CHAPTER I

INTRODUCTION

In this chapter, the researcher presents the background of the study which contains the previous studies, the reason why the researcher chooses this title in her study, the statement of problems that are analyzed in this study, the objective of the study which describes some significant things of this study to the readers and also to the researcher herself, scope and limitation of the study, and definition of key terms to define some terms used in this study.

1.1   Background of Study

Research on refusal expressions grows in many focuses; some of them are (Andriani, 2008; Angryani, 2011; Arum, 2012). These researches focus on the types of refusal and limited only in indirect refusal. They use a movie as the object of their research. The result of these researches is categorization of indirect refusal; they are excuse/reason/explanation, expression of regret, and positive opinion. This is different from Beebe's finding that mention in his journal that there are three types of refusal and eleven categories of indirect refusal. This difference in findings about types of refusal motivated the researcher to study further about this.

Sarfo (2011) also found three types of indirect refusal which are different from Beebe and Takashi's findings (1985). In this study, he identifies and discusses the different ways of refusing requests and how

1

those ways of refusing are influenced by age and socio-economic status among members of the Berekum Training College community. The paper finds two main forms of refusals used by the members of the college community, namely, direct and indirect refusals. Three types of direct refusals are identified, the use of: (a) definite or flat no without any other form(s) of expression; (b) definite no with some other expression(s), and (c) negative expression(s) without the word no. These forms are influenced, to a large extent, by age and socioeconomic status. Generally, the different forms of direct refusals are used when a high-status and/or older person refuses a low-status and/or younger interlocutor. In other words, the relationship is hierarchical (Sarfo, 2011).

Then, Widowati's (2011) study found out all types of refusal mentioned in Beebe and Takashi's (1985). There are three types of refusal expressions based on Beebe and Takashi's theory (1985); they are direct refusal, indirect refusal, and adjunct to refusal. Nonetheless, these researches only deal with the characters in a movie, not in a real life. Inspired by Widowati's (2011) study, Gozzali (2013) tries to conduct another object of refusal expressions. He analyzes this topic in real life and focuses on grown-up Chinese Indonesian sons and daughters toward their parents request in Surabaya. Gozzali provides a solution for the researcher problem that there are many types and categories of refusal expressions. This research also analyzes a conversation that occurs in a real life

between parents and their child. It makes the researcher happy to find this solution for her problem.

After reviewing the existing literature, it is important to note that gaps in refusal expressions have been analyzed in a movie and real life, while none of the researchers has focused on written text and literature such as novels or short stories. Widowati (2011) and Arum (2012) suggest that the future research on refusal expression in written text and literature. Therefore, the researcher chooses a novel as her object in this present research.

The ample studies of refusal expressions in Indonesia have been analyzed in comparison between male and female in such interaction of shop assistants and seller (e.g. Liena, 2001; Utomo and Prawito, 2007). In these researches, they only focus on comparison between male and female sellers in some places. The result of their studies is almost the same that male is more dominant in using direct refusal while the female shop assistants prefer to use indirect refusal than another types of refusal. Nonetheless, this result raise a number of question why the researchers do not provide the last type of refusal expressions, adjunct to refusal, and also why the object always in buyer and seller communication.

There are a number of studies of refusal; most of them deal with either English or Japanese (e.g., Morrow 1995, Gass & Houck 1999). Some of the studies also focus on Chinese (e.g., Liao 1994, Chen & Zhang 1995, Chen 1996), and these studies tend to analyze refusal from the

perspective of semantic content. Although examples of refusal strategies are given, the contexts in which these strategies were used are not analyzed in detail. For example, they did not study the contextual restriction of each strategy and hence may make over-generalizations. Furthermore, these studies have focused primarily on the content of refusal expressions not in contextual background that influence the refusal expression.

Considering these limitations, it is necessary to examine when, where, and as well as the roles of the interlocutors ("initiator" and "refuser"). This is the kind of knowledge that learners of Chinese most need when they encounter situations of refusals. This paper therefore analyzes situations in which refusal will occur and examines the refusal strategies and corresponding linguistic forms that can be employed to react to certain refusal situations. Since refusal is an act in response to other acts, acts that prompt refusals play an important role in the choices of refusal strategies (Chen, 1996). Therefore, this paper categorizes situations of refusal according to the initiating acts of refusal.

Refusal is important in maintaining the relationship because sometimes people must say "no" directly or indirectly toward request, demand, command, offer, invitation, or suggestion. In conducting refusal, people should pay attention to the form of refusal because expressing refusal has a possibility of offending the listener. Therefore, people must be aware in selecting the appropriate refusal strategies.

The refuters have different style when they deliver the refusal expression because refusing a request or an offer from interlocutor is not easy for them. In refusal expression, the refuters have to make the listener's feel not to be offended or to be hurt. Refusing is not just saying "no". Refusing is an expression that is expressed by the speaker and it is unexpected for the listener. Therefore, the refuters need some ways to express their refusal expression in order to make the speakers who invite them are not disappointed. There are ways to deliver refusal expression which can be said politely or impolitely.

There are many different categories of refusal expressions especially in indirect refusal form. Andriani (2008), Angryani (2011), Arum (2012) categorize indirect refusals into three types, they are reason and explanation, statement of regret, and positive opinion. While Widowati (2011) and Gozzali (2013) categorize indirect refusals into ten types, they are (a) statement of regret, (b) wish, (c) excuse and explanation, (d) statement of alternative, (e)statement of principle, (f) set condition for future or past acceptance, (g) promise of future acceptance, (h) statement of philosophy, (i) attempt to dissuade interlocutor, and (j) avoidance.

In the present study, the researcher takes into account some previous studies that have successfully revealed that refusal expressions are divided into three types (see Widowati, 2011; Gozzali, 2013). They are, direct refusal, indirect refusal, and adjunct o refusal. Commonly,

refusal expression can be expressed by saying "no" but it can also be delivered indirectly. Saying "no" or "I refuse" does not exist in the indirect refusal expression. Uttering a reason is widely used in refusal expression. People usually use an explanation and a reason to refuse someone's offer or request. Politeness strategies are also necessary because they have to deliver the refusal expression politely or impolitely.

Andriani (2008) in her research also analyzes refusal expression and its context of situation. There is a context that gives an influence to someone using expressions. The result of this study is only focused on the purpose of why people use refusal expressions. In this study, Andriani analyzes the context of situation based on Hymes theory, but she does not provide all of the parts of context of situation. She only takes the second part, purpose, in Hymes' SPEAKING theory. By evaluating this case, the researcher finds new solution to study further about context of situation detail. In this research, the researcher takes Halliday's (1989) theory to analyze the context of situation of refusal expressions in the novel.

From all of the previous studies above, the researcher concludes that there are some reasons to do this analysis. First, the topic of this study is interesting and important, because it is related to daily life of the researcher. The researcher wants to know how to refuse in right and polite way. Refusal expressions have different function and different types, so the researcher knows how to use it in appropriate place. People use an

appropriate expression in the right situation and in the right place. Refusal expression is the example of people's expression.

The second reason is the object of this study. Some of the researchers before are use a movie as the object of their analysis. Some of them also analyze the interaction of sellers and buyers in some places. Therefore, the researcher tries to analyze a novel as the object of her research to get new finding about refusal expressions in written text. Refusal expression do not only occur in the real life but also happens in the literary work like a novel. Many novels show the refusal expression, and this novel is one of them.

From these two reasons, the researcher chooses this topic and the object for her study. The researcher sates "Refusal Expressions Performed by the Main Characters in *To Kill a Mockingbird*, a Novel by Harper Lee" as the title in this study.

1.2   Research Problems

As mentioned before, this research deals with the refusal expressions. By understanding the significance of the issue, the main problems that will be analyzed in this research can be seen as follow:

1. What are the types of refusal expression performed by the main characters in *To Kill a Mockingbird,* a novel by Harper Lee?

2. In what context of situation the refusal expression is performed by the main characters in *To Kill a Mockingbird,* a novel by Harper Lee?

1.3 Research Purposes

The purposes of this research are as follow:

1. To describe the types of refusal expressions performed by the main characters in *To Kill a Mockingbird,* a novel by Harper Lee.

2. To know in what context of situation the refusal expression is performed by the main characters in *To Kill a Mockingbird,* a novel by Harper Lee.

1.4 Significance of Study

This research is expected to provide the significance of the study. This research is expected to enrich knowledge about pragmatics, especially speech act which has a relation to the refusal expression. This research can give an additional reference about pragmatics, especially refusal expression. Many previous studies about refusal have been done by some researchers. Nonetheless, no one of them find all of types of refusal, especially adjunct to refusal. They only found direct and indirect refusal. Therefore, the researcher contributes new findings about refusal expression in the form of adjunct to refusal.

1.5 Scope and Limitations

In this research, the analysis is limited on utterances of refusals expressed by the main characters on the novel entitled *To Kill a*

Mockingbird. For avoiding deviation in this research, the researcher just focuses on the refusal expressions based on Beebe, Takashi and Uliss-Weltz's classification. The researcher will analyze the utterances performed by three main characters namely Atticus, Scout, and Jem in their conversation, which is related to refusal expressions.

Meanwhile, in doing this research the limitations are the weaknesses of this analysis. To kill a mockingbird also has been filmed by Rrobert Mulligan in 1962. Nonetheless, the researcher does not take the movie as the object because she wants to try to analyze another form of object using refusal expressions theory. She tries to understand the refusal expressions from the description of the novel. The analysis of the researcher on this research is not totally true or right, because it is just a prediction (of course by using a theory) of the researcher. The researcher just can predict it using theory without knowing the gesture and visual expressions from the main characters when they perform refusal expressions since the data of this analysis is a novel.

1.6   Defition of Key Terms

In order to avoid misinterpretation about the used terms, it is important for the researcher to give the suitable meaning of the key terms. Some terms are defined as follows:

a. Speech act is the action performed in saying something.

b. Commisive is the speech functions to promise something to someone.

c. Refusal expression is the speech act of saying"no", expressing the addressee's non-acceptance, declining of or disagreeing with a request, an invitation, a suggestion or an offer (Felix-Brasdever, 2008: 42).

d. Context is the set of circumstances or facts that surround a particular event, situation, etc (Halliday and Hasan, 1985: 45-46).

e. Field is the subject matter in conversation (Halliday and Hasan, 1985: 45-46).

f. Tenor is the social relation existing between the interactants in a speech situation. It includes relations of formality, power, and affect (manager/clerk, father/son) (Halliday and Hasan, 1985: 45-46)..

g. Mode is the way the language is being used in the speech interaction, including the medium (spoken, written, written to be spoken, etc.) as well as the rhetorical mode (expository, instructive, persuasive, etc.) (Halliday and Hasan, 1985: 45-46).

h. Main character is the central or primary personal figure of a literary, theatrical, cinematic or musical narrative, who enters conflict because of the antagonist (Urban Dictionary). There are three main characters of this novel (Atticus, Scout, and Jem) as the object of this research.