

## **CHAPTER II**

### **LITERATURE REVIEW**

In this chapter has three parts, namely previous research, underlying theories, and theoretical framework. The previous study section describes previous studies that have the same focus as this research. Meanwhile, the underlying theory describes theories related to the expression of refusal from the experts. In addition, the theoretical framework shows the conceptual framework of refusal expression.

#### **A. Previous Study**

This study presents previous studies related to the topic to show the authenticity of the research. This study takes several previous studies including research from Kasih (2014), Al-Mahrooqi & Al-Aghbari (2016), Chunli & Nor (2016), Waluyani & Soepriyatna (2017), Okla (2018), Kreishan (2018), Retnowaty (2018), Azwan (2019), Wijayanto (2019), Boonsuk & Ambele (2019), Rodiah, Rukmini, Mujiyanto, & Januarius (2019), Dewi, Tantra, Artini, & Ratminingsih (2019), Anggraini & Ambalegin (2020), Dewi, Wibawa, & Hastuti (2020), Hidayati, Bafadal, & Rahmaniah (2020).

The first research was conducted by Kasih (2014). This study aimed to demonstrate the differences between American and British movies in refusing. In his research, the researcher used an observation technique by observing the subtitles of the five films. Furthermore, the researcher analyzed the refusal utterances using the Félix-Brasdefer taxonomy, which contained an indirect refusal strategy. This study found 92 refusal utterances, 50 from American movies and 42 from British movies. The strategy most often used in American movies was the Mitigation Strategy. While in British films, the most common strategy was the Reason/Explanation Strategy. These results showed that America and Britain have their way of providing refusal strategies. Americans tended to use hedge strategies when refusing to appear more polite and minimize the negative effects of refusal. Meanwhile, the British managed to explain why they could not fulfil their interlocutor's request. However, this research is different from the present study, where the present study used TV series as a data source, while previous research used 5 titles from American and British movies.

The second research was conducted by Al-Mahrooqi & Al-Aghbari (2016). The purpose of this study was to determine the speech acts of refusal among EFL Oman students.

Researchers examined how they refuse in various situations. In addition, the researchers also analyzed if the responses were culturally appropriate and linguistically accurate. This study had forty-one participants conduct a Discourse Completion Test (DCT), which later, the researchers used as data. The DCT consists of 12 scenarios that require participants to provide written refusals for three requests, three suggestions, three invitations, and three offers. This research showed that students' culture greatly influences them. Others are inappropriate because they are too direct due to students' lack of knowledge about the role of social status when issuing disapprovals to someone of high status. Language errors are mainly in sentence structure, which affects the more explicit meaning. The findings suggest that to help students become better communicators in English, it is essential to directly teach them the most common speech acts, especially those they may frequently use in everyday conversation with professors and classmates. However, this research is different from the present study. This study focused on refusal expression in a culture, namely Omani EFL students. In addition, this study also pays attention to a person's status in a refusal, where the present study did not analyze it. The present study focused more on the analysis of the TV series.

The third research was conducted by Chunli & Nor (2016). This study aimed to investigate how Chinese EFL speakers perceive refusal in a Malaysian academic context. To collect data, the researchers used a discourse completion test (DCT) and analyzed using the theory of Beebe et al. The researchers designed a role-playing scenario to get refusal responses from the participants. The researchers used four situations in their research, including suggestions, requests, solicitations, and offers. In addition, the researcher also involved two social variables in each situation, namely social strength and social distance. This study found that the indirect refusal strategy was the most frequently used among Chinese EFL speakers. The dominant use of this strategy can reduce refusal responses and help maintain social relations between the interlocutors. In addition, the researcher also pointed out four factors that might influence the refusal responses generated by Chinese EFL speakers, including social power, social distance, culture and religion, and nationality. However, this research is different from the present study. Where this study also analyzed the factors that influence a refusal, which is not analyzed by the present study. The present study only focuses on analyzing the types and strategies used by the characters in the TV series.

The fourth study was conducted by Waluyani & Soepriyatna (2017). This study aimed to identify the most commonly used strategies for refusal. In addition, researchers also found out how Javanese language learners used refusal strategies regarding status of refusal. There were 34 participants from the Sampoerna University faculty of education as subjects in this study. In collecting data, researchers used the Discourse Completion Tasks (DCT) method. Then, the researchers analyzed the data using categorization proposed by Beebe et al. The results indicated that most participants used indirect strategies, especially reason/reason/explanation, as the most commonly used strategy. In addition, the researchers also found that “head act” and “pre-refusal” were directly used to refuse. The results also showed that EFL Javanese language learners used different refusal strategies depending on the refusal status. However, this research is different from the present study. In this study, the researcher analyzed the sequences of the refusal strategy, where the present study did not analyze it.

The fifth study was conducted by Okla (2018). This study aimed to determine the strategies used by various people in Dubai to refuse promotions by sales assistants in various shopping centres in Dubai. The researcher conducted observations in two shopping centres in Dubai to collect data. From the observations, the study found that most of the participants chose to refuse promotions nonverbally. They used different refusal strategies such as avoidance, hand gestures, and head nodding. Then, there are two expressions of verbal refusal used. This finding may be related to various factors such as the diverse cultural background of the research subjects, level of English proficiency, and the nature of promotion as an imposition of people's privacy. The researcher suggested that English teachers have to introduce various strategies that people might use to refuse offers or suggestions in English because it can help Second language learners proficient and polite in choosing a refusal strategy. However, this research is different from the present study. This study focused more on specific things, namely analyzing indirect strategies in verbal and non-verbal strategies. In addition, this study had a different focus where, the present study focuses on analyzing a TV series while this study focuses on analyzing a promotion that is in the mall.

The sixth study was conducted by Kreishan (2018). This study aimed to investigate the refusal and complaint speech act strategies used by Jordanian undergraduate EFL students. The researcher used the discourse completion test (DCT) and role-played to collect data in his research. The findings revealed that, as non-native speakers, respondents preferred to use an

indirect refusal strategy. The most frequently used refusal strategies were explanations or excuses, apologies, negative abilities, postponement, and adjunct. Expressing hints, requests, and frustrations were the preferred strategies for raising complaints. This finding showed that Jordanian students used this strategy quite often because the strategy was more polite because it can maintain face. Moreover, the result also revealed similarities between the strategies used by EFL students and the strategies used by native English speakers. However, this research is different from the present study. Besides analyzing an expression of refusal, this study also analyzes the expression of a complaint. In addition, another difference is that this study did not specifically analyze the type of refusal expression, because the previous researcher had made that type of refusal as a situation to be used as a discourse completion test.

The seventh study was conducted by Retnowaty (2018). This study aimed to analyze the refusal strategies used by Javanese language teachers. Moreover, the researcher tried to describe how the refusal strategies used by Javanese language teachers to the recipient status. This research used a qualitative descriptive method. Moreover, the researcher used the discussion completion task (DCT) method as the method used by the researcher in collecting data. The results of this study indicated that each respondent used a different strategy in a refusal. However, this study showed that most of the participants used an indirect strategy in refusing. The researcher explained in this study that the centralization of participation used an indirect strategy because it is more polite to use when refusing something. The study results reflect and show the fact that teachers are role models in teaching politeness in refusal. However, this research is different from the present research. The difference is that the previous research focused on the analysis of expressions used by Javanese teachers in Balikpapan, while currently focusing on studying expressions in a TV series. In addition, another difference is that in this study, researchers did not analyze specifically about the types of refusal expression.

The eighth study was conducted by Azwan (2018). This study aimed to determine the politeness refusal strategy used by Ambonese in refusing requests. Moreover, this study also aimed to determine the effect of social relations on politeness refusal strategies used by Ambonese in refusing requests. The researcher took data from 25 Ambonese respondents in Maluku Province by recording conversations in any situation and taking notes to remember every little thing between the interlocutors. This research was descriptive qualitative research. The researcher obtained results from the data showing that Ambonese was more likely to combine more than one strategy in refusing requests. In interactions between foreigners,

Ambonese people tended to use positive politeness strategies such as expressing gratitude combined with greetings, reasons, and offering new solutions. In solidarity politeness systems such as intimate relationships, Ambonese people tended to combine greetings, excuses, promises, jokes, or offering new solutions as a sub-strategy of positive politeness strategies. In a hierarchical politeness system, Ambonese people used negative politeness strategies such as apologizing, paying respects, and indirectly conventionally. However, this research is different from the present study. The difference lies in the research focus, where this study also analyzes Politeness. While the present study does not analyze this matter.

The ninth study was conducted by Wijayanto (2019). This study aimed to compare the refusal strategies used between native Javanese speakers in Indonesia and native British English speakers in England. The researcher used Discourse Completion Tests (DCT) techniques to obtain data. From these data, the researcher found that native Javanese and English speakers liked the indirect refusal strategy and used almost the same sequences of refusal. However, the types of semantic and additional formulas involved were different. The reason for choosing this strategy was based on the respondents' awareness of different levels of social status. Where these status levels tended to cause different frequencies of semantic formulas and adjunct refusal, on the other hand, various initial refusals resulted in the further use of additional and semantic formula types. However, this research is different from the present study. This difference lies in the focus of the study, where the previous study focused on the comparison of two cultures in the expression of refusal, namely between Javanese and English. While the present study focused on the analysis of a TV series. In addition, the previous study also focused on analyzing social status factors, where the present study does not analyze it.

The tenth study was conducted by Boonsuk & Ambele (2019). The purpose of this study was to discuss speech acts of refusal strategies in English among university students in southern Thailand in explaining how they say "no" to requests and the effect of these speech acts on listeners' faces. In collecting data, researchers used Discourse Completion Tests (DCT). In addition, the researchers used qualitative analysis data transcribed with the refusal classification scheme of Beebe, Takahashi, and Uliss-Weltz (1990). The results of this study indicated there were two significant common ways of manifesting request refusal in English among students, including direct and, mostly, indirect refusal strategies. The findings also revealed that the researchers had not found adjunct refusal strategies in the data. Similarly, the

researchers not found all of the refusal sub-strategies of refusal in the data. However, the researchers found two new sub-strategies, namely providing advice/explanation and lack of empathy, were found in the analysis. However, this research is different from the present study. Where this study focused on the analysis of the expression of refusal used by EFL Thailand, while the present study focused on the analysis of TV series. In addition, the difference is that this study did not look for the types of refusal expression because in collecting data, the previous researcher had included situations that indicate the types or initiation acts of refusal itself.

The eleventh study was conducted by Rodiah, Rukmini, Mujiyanto, & Januarius (2019). This study aimed to determine the realization of the refusal strategy in five different political interview channels used by Donald Trump, the President of the United States. In their research, researchers used documentation techniques to collect data. Meanwhile, in analyzing it, the researchers used qualitative descriptive. In this study, the researchers found direct and indirect refusal strategies in the data. In the direct strategy, there are 'no' and negative willingness. In addition, in the indirect strategy, the researchers found excuses or reasons and explanations, promises for future acceptance, statements of principles, negative threats or consequences, criticism or statements of negative feelings or opinions, and verbal avoidance. However, this research is different from the present study. This study focused on analyzing expressions of refusal in a political interview, while the present study focuses on analyzing expressions of rejection in a TV series. In addition, another difference is that this previous study did not focus on analyzing a type of refusal expression.

The twelfth study was conducted by Dewi, Tantra, Artini, & Ratminingsih (2019). This study aimed to determine the refusal strategies by students of SD Gandhi Memorial Intercontinental School (GMIS) Bali in asking, offering, inviting and suggesting. This research was a qualitative descriptive study. Students with multi nationalities, such as Indonesia, India, Russia, and Japan from grades three, four, and five, were the subjects of this study. In collecting data, researchers used several methods, such as observation, recording, and recording, using video recorders and field notes as data collection instruments. From these data, the researchers found that in the context of cross-country requests, seen from the frequency, the Russians used direct refusal while Indonesian students were the lowest. Another result revealed that Russians were more likely to refuse offers indirectly, while Indonesians were the lowest. In the context of the refusal of the invitation, Indian students refused the most directly. In contrast, the

nationality in which the participant preferred to make an indirect refusal was Russian. In addition, in Suggestion, direct refusal was often used by Russian, while Japanese students often used indirect refusal. However, this research is different from the present study. Where the focus of this study was to compare a refusal of elementary school students from several countries. While the present study focused on analyzing the expression of refusal in the TV series.

The thirteenth research was conducted by Anggraini & Ambalegin (2020). The purpose of this study aimed to identify refusal strategies in *Me Before You*. This research used observational methods and non-participatory techniques, according to Sudaryanto. Then, this study applied a pragmatic approach to analyzing data. The results showed that most characters used indirect strategies to refuse offers, suggestions, invitations, and requests. Moreover, researchers only found six strategies applied by the characters. Namely, alternatives, reasons and explanations, requests for additional information, apologies and regrets, repetition of previous discourses, and delays. However, this research is different from the present study. The difference between the two studies lies in the source data, namely different series title/movie. In addition, another difference is that this study did not analyze the types of refusal expression. And also, in analyzing the refusal strategies, the two researchers used different theories, where the present study used Bebee et al (1990) and this previous study used the Félix-Brasdefer theory (2008).

The fourteenth research was conducted by Dewi, Wibawa, & Hastuti (2020). This study aimed to identify the refusal strategies used by children in Ketare village. Moreover, this study also analyzed the factors that influence the differences in the refusal strategies used by children in Ketare village. This research included the qualitative descriptive method. The results of this study indicate that in the analyzed data, researchers found direct and indirect refusal strategies in Ketare. Regarding the family scope, there are direct refusals with non-performative statements and indirect refusals with reasons, explanations, conditions set for future or immediate acceptance, and promises of future acceptance. As for the scope of children, there are direct refusal with non-performative statements and indirect refusal with statements of regret, explanation of reasons, conditions set for future acceptance, and promises of future acceptance. In addition, in terms of the scope of adults, they refused to use non-performative statements directly. Various factors influenced the respondents in choosing the refusal strategies, including gender, age, environment, and socio-cultural factors. However, this

research is different from the present study. The difference is, in this study the researcher also focused on analyzing the factors that influence the choice of refusal strategy, where the present study did not analyze it. Another difference is, this study did not analyze the types of expression of refusal as the present study did.

The last previous research was conducted by Hidayati, Bafadal, & Rahmaniah (2020). This study aimed to classify the refusal strategies used by the characters in the biopic movie entitled *Sang Pencerah*. This research used the descriptive qualitative method. In addition, in classifying the strategy of refusal, the researchers applied the theory from Bebee, Takahashi, and Uliss-Weltz (1998). This study concluded that the researchers found 16 indirect strategies, including four expressions of positive opinion, five expressions of regret, and seven expressions of reason. In addition, indirect refusals were very effective when used in daily conversations because they make these conversations more polite. However, this research is different from the present study. The difference lies in the data sources, where the present study used the *Bridgerton* Tv series, while this study used *Sang Pencerah* movie. In addition, this study did not focus on the types of refusal expression.

From the research above, almost all of the studies are cross-cultural studies that compare a refusal in different countries. However, in this study, the researcher would only focus on analyzing a TV series by examining the types and strategies of refusal. The researcher used theory from Yang (2008) to analyze the types of refusal expression. While, to analyze the strategies of refusal the researcher used theory from Bebee et al (1990). So, in general the position of this research is to complement previous research that discusses the expression of refusal.

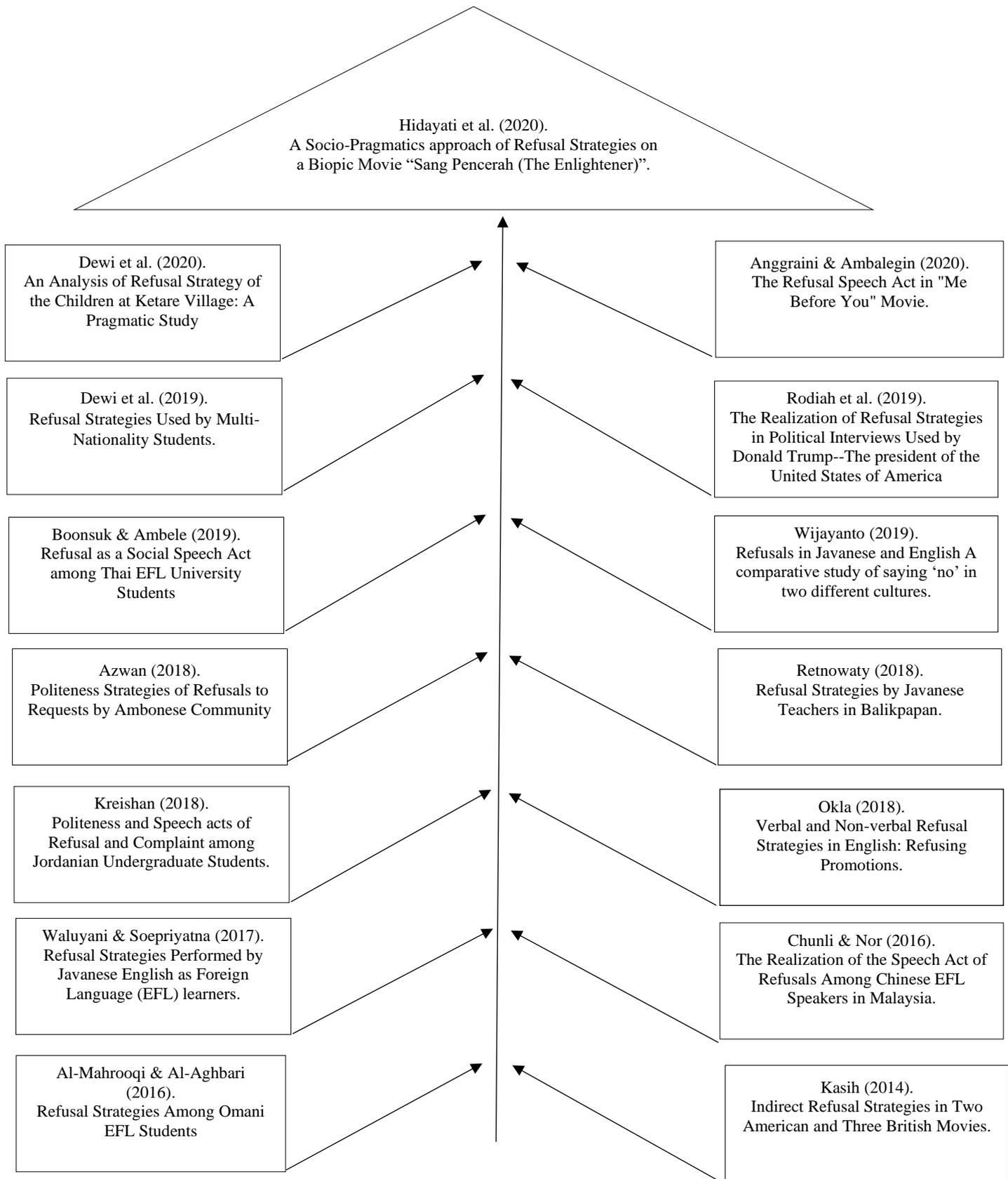


Figure 2.1 Sketch of Previous Study

## **B. Underlying Theory**

The underlying theory explain the theory that underlies the research such as pragmatics including notion of pragmatics and principles of pragmatics. Then, speech acts including notion of speech acts, types of speech acts, and classification of illocutionary acts. And the last is refusal expression including notion of refusal, types of refusal, and strategies of refusal.

### **1. Pragmatics**

In this section, the researcher discusses several things about pragmatics, by dividing them into two parts, namely notion of pragmatics and principles of pragmatics.

#### **a. Notion of Pragmatics**

Pragmatics has four definitions or scopes. First, pragmatics is related to the meaning of the speaker's communication. Second, pragmatics is the study of contextual meaning or interpretation of what people mean in context. Then, the third is the study of how language better communicates what is said. The last definition of pragmatics is the study of the expression of the relative distances of communication, whether spoken or not (Yule, 1996). In addition, the notion of pragmatics is the study of the meaning of a speaker's utterance concerning other participants of the language itself. Not only focus on the meaning of the sentence but also the context of the situation.

#### **b. Principles of Pragmatics**

As a branch of linguistics, pragmatics covers several areas; Among them are deixis, cooperative principle, implicature, presupposition, and speech act.

##### **1) Deixis**

Deixis is concerned with the way in which language encodes the features of the context of the utterance and also with the way in which it interprets the utterance (Levinson, 1983). There are 3 categories of deixis itself, including person deixis, spatial deixis, and temporal deixis. Person deixis is used to denote people, exemplified by the personal pronouns such as "I", "you", "he", "she", "that", "us", and "them". Then, Spatial deixis is used to point to the location where the referenced entity is in its context. And the last, temporal deixis is used to indicate time. 'Now', 'then', 'today', 'tomorrow', 'yesterday' are examples of temporal deixis.

## 2) Entailments

Entailment is logically follows from that utterance (Yule, 1996). One-way entailment means is sentences are not true paraphrasing. And two-way entailment means is the sentences are paraphrase. So, it can be concluded that entailments are something that logically follows from what is asserted in the utterance.

## 3) Implicature

Implicature as what the speaker can imply, suggest, or mean as a difference from what the speaker literally says. Moreover, implicature means referring to an indirect or implicit meaning of an utterance derived from context that is not present from its conventional use (Fauziati, 2016). There are two categories of implicature, namely conventional implicature and conversational implicature.

## 4) Presupposition

Presupposition is something that is assumed by the speaker as the case before making an utterance. In other words, presupposition means referring to the logical meaning of a sentence or the meaning that is logically related to or required by a sentence (Yule, 1996).

## 5) Speech Act

People not only produce utterances containing grammatical structures and words when they speak, but also perform actions through those utterances. Speech that performs an action is generally referred to as a speech act, which is one of the principles of pragmatics (Yule, 1996).

## 2. Speech Acts

In this section, the researcher discusses several things about speech acts, by dividing them into two parts, namely notion of speech acts and the types of speech acts, and classification of illocutionary acts.

### a. Notion of Speech Acts

Communication has always been a necessity in human life. Through communication, the exchange of thoughts between people that directly contribute to the development of the quality of life itself can be done. The ability to perceive speech in communication can determine the actions to be followed.

Austin was the first philosopher to propose speech acts. The content of his book on language is a mode of action because it is a means of conveying information. He argues that if a speech act is to say something is to do something, every communicative act conveys a message beyond what we say. On the other hand, whatever we say will carry a message that impacts the listener (López Montero, 2015).

After speech act was raised by Austin's, speech act was developed and continued by Searle. Searle (in Fauziati, 2016) define speech acts as constituting publishing or production sentence tokens under certain conditions, and this is the basic unit of linguistic communication. According to him theory of speech act is theory that refers to utterances of performative actions in language and correspondence, for example, apology, thanks supply, and request. Searle believes that by saying something, a person can create words and take certain actions such as questions, orders, promises, apologies and so on.

According to Yule (1996) speech acts is studies about how speaker and listener uses language. Speech act is an action that carried out through speech and labeled more specifically, such as: apologies, compliments, complaints, invitation, request or promise. Therefore, people must interpret the meaning of language in communication through speech acts.

The notion of speech acts according to all linguists has almost the same meaning. They agree that speech acts are actions when we produce a word, in theory it is the production of speech with the aim of realizing something. To clarify the statement, we must determine what kind of utterance is made.

## **b. Types of Speech Acts**

Austin divided three types of actions carried out simultaneously, namely locutionary, illocutionary, and perlocutionary act.

### **1) Locutionary Act**

The locutionary act is types of speech act that shows literally meaning of the utterance. In Locutionary act, every utterance will be represented by a sentence with structure of grammatical and also linguistic meaning. According to Pecci (1999), the real form of words in semantic meanings used by speakers is called as locutionary.

## 2) Illocutionary Act

The act of doing something with certain functions and goals is called as Illocutionary. According to Peccei (1999), what the speaker does by uttering words like, threatening, offering, thanking, commanding, promising, and so on is called as illocution. It defines the power that underlies utterance or interpretation by the listener.

## 3) Perlocutionary Act

In the act of perlocutionary, we will find the effect of utterance. This is what people try to achieve by saying something like letting the listener know, making the listener do something, showing pleasant or unpleasant feelings and so on. According to Yule (1996), we produce utterances with some intention to have an effect.

The following is an example of locutionary, illocutionary, and perlocutionary implementation. When there is a condition where someone says "it's hot here". So it can be concluded that the locutionary of the statement is "it's hot here", while the illocutionary speaker not only states that it is hot here but on the other hand the speaker also tries to convey that "I want cold air". And the last one is perlocution which is the effect of illocutionary act, where maybe the hearer will open a window or turn on the air conditioner so that it doesn't feel hot anymore.

### c. Classification of Illocutionary Acts

Searle (in Levinson, 1983:240) proposes that in speaking, one can perform five basic kinds of action, namely:

#### 1) Representative

Representative is a kind of speech act that states what the speaker believes to be the case or not, such as state, conclude, represent, deduce, etc. So, by using this utterance, the speaker expresses the belief that the propositional content is true.

#### 2) Directive

In this type of speech act, the speaker wants to ask someone else to do something. There are several examples of how speakers want to express their desires, such as the actions of commanding, ordering, asking, and inviting.

### **3) Commissive**

This speech act is used when the speaker is going to do some action in the future. Refusal, threat, promise, guarantee, volunteer, and offer are examples of the type of commissives.

#### **a) Refusal**

Refusal is a negative response to invitations, requests, offers, suggestions, and the like that are often used in our daily lives. Saying "no" is somehow more important than the answer itself. Because, both speakers and speech partners are expected to understand the context as well as the form and function of rejection, depending on the values of linguistic culture and ethnicity.

#### **b) Threat**

A threat is a statement of intent to punish or harm someone. In another sense, threats are intimidating the listener, if the listener does not want to do what the speaker says. Generally, threats are motivated by hatred and distrust of speakers to the speech partner where the speaker feels that someone has a higher power to intimidate the speech partner through his speech.

#### **c) Promise**

A promise is one type of commissive which is a statement that tells someone that you will definitely do or not do something. It is a verbal commitment by one person to another to do (or not do) something in the future.

#### **d) Guarantee**

A guarantee is a firm promise that you will do something or that something will happen. It is a promise that something will happen or will come true. The degree of affirmation is a way to distinguish a guarantee from a promise.

#### **e) Volunteer**

Volunteering is defined as an offer to do something without being forced or paid to do it. It is to perform or offer to perform a service of one's free will. It means choosing to offer or give free of charge without being asked or required.

#### **f) Offer**

Offer means to say that you are willing to do something for someone or give something to someone. In other words, offer is the listener's expression to offer an action for the benefit of the listener or recipient.

#### **4) Expressive**

Expressive is a type of speech act that states what the speaker feels. The expressive form can be in the form of statements of pleasure, pain, likes, dislikes, pleasure, or sadness. In this case, the speaker adapts the words to the situation that is also included in his feelings. Examples of these actions include thanking, apologizing, congratulating are examples of what the speaker feels.

#### **5) Declarative**

Declarative is a type of speech act that changes the situation through the speaker's speech. In order to make a declaration properly, the speaker must have a specific institutional role, in a particular context. For example, appoint, nominate, convict, pronounce, fire, and resign.

### **3. Speech Act of Refusal Expression**

In this section, the researcher discusses the expression of refusal expression by dividing it into 3 parts, including the notion of refusal expression, types of refusal expression, and strategies of refusal expression. In the notion of refusal, the researcher discusses the meaning of refusal itself. While in the types of refusal, the researcher discusses the types that affect the refusal or what is commonly referred to as the initiating act, which includes requests, invitations, offers, and also suggestions. Then about the refusal expression strategy, contains strategies in refusing which include direct, indirect, and adjunct.

#### **a. Notion of Refusal Expression**

We all know that speech acts play an essential role in daily communication. People express a type of promise, commitment or something that happens in the future. In this type, speech acts not only convey statements, requests statements but also convey curses, complaints, refusal expressions, and many others. Refusal expression is one of the most used speech acts by people in any language. Not only used by adults, but also often used by children to resist. For example, when a child is asked by his mother to take a nap but is reluctant to comply with

his mother's request, they automatically use an act of refusal expression. A refusal expression is a speech act carried out if the speaker does not intend to accept the action.

According to Gass, Susan, & Houck (1999) refusal expression is one type of speech act that is not very desirable in the communication process. Refusal expression is a response to the follow-back of the second speaker, where the response is not desired by the first speaker in general. On the other hand, Searle in (Brasdefer, 2008) provides an understanding of refusal expression emphasis as an action and therefore can be included in the commissive category. Refusal expression can occur on some of the initial actions performed by the other person, for example inviting to attend an invitation, suggesting to take math class, and asking to get a drink. Refusal expression occurs on the basis of unwillingness to do what is asked, suggested, or asked, so that the processes in the refusal expression and its strategies are from the refuser so that the final refusal expression result is interpreted by the requester.

Expressing a refusal is difficult. This is because refusal expression carries a high risk of insulting the other person. Refusal expression may have a potential negative impact on future interactions. It is therefore very important to exercise caution and follow implicit rules of appropriate behavior which demonstrate respect for the role of each person in the interaction. This follows the statement of Bebee et al. (1990), which states that refusal expression can result in face-threatening. Moreover, refusal expression also can be offending someone is inherent in the act itself. In other words, all this is enough to prove that refusal requires a high level of pragmatic competence.

In many cultures, how someone says "no" may be more important than the answer itself. Therefore, sending and receiving "no" messages is a task that requires special skills. Refusal expression also depends on ethnicity and cultural-language values, speakers must know the form, function, and the right time to use it. The skill of refusing an offer, request, or invitation without hurting the other person's feelings is essential because the inability to say 'no' has caused a myriad of foreign speakers to offend the interlocutor. This shows that communicative competence is needed, especially for L2. One model suitable for refusal expression is the model proposed by Murcia, Dornyei, and Thurrell, namely the actional competence model. Actional competence refers to the ability to choose speech acts or knowledge of language functions and a series of speech acts (Fauziati, 2016).

Apart from that, refusal expression is important from a sociolinguistic point of view because it is sensitive to social variables such as gender, age, education level, power, and social

distance. This is in line with Chen et al.'s statement, which states that the social role relationship between the interlocutor and the speaker influences the choice of strategy (Li & Sun, 2015). According to Brown and Levinson (1987), a speaker must rationally assess the nature of the action that threatens the face (FTA) in social interactions. An assessment of the seriousness of action involves three independent, culturally sensitive factors: relative power, social distance, and absolute ranking.

Although refusal expression exists in all languages, the strategy will not be the same in every language and culture. Refusal expression, like other speech acts, is believed to be universal and culturally different (Chojimah, 2015). The act is present on the other side of the world's language, but how and where it is manifested differs across cultures. This is because different cultural backgrounds of people resist differently, it can be assumed that they have different ideas about how to do refusal expression. Al-Issa (2003) asserts that people's cultural background can influence the way they interact, interpret and understand.

In addition, according to Gass & Houck (1999), refusal expression is often played out in a long sequence that involves negotiating a satisfactory outcome. Gass & Houck adds that the Initiating Act governs the process. There are two general types of Initial Response by Respondents. Respondents can accept or not accept. Acceptance here refers to a sincere acceptance, namely acceptance intended as approval. With Nonaccepts, the situation becomes more complex, especially since there are many options for rebuff. We can describe non accept as a refusal expression, postponement, or alternative proposal. If the Response is Not Accepted, the Initiator can agree or disagree with the Respondent Disagree; in this case, the current interaction is complete. The Initial Response serves as the Final Outcome. If the Proponent disagrees with the Respondent's Nonaccept, the Proponent may find a more acceptable solution. This situation leads to negotiation, where negotiation is part of an interaction in which the interaction actors perform a series of linguistic actions to produce a satisfactory Final Result. Final Outcome refers to the resolution of the interaction.

Refusal expressions is an expression in linguistics that is used to express a refusal expression that can be done directly or indirectly (Beebe et al., 1990) . Refusals occur in communication with several stages which includes the strategies used for refusal when having the intention to refuse. Sequences of refusal are pre-refusal, head act, and post-refusal. Pre-refusal is the type of refusal that will be carried out, so this strategy is used to prepare the expression of refusal. For example: "*I would really want to come,*" gives a positive opinion on

the invitation given by the recipient of the refusal. However, the phrase is usually used to initiate refusal which is continued in the head act to sign the word but and nevertheless. Then, main refusal, or head act, is the most important part of refusal. Main refusal is where the refusal actually occurs and the actual response is given. For example: “*However, I am not allowed to go out at night.*” It could be a preference: the speaker is lazy going out at night; it could be the norm: it is not good for a teenage girl to go out at night. And the last sequence is Post refusal. This sequence is the end result of the communication process and the strategy of refusal. Post-refusal is usually used as a form of emphasizing, justifying, or simply concluding the action that the refuser will take because of the refusal he shows (Beebe et.al, 1990). For example: “*...so it looks like I cannot come.*” - The speaker re-emphasizes to state the refusal one has done in the head act by giving reasons as a strategy of refusal. Post-refusal can just also contain the word “*sorry*” as a form of regret.

From the explanation above, we can sum up that refusal is a highly complex speech act because its manifestations are sensitive to various aspects of norms, such as cultural norms, the initiating acts of refusals, social status of the interlocutor, level of formality, politeness, and pragmalinguistics competence (Wijayanto, 2019). In addition, refusal is a complex speech act that requires a long series of negotiations and the achievement of cooperation and has to face rescue manoeuvres to accommodate the nature of the act of defiance (Houck & Gass, 1999).

## **b. Types of Refusal Expression**

Felix-Brasdever (2008) states that refusal acts are an unwelcome response and must be used appropriately with functions depending on the context. Searle and Vanderveken (in Tavakoli & Shirinbakhsh, 2014) classified the negative or refusal response when the refuser decides to say no to the other person. The classification is marked by several categories shown by the interlocutor: refusal of requests, refusal of invitations, refusal of offers, and refusal of suggestions. In addition, each type can be categorized based on its different communicative functions (Yang, 2008).

### **1) Refusal of Requests**

Request is initiating act of refusal that falls into the category of a directive where someone else requests a refusal to do something. By making a request, the speaker believes that the listener is capable of performing an action. This type of refusal is generally done

formally, so the use of language is polite. The refusal of a request is characterized by several intentions and purposes of the interlocutor.

**a) Refusal of Request for Favour**

Request for favour is a request to ask for help or a loan of goods, money, and all aspects that can be borrowed. Requests for favour can also define as asking and requiring someone to do activities that require time or effort outside the recipient's daily routine. (e.g., *“Do you mind if I borrow your cellphone?”*)

**b) Refusal of Request for Permission/Agreement/Acceptance**

Request for permission/agreement/acceptance is a request that is intended in the professional realm, such as in a scope of work and acceptance of work. However, this types also occurs in informal discussion. (e.g., *Sarah, tomorrow, I have to take a few days off. My mother will come here.*”)

**c) Refusal of Request for Information**

Request for information is a type of request that asks for help to provide information, the assistance provided is in the form of new knowledge of something, such as information on home addresses or advice to buy goods. (e.g., *“Will you give me an explanation about this type of cellphone?”*)

**d) Refusal of Request for Action**

Request for action is a request that the refuser performs an activity or action, such as sweeping, fetching a drink. When compared to a request for favour, usually an action of this type may not benefit the addresser. (e.g., *“Can you clean that table, please.”*)

**2) Refusal of Offers**

This type of refusal is the willingness of the interlocutor to take an action to the refuser or to give something. This type is categorized into four subcategories.

**a) Refusal of Offer for Gift**

Gift offers is an offer addressed to the refuser in the form of a gift. Gifts can be in the form of goods or actions, such as dolls and bags, which are given voluntarily and free of charge by the interlocutor to the refuser, so that no reciprocal action or request is expected from the refuser. (e.g., *“Do you like that pendant necklace? I will buy it if you want”*)

### **b) Refusal of Offer for Favour**

Favour offers is an offer addressed to the refuser in the type of giving an offer to do something. This is generally intended to perform an action, such as giving a ride home and offering assistance. (e.g., “*Diana, are you going to the party tonight? If yes, I'll give you a ride*”)

### **c) Refusal of Offer for Food/Drink**

Food or drink offers is an offer addressed to the refuser on a topic that refers to food. This generally occurs in situations where the other person wants to familiarize themselves or is already familiar with the refuser, so that this type of communication and refusal can occur without any unpleasant feelings. (e.g., “*May i get you some juice?*”)

### **d) Refusal of Offer for Opportunity**

Opportunity offers is a type of refusal of offer to invite the refuser to enter a university or job the refuser is intended to apply for. Generally, this happens because of the refuser's ability and good nature (e.g., Job promotion)

## **3) Refusal of Invitations**

Refusal of invitations is a type of refusal that is made in oral form and is desired to be accepted in the form of an act to invite the refuser to do or come to a place. Invitations are divided into two categories: ritual invitations and actual invitations.

### **a) Refusal of Invitation for Actual Invitation**

Actual invitation is the nature of the actual invitation and really tries and aims to invite the refusal to do, go, or come to a place. (e.g., “*I saw the new movie poster yesterday. Let's watch it together tomorrow!*”)

### **b) Refusal of Invitation for Ritual Invitation**

Ritual invitation generally occurs during the communication process at the end. This is generally meant to end the communication process politely. The invitations are also not very specific, based on what goals or motivations are, so they are done to maintain a relationship with the refusal at a later time. Ritual invitations frequently occur between acquaintances and are used to show a willingness to stay in touch with one another. Here, the inviter will not give much detail about the invitation. Usually, people who are invited tend to accept the invitation

without ask for more information. So, there is no hope for the next action. As shown in the following example, A offers a ritual invitation "*come visit us sometime*" as a way to indicate their conversation is ending. Correctly interpreting A's intention, B accepted the invitation without asking for details and said goodbye after receipt. Sometimes, when the invited person is not sure whether the invitation is genuine or ritual, the inviter will refuse the invitation ritually to ascertain the true intentions of the inviter.

#### **4) Refusal of Suggestion**

We usually face different suggestive situations. Searle defines suggestion as a directive speech act, because the speaker aims to make the listener commit to some future action (Alzebaree & Yavuz, 2018). This type is a desire to refusal to take the ideas proposed by the other person. Suggestions is divided into two parts: solicited and unsolicited suggestion.

##### **a) Refusal of Suggestion for Solicited Suggestion**

Solicited suggestions refer to suggestions based on the request and desire of the interlocutor. (e.g., "*You better change your hijab colour*")

##### **b) Refusal of Suggestion for Unsolicited Suggestion**

Unsolicited suggestions refer to the willingness of the interlocutor to provide suggestions. Unsolicited is divided into two types, namely Personal and commercial suggestions. Personal suggestion is given by the speaker to establish or maintain the relationship between the listener to show concern, develop conversation rapport, and also establish or show membership in a group (e.g., "*The weather is cloudy, you should bring a raincoat when you go*"). While, commercial suggestion is suggestion to guide others' commercial though or behavior, such as the suggestion to buy something the salesmen say (e.g., "*I think you should buy this bag, because this bag is the newest one*").

##### **c. Strategies of Refusal Expression**

Refusals often include explanations or reasons why recognition is needed. According to Beebe et al. (1990), the refusal strategy convinces the refusal recipient that he or she is still approved, but there is a necessary reason for the refusal. In addition, the strategy also indicates that the refuser regrets the refusal.

Because refusal is the opposite of acceptance response, this means that the condition of the listener does not perform the expected response. People generally use the word 'no' for the speaker's statement. However, saying "no" is not the only way to refuse. Beebe et al. (1990) proposed three categories of refusal strategies, namely direct, indirect, and adjunct strategies.

### 1) Direct Strategies

The direct strategy is divided into two, namely performative and Non-Performative Statement.

#### a) Performative Statement

According to Houck (1999) (in Sa'd & Qadermazi, 2014), performative direct refusal means that the listener or reader expresses an explicit refusal of speech. This means that the act of refusal reflects the true intention of the listener or reader. A performative statement is a condition when the refuser uses a performative verb such as "I refuse".

#### b) Non-Performative Statement

According to Félix-Brasdefer (2008), this strategy is used when the refuser gives an explicit message about the refusal response. There are two kinds of Non-Performative Statements, including statements that directly say "No" or clearly show negative abilities, such as "I can't" or "I won't".

### 2) Indirect Strategies

Indirect refusal is often used by refusers to avoid refusal in an obvious way. Refusers tend to hide their true intentions in terms of their wants, needs and goals. According to Brasdefer, if the refusal response is expressed indirectly, the level of inference increases because the speaker must choose the right form to reduce the negative effects of direct refusal (Brasdefer, 2008).

#### a) Statement of Regret (e.g., "I am sorry")

In the case of refusal, the use of strategies of statement of regret serves as an indirect refusal which can be considered a manifestation of relational work and an expression that may be open to polite interpretation (Brasdefer, 2008). This strategy is characterized by showing that the speaker regrets the situation because he cannot accept the

offer/request/invitation/suggestion. In expressing it, speakers usually use the word regret such as "sorry" or other words that have a similar meaning.

**b) Wish** (e.g., "*I wish I could help you*")

This strategy is used when a speaker wants to communicate a desire to accept an invitation, request, or suggestion. This strategy is often used as a polite refusal response to express supportive facework. In addition, this type of refusal also serves to soften the negative effects of direct strategy (Brasdefer, 2008).

**c) Explanation/Excuse/Reason** (e.g., "*My nephew will be home tomorrow*")

This refusal strategy can be used by providing reasons or explanations for refusing something. This strategy also serves to soften the bad effects of the refusal itself, because the refusal provides a reason or explanation for why he/she can't do what someone else needs to do.

**d) Alternative Statement** (e.g., "*I'd prefer...*", "*I'd rather...*", or "*Why don't you ask other people?*")

This strategy is used to suggest alternatives or the possibility of face-to-face negotiations with others and reach mutual agreements. This strategy is also used to provide other ideas with the aim of knowing the same page of the speaker and listener.

**e) Regulating Past or Future Condition** (e.g., "*If you asked me before, I would have...*")

This strategy usually emerges after initiating a resistance action. In this strategy, speakers will state their desire to accept if possible to do so.

**f) Promise of Future or Past Condition** (e.g., "*I'll fix it tomorrow*")

This strategy is used by speakers by saying promises for the future. In this strategy, the speaker will refuse by revealing that he/she will do what is asked at a later date.

**g) Statement of Principle** (e.g., "*I never do business with girlfriend*")

**h) Statement of Philosophy** (e.g., "*One can't be too careful*")

**i) Attempts to Obstruct the Interlocutor**

In the attempt to obstruct the interlocutor, there are several sub, including;

- (1) **Threat or Statement of Negative Consequence** (e.g., "*I won't be any fun tonight to refuse an invitation*")
- (2) **Guilt Trip** (e.g., "*I can't make a living off people who just order coffee*")
- (3) **Criticize the Requester** (e.g., "*Who do you think you are?*")
- (4) **Request for Help, Emphaty, and Assistance by Dropping or Holding the Request**
- (5) **Let interlocutor off the Hook** (e.g., "*Don't you worry about it*")
- (6) **Self Defense** (e.g., "*I'm trying my best*")

#### j) **The Function of Acceptance as Refusal**

It divided into two subcategories, namely

- (1) **Unspecified or Idefinite Reply**
- (2) **Lack of Enthusiasm** (e.g., "*Ok*", "*Cool*")

#### k) **Avoidance** divided into two subcategories, namely

- (1) **Non-Verbal** (silence, doing nothing, physical departure)
- (2) **Verbal** (Topic switch, joke, repetition of part of request e.g., "*yesterday?*", postponement e.g., "*I will think about it first*", hedge e.g., "*I'm not sure about it*")

### 3) **Adjunct Strategies**

Then, besides direct and indirect, one of the strategies that can be used to refuse is adjunct. Adjunct here cannot be used alone but along with a strategy of refusal. The adjunct to the refusal are shared into four subcategories, namely

- a) **Statement of Positive Opinion or Feeling or Agreement** (e.g., "*That's incredible idea* ")

This strategy is often used to refuse an invitation, request, or suggestion. At the time of refusal, usually the refuser will give a positive expression before or after head act of refusal. This serves to maintain harmony with the interlocutor.

**b) Statement of Emphaty** (e.g., "*I realize you're in a difficult situation* ")

This strategy is used by the speaker along with empathy for the rejected person. This means that this strategy refers and is used by understanding the things, feelings, and motives of the person

**c) Pause Filler** (e.g., "*uhhh* ", "*uhmm* ")

Pause filler is a strategy in the form of meaningless words and serves to mark the pause. This strategy usually shows hesitation in speaking.

**d) Gratitude or Appreciation** (e.g., "*Thanks for the invitation, but...* ")

This strategy is carried out by the speaker so as not to offend the other person when he refuses. When using this adjunct strategy, the speaker thanks the other person for the invitation, offer, and so on.

### C. Theoretical Framework

Below is the conceptual framework of the refusal expression.

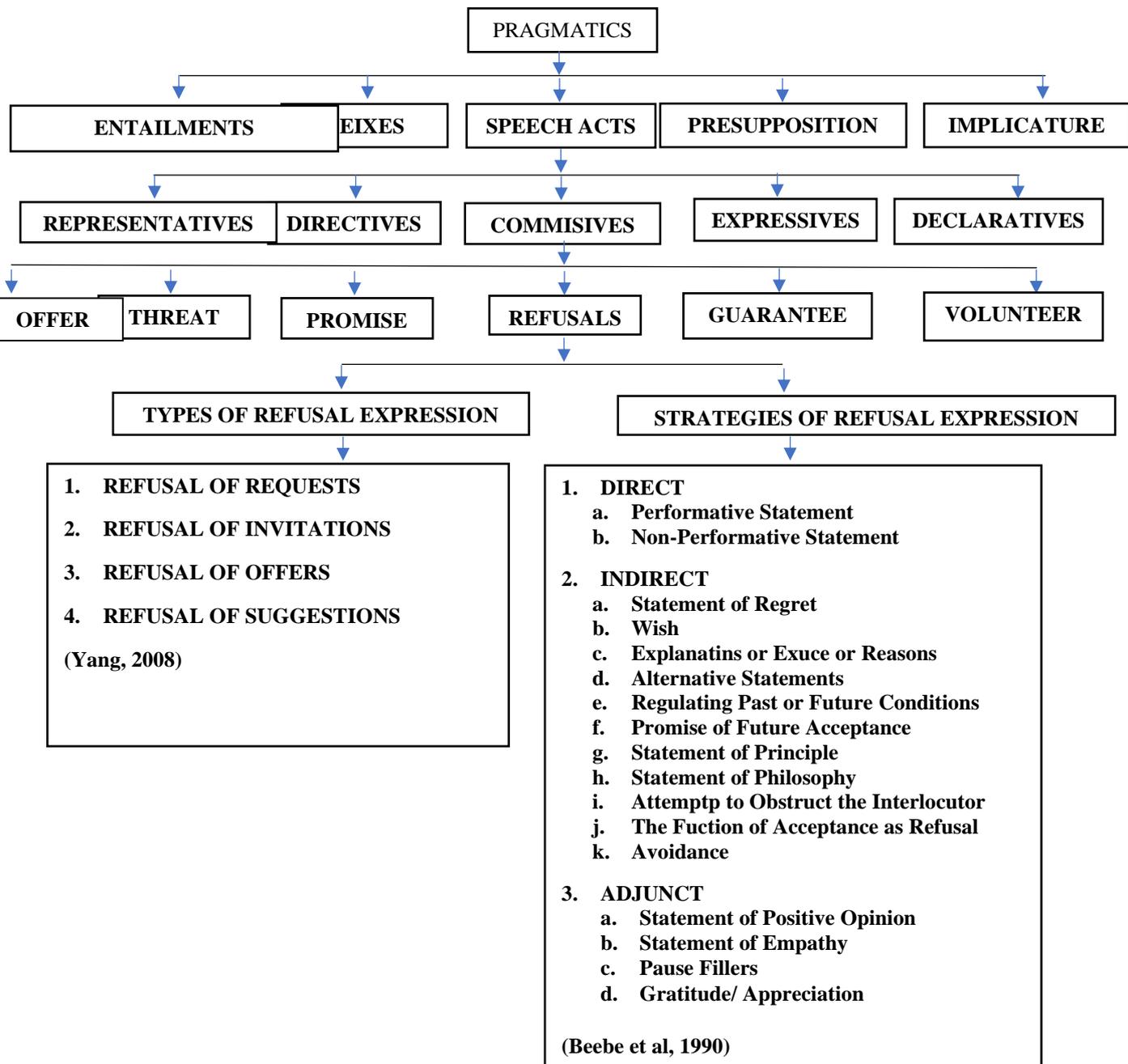


Figure 2.2 Theoretical Framework