

## **CHAPTER II**

### **REVIEW TO RELATED LITERATURE**

This chapter consists of (1) theoretical basis, which discusses theoretical concepts related to the problem of using the act of apology speech, (2) literature review, which discusses the act of apology that have been done by previous researchers. Therefore, in this writing will apply following related theories: grammar, error analysis, communicative competence, first language interference, speech act, and apology strategy.

#### **2.1 Theoretical Framework**

##### **2.1.1 Grammatical Realization**

One of the functions of language is to enable people to interact with one another. This applies also to linguistic interactions. Each language incorporates options by which the speaker can vary his own communication roles, such as: make statements, ask questions, give orders, and express doubts and so on.

According to Halliday and Matthiessen (2004: 111) there are two elements in the mood system in communication. The first is the mood element which consists of two parts; subjects and operators. Halliday divides the types of sentences based on the type of syntax into two, namely: indicative and imperative (Halliday, 2004: 71). According to Gerrot and Wignell (1994), indicative mood will be divided into 3 parts, namely: declarative, interrogative, and

exclamative. While the interrogative itself, will later be divided into two, namely: polar and wh question. Here the figure of mood types according to Gerrot and Wignell 1994:

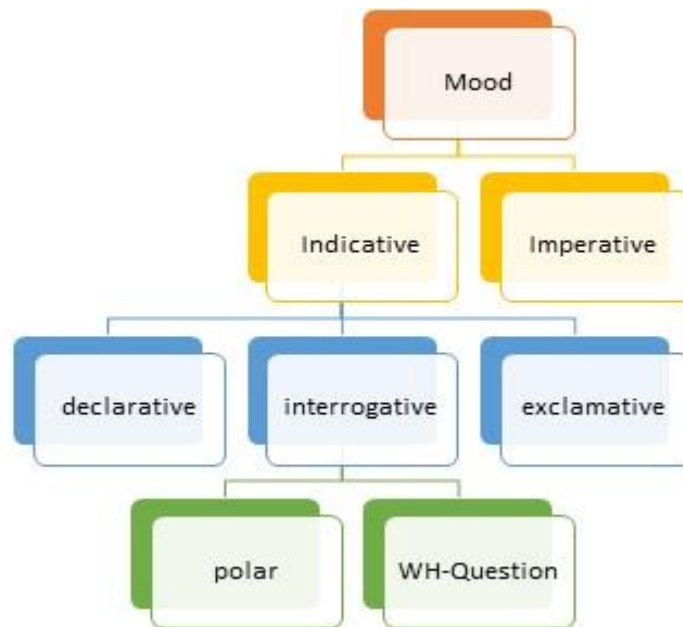


Table 2.1 Figure of Mood by Gerrot and Wignell 1994

A declarative clause expresses the statement, which cover past, present, and future. While, interrogative clause express question. Next up is the imperative clause. Usually an imperative clause does not contain a Subject or Finite element but consists only of a Predicator, plus one of the non-core Complement and Adjunct participants. The next ones is exclamation mood. Exclamation mood are usually used to express surprise or sympathy. It has a certain structure. This involves combining the wh-word with one of the clause elements from Complement or Adjunct. The order of the constituents is: first wh

element, followed by Subject and then Finite, the predicator, and the other constituents. The word WH becomes part of the Complement.

The last is minor clause. Minor clause has no mood structure at all. They tend to be very short and often formulated. However, in a nutshell they are not due to ellipsis. Minor clauses don't have a mood structure, therefore they don't consist of Subject, Finite, etc. Here is an example of a Minor clause: *Right, Um, Yes actually, Hi, thank you, G'day, Ciao, bye - bye, etc.*

### **2.1.2 Communicative Competence**

Communicative competence refers to a person's understanding of the rule system, while performance is related to the social use of the rule system. Communicative competence includes knowledge (knowledge) that speakers have about what underlies appropriate and correct language behavior or speech behavior, and about what constitutes effective language behavior in relation to communicative goals. Therefore, it includes both linguistic knowledge and pragmatic knowledge. Meanwhile, communicative competence consists of the actual (actual) use of two types of knowledge, namely linguistic and pragmatic knowledge in understanding and producing discourse.

The term communicative competence refers to a person's knowledge of language and the ability to use it effectively. Canale and Swain (1980) define communicative competence as global competence

which is divided into four separate but related competencies, namely: grammar, sociolinguistics, discourse and strategic. This idea refers to the concept of competence created by Dell Hymes (1966) as a reaction to Noam Chomsky's (1965) idea of linguistic competence. In his observations, Hymes said,

"... a normal child acquires knowledge of sentences not only as grammar, but also in accordance. He acquires competences about when to speak, when not, and about what to talk about with whom, when, in where, in short, a child becomes able to complete a repertoire of speech acts, take part in speeches, and evaluate their achievement by others. "(Hymes 1972, 277).

Refers to Canale & Swain's (1980) concept of communicative competence which divides communicative competence. into four interrelated parts as mentioned above, in this study the researcher will focus more on sociolinguistic competencies which discuss the rules for using socio-cultural language, namely by knowing how to use and respond to language appropriately. This accuracy depends on the communication settings, topics and relationships between the people involved in the communication. In addition, other things that affect communication, especially for foreign language learners, are things that are considered taboo in other cultures, the level of politeness used in various things, as well as certain attitudes and terms for something more specific such as politeness, friendliness, politeness, etc.

### **2.1.3 First Language Interference**

In learning a second language, the mother tongue has a considerable influence in terms of language acquisition, namely the transfer of language that occurs from the mother tongue to the second language. One of the language disorders that occur in second language learning is the effect of L1 on L2 in spontaneous conversation. This can lead to wrong word structures, awkward vocabulary, and even loss of intended meaning (Zou, 2013).

### **2.1.4 Speech Act**

As a means of communication, language is more than just sounds, words and sentences. Saussure (1959) defines language as "a system of signs that express ideas." Based on this definition, language can be used to express different actions performed by speakers or require them to be performed by other people (Austin, 1975). Everything that is said conveys a specific message and can be interpreted in several ways, depending on the situation. In an effort to express themselves, people not only produce utterances that contain grammatical structures and words, they take action through these utterances (Yule, 1996). These remarks are called speech acts. Speech actions are likely to harm the interpersonal relationships of the speaker because they are often referred to as face threatening actions (Brown & Levinson, 1987). Therefore, in interacting, they must have high

pragmatic competence. Speech acts are used not only to describe reality, but also to help speakers 'act' by changing certain realities so that speakers can communicate more effectively. Hymes (1972) defines speech acts as "the level that mediates directly between the usual level of grammar and the rest of the speech act or situation where it involves both linguistic forms and social norms".

Basically, speech acts are actions that are carried out through speech. This concept has been put forward by Austin (1962). He maintained that for the pronunciation to be done correctly, it had to not only be plausible and grammatically correct, but it had to be precise. Here are three types of felicity conditions:

- 1) Conditions of preparation - there should be conventional procedures and effects, circumstances and participants accordingly
- 2) Executive condition - procedures must be executed or performed correctly
- 3) Conditions of sincerity - intention of sincere speakers

According to Austin (1962), there are three levels in the speech of each person, namely:

1.	Locutionary meaning	The literal meaning of what is said	"I'm hungry"
2.	Illocutionary meaning	The social function of what is said	"I'm hungry" Could be an indirect request for an invitation to go out

			for a meal
3.	Perlocutionary meaning	The effect of what is said on the hearer	“I’m hungry” Could result in someone offering some food to the speaker

Table. 2.2 Austin’s speech act theory (1962)

Based on Austin's theory, some scholars began to develop their own theories by adding their own ideas and opinions. One cleric, Searle (1979), who proposed the theory subsequent to classify them into five subtypes, which are:

Speech act	Description	Verbs associated with speech act	Example
Representativeness (Stating and Reporting)	Statement that can be verified as true or false	Assert, claim, affirm, assure, inform, predict, report, suggest, insist, hypothesize, swear, admit, confess, blame, praise.	The earth is flat.
Directives (Requesting and Ordering)	Statement that call upon the listener to do something.	Direct, ask, request, urge, demand, forbid command, suggest, insist, recommend, implore, and beg.	Could you lend me a pen, please?
Commissives (Promising and Offering)	Statement that commit to a course of action.	Promise, vow, swear, pledge, consent, refuse, assure, guarantee, contract, bet.	“I’ll be back.”
Expressives (Thanking, Apologizing, and Congratulating)	Statement that express a psychological position about a state of	Apologize, thank, condole, congratulate, complain, protest, compliment, praise,	“I’m really sorry!”

	affairs.	welcome.	
Declaratives (Declaring and Naming)	Statements that trough an utterance perform an act.	Fire, declare, appoint, confirm, endorse, renounce, name, call.	“I resign.”

Table 2.3: Searle & Vanderveken’s (1985) description of speech act

Both of Austin’s (1962) and Searle’s (1969) theories are provide an understanding of how utterances are and should be understood in pragmatic context. This study, will be focused on the act of apology. The definition of apology will be further explained in the next section.

### 2.1.5 Apology

Apology is an act of apology. Apology is used to express remorse for offending and causing inconvenience to someone who could ruin a relationship. Apology is used to maintain relationships and harmony after a violation. Apology is the speaker's attempt to make some previous action that distracts the listener, warding off the speaker's desire (Blum Kulka 1989).

Holmes (1992) considers apology to be a speech act directed at the face of the recipient's needs and intended to correct the offense for which the speaker is responsible, and thereby restore balance between speaker and receiver. Searle (1969) states that apology has an effect on debt, thereby compensating the victim for the harm caused by the



offense. According to Trosborg (1995: 373), there are three roles involved in resolving an unpleasant situation between the speaker and the listener, namely the complainant or the complainant, the complainant or the person receiving the complaint and the complaint or expression, Dissatisfaction. Olsthain and Cohen (1983) define that apology is an action that is done when there is behavior that violates social norm. Therefore, apology is a speech act to rebuild the relationship between speaker and listener after the speaker offends the listener on purpose or accidentally. The act of apologizing has two main things to do: the apology and the recipient.

There are several types of violations, and apologies have the effect of paying debts, thus providing compensation to victims for the losses caused by these violations (Searle and Katz in Trosborg, 1994: 373). An offense is considered an act that threatens the offended face, and apologies are meant to correct the offense. Apologies are used because they are caused by a violation. Holmes divides the following categories of offenses; such as:

1. Space offenses

This offence involves some acts such as bumping into someone, queue jumping, etc.

2. Talk offenses

This offence involves some acts such as interrupting, talking too much, etc.

### 3. Time offenses

This offence involves some acts such as keeping people waiting, taking too long, etc.

### 4. Possession offenses

This offence involves some acts such as damaging or losing someone's personal property.

### 5. Inconvenience offense

This offence involves some acts such as giving someone the wrong item, etc.

### 6. Social behavior offences

It can be an act which can make the hearer get angry to the speaker. It also can be an impolite act done by the speaker to the hearer.

## **2.1.6 Apology Strategies**

In apologizing, it is necessary to use a specific apology strategy that is appropriate to the case. This can be done directly through an explicit apology using one of the verbs that directly signifies an apology (apologize, sorry, excuse, etc.), or it can be done indirectly by taking responsibility or providing an explanation (Trosborg, 1994; 376). There are a number of linguistic strategies for

expressing apology. The following sections below are a further explanation of Trosborg's apology strategy:

### **1. Evasive strategies / Minimizing offense**

This strategy is closely related to the strategy where compliance fails to take responsibility. But the speaker did not deny responsibility. The difference can be seen in the fact that the apologizer / reporter did not deny responsibility. On the other hand, the complained party tries to minimize the level of violation, either by stating that the offense that is deemed insignificant, is actually 'hardly worth mentioning', or by asking about the preconditions underlying the complaint (Trosborg 1995: 379)). This strategy is divided into three sub strategies, such as Minimizing, querying preconditions for example: "Well, generally everyone does that"; Blaming others is a violation committed by the complaint can be part, for example; "I broke the jar because he suddenly pushed me".

Further explanation of these sub strategies can be seen below:

#### **a. Minimizing**

In this sub-strategy, the complainant tries to minimize the degree of offense by saying the happening is not a big deal and the complainant seeks to minimize the degree of offense by arguing that the supposed is of minor importance

(Trosborg, 1995:379). Minimizing itself means reducing something, especially something bad to the lowest possible level.

Examples:

“Oh, what does it matter, that’s nothing, that’s just so so”

“It doesn’t matter”.

“What about it, it’s not the end of the world”

“Take it easy, it’s not the end of the world.”

“Everyone ever does that”

“Don’t take so seriously”

“Well, everything will be alright again, don’t think too much about it”

b. Querying precondition

In this sub strategy, the complainant may cover the complaint by querying precondition. The complainant attempts to throw doubt on the modalities of a previous arrangement. It can be said also that the complainant or apologizer means expressing doubt about something whether something is correct or not.

Example:

“Who told you that I would marry you?”

“Are you sure we were supposed to meet at 1 p.m.?”

“Do you believe that Jen deserves to get this?”

“What is love then?” (in responding, “You don’t love me”).

“Don’t put Dian’s name on the checklist, I’m not sure she is coming”.

c. Blaming someone else

In this sub-strategy the offense is committed by the complainant which can be excused by an offence committed by a third party (Trosborg, 1995:379). The apologizer regard that the third party is also partly responsible for the offense (Trosborg, 1995:379). Blaming itself means is the act of thinking to saying that somebody, someone else or something is responsible for something bad.

Example:

“I don’t know traffic jump could be so long along the road this morning.”

“The bus was late”

“Look, I really feel bad about this. But this would never have happened if she had done exactly as I told her to do.”

“I believe someone else also is responsible for this problem, she or he may also take part in this problem.”

## **2. Direct Apology / Expression of apology**

In this type of apology strategy, the complainant may choose to express his/her apology explicitly. In this case, a small number of verb apply and the expression is a routine formula generally accepted to express apology. There is also semantic content here and it may be an expression is a routine formula generally accepted to express apology. There is also semantic content here and it may be an expression of regret, an offer of apology, or a request for forgiveness (Trosborg, 1995:381). There are the subcategories of this strategy:

a. Expression of regret.

It is the type in which complainant uses the common form to express his or her regret by using some terms such as really, terribly and so on.

Example:

“I’m sorry to keep you waiting”

“Sorry about that”

“I’m sorry to have been so long in getting in touch with you”

“I’m really sorry”

“I’m sorry for...”

b. Offer of apology.

It is the type in which a complainant or the apologizer may choose to express his / her apology explicitly. The complainant may offer an apology for the offense.

Example:

“I apologize for.....”

“Please accept my sincere apology for.....”

“My client would like to extend his apology to you for the inconvenience involved.”

“I apologize”

c. Request for forgiveness.

It is the type in which an apologizer or the complainant may choose to express his/her apology explicitly in the form of explicit performative construction

(Trosborg, 1995:381). In this case, the complainant shows that he expects for forgiveness.

Example:

“Please, forgive me”

“I’m terribly sorry about...”

“Excuse me”

“I’m sorry for interrupting you, but...”

“Pardon me, I didn’t hear what you said”.

### **3. Indirect apology / acknowledgement of responsibility**

It is the strategy in which the complainant tries to describe his/her role in what has happened and whether or not he/she was responsible. The complainant chooses to take on responsibility by using various degrees of self-blame from low intensity to high intensity. Speakers can implicitly or explicitly claim to be responsible for their action. The speakers also usually blame themselves. This strategy is aimed to give support to the hearer. This strategy divided into some sub-strategies such as:

#### **a. Implicit acknowledgment**

In this case, the complainant blames himself implicitly,

Example: “I can see your point, perhaps I shouldn’t have done it”.

#### **b. Explicit acknowledgment**

In this case, the complainant admits his mistake explicitly,

Example: “I’ll admit I forgot to do it”.

c. Expression of lack of intent

It is the types in which the complainant expresses that he does not have intention to commit the offense,

Example: “I didn’t mean to”.

d. Expression of self-deficiency

In this type, the complainant expresses his own deficiencies.

Example:

“I was confused”

“You know I am bad at...”

e. Expression of embarrassment

It is the type in which the complainant shows that he feels embarrass for the offense.

Example: “I feel so bad about it”.

f. Explicit acceptance of the blame

In this type, the complainant feels that the complainer has the right to blame him.

Example:

“It was entirely my fault”

“You’re right to blame me”

**4. Explanation or account.**

In this apology strategy, the complainant may try to reduce the guilt and impact by giving an explanation about the situation of violation. In this strategy the speakers argue that the



offense is not something he wanted to occur. It is can be divided into some sub-strategies, they are:

a. Implicit explanation.

The complainant explains the situation implicitly.

Example: "Such things are bound to happen".

b. Explicit explanation.

The complainant explains the situation explicitly.

Example: "Sorry, I'm late, but my car broke down".

## 5. Offer of repair

In this type of apology strategy, the complainant may offer to 'repair' the damage he has done or caused by his/her offense. Repair may be offered in its literal sense or as an offer to pay for the damage. There are two sub-strategies of this:

a. Repair.

The complainant intends to pay for the damage,

Example: "I will pay for the cleaning".

b. Compensation.

If the repair is not possible, the complainant may offer a Compensatory action,

Example: "You can borrow my dress instead".

## 6. Expressing concern for hearer.

In this type of apology strategy, the complainant may express his concern towards the complainer's condition. To comfort the hearer, the speaker may demonstrate his attention. The complainant may show the sympathy toward the complainer's condition.

Example:

"I know you do not feel comfortable with what I've done".

"Actually, I don't want it to happen to you."

## 7. Rejection

This type of apology strategy, a person may deny the responsibility because he feels not guilty. The denial of responsibility can be shown by the use of rejection strategy. There are some categorizations of this apology strategy, they are such as:

### a. Explicit denial of responsibility.

In this type, the complainant denies that he/she has committed the infraction explicitly and the complainant explicitly denies that he/she should be responsible for something unpleasant that has happened. The complainant deny being responsible for the violation occurred. They may be emphasizing the ignorance of the matter

Example:

"You know that I would never do a thing like that."

"I know nothing about it".

b. Implicit denial of responsibility.

In this type, the complainant may try to evade responsibility by ignoring the complaint or talking about other topics. The complainant tries to change the conversation piece or ignore the complainer in order to evade the responsibility. They generally avoid responsibility by ignoring complaints or talking about something else.

Example:

"I don't think that's my fault."

c. Justification.

In this type, the complainant tries to give and provide arguments to persuade the complainer that he cannot be blamed for the inconvenient situation that happens. It is set to affect the hearer not to blame the speaker

Example:

"I've already finished my job yesterday, so there is no reason I could be blame about this"

"I've told you before that I'll give you the money, but I didn't promise"

## 8. Promise of forbearance

In this apology strategy, the complainant takes responsibility by expressing regret, and he/she will be expected to behave in a consistent fashion and not immediately to repeat the act for which he/she has just apologized. The complainant promises either never to do the same mistake or to improve his behavior. The utterance is often signaled by the word 'promise'.

In this case, an apology is not only related to the violations that have been done but also related to the behavior in the future. This speech act apology contains a commitment from the speaker not to repeat his action.

Example:

“It won’t happen again, I promise”.

## 2.2 Previous Studies

Literature review in this chapter briefly reviews the core from some previous research, especially those related to the study of apologetic acts. Among many studies that have been conducted regarding expressive acts of apology, the authors deliberately choose several studies that are considered in accordance with the topic being studied.

The first literature review is a study conducted by Nasiha (2018) who examine about apology strategies in Malay. The aim of her research is to examine the types of strategies that Malaysian speakers use to apologize and to

determine which of these strategies they are more inclined to employ based on the types of politeness suggested in Brown and Levinson (1987) politeness theory. The findings of her research mentioned that Malaysians prefer to use “Providing Justification” and “Offer and Repair” strategies which suggested that Malaysians value face saving. Through of this strategies, Malaysians will try to justify their actions and minimize the inconvenience caused towards the hearer. Because, Nasiha stated that Malay culture values the display of respect, consideration and concern for each other and being sensitive to and anticipating the interest of the other.

The second previous study is about Contrastive Pragmatics: Apologies & Thanks in English and Italian by Demir and Takkaç, (2016). This study investigates samples of cross-cultural apologies and thanks that are in line with Robinson's (1994) view. In short, throughout the study, researchers looked at two speech acts from / and two different societies, in this case is English and Italian.

Furthermore, this study of apologizing and thanking in English and Italian highlights a number of subtle differences between conversation interactions in the two communities. There are some of the same strategies of thanking in English and Italian. The equation occurs not only in terms of frequency but also quantity. In English, the main thanking strategy put forward is thank you, I thank you, many thanks, thank you very much, I appreciate, very thankful, I am grateful, cheers, etc. But from the number of research samples, it can be concluded that the method of gratitude that is often used is Thank you.

While in Italian, the way of thanking is a bit different from what is commonly used by the British. And some of these thankful styles cannot be translated into English for use in everyday conversation, "grazie di cuore" which means "thank you from the heart". Although this is very commonly used in Italy, but in use in English it is too rare.

The choice of words used in an apologizing or thanking strategy even in English or Italian culture are influenced by various situations. It may be that the speaker cannot use the same apology strategy under the same conditions if the interlocutors have different levels, both in terms of intimacy and strength.

The next previous study is from Taher (2016). In his research, using the technique of meeting 15 native English speakers and 50 Kurdish speakers. Here, Taher finds that native English speakers use more expressing remorse strategies to make apologies while Kurdish native speakers use more apologetic strategy offers to apologize. Furthermore, differences occur in the frequency of strategies used to apologize in both languages. The study also revealed other new strategies in Kurdish that did not exist in English.