequences. [33]

1. Pre-refusal strategies: these strategies prepare the addressee for an upcoming refusal.

2. Main refusal (head act) ; this strategies expresses the main refusal.

3. Post-refusal strategies; these strategies follow the head act and the tend to emphasize, justify, mitigate, or conclude the refusal response.

For example, a refusal example below shows an example of a refusal sequence to friend's request for a close friend to attend in her birthday party.

speaker　　: *I hope you will come to my birthday party tommorrow. Will you ?*

interlocutor : *uh, I'd really love to, but I can't, I'm sorry, I have to wait my mother in hospital.*

Table 1. Example of Refusal Sequence

Response	Refusal-Sequences	Strategy
uh, I'd really love to	Pre-refusal	Willingness
but I can't	Head act	Direct refusal
I'm sorry	Post-refusal	Apology regret

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[33] Ahmad affendi, s. Norma saad. Siti Jamilah B, International seminar on generating knowledge through Research, *Refusal Strategies used By Malay ESL student and English Native speakers to refuse a request*, (2016), 259.

I have to wait my mother in hospital	Post-refusal	Reason/explanation

9. Factor Influencing Refusal Strategies

Each people has a different strategy in delivering refusal depending on the factors that influence it. But there is one thing that needs to be kept in mind, refusal is a negative response and is highly disliked by everyone. then we must convey it carefully so that no one is offended. Felix-brasdefer says "the negatiation of a refusal may entail frequent attempts at directness or indirectness and politeness or impoliteness that are appropriate to the situation and may vary according to the social values of a particular culture".[34] The choice of a direct or indirect refusal and the appropriate degree of politeness will depend on the relationship between the participants (close or distant, power), age, gender, and the situation.

Leech stated "maxims are measured in terms of five pragmatic scales". Two of them are the 'authority scale', which measures the degree of distance with respect to the power or authority that one participants has over another, and the 'social distance' scale, which describes the degree of solidarity between the interlocutors.[35] one of the factors influencing

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[34] J. Cesar Felix-Brasdefer, *Politeness in Mexico and United States* (Philadhelpia: John Benjamins pubhlising company,2008).

[35] Leech. G. *Principles of Pragmatics* (New York: Longman Inc, 1983).

politeness is the level of power authority and social distance belong to the interlocutor.

Brown levinson argue that "During social interaction a speaker must rationally assess the nature of a face-threatening act (FTA)". [36] the purpose of this statement is when interacting with someone we should keep something that can offend the other person especially in the delivery of refusal. Usually someone will act seriously in conveying refusal influenced by three factors that are culture-sensitive : the social distance (D) and social power (P) between a speaker and a hearer, and the absolute ranking (R). The following are explanation of three factors. [37]

1. Social distance (D) between the speaker and the hearer, in effect, the degree of familiarity or solidarity they share (a symmetric relation);

2. Relative power (P) of the speaker with respect to the hearer, in effect, the degree to which the speaker can impose his/her will on the hearer (an asymmetric relation); and

3. Absolute ranking (R) of impositions in the culture in terms of the expenditure of goods and/or services by the hearer, the right of the speaker to perform the act, and the degree to which the hearer welcomes the imposition.

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[36] Brown , P. & Levinson S.C, *Politeness some Universals in language usage* (Cambridge : Cambridge University press, 1987).

[37] J. Cesar Felix-Brasdefer, Journal of Pragmatic *Linguistic politeness in Mexico: Refusal strategies among male speakers of Mexican Spanish,* No.38, (2006), 2160.