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A linguistic exploration of persuasion in  
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Motoki Sano  
University of Wollongong

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**A Linguistic Exploration of Persuasion  
in Written Japanese Discourse:  
A Systemic Functional Interpretation**

A thesis submitted in fulfilment of the requirements for the award of the degree

Doctor of Philosophy

from

University of Wollongong

by

**Motoki Sano,**

BA, *University of Wollongong*

BA(Honours), *University of Wollongong*

Faculty of Arts

2006

## **Certification**

I, Motoki Sano, declare that this thesis, submitted in fulfilment of the requirements for the award of Doctor of Philosophy, in Faculty of Arts, University of Wollongong, is wholly my own work unless otherwise referenced or acknowledged. The document has not been submitted for qualifications at any other academic institution.

Motoki Sano

19 December 2006

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## Key to Notations

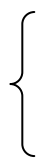
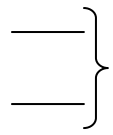
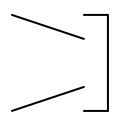
### 1. Interliner gloss

ASP	aspect
CAV	causative auxiliary verb
COP	copula
HON	honorific
HUM	humble
IMP	imperative form
INC	auxiliary verb for inclination
ITJ	interjection
KA	interrogative key "-ka"
KOTO	nominaliser 'koto'
NEG	negative polarity realised by a morpheme
NI	particle 'ni'
NO	Nominal linking maker "no"
O	particle 'o'
OBL	obligation realised by a morpheme
PASS	Passive
PST	past tense
TOWA	particle 'towa'
VOL	volitional form
WA	particle 'wa'
(    )	the elements that are covertly expressed
[    ]	the information added by the author of the present thesis

### 2. Structure Analysis

adv.gp.	adverbial group
Int. Adj	Interpersonal Adjunct
nom.gp.	nominal group
post.phs.	postpositional phrase
Text. Adj	Textual Adjunct
ver.gp.	verbal group
Ø	ellipsis

### 3. System Network

Type	Symbol	e.g.
basic	$a \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases}$	<b>If a, then, b or c</b>
Simultaneous system 	$a \left\{ \begin{array}{l} \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases} \\ \xrightarrow[\text{B}]{\text{SYSTEM-}} \begin{cases} d \\ e \end{cases} \end{array} \right.$	<b>If a, then, choose b or c and also choose d or e</b>
Conjunctive entry condition 	$a \left\{ \begin{array}{l} \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases} \\ \xrightarrow[\text{B}]{\text{SYSTEM-}} \begin{cases} d \\ e \end{cases} \end{array} \right. \xrightarrow[\text{C}]{\text{SYSTEM-}} \begin{cases} f \\ g \end{cases}$	<b>If c and d, then choose f or g</b>
Disjunctive entry condition 	$a \left\{ \begin{array}{l} \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases} \\ \xrightarrow[\text{B}]{\text{SYSTEM-}} \begin{cases} d \\ e \end{cases} \end{array} \right. \xrightarrow[\text{C}]{\text{SYSTEM-}} \begin{cases} f \\ g \end{cases}$	<b>If c or d, then choose f or g</b>
operator		
IF, THEN (I,T)	$a \left\{ \begin{array}{l} \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases} \xrightarrow[\text{C}]{\text{SYSTEM-}} \begin{cases} f \\ g \end{cases} \\ \xrightarrow[\text{B}]{\text{SYSTEM-}} \begin{cases} d \\ e \end{cases} \xrightarrow[\text{D}]{\text{SYSTEM-}} \begin{cases} h \\ i \end{cases} \end{array} \right.$	When the feature "f" is selected, then, the feature "e" must be selected.
Markedness (*)	$a \left\{ \begin{array}{l} \xrightarrow[\text{A}]{\text{SYSTEM-}} \begin{cases} b \\ c \end{cases} \xrightarrow[\text{C}]{\text{SYSTEM-}} \begin{cases} f \\ g \end{cases} \\ \xrightarrow[\text{B}]{\text{SYSTEM-}} \begin{cases} d \\ e^* \end{cases} \xrightarrow[\text{D}]{\text{SYSTEM-}} \begin{cases} h \\ i \end{cases} \end{array} \right.$	The feature "e" is the marked choice .

Type	Definition	Operator	e.g.
Structuring			
Insertion	Insert Function as a component of the structure	+	+Actor (insert Actor to the structure of the feature)
Ordering	Order Functions in the specified manner	^	Actor^Goal (order Actor before Goal in the structure of the feature)
Layering			
Conflation	Conflate one function with another to form the same component of the structure	/	Actor/Theme (conflate Actor with Theme, i.e. choose the same unit for Actor and Theme in realising the feature)
Rank			
Preselection	Preselect the specified units of rank for the realisation of a Function	:	Actor: nominal group Preselect nominal group in realising Actor

#### 4. Romanisation

##### alphabet (hiragana) {katakana}

a (あ){ア}	i (い) {イ}	u (う){ウ}	e (え){エ}	o (お){オ}
ka (か){カ}	ki (き){キ}	ku (く){ク}	ke (け){ケ}	ko (こ){コ}
sa (さ){サ}	shi (し){シ}	su (す){ス}	se (せ){セ}	so (そ){ソ}
ta (た){タ}	chi (ち){チ}	tsu (つ){ツ}	te (て){テ}	to (と){ト}
na (な){ナ}	ni (に){ニ}	nu (ぬ){ヌ}	ne (ね){ネ}	no (の){ノ}
ha (は){ハ}	hi (ひ){ヒ}	fu (ふ){フ}	he (へ){ヘ}	ho (ほ){ホ}
ma (ま){マ}	mi (み){ミ}	mu (む){ム}	me (め){メ}	mo (も){モ}
ya (や){ヤ}		yu (ゆ){ユ}		yo (よ){ヨ}
ra (ら){ラ}	ri (り){リ}	ru (る){ル}	re (れ){レ}	ro (ろ){ロ}
wa(わ){ワ}				
ga (が){ガ}	gi (ぎ){ギ}	gu (ぐ){グ}	ge (げ){ゲ}	go (ご){ゴ}
za (ざ){ザ}	ji (じ){ジ}	zu (ず){ズ}	ze (ぜ){ゼ}	zo (ぞ){ゾ}
da(だ){ダ}	ji (ぢ){ヂ}	zu (づ){ヅ}	de (で){デ}	do (ど){ド}
ba (ば){バ}	bi (び){ビ}	bu (ぶ){ブ}	be (べ){ベ}	bo (ぼ){ボ}
pa (ぱ){パ}	pi (ぴ){ピ}	pu (ぷ){プ}	pe (ぺ){ペ}	po (ぽ){ポ}
kya (きゃ){キャ}		kyu (きゅ){キュ}	kyo (きょ){キョ}	
sha (しゃ){シャ}		shu (しゅ){シュ}	sho (しょ){ショ}	
cha (ちゃ){チャ}		chu (ちゅ){チュ}	cho (ちょ){チョ}	
nya (にゃ){ニャ}		nyu (にゅ){ニュ}	nyo (にょ){ニョ}	
hya (ひゃ){ヒャ}		hyu (ひゅ){ヒュ}	hyo (ひょ){ヒョ}	
mya (みゃ){ミャ}		myu(みゅ){ミュ}	myo (みょ){ミョ}	
rya(りゃ){リャ}		ryu(りゅ){リュ}	ryo(りょ){リョ}	
gya (ぎゃ){ギャ}		gyu (ぎゅ){ギュ}	gyo (ぎょ){ギョ}	
ja (じゃ){ジャ}		ju (じゅ){ジュ}	jo (じょ){ジョ}	
bya (びゃ){ビャ}		byu (びゅ){ビュ}	byo (びょ){ビョ}	
pya (ぴゃ){ピャ}		pyu (ぴゅ){ピュ}	pyo (ぴょ){ピョ}	
n(ん){ン}				
p, t, s, k (っ){ツ} txi (てい) {ティ}				
long vowels				
aa (ああ){アー}	ii (いい){イー}	uu (うう){ウー}	ee (ええ){エー}	oo (おう){オー}
grammatical particles				
wa (は)	e(へ)	o (を)	ni (に)	de (で)
				ga (が)



## **Abstract**

This thesis is designed to explore how the social act of persuasion is realised in Japanese discourse linguistically. Specifically, it explores those linguistic resources that are essential for constructing written persuasive texts from a Systemic Functional perspective.

The present study, as a case study, analyses eleven written persuasive texts. This thesis presents the result of the study. It illustrates those elements of structure and meanings that must be and can be utilised in constructing persuasive texts. It also demonstrates how these elements and their meanings can be realised through linguistic resources such as TRANSITIVITY, ATTITUDE and ELLIPSIS.

The thesis tentatively proposes that in Japanese written persuasive texts, the act of persuasion is constructed via setting up a position that is not just that of the writer but also that of the reader. This rhetorical strategy is realised by elements which i) attract the reader to the discourse, ii) evoke empathy from the reader and iii) state the position that the writer wants to 'share' with the reader implicitly or explicitly. The semantic style of persuasion is motivated socially, which is explained by the notion of *homologisation* (cf. Ikegami 1991), a sociological theory which models the identification of commonality in Japanese society. It is within the framework of *homologisation*, that the Japanese writer 'relativises' themselves with the reader, and, rather than establish their own 'individual' position, they establish a 'common' position with the reader.

## **Acknowledgements**

This thesis arose, in part, out of years of study and research that have been done since I came to the University of Wollongong. During those years, I have studied from and worked with a number of people who have continuously inspired and motivated me to go through the present study.

First of all, I would like to record my gratitude to the University of Wollongong for awarding me a UPA scholarship and Postgraduate Research Tuition Fee Waiver Scholarship, which provided me the best researching environment and enabled me to conduct the present study.

I wish to thank, my primary supervisor, Dr. Elizabeth Thomson, for her invaluable advice, supervision and guidance from the beginning of this research as well as giving me extraordinary experiences throughout the work. Above all, she provided me unflinching encouragement and support in various ways. Her intellectuality and kindness exceptionally inspire and enrich my growth as a student, a researcher and a linguist. I am indebted to her more than she knows. I am honoured that I could become one of your pupils. HONTO-NI ARIGATO GOZAIMASHITA. KONGOMO YOROSHIKU ONEGAI-ITASHIMASU.

Many thanks go, in particular, to my co-supervisor, Dr. Carmel Cloran, who guided me always in the way of becoming a systemic functional linguist. Her guidance has triggered and nourished my intellectual maturity that I will benefit from, for a long time to come. Each advice that you gave me developed my understanding of Systemic Functional theory. I am grateful in every possible way. Thank you so very much, Carmel.

My special thanks go to Asso. Prof. Bev Derewianka, who kindly opened the door to the world of research for me, who, at that time, was an undergraduate student. She is the first person who taught me the meaning of research and has provided a number of opportunities to learn the meaning of becoming a researcher.

I would also like to thank, my colleagues, Shooshi Dreyfus, Yumiko Mizusawa and Yuki Oe. You motivated me always, in going through the tough process of writing this thesis. I was extraordinarily fortunate in having you not only as colleagues but also as friends.

And finally, I would like to express my appreciation to my partner, Hiroko and my father, Suekichi, my mother, Yoko and my grand mother, Fumie. I also like to thank my family in Australia, my father, Neil, my mother, Betty, my brothers and sisters, Natasha, Lance, Rebecca and Stewart. Their dedication, love and persistent confidence in me, support me always. Even though I am about to become a professional linguist, words fail me to express my appreciation to them.

ARIGATOU GOZAIMASHITA, everyone. Now, I will go back to Japan and start another exploration of the world of language.

## **Chapter 1 Introduction**

Persuasion is enigmatic. It changes its design, strategy or rhetoric in accordance with the styles of persuaders, persuadees, or other contextual factors in which it is embedded. Each act of persuasion is different from another, to a greater or a lesser degree.

However, at the same time, the acts of persuasion, when they are realised in a culture or a sub-culture via language, may share certain linguistic features. This thesis is concerned with such commonly shared linguistic features of persuasion. In particular, it explores written Japanese persuasive texts – i.e. texts that realise, express or symbolise the social activity of persuasion in the culture.

This first chapter is designed to describe the aim, motivations and design of the present study. It also reviews previous works on written Japanese persuasive texts and locates the study in the field of Japanese linguistics. Section 1 describes the aim. Section 2 presents the motivations and reviews previous works. Section 3 provides the description of the corpus and the design. Following this, Section 4 identifies the location of the present study in the field of Japanese linguistics. Section 5 maps Systemic Functional studies on Japanese, and illustrates how this study may contribute to the field. The chapter will conclude by presenting the outline of the thesis.

### **1 The Aim**

This thesis presents a case study of selected written Japanese persuasive texts. Its main aim is to shed light on those linguistic resources that are essential for constructing written Japanese persuasive texts. The question of interest, then, can be framed as: what kinds of linguistic resources are necessary in order to construct Japanese persuasive texts? To provide an answer to this question, this thesis will explore;

- i) those elements of structure that are obligatory for constructing the organisation of such texts,

- ii) those meanings that must be expressed in the obligatory elements, and
- iii) those lexicogrammatical resources that are typically or often utilised for expressing the meanings identified in ii).

This thesis is also concerned with the relationship among the elements of structure, the meanings and the lexicogrammatical resources.

## **2 Motivations behind the Study**

### **2.1 Studies of Japanese Persuasive Texts**

One of the motivations concerns the “inscrutable” relationship between the lexicogrammar, semantics and rhetorical organisation that are found in previous works on Japanese persuasive texts.

Persuasion has attracted interest from many fields and many scholars (e.g. Roloff and Miller, 1980; Connors et al., 1984; Perelman, 1982; Halmri and Virtanen, 2005). In particular, studies of Japanese persuasive texts have been conducted in the fields of contrastive rhetoric and functional linguistics. These studies reveal the nature of Japanese persuasive texts by identifying the rhetorical strategies utilised in the texts.

However, these studies often fail to account for how lexicogrammar, semantics and generic structures are related in the texts. In addition, they tend not to explain how the strategies that they propose are expressed. Below, I will firstly review the previous works, and then point out potential problems with them.

Rhetorical strategies of Japanese written persuasive texts have been studied by scholars such as Hinds (1980; 1983; 1987; 1990), Kobayashi (1984), Oi (1984), Ricento (1989), McCagg (1996), Maynard (1996), Kubota (1997; 1998), Takagaki (2000) and Spyridakis and Fukuoka (2002a). Among these works, Hinds’ work is particularly important, since it is one of the first studies of Japanese persuasive texts that influenced other studies.

Hinds (1980; 1983; 1987; 1990) proposes that the Japanese rhetorical style is

characterised by its implicit nature found in the *ki-shoo-ten-ketsu* structure, the baseline theme, reader-responsibility and a quasi-inductive style.

The *ki-shoo-ten-ketsu* and the baseline theme, according to Hinds (1980), are the two predominant generic structures of Japanese persuasive texts. The *ki-shoo-ten-ketsu* structure is defined by Hinds (1980) quoting Takemata (1976) as follows.

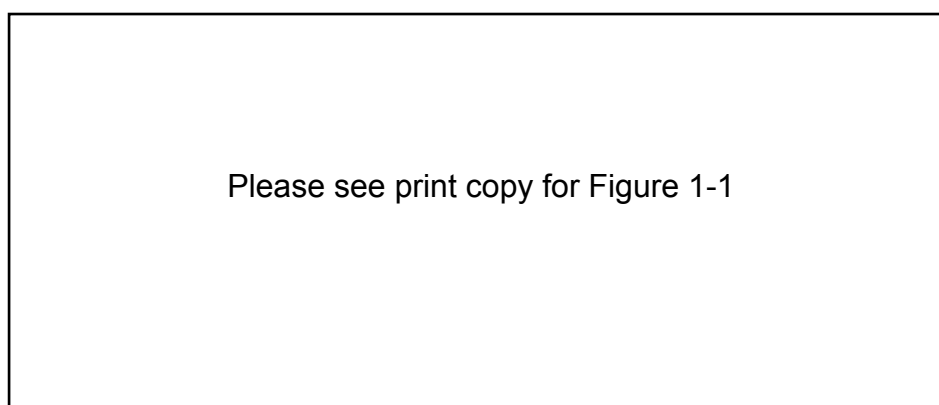
- (*ki*) First, begin one's argument.
- (*shoo*) Next, develop that.
- (*ten*) At the point where this development is finished, turn the idea to a subtheme where there is a connection, but not a directly connected association (to the major theme).
- (*ketsu*) Last, bring all of this together and reach a conclusion (Hinds, 1980: 132).

One of the characteristics of this structure is that it contains the “*ten*” element in which a writer intentionally detours from the major theme by turning to a “subtheme”. Hinds (1980; 1983) suggests that the “*ten*” is one of the elements which distinguish Japanese expository prose from that of English.

The second structure, the baseline theme, is the structure that develops one theme repeatedly. Hinds (1980) defines it as follows, and he provides the diagram reproduced in Figure 1-1.

This style is characterized by a decision on the part of the author to select a baseline theme, and then to return overtly to this theme before progressing to a different perspective (p.133).

**Figure 1-1 diagram (5) of Hinds (1980) p.133**



The concept of the ‘reader-responsibility’ is the idea that Japanese compositions are not designed to show the links between structural elements explicitly, but the task of making the links is often left for the readers (Hinds, 1987). Hinds (1987) illustrates this by utilising the *ki-shoo-ten-ketsu* structure:

Japanese readers, then, are required to build transitions themselves in the course of reading an essay organized along these lines [*ki-shoo-ten-ketsu*]. The responsibility for creating the bridge lies with the reader in Japanese, while it lies with the writer in English (151).

A ‘quasi-inductive style’ refers to the rhetorical style in which writers present their main idea towards the end of texts and the preceding paragraphs are implicitly or ambiguously connected to the idea (Hinds, 1990). The study of Maynard (1996), which examines newspaper columns, supports Hinds’ argument.

More recent publications such as Kubota (1997; 1998), Spyridakis and Fukuoka (2000; 2002b) and McCagg (1996) challenge Hinds’ claims. For instance, Kubota (1997) concludes that Hinds’ finding is applicable only to certain texts in a particular genre and thus that his ideas are over-generalised. Spyridakis and Fukuoka (2000; 2002b) suggests that both inductive and deductive approaches are used in written Japanese expository texts. McCagg (1996), who re-examined Hinds’ corpus, objects to the notion of reader-responsibility, claiming that as long as writers and readers share similar contextual and linguistic knowledge, cognitive effort in understanding a Japanese persuasive text is not greater than understanding that of English.

The problem with these studies is that although they identify the rhetorical strategies of persuasive texts, they tend not to illustrate how these rhetorical strategies are expressed via linguistic resources. This tendency is a result of the fact that they often do not associate rhetorical strategies with particular semantic or lexicogrammatical resources. For instance, although Hinds (1980) proposes the *ki-shoo-ten-ketsu* structure,

he does not specify what kinds of meanings and lexico-grammatical resources are necessary for the realisation of the structure. As a result, recognition criteria of the structural elements are also not evident.

Kubota (1998), who criticises Hinds' work, also fails to relate semantic and lexicogrammatical resources with the generic structures or the "macro-level rhetorical patterns" that she used to classify her corpus. Kubota (1998) adopts the work of Meyer (1975; 1985a; 1985b) and proposes a number of kinds of rhetorical patterns by which she classifies the persuasive or expository texts in her corpus:

The present study used five basic types for macro-level rhetorical patterns: collection, comparison, explanation, specification, and induction. Collection (abbreviated Col) is a pattern that enumerates or lists elements; comparison (Comp) shows a pattern that contains two elements arranged in a relation of comparison or contrast, in an adversative relationship, or as alternatives to each other. A text structured by explanation (Exp) makes a statement of the theme or main idea, followed by a supporting reason. A text structured by specification (Spec) states the theme or main idea with a preview statement of a supporting reason or a point of view for the subsequent argument, and then explains in more detail. Induction (Ind), on the other hand, presents the main idea towards the end, based on the preceding argument that constitutes a premise. These five basic patterns, and several combinations of two patterns, were identified as macro-level patterns exhibited in the essays (Kubota, 1998).

This classification is not supported by an account of how these rhetorical patterns can be realised via instances of specific linguistic resources.

Hence, much of the previous research identifies persuasive rhetorical patterns without developing an account of how they can be realised. This trend leaves open the question; what kinds of grammar and meaning are necessary for realising rhetorical patterns of Japanese persuasive texts? The absence of an account of the realisation by grammar and meaning motivated the present study to explore the Japanese persuasive texts from the three perspectives described above.

In order to explore the three perspectives, Systemic Functional theory is employed.

The theory is employed since it provides a model for exploring relationship among the lexicogrammar, semantics and text structure of texts, as it will be explained in detail in Chapter 2 and 3.

## 2.2 The Mapping Genres of Japanese Research Project

Another motivation is *the Mapping Genres of Japanese* (MGJ) research project, in which the present study is embedded. The MGJ project, coordinated by Thomson (2006) is designed to map and describe genres in Japanese culture from a systemic functional linguistic perspective. It has two central aims:

- i) The long term primary aim of the Mapping Genres in Japanese project is to map the major genres of Japanese, particularly those in the workplace and those found in the education system. Understanding how different genres organise grammatically unlocks them, in the sense that their structure becomes transparent. Knowing their structure and grammatical features will offer insights into Japanese language behaviour and how social roles are enacted in society.
- ii) A secondary, but no less important aim of the project seeks to identify, describe and provide reference material for teachers of Japanese (*kokugo*) and Japanese as a Second/Foreign Language in order to better tailor curricula to the vocational needs of students.

(Thomson, 2006)

This study, as one of the initiatives of the project, is responsible for providing a Systemic Functional interpretation of persuasive texts.

## 3 The Corpus and the Design of the Study

In order to explore the commonly shared linguistic features of persuasive texts, 11 texts are selected as the corpus. These texts are listed in Table 1-1 and they are classified in terms of their field and mode. In total, the corpus contains 1137 clauses. The length of the texts varies extensively as shown in the “clause number” (CN) column. The shortest text contains only 27 clauses, while the longest is composed of 291 clauses. These texts were collected from varieties of fields such as academia, politics and media. In addition,



the mode of the texts varies. Some texts are from an academic edited book or a journal. Others were collected from newspaper, a pamphlet, a book for general consumption and an e-magazine. In this thesis, each text will be referred to as indicated in “Name” column. The different kinds of persuasive texts were chosen so that the commonly shared linguistic features are identified regardless of the length, field and mode. The context of each text is described in more detail in Chapter 3.

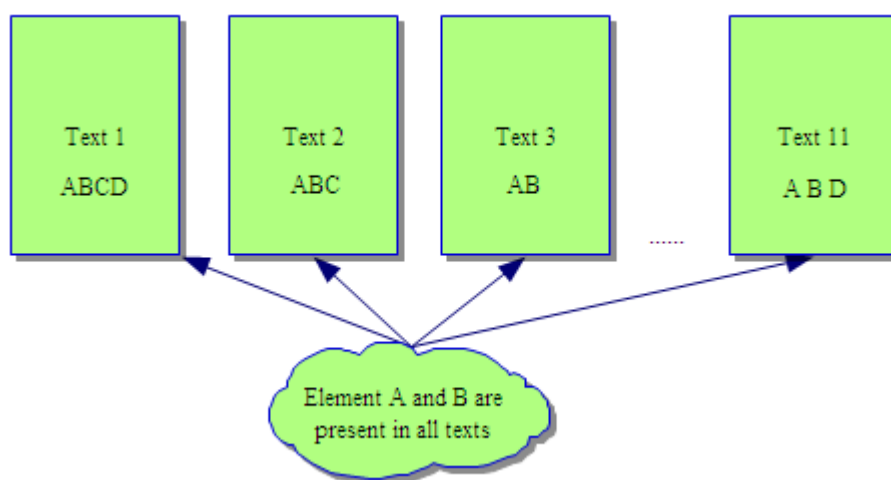
In this thesis, several clauses from the corpus will be introduced as examples. The clauses are translated into English mostly with interlinear gloss. Some translation may appear ‘unnatural’. This ‘unnaturalness’ is the result of an attempt to keep the lexicogrammatical features of the original.

Table 1-1 the corpus of the present study

Field	Mode	Citation	Name	CN
Academia	Academic book section	● Okuda, Y (1979) ' <i>imi to kinoo</i> (Meaning and Function)'. <i>kyoiku kokugo (Educational National Language Studies)</i> 58: 13-19.	<i>Meaning and Function/ M and F</i>	291
	Academic journal	● Shimizu, T. (1999) ' <i>chikyu-kankyo-mondai-ga imisuru mono</i> (What Environmental Problems Mean)'. <i>chiiki-seisaku-kenkyuu (Studies of local policies)</i> 1:3 325-330	<i>Environment</i>	234
Politics	Pamphlet published by the Diet	● Koizumi, J. (2004) <i>yuuseimineika no kihonhooshin: dakara ima mineika</i> (The Fundamental Principles of The Privatisation of Postal Service – Therefore, Now the Privatisation) Koizumi Cabinet, <a href="http://www.kantei.go.jp/jp/singi/yuseimineika/pamphlet/0412/01.html">http://www.kantei.go.jp/jp/singi/yuseimineika/pamphlet/0412/01.html</a> . Accessed 9 December 2004	<i>Privatisation</i>	40
	Mail magazine published by the Diet	● Koizumi, J (2003) ' <i>iraku-e-no jinteki-shien</i> ' (Humanitarian Support for Iraq). <i>Koizumi naikaku meiru magazin</i> (Koizumi Cabinet Mail Magazine) 120, issued 11 December	<i>Lion Heart</i>	82
Media	News Editorials	● Asahi Newspaper (2004) <i>iraku-jin-ni yoru iraku-ni</i> (Iraq by Iraqi people). issued 29 June	<i>Asahi</i>	72
		● Mainichi Newspaper (2004) <i>iraku kokumin no shinrai kachitore</i> (Win the Trust of Iraqi People). issued on 29 June	<i>Mainichi</i>	54
		● Sankei Newspaper (2004) <i>mizukara saiken no ketsui-o</i> (The Determination of Iraqi People for the Restoration). issued on 29 June	<i>Sankei</i>	27
		● Yomiuri Newspaper (2004) <i>iraku saiken-ni totte juuyoona ippo</i> (An Important Step for the Restoration of Iraq), issued on 29 June	<i>Yomiuri</i>	38
		● Nihon Keizai Newspaper (2004) <i>ekotuurizumu-ga tou kokumin no ikikata</i> (The Way of Living Questioned by Eco-tourism), issued on 26 July	<i>Eco-tourism</i>	88
others	Book for general consumption	● Kawai, H. (1995) ' <i>tamashii no fukken</i> (Reinstatement of Soul)'. <i>nihonjin to aidentxitxi</i> (Japanese and Identity). Tokyo, Kodansha: 36-44.	<i>Soul</i>	144
	Letter published on website	● Nomura, M., Tanikawa, T. et al. (2004) <i>yooboosho</i> (Request) GEIDANKYO, <a href="http://www.geidankyo.or.jp/02shi/pdf/040729staff.pdf">http://www.geidankyo.or.jp/02shi/pdf/040729staff.pdf</a> Accessed 7 Aug 2004	<i>Arts Policy</i>	67

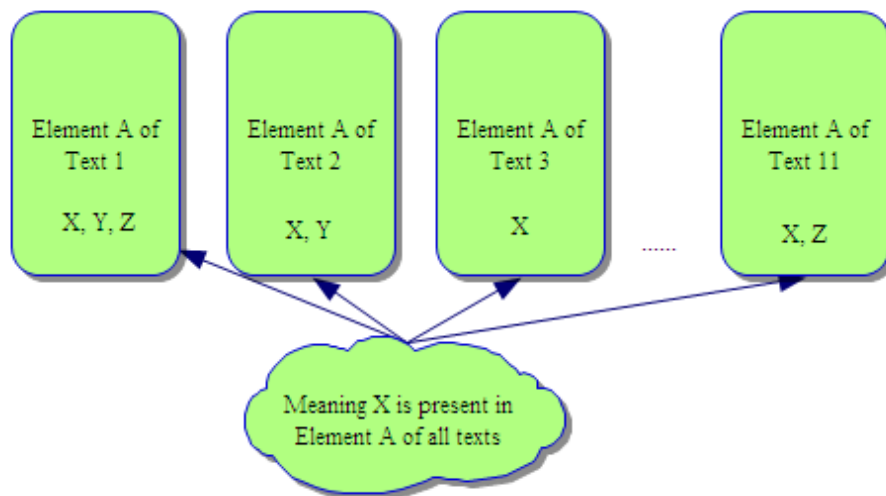
Each text in the corpus is analysed in terms of i) its text structures, ii) semantic features and iii) lexicogrammatical characteristics. Firstly, those elements of structure that are commonly shared across the texts are identified. For this process, kinds of elements that construct the text structures of each text in the corpus are examined. Then, those elements that are shared across all texts are specified. The process is illustrated in Figure 1-2.

**Figure 1-2 identification of commonly shared elements of structure**



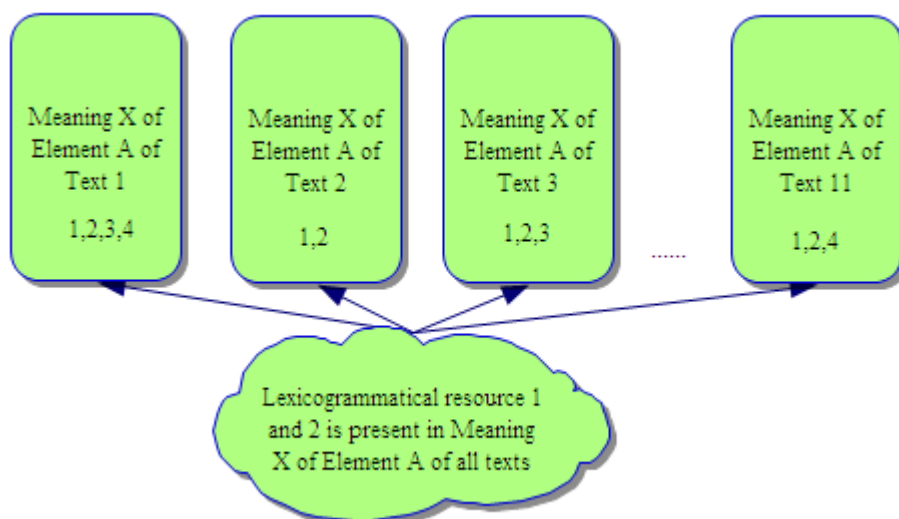
Let us assume that the texts are composed of structural elements A, B, C and/or D. Firstly, the study classifies the kinds of elements that appear in the text structures. That is to say, it identifies Element A, B, C and D. Then, it explores which elements appear in all texts. In the figure, these elements are A and B. In this manner, the present study suggests which elements are common and which are particular. Hasan's (1984b) GSP approach is employed for this process. Chapter 3 presents the detailed account of this method as well as the result of its application to the corpus of texts.

After the identification of the elements, the meanings that realise each element are identified. The meanings are investigated by finding those meanings that commonly appear in a certain element across the 11 texts. This process is shown in Figure 1-3 below.

**Figure 1-3 identification of commonly shared meanings**

Provided that Element A contains Meaning X, Y and/or Z, the study firstly categorises these meanings that can appear in Element A – i.e. X, Y and Z. Then, it identifies which meanings are present in Element A of all texts. In the figure, X is the one. This process is repeated on each element. Hasan's (1984b) classification of **nuclear** and **elaborative** meanings is employed for this purpose. The result is also presented in Chapter 3.

Thirdly, the study explores the lexicogrammatical resources that are typically involved in the realisation of the commonly shared meanings. This process is illustrated in Figure 1-4.

**Figure 1-4 identification of commonly shared lexicogrammatical resources**

Again, let us presume that Meaning X is realised by the instance of lexicogrammatical

resources such as 1, 2, 3 and/or 4. The study firstly examines the presence of these lexicogrammatical resources. Then, it identifies those lexicogrammatical resources that are commonly used in realising the meanings. In the figure, 1 and 2 are the resources that are common across the texts. As Hasan (1984b) says, one meaning can be realised either implicitly or explicitly. Hence, there can be a number of ways to word the meanings. Therefore, I will limit any lexicogrammatical generalisation to the corpus.

The present study explores these linguistic resources by investigating the use of the system of TRANSITIVITY, the strategies that express ATTITUDE and the system of ELLIPSIS, adopting the work of Teruya (1998; 2004), Martin and White (2005) and Hasan (1984a), respectively. The system of TRANSITIVITY is a linguistic resource for construing experience – i.e. an ideational resource (Halliday and Matthiessen, 2004). The system of ATTITUDE is resource for enacting social relations between speakers/writers and listener/readers – i.e. an interpersonal resource (Martin and White, 2005). The system of ELLIPSIS is a choice for organising information as a text in a cohesive and coherent manner – i.e. a textual resource (Halliday and Matthiessen, 2004)<sup>1</sup>. The detailed account of TRANSITIVITY, ATTITUDE and ELLIPSIS are found in Chapter 4, 5 and 6 respectively. Through these three processes, the commonly shared linguistic features in the Japanese persuasive texts are investigated.

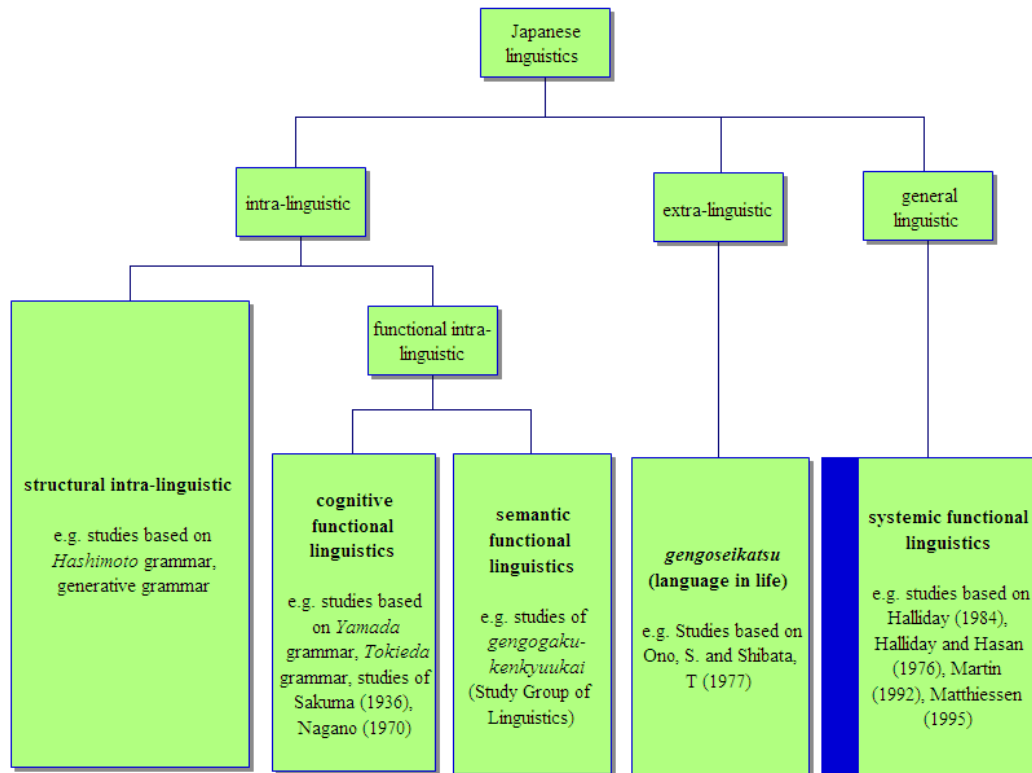
#### **4 Location of the Present Study in Japanese linguistics**

The study of Japanese language began around the *heean*-era (平安 794-1185) as a study of *gagen* (雅言: language of Japanese poem) (Yamada, 1943). Since then, various studies of the language have been conducted from a number of perspectives.

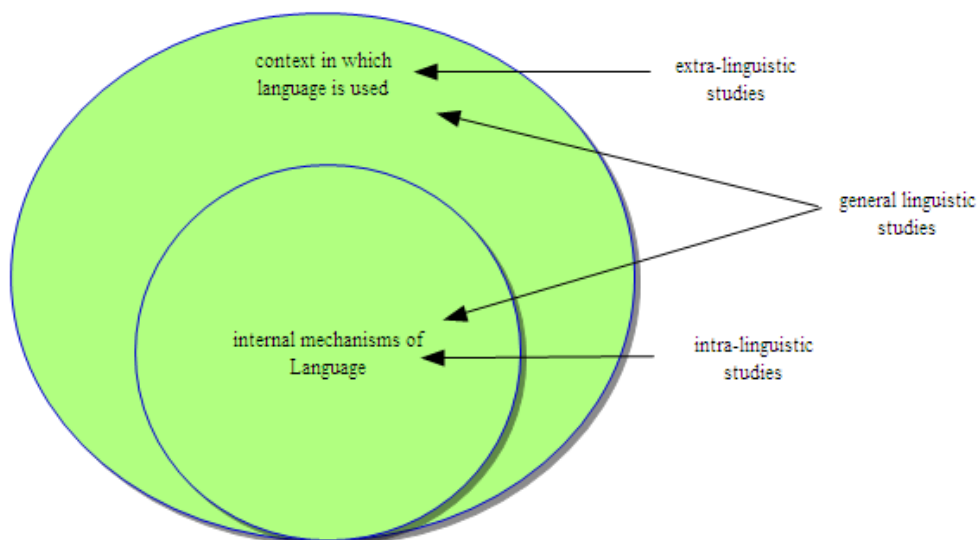
In order to indicate the location of the present study in the field of Japanese linguistic, I developed the taxonomy in Figure 1-5. The present study belongs to Systemic Functional (SF) linguistics.

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<sup>1</sup> See ‘the dimension of metafunction’ in Chapter 2 for the kinds of resources, ideational, interpersonal and textual.

**Figure 1-5 taxonomy of Japanese linguistics**

As shown in Figure 1-6, studies in Japanese linguistics can be categorised into three major groups, i) **inter-linguistic studies**, ii) **extra-linguistic studies** and iii) **general linguistic studies**.

**Figure 1-6 distinctions among intra-linguistic, extra-linguistic and general linguistic studies**

The intra-linguistic studies mainly explore the internal mechanism of the language such as the systems and structures of the language. On the other hand, the extra-linguistic studies centrally investigate the external features of language – i.e. the context in which the language is used. The general linguistic studies examine both the internal mechanisms of the language and the context. The distinction among the three is topological, since they are classified based on their main focus, which is typically driven theoretically.

#### 4.1 Intra-linguistic studies

The intra-linguistic theories of Japanese, broadly speaking, can be differentiated into two categories, i) **structural** and ii) **functional**.

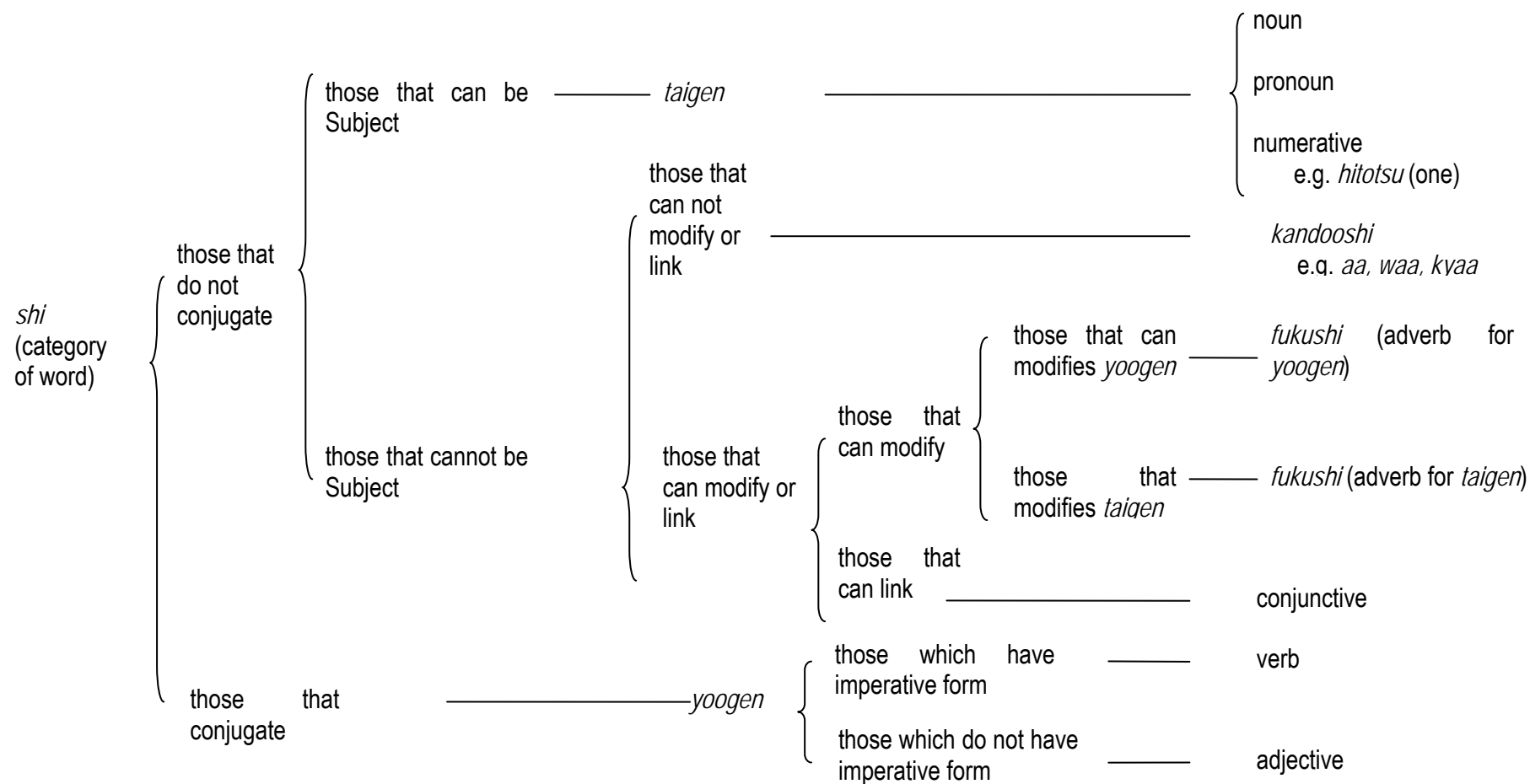
##### 4.1.1 Structural intra-linguistic studies

One of the dimensions of language is structure. The structural intra-linguistic studies use structure as their point of departure in modelling the internal mechanisms. These studies are influenced by theories such as Hashimoto grammar theory (1948; 1959), i.e. one of *yondaibunpoo* (i.e. The four major theories of Japanese grammar) and Chomsky's generative grammar theory (1957; 1986), which influenced the descriptions of the language such as Inoue (1976), Kuno (1983; 1973) and Okuzu (1974).

Among these studies, Hashimoto's work is significant as it brought the concept of structure to Japanese linguistics. Hashimoto (1948), while acknowledging the importance of the work of Yamada (1908; 1943; 1922; 1936) and Matsushita (1901; 1924; 1928; 1930) which were the major theories of Japanese grammar at that time (1940s-50s), criticised their work as being mainly cognitively or semantically-oriented and not having a structural perspective. In attempting to change this trend, Hashimoto proposed a theory of Japanese grammar which was modelled from a structural perspective.

One of Hashimoto's major contributions is the development of a classification of *shi* (word class). Hashimoto (1959) proposes the classification based on the structural potential of word in forming a sentence, as shown in Figure 1-7. The figure is the translated classification of *shi* (word class) in Hashimoto (1959).

Figure 1-7 Hashimoto's classification of word class





In this classification, Hashimoto classifies and defines word classes in terms of their structural potential to conjugate or the potential to be subject. By doing so, Hashimoto provides structural recognition criteria for kinds of *shi* (word class).

#### 4.1.2 Functional intra-linguistic studies

Another dimension of language is function. Function, in functional intra-linguistic studies, is the point of departure for modelling internal mechanisms of language. Functional intra-linguistic studies can further be classified into i) **cognitive-functional**, and ii) **semantic-functional**.

Cognitive-functional studies approach the language by theorising it with consideration of its psychological function. These studies are influenced by one of *yondaibunpoo* (The four major theories of Japanese grammar), Yamada grammar (1908; 1943; 1922; 1936), another *yondaibunpoo*, Tokieda grammar (1941; 1950) and the theories developed by Tokieda's colleagues and pupils such as Sakuma (1936; 1940; 1941), Mio (1948) and Nagano (1970; 1986a; 1986b).

Among their works, Tokieda's proposition of *gengokateiron* (Theory of Language as Process) is significant as it provided the foundation of this branch. 'Theory of Language as Process' models language not just as a text but also as the process of expressing and understanding thought:

言語は思想の表現であり、また理解である。思想の表現過程及び理解過程そのものが言語であると考えるのである。

Language is the representation of thought as well as the understanding (of the thought). (I) consider that language is the process of the representation as well as the process of the understanding (Tokieda, 1950).

This theory was one of the first initiatives that captured the process of representing and understanding thought as a part of a Japanese linguistic study.

On the other hand, the semantic-functional studies approach internal mechanisms of the language via its semantics. Unlike the cognitive-functional theories, semantic-functional theories do not necessarily consider meaning as the reflection of one's thought or psychological status. These studies are represented by, for instance, the work of the *gengogakukenyuukai* (the Study Group of Linguistics: GK) such as Okuda (Okuda, 1985) and Matsumoto (1978).

In particular, Okuda's work is fundamental to this branch, as Okuda is the initiator of GK. Okuda introduced *rengo* as a unit in the study of the language. '*rengo*' is a unit of language that functions as though it is a word, despite the fact that it is composed of

more than one word (Okuda, 1985):

いくつかの、おおくのばあいふたつ、あるいはみっつの単語をくみあわせると、単語とおなじように名づけるにはたらく連語ができあがる (p.67)。

If (you) combine some, in many cases, either two or three words, (you) can create a *rengo* which has a designative function like words (p.67).

Designative function refers to the function of language that names events of reality (Okuda, 1985). The concept of *rengo* is important to the study of GK, as it provides a structural unit between word and clause. More detailed account of GK's theory can be found in Teruya (1998) who introduced studies of GK to the Systemic Functional community.

One of the problems with intra-linguistic studies is that they often do not explain how internal mechanisms realise social behaviour or how social behaviour motivates certain internal mechanisms. For example, although the classification of *shi* (word class) by Hashimoto provides an account of the structural potential for each *shi* (word class) in constructing a sentence, it does not explain how certain *shi* realises the act of persuasion or how the act motivates particular kinds of *shi*. Because of this, intra-linguistic studies tend to fail to model the relationship between language and social behaviour, despite the fact that language is the major medium for realising social behaviour (Halliday, 1978).

#### 4.2 Extra-linguistic Studies: *gengoseikatsu* (Language in Life)

Extra-linguistic studies, as mentioned, are ones which explore the context of the language as their main focus. There is a variety of extra-linguistic theories; however, one of the major approaches in the study of Japanese is *gengoseikatsu* (Language in Life).

Among the works of *gengoseikatsu*, the work of Kunihiro (1977) is significant as it provides one of the major theoretical frameworks for modelling a context. Kunihiro (1977) proposes that context is composed of five constituents; i) *hanashite* (speaker), ii) *kikite* (listener), iii) *hanashite to kikite no yakuwarikankei* (agentive relationship between the speaker and the listener), iv) *wadai/yoogo* (subject-matter/vocabulary in use) and v) *bamen no seishitsu* (nature of context). *Bamen no seishitsu* (nature of context) refers to the temporal and spatial nature of context as well as its social function of context.

Kunihiro (1977) focuses on these five as he believes that they constrain one's use of language in some ways. For instance, the characteristics of *hanashite* (speaker) such as gender can influence one's use of language. If a speaker is female, then, this characteristic may prompt her to use 1<sup>st</sup> person pronoun for female such as *atashi*, or

interpersonal keys for female such as ...*wa*... as in *soodawayo* (“it is the case” with female interpersonal key) instead of *boku* or *ore* (1<sup>st</sup> person pronoun for male) (Kunihiro, 1977). Further, if the spatial nature of the context is a wedding, the use of the lexical items such as *kiru* (divide) or *modoru* (return) is restricted. The restriction occurs because these terms are believed to be taboo words on the occasion of a wedding, as they can invoke negative impressions of a groom and a bride (Kunihiro, 1977).

As explained above, approaches of *gengoseikatsu* can explain how contextual factors restrict the use of certain language. However, the majority of the studies of *gengoseikatsu* often lack a theoretical model to account for the internal mechanisms of language. For example, in the study of Kunihiro, although he exemplifies how contextual factors can affect the selection of lexical items or pronouns, he does not theorise or model any internal mechanisms of the language.

### 4.3 General Linguistic Studies: Systemic Functional Studies

Unlike intra- or extra-linguistic studies, general linguistic studies, as mentioned, conceptualise both the internal mechanism and the context of the language. One theoretical framework of general linguistic studies is Systemic Functional (SF) Theory, developed by M.A.K. Halliday (1973; 1978; 1985c; 2002b; 2002a; 2003). Halliday (Halliday, 1985c), who was influenced by the work of Firth (1957; 1968), created a new dimension to the study of language by modelling paradigmatic, syntagmatic, stratificational, instantiatinal and functional perspectives of language<sup>2</sup>. SF theory has been extended by Halliday’s colleagues such as Hasan (1996a), Martin (1992) and Matthiessen (1995).

SF studies model the internal mechanisms of the language in relation to its context, as the theory recognises the relationship of *realisation* between the two. That is to say, SF theory acknowledges that context activates the systems of the language while the system construes the context (Halliday and Hasan, 1985)<sup>3</sup>. As mentioned, the present study belongs to this branch.

SF theory was introduced to Japanese linguistics by scholars such as Yamaguchi (2000; 2001) and Tatsuki (1997). As this study is informed by SF theory, SF studies are particularly relevant. In the next section, I will map what kinds of SF studies have been conducted on Japanese, to date.

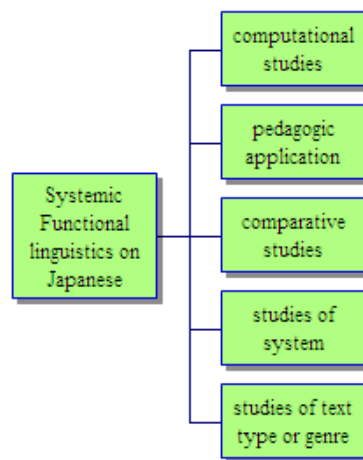
<sup>2</sup> These perspectives are explained in Chapter 2.

<sup>3</sup> See Chapter 2 for a detailed account of SF conceptualisation of the relationship between language and context.

## 5 Mapping Systemic Functional studies on Japanese

The systemic functional studies of Japanese have explored a variety of areas. However, broadly speaking, these studies can be classified into five categories. These categories are i) computational, ii) pedagogic, iii) comparative, iv) the studies of systems and v) the studies of genre or text type. Figure 1-8 presents the five categories.

**Figure 1-8 categories of Japanese Systemic Functional studies**



Among the five categories, those which are particularly relevant are the studies on systems and text types or genres. This is because the present study seeks to extend studies in these categories. Below, I will briefly describe the works on computational studies, pedagogic application and comparative studies. Then, I will explain how this study utilises or extends the previous works on systems and genres of Japanese.

### 5.1 Computational, Pedagogic and Comparative SF studies on Japanese

The computational studies are mainly conducted by the members of the *RIKEN* (The Institute of Physical and Chemical Research) Brain Science Institute. Accounts of their work are given in Ito and Sugeno (in press) and Takahashi, Kobayashi and Iwazumi (in press). Ito and Sugeno (in press) describe their development of a computational model of the Japanese language. Takahashi, Kobayashi and Iwazumi (in press) introduce a database for text processing oriented by a SF perspective.

The pedagogic applications of Japanese systemic functional studies are explored by scholars in Australia such as Ramzan (2005), Ramzan and Thomson (in press), and Armour and Furuya (in press). These studies utilise SF theory to understand the process of Japanese language acquisition by non-native speakers of Japanese. Ramzan and

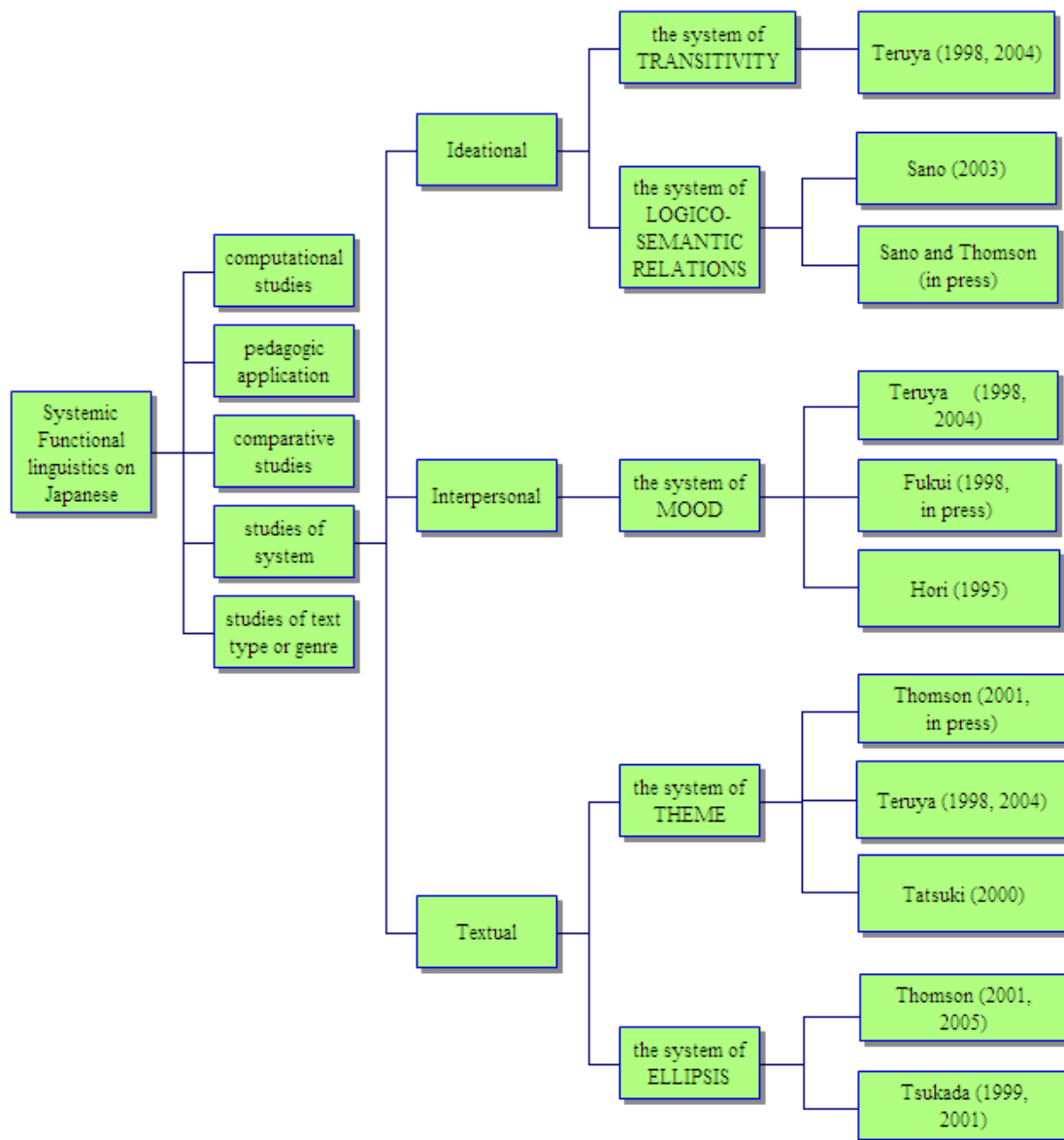
Thomson (in press) apply the Genre Approach developed by Martin (cf. 1984; 1986; 1997) to the Japanese as Foreign Language class. The study reported here is expected to contribute to this field by providing an account of the semantic and lexicogrammatical features, and the generic structure of Japanese persuasive texts.

SF theory is also used to compare linguistic features of Japanese and English, as in Naganuma (2000) and Hayakawa (2003). Naganuma (2000) discusses the differences in the utilisation of the system of THEME in Japanese and English and she points out issues around translation between English and Japanese. Hayakawa (2003) illustrates how causality is expressed differently in Japanese and English science textbooks.

## **5.2 SF descriptions of Japanese Linguistic Systems**

Since the 1980s, most SF studies of Japanese have been dedicated to the exploration of the systems of Japanese language. The descriptions have been carried out by Tatsuki (2000), Tsukada (1999; 2001), Hori (1995), Teruya (1998; 2004), Thomson (2001; in press), Fukui (1998; in press), Sano (2003; in press) and Sano and Thomson (in press). These studies are mapped in Figure 1-9.

Figure 1-9 map of SF descriptions of Japanese systems



**Ideational** systems have been investigated by Teruya (1998; 2004), Sano (2003), Sano and Thomson (in press). Teruya (1998; 2004) describes the system of TRANSITIVITY in Japanese. Sano (2003) and Sano and Thomson (in press) describe the system of LOGICO-SEMANTIC RELATIONS in selected Japanese expository texts. **Interpersonal** systems have been explored by Teruya (1998; 2004), Fukui (1998) and Hori (1995; in press). They describe the system of MOOD. **Textual** systems have been examined by Thomson (2001; in press), Teruya (1998; 2004), Tatsuki (2000) and Tsukada (1999; 2001). The system of THEME is described by Thomson (2001; in press), Teruya (1998; 2004) and Tatsuki (2000). The system of ELLIPSIS is researched by

Thomson (2001; in press) and Tsukada (1998; 2004).

Among these works, Teruya (1998; 2004), Thomson (2001) and Tsukada (1999; 2001) are particularly relevant. Teruya's work is important as the present study adopts his description in exploring TRANSITIVITY in Japanese persuasive texts. Thomson (2001) and Tsukada (1999; 2001) are also significant because they provide the foundation of the study for exploring Japanese ellipsis. Thomson (2001) illustrates how Japanese ellipsis functions lexicogrammatically and semantically in relation to the system of THEME. Tsukada (1999; 2001) adopts the work of Halliday and Hasan (1976) and explores features of Japanese ellipses.

Although the corpus of the present study is limited to written persuasive texts, this study extends the work of Teruya (1998; 2004) by adding some features and types of Participants which are not acknowledged in his study. This will be illustrated in Chapter 4 and Chapter 7.

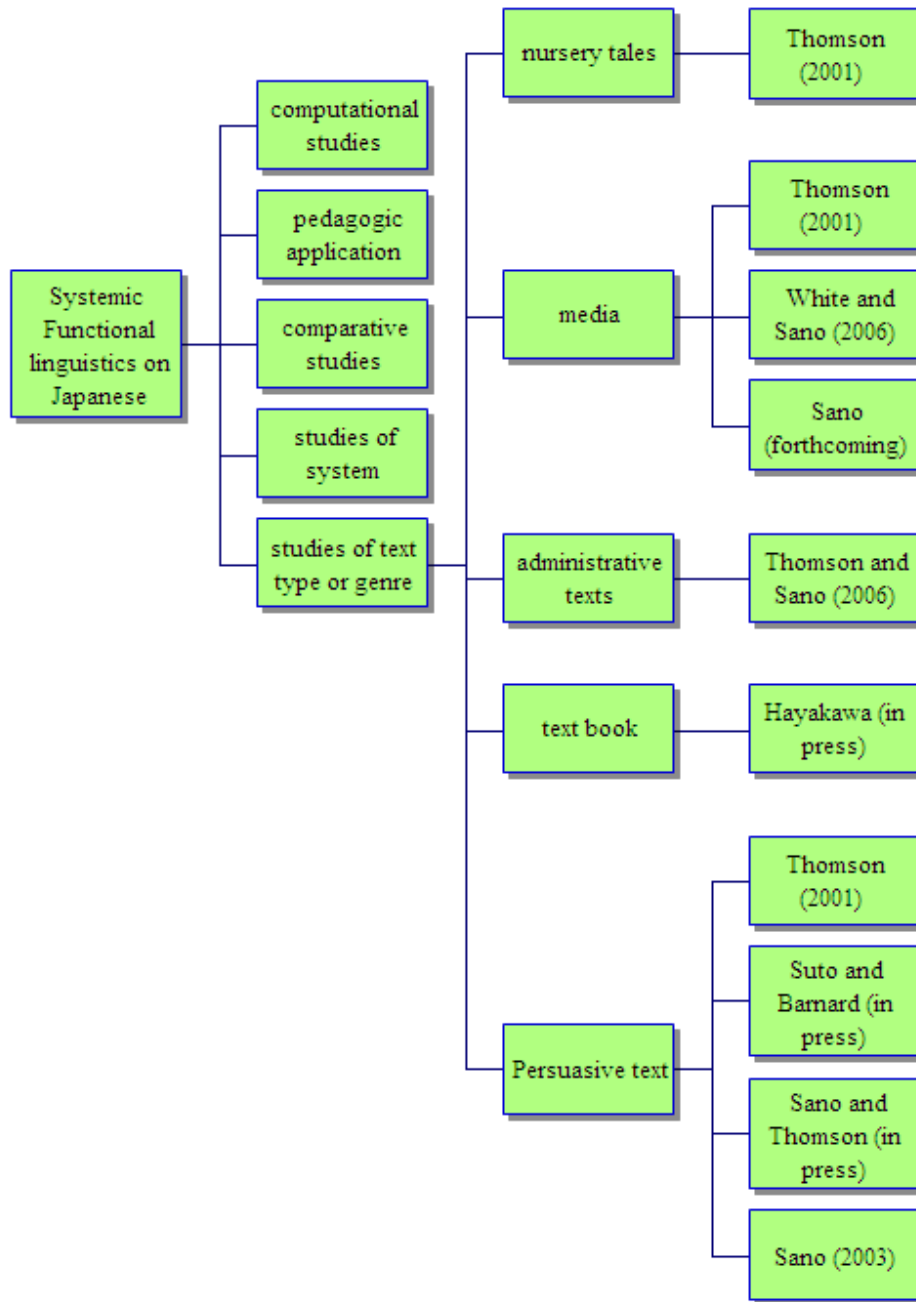
In addition, it also extends the description of the interpersonal system by illustrating how one of the systems of APPRAISAL, ATTITUDE, is realised in Japanese. Chapter 5 presents the detail. Also, potential differences of the features of ATTITUDE in English and Japanese are suggested in Chapter 7.

Further, the present study contributes to the development of the SF description of ELLIPSIS. In this study, I explore the system of ELLIPSIS differently from Tsukada (1999) by treating it as an implicit encoding device following Hasan (1984a). In these directions, the present study extends the descriptions of Japanese systems.

### **5.3 SF descriptions of Japanese Genres and Text Types**

With the development of the descriptions of the systems, the descriptions of Japanese genres or text types have been produced. The studies of genres are mainly conducted by the members of the Mapping Genres of Japanese Research Project such as Thomson (2001), White and Sano (2006), Thomson and Sano (2006), Hayakawa (in press), Suto and Barnard (in press), and Sano (2003) and Sano and Thomson (in press).

Various types of genres such as nursery tales, media texts, administrative texts, textbooks and persuasive texts are partially or extensively described. Figure 1-10 maps these descriptions. I will briefly describe the studies of nursery tales, media, administrative and text books. Then, I illustrate how the present study develops the descriptions of persuasive texts.

**Figure 1-10 systemic functional studies of Japanese genres and text types**

The genre of **Nursery Tales** is explored by Thomson (2001). She examines the methods of development of two popular nursery tales, *momotaroo* (The peach boy) and *urihimeko* (The melon princess) as well as three other narratives.

The genre of **Media** is also studied in Thomson (2001). Her study investigates the method of development of two news stories from Mainichi and The Japan Economic Newspaper. In addition, White and Sano (2006) investigate the use of the system of ENGAGEMENT in two press conferences by the Japanese Prime, Minister Junichiroo



Koizumi. Further, Sano (forthcoming) illustrates the rhetoric in four editorials by investigating how the instances of ATTITUDE in the texts are realised.

The genre of **Administration** is investigated by Thomson and Sano (2006). They classify the administrative texts from Japanese companies and institutes in Japan or Australia. This work is based on the work of the Disadvantaged School Program (1994).

The text types of **Textbook** is researched by Hayakawa (in press). She shows how a science textbook is constructed via the instance of the system of TRANSITIVITY, LOGICO-SEMANTIC RELATIONS and THEME.

The genre of **Persuasive texts** is explored in Thomson (2001), Suto and Barnard (in press), Sano (2003), Sano and Thomson (in press). These studies are particularly relevant to the present study. Thomson (2001) illustrates rhetorical staging (generic structure) and thematic selection of a persuasive text in Asahi newspaper. According to Thomson (2001), Thesis - i.e. a stage in which the main idea of texts is stated, is located in the end of the text. She claims that the location is different from the staging of English expository texts (cf. Martin, 1985; Butt et al., 1995).

Suto and Barnard (in press) explore the utilisation of nominalisation in two Japanese political manifestos. They found that in these texts, nominalisation is deployed for obscuring “who does what to whom”, making the statement non-negotiable.

Sano (2003) and Sano and Thomson (in press) investigate the use of logico-semantic relations in three expository texts. Their study found that the use of features of ENHANCEMENT is crucial for the development of arguments in connecting clauses and paragraphs of the texts.

Although these studies illustrate how generic structure, nominalisation or logico-semantic relations contribute to construe a persuasive text, they do not explain how ideational, interpersonal and textual resources interact in order to realise the rhetorical purpose of persuasive texts. In addition, no study to date has investigated how the systems of TRANSITIVITY, ATTITUDE and ELLIPSIS operate in Japanese persuasive texts to date. In order to fill this gap, this thesis illustrates how Japanese persuasive texts are constructed through the utilisation of the systems of TRANSITIVITY, ATTITUDE and ELLIPSIS. Further, the corpus of the present study is relatively larger than the previous studies in which only a few texts were examined.

In summary, this study identifies the need to explore persuasion in Japanese using a theoretical model of language which is built upon the premise that context activates text while, at the same time, text construes context. Additionally, this study relates the social

act of persuasion to the semantic style of persuasion developed in the cultural context of Japan. In so doing, the particular lexicogrammatical choices are related metafunctionally to the genre and the particular rhetorical strategies of persuasion.

## 6 Organisation of the Thesis

This thesis is composed of seven chapters. This chapter has described the aim, the motivations, the corpus and the design. In addition, it located the present study in the field of Japanese linguistics and illustrates how this study may contribute to Systemic Functional descriptions of the language.

Following this chapter, Chapter 2 describes the theoretical framework of the present study –i.e. Systemic Functional theory. It describes how SF theory models language in relation to context.

Chapter 3 explores the generic structures and the meanings of written persuasive texts. It proposes that three types of the elements called *sasoi* (Inducement), *kyookan-koochiku* (Empathetic Construction) and *tachiba* (Position), are necessary for construing a persuasive structure. It also shows that the meanings called Invitation, Relativisation and Standpoint are required in order to realise these elements.

After the description of the generic structure and the meanings, Chapter 4, 5 and 6 illustrate how Invitation, Relativisation and Standpoint are realised in the corpus. Chapter 4 identifies those features of TRANSITIVITY that are typically involved in the realisation of the three meanings. Chapter 5 nominates those strategies for expressing ATTITUDE that are often involved in the realisation. Chapter 6 specifies those features of ELLIPSIS that are frequently utilised in the realisation.

Chapter 7 summarises the arguments developed throughout the thesis. It sums up how the generic structure of the persuasive texts is realised by the presence of certain meanings, and how these meanings are realised by the fusion of the effect of the ideational (Transitivity), interpersonal (Attitude) and textual resources (Ellipsis). In addition, it speculates why certain linguistic features are commonly utilised across the texts. The chapter explains this by considering the relationship between the linguistic features and the philosophy of *homologisation*. Homologisation is the idea that “anything and everything deserves to be given its own proper place within the whole culture scheme” (Ikegami, 1991: 15). The chapter and the thesis will end with an indication of directions for further research.

## Chapter 2      Modelling Language - Systemic Functional Theory

### 1 Introduction

As persuasion is enigmatic, the language of written Japanese persuasive texts is also enigmatic. It is a complex phenomenon as it changes its shape in accordance with its contexts. In order to explore the linguistic resources which are necessary for constructing written Japanese persuasive texts without simplifying or idealising the complex phenomenon, the present study employs Systemic Functional (SF) theory.

This chapter is designed to illustrate how SF theory conceptualises language in relation to context. It also describes the assumptions underlining in the application of the theory to the corpus. Following this section, Section 2 introduces the dimensions of language acknowledged in SF theory. Section 3 describes how SF theory captures the paradigmatic and syntagmatic nature of language. Section 4 illustrates SF treatment of the compositional aspects of language. Section 5 presents a description of the strata of language acknowledged by the theory. Section 6 demonstrates how the theory observes language along the cline between potential and instance. In Section 7, how the theory captures the functionality of language is described.

### 2 Dimensions in Language

One of the fundamental SF concepts is the idea that language is system – i.e. a set of interrelated choices for making meaning (Halliday, 1996). In SF theory, one choice is always considered not in isolation but in relation to other choices. This tradition of SF linguistics or “systems thinking” resulted in the development of a **comprehensive** theory (Halliday and Matthiessen, 2004). Halliday and Matthiessen (2004) explain the comprehensive nature of the theory as below:

A characteristic of the approach we are adopting here, that of systemic theory, is that it is *comprehensive*: it is concerned with language in its entirety, so that whatever is said about one aspect is to be understood always with reference to the total picture. At the same time, of course, what is being said about any one aspect also *contributes to* the total picture; but in that respect as well it is important to recognize where everything fits in. There are many reasons for adopting this systemic perspective; one is that languages evolve – they are not designed, and evolved systems cannot be explained simply as the sum of their parts. Our traditional compositional thinking about language needs to be, if not replaced by, at least complemented by a ‘systems’ thinking whereby we seek to understand the nature and the dynamic of a semiotic system as a whole (p.19-20). (emphasis in original)

The comprehensive nature motivated the conceptualisation of the five dimensions in language, i) **system** (paradigmatic order), ii) **structure** (syntagmatic order) and iii) **stratification**, iv) **instantiation** and v) **metafunction**. The five dimensions are illustrated by Halliday and Matthiessen (2004: 21) as in Figure 2-1. The figure is a reproduction of Figure 1-6 in Halliday and Matthiessen (2004).

**Figure 2-1 reproduction of Figure 1-6: the dimensions in language in Halliday and Matthiessen (2004: 21)**

Please see print copy for Figure 2-1

① represents the structure. ② symbolises the system. ③ expresses stratification. ④ indicates instantiation. ⑤ represents metafunctions. Each dimension is organised by distinct kinds of ordering principles. By acknowledging the existence of these dimensions, SF theory models language *comprehensively*. I will firstly describe how the dimension of the system and the structure are modelled.

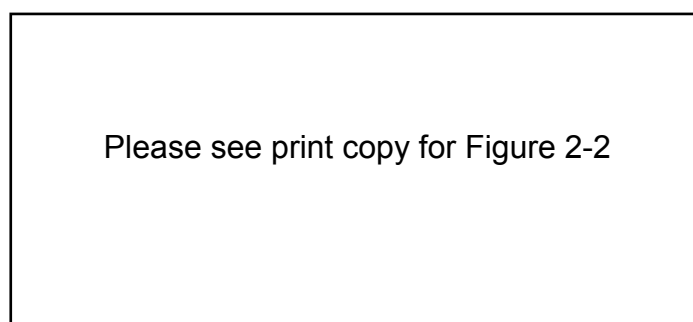
### **3 The Dimensions of System (Paradigmatic Order) and Structure (Syntagmatic Order)**

One of the dimensions of language is **system**. The dimension of system is concerned with the paradigmatic aspect of language. Language provides resources for making meaning (Halliday, 1978). These resources are often paradigmatically related, as the number of resources that can be selected in expressing one meaning is often limited. Thus, the system is concerned with “what *could go instead of* what” (Halliday and

Matthiessen, 2004: 22). For example, as it will be explained in detail in Chapter 4, the Japanese system of TRANSITIVITY provides four choices, i) material, ii) relational, iii) mental and iv) verbal. As these choices can not be selected simultaneously (Teruya, 1998), selection of one choice eliminates the chance for selecting other choices. In this respect, the choices of TRANSITIVITY are paradigmatic.

In the dimension of system, linguistic choices are organised by the principle of **delicacy**. The principle orders the linguistic choices from **general (primary)** to **specific (delicate)** choices. For instance, based on the principle, the features of MOOD such as ‘interrogative’, ‘elemental’ and ‘yes/no’ can be organised from general to specific as represented in Figure 2-2 (Teruya, 2004).

**Figure 2-2 choices of Japanese interrogative from general to specific**



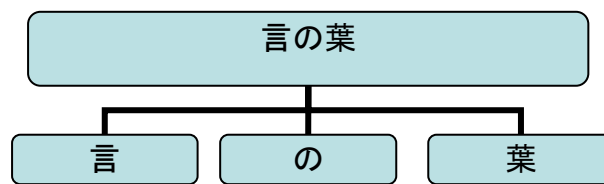
The choice ‘interrogative’ is the congruent choice for realising question (Teruya, 2004). The option ‘elemental’ is the congruent choice for questioning certain information such as *itsu* (when), *doko* (where), *dare* (who) and *dooshite* (why) (Teruya, 2004). The option ‘yes/no’ is the congruent choice for questioning ‘yes’ or ‘no’ (Teruya, 2004). Hence, ‘elemental’ and ‘yes/no’ can be considered as the kinds of ‘interrogative’. Based on this relationship among the three, the choices are ordered from the general (interrogative) to specifics (elemental and yes/no).

With this ordering principle, SF studies typologically map linguistic choices as systems. In addition, they identify patterns of selecting the choices within a given context by exploring which choices are selected instead of others.

In this study, the concept of system is employed for both mapping the resources of Japanese written persuasive texts and identifying the patterns of choosing the resources within the context of the persuasive texts. For instance, as mentioned, in Chapter 6, by employing the notion of system, the choices of ELLIPSIS are mapped and the patterns of selecting the choices in constructing Japanese persuasive texts are identified.

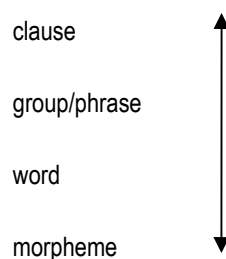
Another dimension of language is structure. The dimension of structure is associated with the compositional aspect of language (Halliday and Matthiessen, 2004). Language is compositional as it constructs its units from parts. For example, units **in writing** such as the Japanese poetic word for ‘language’, 言の葉 (*kotonoha*), are composed from parts. The word is composed of three characters as represented in Figure 2-3.

**Figure 2-3. constituency structure of *kotonoha***



The dimension of structure is organised by the principle of **rank**. The principle organises units “on a scale from highest-ranking to lowest-ranking according to their constituency potential” (Matthiessen, 1995: 75). In other words, it organises the ‘part/whole’ relationships among the units. According to Teruya (1998), units of the lexicogrammar of Japanese are organised as in Figure 2-4.

**Figure 2-4 rankscale of lexicogrammar in Japanese**



Clause is the highest rank, which is composed of its lower rank, i.e. group/phrase. The group/phrase is constituted from its lower rank, i.e. word. The word is embodied by its lower rank, i.e. morpheme. For example, the lexicogrammatical units in Example 2-1 are related by parts/whole relationships through rank.

**Example 2-1 example of lexicogrammatical unit in Japanese**

イラクへの主権移譲が行われた

	<i>iraku-e-no</i> Iraq-to-NO	<i>shuken-ijoo-ga</i> sovereignty-hand-over-GA	<i>okonawareta</i> carry out—PASS-PST
Clause	clause		
group/phrase	nominal group		verbal clause
word	noun	noun	verb
morpheme	(noun + marker)+ marker	noun + marker	stem + auxiliary verb + inflection

The Hand-over of sovereignty was carried out (by someone).

(from *Mainichi*)

The unit in the highest rank is the clause “*iraku-e-no shuken-ijoo-ga okonawareta*” (The hand-over of sovereignty to Iraq was carried out). The clause is composed by the units in group-rank, which are the nominal group “*iraku-e-no shuken-ijoo-ga*” (the hand-over of sovereignty to Iraq) and the verbal group “*okonawareta*” (was carried out). The units in group-rank are constituted of the units in word-rank. For example, the nominal group is composed of two nouns which are i) “*iraku-e-no*” (to Iraq) and “*shuken-ijoo-ga*” (the hand-over of sovereignty). The units in word-rank are embodied by the units in morpheme-rank. For instance, the noun “*iraku-e-no*” is composed of the morphemes “*iraku*” (Iraq), “*-e*” (directional particle/marker) and “*-no*” (nominal linking particle/marker). In this manner, the units of lexicogrammar are organised in the parts/whole relationships.

As represented in Example 2-1 above, units in each rank are related with the units in the rank immediately above them, since they serve to realise functional elements of the units in the rank immediately above. Matthiessen (1995) explains this:

a group will serve to realize an element of clause structure, a word will serve to realize an element of group structure, and a morpheme will serve to realize an element of word structure (p. 21)

In Example 2-1 above, the nominal group “*iraku-e-no shuken-ijoo-ga*” (the hand-over of sovereignty to Iraq) and the verbal group “*okonawareta*” (was carried out) serves to realise the elements of the clause structure. The words such as “*iraku-e-no*” serve to realise the elements of the group structure. The morphemes such as “*-no*” (nominal linking marker/particle) serve to realise the elements of the word structure.

The rank of a unit may be shifted via grammaticalisation and nominalisation. Example 2-2 below provides an instance of rankshift via nominalisation.

**Example 2-2 example of rankshift via nominalisation**

全てが関連していることが明らかとなった。

<i>[[subete-ga kanrenshiteiru]] koto-ga</i>	<i>akiraka-to</i>	<i>natta.</i>
everything-GA related-ASP KOTO-GA	evident	become-PST.
group	group	group
The fact [[that everything is related]] became evident.		

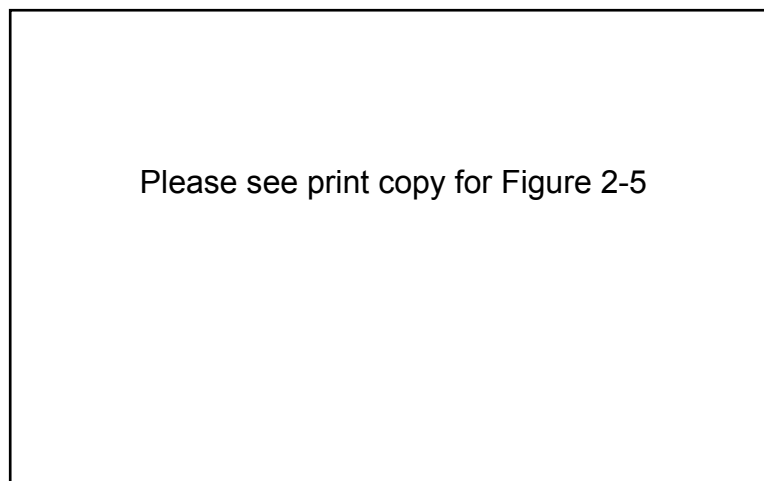
from *Environment*

In the example, the unit “*subete-ga kanrenshiteiru*” (everything is related) is down-ranked to group-rank by the nominaliser KOTO. The nominalisers such as -KOTO and -NO rankshift a clause to group-rank by marking the clause (cf. Teruya, 1998). In this manner, a unit in a higher rank can function as though it belongs to a lower rank. By modelling structure in this manner, SF studies investigate how one linguistic unit is composed of its parts, and how the units in the lower-rank function in the structure of the units in the rank immediately above. For instance, in this study, the concept of structure is used in order to model the elements of structure (lower-rank) that constitutes generic structures of Japanese persuasive texts (higher-rank).

In SF studies, the relationship between the options in the dimension of system and the units in the dimension of structure are represented via system networks. The system networks, according to the principle of delicacy, map semantic or lexicogrammatical options paradigmatically<sup>4</sup>. These options are technically called **features**. In addition, the system networks indicate the structures that realise the features. The specification of the structures that express the features is called **realisation statement**. As an example, the system network for Japanese interrogative (Teruya, 2004) is presented in Figure 2-5 below.

<sup>4</sup> The system network can also represent other kinds of relations such as simultaneous relations. See key to notations for system network in Preface.



**Figure 2-5 system network**

The system network represents the features of interrogative, which are ‘elemental’ and ‘yes/no’. It also represents how the feature ‘elemental’ can be realised. This is represented as the realisation statement ‘+D-word’. It indicates that, for the realisation of ‘elemental’, the structural element, D-word such as *dare* (who), *doko* (where) and *donoyooni* (how), must be inserted.

In this manner, via system networks, SF theory models the relationship between the system and the structure of language. A variety of system networks are used in this thesis in order to map the features of the linguistic resources utilised in the corpus and to describe how these features are realised by certain structural features.

#### **4 The Dimension of Stratification**

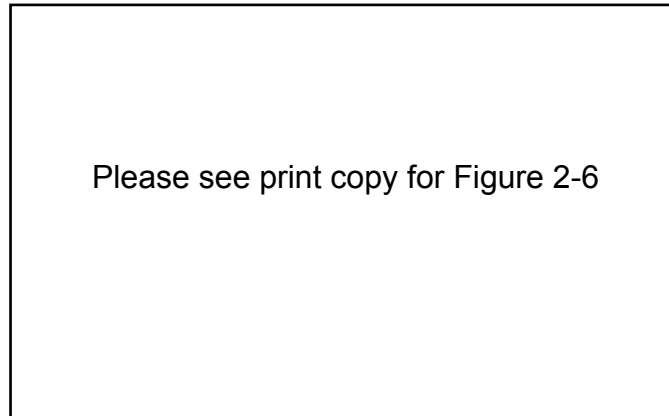
##### **4.1 Stratification of language**

The third dimension of language is stratification. The dimension of stratification involves three strata of symbolic abstraction, which are i) **semantics** (meaning), ii) **lexicogrammar** (wording) and iii) **phonology/graphology** (sounding/writing) (Matthiessen, 1995). The semantic stratum is composed of resources for meaning (Matthiessen, 1995). The lexicogrammatical stratum is constituted by resources for wording meanings – i.e. lexical item and grammar (Matthiessen, 1995). In the theory, lexical item and grammar exist in the same stratum, as lexical item is conceptualised as the most delicate feature of grammar (Hasan, 1987). The phonological/graphological stratum is embodied by resources for sounding/writing wordings.

The dimension of stratification is organised by the principle of **realisation**. The principle relates the strata with a bidirectional relationship; a lower stratum **construes**

its upper stratum, and at the same time, the upper stratum **activates** the lower stratum as illustrated in Figure 2-6 (Hasan, 1996b).

**Figure 2-6 stratification within language**



There is a relationship of realisation between the semantics and the lexico-grammar, and between the lexico-grammar and the phonology/graphology. The semantics is construed by the lexico-grammar; the semantics activates the lexico-grammar. The relationship between the semantics and the lexico-grammar is **natural** (Matthiessen, 1995). That is to say, there is a non-arbitrary relationship between the two. The lexico-grammar is realised by the phonology/graphology; the lexico-grammar activates the phonology/graphology. Unlike the relationship between the semantics and the lexico-grammar, the relationship between the lexico-grammar and phonology/graphology is largely **conventional** (Matthiessen, 1995). The relationship between the two is typically arbitrary. Hence, the semantics is realised by **the realisation of the lexico-grammar in phonology/graphology** (Halliday, 1992/2002)<sup>5</sup>. For example, the strata of the language associated with the term “*uruosu*” (benefit) in Example 2-3 is organised by the principle of realisation. In the example, Symbol “↘” indicates the relationship of realisation.

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<sup>5</sup> For a detailed account of this relationship, see METAREDUNDANCY in Halliday (1992/2002).

**Example 2-3 example of stratification in language**

これも国庫を潤し

*kore-mo kokka-o**uruoshi*

this-MO national treasury-O enhance, and

this enhances the nation treasury, and

(from *Privatisation*)

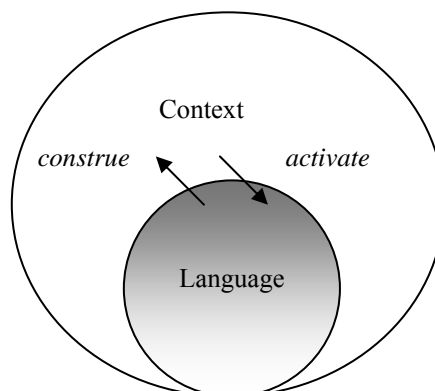
meaning: attitude	the writer's positive feeling towards "kore" (this)
	↓
wording	lexical item: <i>uruoshi</i>
	↓
writing	characters 潤 + し

As illustrated in the example, the lexical item “*uruoshi*” realises an interpersonal semantic resource, Attitude. Attitude, which is explained in detail in Chapter 5, refers to meanings that explicitly or implicitly indicate positive or negative feeling (Martin, 2000b; Martin, 2004). The attitude is realised by the lexical item, as the lexical item expresses the writer’s positive feeling towards “*kore*”. At the same time, the lexical item is realised by writing 潤し.

SF studies utilises this concept for relating the resources in different strata. For instance, in this study, the concept is used to model how the meanings of written Japanese persuasive texts are realised by certain lexicogrammatical resources.

**4.2 The Relationship of Realisation between Language and Context**

Furthermore, SF theory assumes that the relationship of the realisation also exists between context and language as illustrated in Figure 2-7. In other words, the theory proposes that context is construed in the language; the context activates the language.

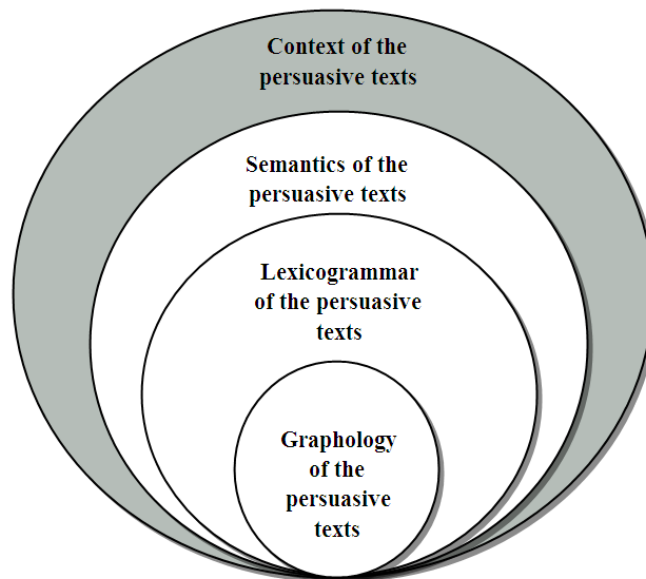
**Figure 2-7 the stratification between context and language**

SF studies utilise this conceptualisation of the relationship between language and context to explore why certain linguistic features are activated in a given text. In the

present study, this conceptualisation is used to explore how the contexts of Japanese written persuasive texts influence the generic structure of the texts. In addition, it is used to illustrate why certain linguistic resources are selected commonly in Japanese culture.

Following the concept of stratification, the stratified systems of Japanese persuasive language are modelled as in Figure 2-8.

**Figure 2-8 stratification of the language and the context of written Japanese persuasive texts**



Following the SF conceptualisation of stratification, I assume that;

- i) the graphology of the persuasive texts realises the lexicogrammar of the texts,
- ii) the semantics of the persuasive texts is realised by the realisation of lexicogrammar in graphology, and
- iii) the context of the persuasive texts is realised in the language of the texts (i.e. the semantics, the lexicogrammar and the graphology).

## **5 The Dimension of Instantiation**

### **5.1 Instantiation of Language**

The fourth dimension of language is instantiation. The dimension, by the principle of instantiation, is organised along the cline between **instance** and **potential**<sup>6</sup>. Halliday (1998) describes the relation between the potential and the instance, by analogically identifying ‘climate’ with the potential and ‘weather’ with the instance:

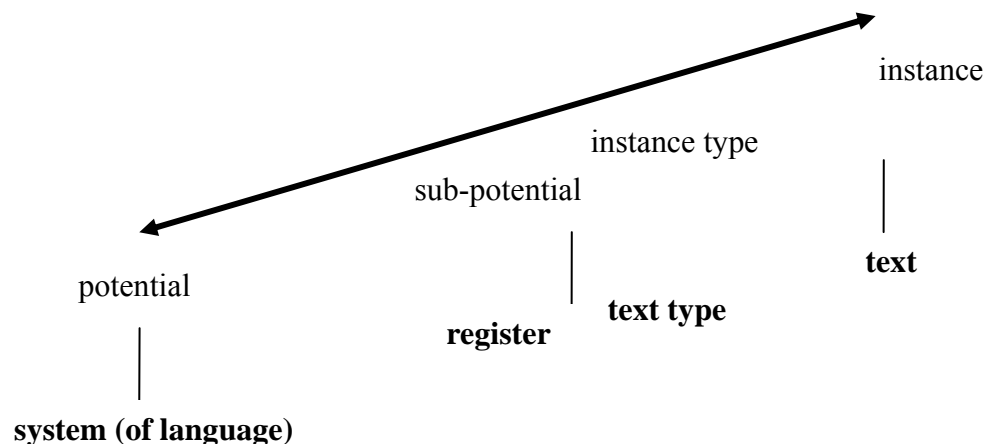
<sup>6</sup> The term ‘instantiation’ is employed to refer to both the dimension and the principle in SF theory.

We can perhaps use an analogy from the physical world ...Climate and weather are not two different things; they are the same thing, which we call *weather* when we are looking at it close up, and *climate*, when we are looking at it from a distance. The weather goes on around us all the time; it is the actual instances of temperature and precipitation and air movement that you can see and hear and feel. The climate is the potential that lies behind all these things; it is the weather seen from a distance, by an observer standing some way off in time. So of course there is a continuum from one to the other; there is no way of deciding when a “long-term weather pattern” becomes a “temporary condition of the climate”, or when “climatic variation” becomes merely “changes in the weather”(p.8).

Hence, the instance and the potential are “the same thing” observed from different perspectives. When language is observed as potential, it is seen as **system** – i.e. “its potential as a meaning-making resources” (Halliday and Matthiessen, 2004: 26)<sup>7</sup>. On the other hand, when language is approached as instance, it is recognised as **text**. For instance, a written Japanese persuasive text in the corpus is an instance of language.

The cline of the potential and the instance has the intermediate position called **sub-potential** and **instance type**, as illustrated in Figure 2-9.

**Figure 2-9 cline of instantiation – the language**



The sub-potential is the intermediate point approached from the potential side. It is the patterns in ‘instantiating’ overall potential. When language is seen as the sub-potential, it is recognised as **register**<sup>8</sup> (Halliday and Matthiessen, 2004). The register is “the

<sup>7</sup> As Halliday and Matthiessen (2004: 26) point out, the use of the term ‘system’ here is different from the use of the term ‘system’ in the conceptualisation of the dimension of system, although they are related. Here, the term is used to refer to overall system of language, while the system in the dimension of system does not necessary refers to the overall system.

<sup>8</sup> Martin (1992) extends the notion of ‘register’. In his book, *English Text*, the term

patterns of instantiation of the overall system associated with a given type of context” (Halliday and Matthiessen, 2004: 27). On the other hand, the instance type is the intermediate point approached from the instance side. It is the population of the instances which share certain features (Halliday and Matthiessen, 2004). When language is seen as instance type, it is seen as **text type** – i.e. population of **texts** which shares certain **linguistic** features (Halliday and Matthiessen, 2004). Analogically speaking, if the potential is the climate, then the sub-potential is the sub-potential of climate such as Tropical or Tundra. If the instance is the weather, then, the instance type is the population of the weather which shares certain features, for instance, the population of the weather of which average temperature is 20 degree (i.e. the definition of Tropical).

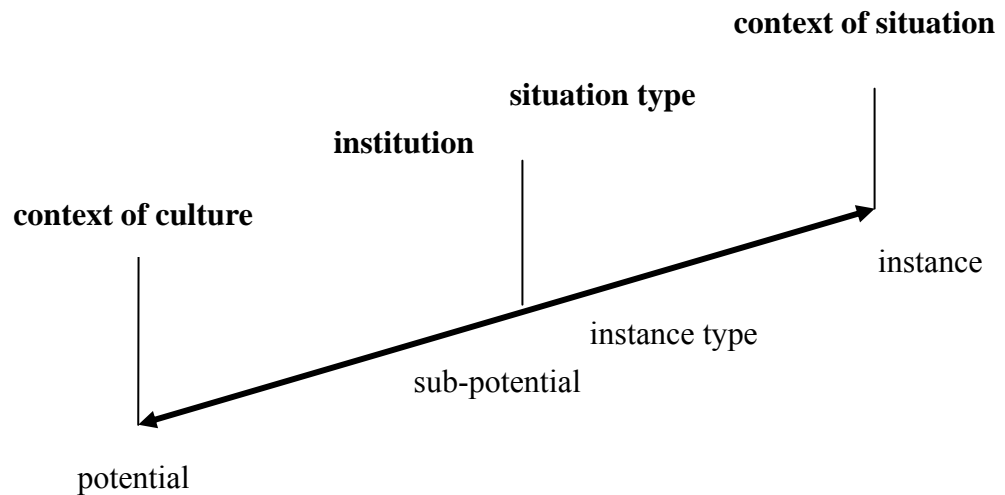
SF studies use this concept of instantiation in order to approach language from its instance and potential. For example, one instance of Japanese language, a Japanese text, may be interpreted in terms of the nature of Japanese language. Alternatively, by looking at the linguistic characteristics of several Japanese texts, the nature of Japanese language may be interpreted. For example, in this study, this concept is used to explore those linguistic features that are shared across the texts in the corpus. That is to say, the concept is used to identify the linguistic features of written Japanese persuasive **text type** by approaching them from the instance side.

### 5.2 Instantiation of Context

In addition, along the cline of the instantiation, context is differentiated. The cline is illustrated in Figure 2-10 below.

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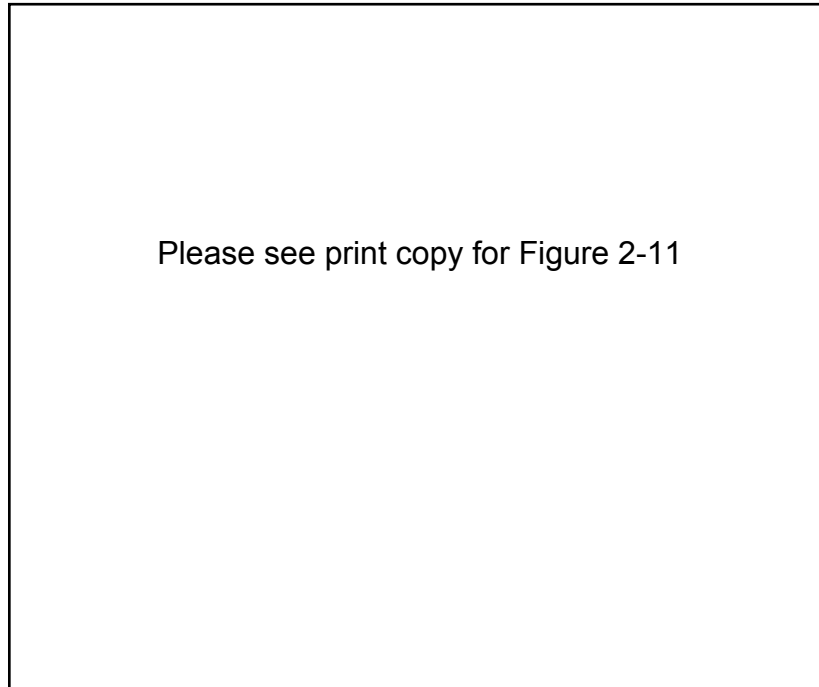
‘register’ refers to “the semiotic system constituted by the contextual variables field, tenor and mode” (p.502).

**Figure 2-10 cline of instantiation – context**

As shown in the figure, the potential of the context is **Context of Culture** (Halliday and Matthiessen, 2004). It is the overall potential of situations in a culture. On the other hand, the instance of context is **Context of Situation** (Halliday and Matthiessen, 2004). It refers to an actual instance of the context of culture. The sub-potential of context is **Institution** (Halliday and Matthiessen, 2004). Institution is the patterns of instantiation of the context of culture. The instance type of context is **Situation type** (Halliday and Matthiessen, 2004), and it refers to the population of the contexts that share certain contextual values.

Since SF theory acknowledges the relationship of **realisation** between context and language, Halliday and Matthiessen (2004) relates the potential, sub-potential, instance type and instance of context and language. This is shown in Figure 2-11 by reproducing Figure 1-11 of Halliday and Matthiessen below (2004: 28).

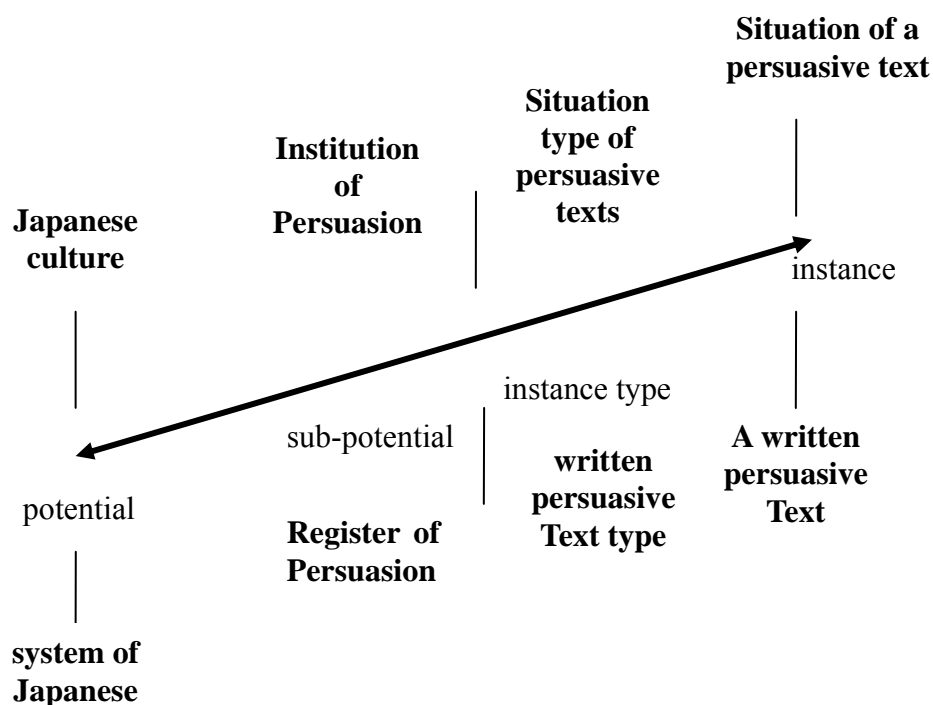
**Figure 2-11 reproduction of Figure 1-11: the cline of instantiation in Halliday and Matthiessen (2004: 28)**



The potential of context, i.e. culture, is realised by the potential of the language, i.e. system (of language). The sub-potential of culture, i.e. institution, is realised by the sub-potential of language, i.e. register. The instance type of context, i.e. situation type, is realised by the instance type of language, i.e. text type. The instance of context, i.e. situation, is realised by the instance of language, i.e. text. Through this theorisation, language is modelled in relation to its context not just by the principle of the realisation but also by the principle of instantiation.

Based on the concept of instantiation and realisation, I model the relationship among Japanese culture, institution of persuasion, the situation type of the persuasive texts, the situation of a persuasive text, the system of Japanese language, the register of persuasion, the written persuasive text type and a persuasive written text as in Figure 2-12 below.



**Figure 2-12 the cline of instantiation: persuasion in Japanese**

As illustrated in the figure, I assume that:

- i) the linguistic system of Japanese realises Japanese culture,
- ii) register of persuasion realises the institution of persuasion,
- iii) a population of persuasive texts such as the corpus of the present study realises the situation type of persuasive texts, and
- iv) a persuasive text such as one of the texts in the corpus realises its situation.

## 6 The Dimension of Metafunction

### 6.1 Metafunctional diversification of Language

The fifth dimension of language is metafunction. The dimension of metafunction is concerned with the functionality of language. In SF theory, ‘function’ is regarded as an intrinsic feature of language (Halliday and Matthiessen, 2004). It is the driving force that shapes and develops systems of language.

The dimension is organised by the principle of metafunction<sup>9</sup>. The principle diversifies the dimension in accordance with three general functions that language has evolved to serve, which are i) **ideational**, ii) **interpersonal** and iii) **textual** (Halliday, 1985d).

<sup>9</sup> In SF theory, the term metafunction is used to refer to both the dimension and its principle.

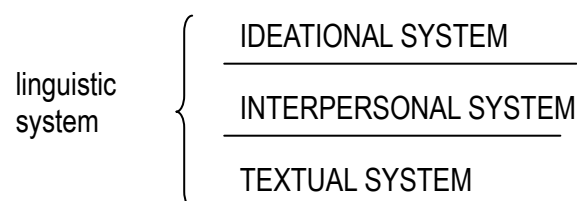
The **ideational** metafunction refers to the function of language that **construes** experience inside (psychological) and outside (physical) our world. It is the representational function of language that names and categories entities, actions and phenomena around us – i.e. the function that gives structure to experience (Halliday, 1970). The ideational metafunction can further be distinguished into **experiential** and **logical** metafunctions. The experiential metafunction construes experience as the configuration of events, entities involved in the events, and circumstantial features of the event. On the other hand, the logical metafunction construes experience in terms of logical relation. Halliday (1979) argues that the logical representation of experience is more indirect as the experience is realised as logical relationships. The metafunction is realised by ideational grammatical resources such as TRANSITIVITY and LOGICO-SEMANTIC RELATIONS.

The **interpersonal** metafunction refers to the function that **enacts** a cultural, social or agentive relationships between speakers/writers and listeners/readers (Halliday, 1979). It is the function that establishes, destroys, maintains, strengthens or weakens the relationships. The metafunction is realised by interpersonal resources such as the system of MOOD, HONORIFICATION and APPRAISAL.

The **textual** metafunction is the function that **enables** speakers/writers to construct texts – i.e. connected passages of discourse that serves a function within a given context (Halliday, 1970). It is the function that organises ideational and interpersonal meanings as a coherent whole (Halliday, 1979). The textual metafunction is realised by textual resources such as the system of THEME, REFERENCE, CONJUNCTION and ELLIPSIS.

These three metafunctions have a complimentary relationship. That is to say, they work side by side and function simultaneously (Halliday, 2000). Since the metafunctions work simultaneously, ideational, interpersonal and textual linguistic resources also function simultaneously. This is represented in Figure 2-13.

**Figure 2-13 simultaneous systems of language**

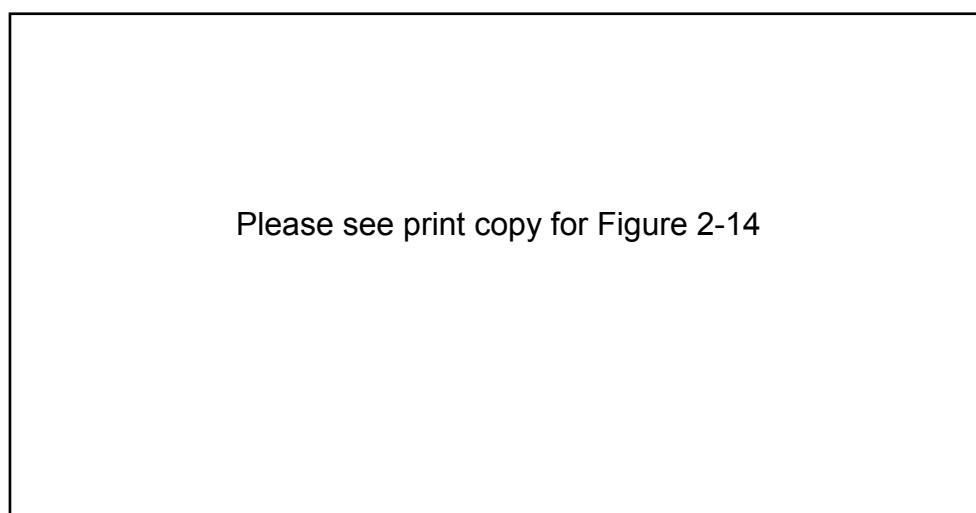


Based on this conceptualisation of the relationship among metafunctions, I assume that the ideational, interpersonal and textual metafunctions of written Japanese persuasive texts can be realised simultaneously.

## 6.2 Types of Realisation- structure and function

The three metafunctions are associated with different kinds of structure. Martin (2000a) illustrates the kinds of structure as in Figure 2-14. The figure is a reproduction of Figure 1 in Martin (2000a: 21).

**Figure 2-14 reproduction of Figure 1: types of structure in relation to modes of meaning in Martin (2000: 21).**



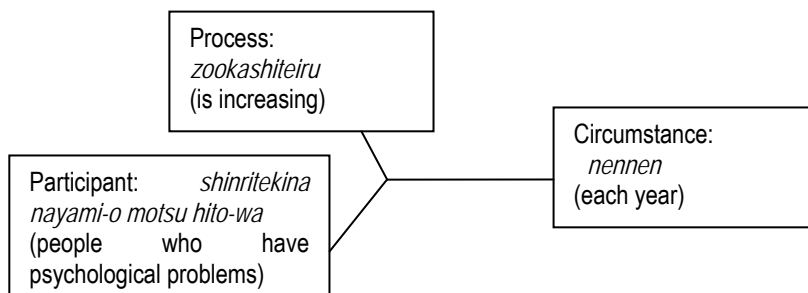
The ideational metafunction is associated with a **particulate** type of structure (Halliday, 1979). It is associated with orbital (experiential) or serial (logical) structures, which “naturalise reality as bits and pieces” (Martin, 2000a: 19). For instance, an ideational resource, the system of TRANSITIVITY, is expressed by particulate structure. The features of the system are expressed by the three kinds of ‘segments’ of experience, i) Process, ii) Participants and iii) Circumstance. The Process construes an event, while the Participant construes entities involved in the event. The Circumstance construes circumstantial features of the event such as time. For instance, as represented in Example 2-4 below, the transitivity structure of the clause in the *Soul* text “*shinritekina nayami-o motsu hito-wa, nennen zookashiteiru*” (People who have psychological problems are, each year, increasing) is realised with the structure composed with three segments.

**Example 2-4 particulate mode of realisation**

心理的な悩みをもつ人は、年々増加している

<i>shinritekina nayami-o motsu hito-wa,</i> psychological problem-O have people-WA	<i>nennen</i> each year	<i>zookashiteiru</i> increase-ASP.
Participant	Circumstance	Process

People who have psychological problems are, each year, increasing



The transitivity structure is composed of Process “*zookashiteiru*” (is increasing), Participant “*shinritekina nayami-o motsu hito-wa*” (people who have psychological problems) and Circumstance “*nennen*” (each year).

The interpersonal metafunction is associated with a **prosodic** type of realisation (Halliday, 1979). In other words, the realisation is ‘supra-segmental’, as the interpersonal structure maps over a range of segments and saturates segmental boundaries (Martin, 1996; Martin, 2000a). For instance, one of the interpersonal resources, the system of HONORIFICATION, is realised in a prosodic type of the realisation. In Example 2-5, the system of HONORIFICATION is realised over a range of segments of the clause such as the word “*minasama*” (2<sup>nd</sup> person plural with honorific), the morphemes such as “*go*” (interpersonal key: polite), “*mooshiage*” (humble form of ‘say’), “*masu*” (interpersonal key: polite). The prosody of honorific saturates the boundaries of the segments that compose the clause.

**Example 2-5 prosodic realisation of interpersonal metafunction**

国民の皆様のご理解とご協力をお願い申し上げます。

*kokumin no mina-sama no go-rikai to go-kyooryoku-o o-negai-mooshiage-masu.*  
public NO all-HON NO HON-understanding TO HON-cooperation-O HON-ask-HON-HON

group	kokumin no mina-sama no go-rikai to go-kyooryoku o										o-negai-mooshiage-masu.					
word	kokumin no		mina-sama no			go-rikai to			go-kyooryoku-o			o-negai-mooshiage-masu.				
morp.	kokumin	no	mina	sama	no	go	rikai	to	go	kyooryoku	o	o	negai	mooshiage	masu	
	<div>Prosody of honorific</div>															


(I) humbly ask your understanding and cooperation.

(from *Lion Heat*)

The textual metafunction involves a **culminative-periodic** type of realisation (Halliday, 1979). That is to say, the metafunction is expressed with wave-like mode of realisation (Martin, 2000a). For example, a textual resource, the system of ELLIPSIS, as it will be explained in detail in Chapter 6, creates a culminative pattern. In Example 2-6, the system of ELLIPSIS is activated. The activation of the system causes a wave of prominence.

#### Example 2-6 example of culminative-periodic mode of realisation

文はこの物の役わりをもうつしだしながら、意味的な構造をかたちづくる。

Clause A	<i>bun-wa</i> clause-WA	<i>kono mono no yakuwari-o</i> this thing NO role-O-too	<i>utsushidashi-nagara,</i> represent-while,
Clause B	Ø ( <i>bun-wa</i> ) (clause-WA)	<i>imi-tekina koozoo-o katachizukuru.</i> semantic structure-O construct.	
	non-prominent	prominent	
			

While a clause also represents the role of this thing, (it) constructs the semantic structure.

(from *Meaning and Function*)

In Clause B, there is the ellipsis of “*bun-wa*” (clause). “*bun-wa*” is given non-prominence in Clause B as it is implicitly expressed via the ellipsis. Against the background of this non-prominence, the other constituents of the clause “*imi-tekina koozoo-o katachizukuru*” (constructs the semantic structure) becomes a prominent by being expressed explicitly. In this manner, the instance of ellipsis creates a “wave-like” structure.

### 6.3 (Meta)functional diversification of Context

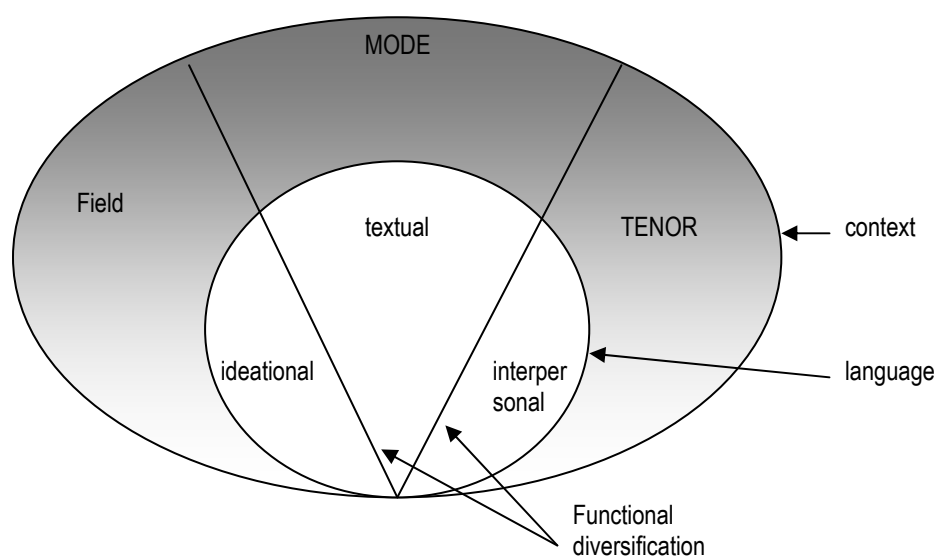
Further, each metafunction is associated with a particular domain of context. These domains are Field, Tenor and Mode (Halliday, 1985b). This diversification of contextual domains is developed by Halliday (1985b) by further refining Malinowski’s (1923) and Firth’s (1935/59) concept of context. The domain of Field is associated with the ideational metafunction. It is composed of contextual values such as social activities, participants involved in the activities. The Tenor is related with interpersonal metafunction of language, and it is concerned with situational relationships among the participants. The Mode is connected with the textual metafunction. It involves contextual values such as mode of the communication and role of language in a context. Halliday (1985b) defines the three domains:

1. The FIELD OF DISCOURSE refers to what is happening, to the nature of the social action that is taking place: what is it that the participants are engaged in, in which the language figures as some essential component?
2. The TENOR OF DISCOURSE refers to who is taking part, to the nature of the participants, their statuses and roles: what kinds of role relationship obtain among the participants, including permanent and temporary relationships of one kind or another, both the types of cluster of socially significant relationships in which they are involved?
3. The MODE OF DISCOURSE refers to what part the language is playing, what it is that the participants are expecting the language to do for them in that situation: the symbolic organisation of the text, the status that it has, and its function in the context, including the channel (is it spoken or written or some combination of the two?) and also the rhetorical mode, what is being achieved by the text in terms of such categories as persuasive, expository, didactic, and the like (p.12).

In the present study, this diversification of the domains of context is utilised in order to explore the context of situation of each text in the corpus, and to investigate the situation type of written persuasive texts, which is described in Chapter 3.

The (meta)functional diversification of context adds another perspective on the relationship between language and context. By combining the dimensions of stratification and metafunction, SF theory models the relationship as in Figure 2-15 below.

**Figure 2-15 functional diversification of the language and the context**

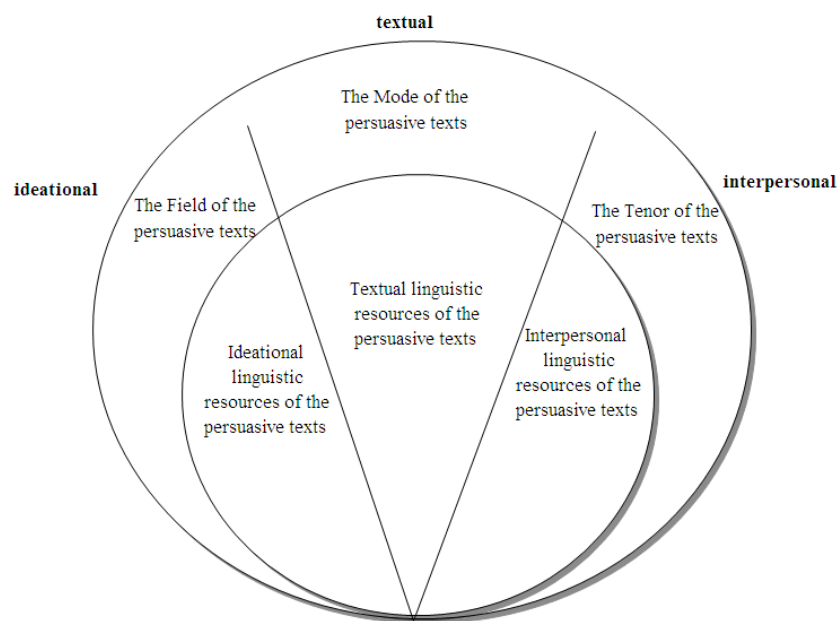


The Field, Tenor and Mode activate ideational, interpersonal and textual resources of language, respectively. At the same time, the ideational, interpersonal and textual

resources construe the Field, Tenor and Mode.

Based on this conceptualisation, the relationship among the Field, Tenor and Mode of Japanese persuasive texts and the ideational, Interpersonal and Textual linguistic resources of the Japanese persuasive texts are modelled as in Figure 2-16.

**Figure 2-16 metafunctional diversification of the language and the context of written Japanese persuasive text**



In modelling the language and the context in this manner, I assume that:

- i) Ideational linguistic resources of the written Japanese persuasive texts realises the Field of the persuasive discourse,
- ii) Interpersonal linguistic resources of the texts realises the Tenor of the discourse, and
- iii) Textual linguistic resources of the texts realises the Mode of the discourse.

## 7 Conclusion

This chapter has described how SF theory models language in relation to its context by illustrating the five dimensions in language, i) system, ii) structure, iii) stratification, iv) instantiation and v) metafunction.

By modelling these five dimensions, SF theory captures the nature of language from a variety of perspectives. The concept of system captures the paradigmatic nature of language, embracing the principle of delicacy. The concept of structure captures the compositional aspects of language based on the principle of rank. The concept of stratification provides a means to approach different strata of language, i.e. semantics, lexicogrammar and phonology/graphology. It also models the relationship between

language and context, following the principle of realisation. The notion of instantiation allows the observation of language and context along the cline between potential and instance. The concept of metafunction models the functionality of language, by diversifying it into ideational, interpersonal and textual metafunctions. Further, it also relates the metafunctions with the three domains of context, i) Field, Tenor and Mode. Based on SF modelling of language, I assume that:

- i) there is a relationship of realisation i) between the language of Japanese persuasive texts (lower strata) and its context (higher strata), ii) between the lexicogrammar of the text (lower strata) and the semantics of the text (higher strata), and iii) between the graphology of the text (lower strata) and the lexicogrammar, and
- ii) also, there is a relationship of realisation iv) between the Japanese language (lower strata) and the Japanese culture (higher strata), v) between the register of persuasion (lower strata) and the institution of persuasion (higher strata), vi) between the written Japanese persuasive text type (lower strata) and the situation type of the written Japanese persuasive texts (higher strata), and vii) between a written Japanese persuasive text (lower strata) and its situation (higher strata), and
- iii) further, there is a relationship of realisation viii) between the ideational linguistic resources of the Japanese persuasive texts (lower strata) and the Field of persuasive discourse (higher strata), ix) between the interpersonal linguistic resource (lower strata) and the Tenor of the discourse, (higher strata) and x) between the textual linguistic resources (lower strata) and the Mode of the discourse (higher strata), and
- iv) the ideational, interpersonal and textual functions of the language of Japanese persuasive texts are realised simultaneously.

With these assumptions, I describe the language of written Japanese persuasive texts in relation to its context. As a start, the situational type of the written Japanese persuasive texts in the corpus is described in the next chapter.



## **Chapter 3 Generic Structure and Meanings of Japanese Persuasive Texts**

### **1 Introduction**

This chapter illustrates generic structure of written Japanese persuasive texts by specifying those elements of the structure which are obligatory and optional. In addition, it also identifies the meanings that i) must be or ii) can be expressed in the elements.

This chapter is composed of five sections. Following this section, Section 2 describes the approach that this study employs to explore the generic structures and the meanings. Following Halliday and Hasan (1985), Section 3 specifies the situation type<sup>10</sup> of the texts, as it activates the structure and the meanings of the texts. Section 4 identifies the obligatory and optional elements, the meanings and the generic structure potential of Japanese persuasive texts. Section 5 summarises and discusses the findings.

### **2 Identifying the Textual Structure and the Meanings**

#### **2.1 SF approaches to Textual Organisation**

SF theory offers two major approaches for the description of textual organisation. One is the Genre approach (cf. Martin, 1984; 1986; 1997) and the other is Generic Structure Potential approach (cf. Hasan, 1978; 1979; 1984b; 1985). Since the two approaches are compared and the differences are pointed out elsewhere (e.g. Martin, 1992; Cloran, 2005; Thomson, 2001), I will not discuss the difference between the two approaches here. But, while the Genre theory was proposed with the intention to explore typological and topological difference among ‘genres’ or “staged, goal-oriented social processes” (Martin, 1997: 13), the GSP approach was developed as an approach that shows the

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<sup>10</sup> I use the terms ‘situation type’ or ‘text type’ as defined in Chapter 2. That is to say, the situation type is the instance type of context, while the text type is the instance type of language.

variations in text structure that are available for a writer/speaker of a community within a particular situation type (Hasan, 1985). As the aim of the present study is not to explore typological or topological differences of genres but to identify the potential structure of the written Japanese persuasive texts that are available for Japanese writers, the GSP approach is employed.

## 2.2 Identification of Generic Structure Potential

In identifying a generic structure potential – i.e. potential variations of text structure within a situation type, there are at least two factors that have to be specified. One is situational type or what Hasan (1985) calls contextual configuration. The contextual configuration refers to the configuration of Field, Tenor and Mode (Hasan, 1985). It must be specified since it explicitly states in which context a GSP can be applied.

The other factor is the potential structure of texts. The GSP approach represents the potential variations of the structure by specifying:

- I. ...all those elements of structure whose presence is obligatory, if the text is to be regarded as a complete instance of a given genre by the members of some sub-community;
- II. ...all those elements whose presence is optional, so that the fact of their presence or absence, while affecting the actual structural shape of a particular text, does not affect that text's generic status;
- III. ...the obligatory and optional ordering of the elements *vis-à-vis* each other, including the possibility of iteration.

(Hasan, 1996a: 53)

In this study, the GSP of the Japanese persuasive texts in the corpus is identified based on the identification of the actual structures of the texts. If an element of structure occurs in all texts, then, it is considered **obligatory**. If an element occurs in only certain texts, it is considered **optional**. If an element appears more than once within a text, then, it is regarded as **iterative**.

### 2.3 Elements of Structure, Nuclear and Elaborative Meanings

In the conceptualisation of GSP, Hasan (1984b) associates elements of structure with two types of semantic attributes, which are i) **nuclear meanings** and ii) **elaborative meanings**<sup>11</sup>. The nuclear meanings are the semantic attributes that must be expressed in the elements of a structure for the elements to achieve its function, while the elaborative meanings are optional (Hasan, 1984b).

These meanings stand in the relationship of *realisation* with the element of structure. That is to say, the elements activate the semantic attributes, while the semantic attributes construe the elements. Therefore, they can serve as the recognition criteria of the elements (Hasan, 1985). Both types of the semantic attributes are expressed either explicitly or implicitly by lexicogrammatical resources (Hasan, 1984b).

The nuclear and elaborative meanings in the corpus are classified in the following manner. If a meaning is always present in one type of an element, then, it is classified as a nuclear meaning, while if it does not appear always, then, it is classified as an elaborative one. Having illustrated the methodology, in the next section, I will describe the situation type of the texts.

### 3 Situations and Situation Type of the Japanese Persuasive Texts

Each persuasive text is embedded in its situation. Each situation of the texts in the corpus is different in a greater or lesser degree; however, it is also the case that they share certain situational features. In this section, I will identify those situational features that are shared among the situations, in order to specify the situation type of the persuasive texts. The situation type will be specified in Section 3.4, following an exploration of the commonly shared situational features in the Field, Tenor and Mode of

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<sup>11</sup> Hasan (1996b) further classifies the nuclear meaning into i) crucial and ii) associated, though I will not make this distinction in the present study, since the purpose of the study is to identify the meanings that have to be present, and to explore how they are realised.

the Japanese persuasive texts in the corpus.

### 3.1 Field of the Persuasive Texts

Field can be characterised by specifying i) **subject matter**, and ii) **social activities** (Halliday, 1998). While the subject matter of the texts is different, there are three social activities that are commonly constituted<sup>12</sup>.

#### 3.1.1 Subject Matter of the Persuasive Texts

In the situations of the texts in the corpus, the writers discuss a variety of subjects. For example, ‘the Privatisation of Postal Services’ has the subject matter of the *Privatisation* text, while ‘eco-tourism’ has the subject matter of *Eco-tourism* text. The main subject matter of each text is described in Table 3-1 below.

In persuasive discourse, many kinds of subject matter are discussed, unlike the other discourses such as that of recipe in which the subject matter is often limited to cooking. This divergence stems from the fact that persuasive texts are utilised in a variety of the social domains such as politics, education, science and media. As Virtanen and Halmari (2005) note, persuasion is embedded in every aspect of life.

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<sup>12</sup> As I do not share all situational knowledge that the writers of the texts have, the identification of the social activities can be limited. However, I identified the activities that are expressed in the texts via language.

**Table 3-1 subject matter of the persuasive discourses**

Text	main subject-matter	(translation)
Privatisation	<i>yuusei-mineika</i>	the Privatisation of Postal Service
Environment	<i>kankyoo-mondai to chiiki-seisaku</i>	Environmental problems and regional policies and regulations
Eco-tourism	<i>eko tuurizumu to gendai-jin no ikikata</i>	eco-tourism and modern ways of living
Lion Heart	<i>iraku-e-no jindoo-teki-fukkoo-shien</i>	Humanitarian Reconstruction Assistance for Iraq
Soul	<i>fantajii-o tooshita tamashii to iu gainen no fukken to shinri-chiryoo</i>	re-introduction of the concept of soul for psychological treatment via telling fantasies
Arts Policy	<i>bunka-geijutsu no fukkoo-ni kansuru kihon-teki-hooshin no kettei-ni tomonau yoboo</i>	requests with regard to the implementation of Fundamental Law for Promotion of Arts and Culture
Asahi	<i>iraku zantei-seifu-e-no shuken-ijoo to iraku no hitobito</i>	the Hand-over of sovereignty to Iraq and the people of Iraq
Yomiuri	<i>iraku zantei-seifu-e-no shuken-ijoo no kachi</i>	the value of the Hand-over of sovereignty to Iraq
Mainichi	<i>iraku zantei-seifu-e-no shuken-ijoo to zantei-seifu-e-no teian</i>	the Hand-over of sovereignty and the suggestions to the Iraqi Interim government
Sankei	<i>maedaoshi-ijoo to beegun no kooi</i>	the Hand-over of sovereignty that was brought forward, and the act of US
Meaning and Function	<i>bun no imi-teki, kinoo-teki koozoo</i>	semantic and functional structure of a clause

### 3.1.2 Social Activities of the Persuasive Texts

Like the case of the subject matter, the **social activities** carried out among the situations are different; however, there are some social activities that are carried out in all situations. This is illustrated in Table 3-2 below.

**Table 3-2 social activities constituted by the language of the texts in the corpus**

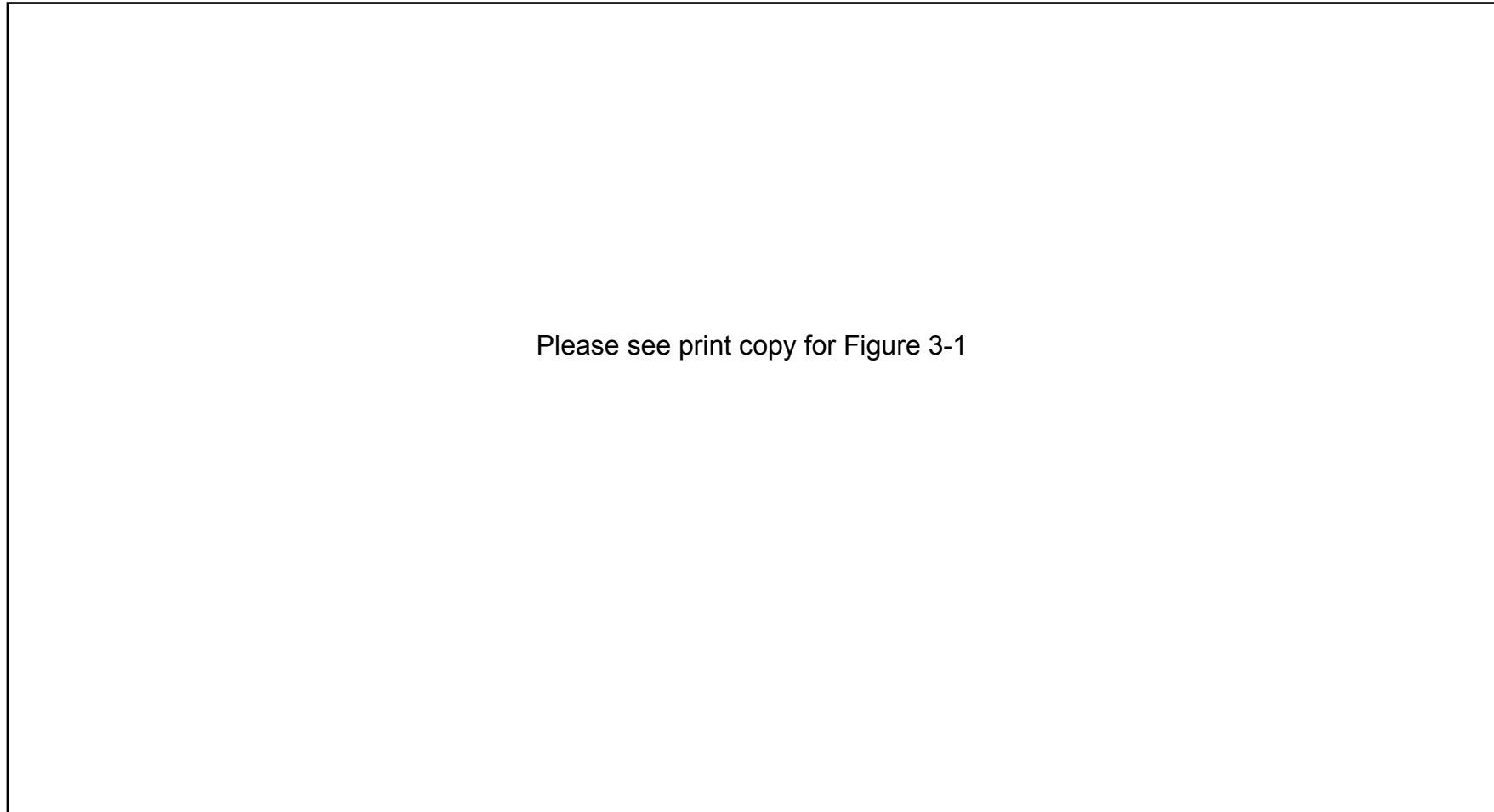
	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F
Attracting	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Relating	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Sharing	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Summarising		✓				✓					✓
Anticipating				✓				✓	✓	✓	
Suggesting		✓				✓		✓	✓		✓

Those activities that are present in **some** situations of the texts are, i) **Summarising**, ii) **Anticipating** and iii) **Suggesting**. **Summarising** refers to the activities in which the writers summarise the contents of their texts for readers. **Anticipating** refers to the activities in which the writers describe the potential future events associated with the main subject matter of the texts. **Suggesting** is the activities in which the writers propose certain actions in asking readers to share their ideas.

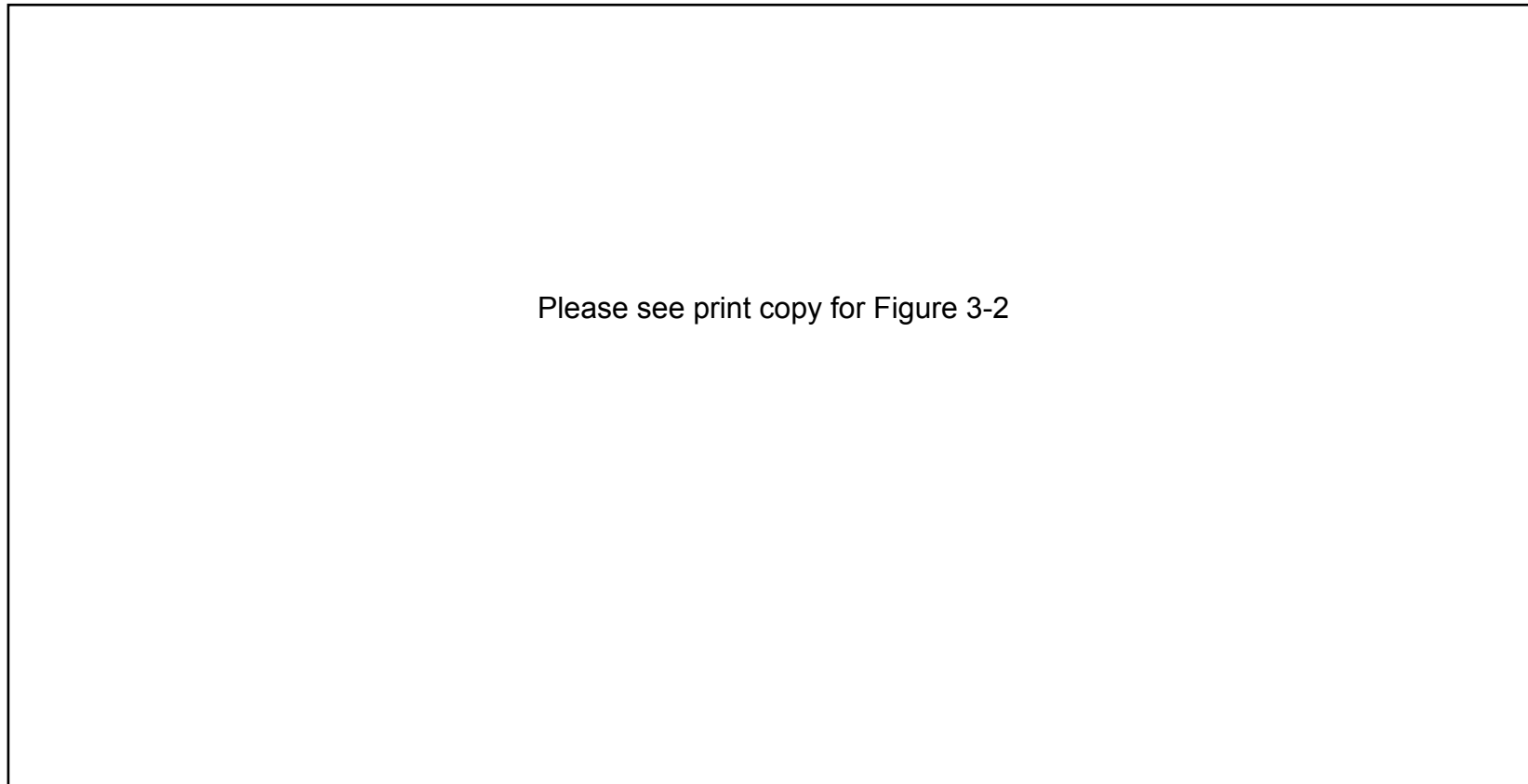
Those activities that are **common** are, i) **Attracting**, ii) **Relating** and iii) **Sharing**. These activities are exemplified using the *Privatisation* text in Figure 3-1 (translated version in Figure 3-2<sup>13</sup>).

<sup>13</sup> As mentioned in Chapter 1, the translation may appear ‘unnatural’. But, this ‘unnaturalness’ is a result of the attempt to keep the grammatical features the same as the original.

**Figure 3-1 social activities expressed/constituted in the *Privatisation* text**



**Figure 3-2 social activities expressed/constituted in the *Privatisation* text (translated version)**





**Attracting** refers to the social activity in which the writers invite the readers to the discourse by seeking the readers' interest in the subject matter. For example, in the *Privatisation* text, the writer attracts his readers to its main subject matter, which is the Privatisation of Postal Service, by using a rhetorical question.

**Relating** is the activity in which the writers seek to reduce the ideological gap between themselves and the readers. This behaviour can be understood as the process of relating their ideological positions. In the *Privatisation* text, the writer tempts the readers to believe the privatisation will bring various positive outcomes as the writer thinks, by describing potential benefits of the privatisation.

**Sharing** refers to the activity in which the writers state the idea that they want to share with the readers. In the *privatisation* text, the writer asks the readers to accept his idea that the public needs to prepare for the privatisation.

These activities are, in part, reflected in the texts as the elements of structure, as it will be described in Section 4. The characteristics of the Field are summarised in Table 3-3.

**Table 3-3 Field of the Persuasive Texts**

Subject matter	differs across texts	
Social activity	particular	i) Summarising, ii) Anticipating, and iii) Suggesting
	common	i) Attracting, ii) Relating and iv) Sharing

### 3.2 Tenor of the Persuasive Texts

The Tenor, following Hasan (1985), is explored by identifying i) **social status**, ii) **social distance**, iii) **the degree of institutionalisation** (degree of control) and iv) the **agentive role** of the writers and the readers. Although the social status of the writers and the readers varies across the texts, the social distance, the degree of institutionalisation and the agentive role of the writers and the readers are similar.

### 3.2.1 Social status of the writers and the readers

The **social status** of the writers and readers varies across the texts. The corpus contains the texts in which writers have, generally speaking, a higher, lower or similar social status with their readers. This is illustrated in Table 3-4.

**Table 3-4 social status of the writers and the readers**

	Writer	Reader
Privatisation	Prime Minister of Japan	people of Japan
Environment	an academic in social science	academic audience
Eco-tourism	Editorial board of Asahi newspaper	general consumption
Lion Heart	Prime Minister of Japan	people of Japan
Soul	an academic in clinical psychology	general consumption
Arts Policy	heads of Arts Association	Director of the Agency for Cultural Affairs
Asahi	Editorial board of Asahi newspaper	general consumption
Yomiuri	Editorial board of Yomiuri newspaper	general consumption
Mainichi	Editorial board of Mainichi newspaper	general consumption
Sankei	Editorial board of Sankei newspaper	general consumption
Meaning and Function	an academic in linguistics	academic audience

For instance, although it is difficult to specify the social status between the writers and the readers since most texts in the corpus are written for a group of people rather than to an individual, in the *Privatisation* text, the writer has a higher status than the readers because the writer of the text is the Prime Minister of Japan, and the target audience is his public. Generally speaking, a PM has a higher social status than a general member of the society.

In contrast, the writers of the *Arts policy* text have a lower status than the target reader. The writers are the heads of an Arts association, and the target reader is the Director of the Agency for Cultural Affairs who, generally speaking, has a higher status than the heads of a private organisation.

The writer of the *Environment* text may have an equal status with the audience, since his audience are his colleagues, though the text may be read by the students who may have a lower status. Hence, in terms of the social status, the relations between the writers and the readers differ across the texts.

### 3.2.2 Social distance between the writers and the readers

On the other hand, the **social distance** between the writers and the readers are similar among the situations. The social distance is likely to be all near maximum rather than near minimum. That is to say, the writers and the readers know each other through infrequent contact (or no contact) and have a lesser degree of familiarity. For instance, considering the relationship of the writer and the readers of the *Asahi* text, which is an editorial of a national newspaper, the writer might have some exchange with some readers via letters or some other medium in receiving feedback and so on. However, the writer would have no or little contact with most readers.

### 3.2.3 Degree of institutionalisation

Further, in terms of the **degree of institutionalisation** or the degree of control, the relationships between the writers and the readers are similar across the texts. In all situations of the texts, the readers have more control over the writers in terms of the reader's situational right to decide whether to agree, disagree or ignore the writers' arguments. The writers are the ones who have to make an effort to gain the understanding of their readers, but not vice versa.

### 3.2.4 Agentive Role of the Writers and the Readers

In addition, in terms of **agentive role**, the relationships are similar. The writers have the agentive role to advocate a particular idea or action to the readers, while the readers are situated or, in some cases, are obligated to select whether they agree, disagree or are not concerned with the advocated positions. I refer to this role of the writers as the agentive role of **Persuader**, while calling that of the reader as the role of **Persuadee**. The features of Tenor are summarised in Table 3-5.

**Table 3-5 Tenor of the persuasive discourse**

social status	varies across the texts	
social distance	common	near maximum
degree of control	common	hierarchic: readers having control over writers in terms of the reader's right to choose to agree, disagree or ignore writers' position
agentive role	common	writers: Persuader, readers: Persuadee

### 3.3 Mode of the Persuasive Texts

Again, following the work of Hasan (1985), the Mode is investigated by exploring i) **channel**, ii) **process sharing**, iii) **language role**, and iv) **rhetorical purpose**. The texts in the corpus share the same or similar kinds of channel, process sharing, language role and rhetorical purposes.

#### 3.3.1 Channel of the Texts

The **channel** of all texts is **graphic**, since this is one of the criteria in selecting texts for the corpus. In other words, the messages of the texts in the corpus 'travel' on a piece of a paper, not on a sound wave. This situational factor affects the language of persuasion since depending on whether a text is delivered in spoken or written form, semantic and lexico-grammatical selections of the text can change (cf. Halliday, 1985a).

### 3.3.2 Process Sharing of the Texts

The **process sharing** of all texts is via the **written medium**. In other words, as the texts in the corpus are all finalised products, they do not allow any chance of immediate feedback from the readers.

### 3.3.3 The Role of Language of the Texts

The **language role** of all texts is largely constitutive rather than ancillary. Since the texts in the corpus are all written published texts, the language of the texts constitutes the social activities, rather than working in an ancillary manner with a material setting (cf. Halliday and Hasan, 1985; Cloran, 1999).

### 3.3.4 The Rhetorical Purpose of the Texts

The **rhetorical purpose** of the texts in the corpus is also similar, because the corpus selection is carried out in consideration to this feature as well as the channel. The rhetorical aim of the texts is persuasion. Table 3-6 below summaries the main ideas that the writers advocate in their texts.

**Table 3-6 rhetorical purposes of the texts in the corpus**

	Rhetorical purpose
Privatisation	to persuade readers to prepare for the privatisation of Postal Service
Environment	to persuade readers that it is necessary for us [the writer and readers] to construct the society that considers the interplay among industrial, social and ecological systems
Eco-tourism	to persuade readers to consider our [the writer and the readers] way of living in the 21st century in relation to our environment
Lion Heart	to persuade readers to accept and cooperate with the Humanitarian Reconstruction Assistance for Iraq by Self Defence Force for the restoration of Iraq
Soul	to persuade readers that it is necessary for us [the writer and the readers] to re-introduce the concept of soul to our society via telling and reading fantasies in order to solve psychological problems of modern people
Arts Policy	to persuade reader [Director of the Agency for Cultural Affairs] to i) provide opportunities to study about arts broadly, ii) to propose and implement the regulations and the policies that can issue a certification or diploma for artistic technique
Asahi	to persuade reader that the Bush government has the primary responsibility to construct the environment in which the UN Resolution for Iraq can function, and to gain understanding of Iraqi people
Yomiuri	to persuade readers that the Hand-over of sovereignty is an important step for the democratisation of Iraq
Mainichi	to persuade readers that the Iraq Interim government needs to i) gain an understanding of Iraqi people, ii) unite the nation and iii) eliminate terrorism
Sankei	to persuade readers that the Iraq Interim government requires the determination of Iraqi people as well as the intelligence and military force of other countries such as the US
Meaning and Function	to persuade the readers that the structure of a clause is composed of both semantic and functional structure

Table 3-7 summarises the features of the Mode.

**Table 3-7 Mode of the persuasive discourse**

channel	common	graphic
process sharing	common	written medium
language role	common	largely constitutive
rhetorical purpose	common	persuasion

### 3.4 The Situational Type of the Japanese persuasive texts

Based on the arguments above, the situation type of the Japanese persuasive texts in the corpus can be specified as the population of the situations of which

- i) social activities contain Attracting, Relating and Sharing activities;
- ii) social distance is near maximum;
- iii) degree of institutionalisation is hierarchical;
- iv) agentive role for a writer is the role of Persuader and that of readers is the role of Persuadee;
- v) channel is graphic;
- vi) process sharing is written;
- vii) role of language is largely constitutive;
- viii) rhetorical purpose is persuasion.

The next section describes the GSP within this situation type.

## 4 Elements of Structure, Nuclear and Elaborative meanings and Generic Structure Potential of the Japanese Persuasive Texts

As mentioned in Section 2 above, according to Hasan (1985), the structure of a text is composed with certain kinds of elements. For example, according to Martin (1985), the structure of English Exposition is constituted by the elements, or stages<sup>14</sup>, such as **Thesis**, **Arguments** and **Conclusion**. Martin (1985) defines these elements of the structure as follows:

<sup>14</sup> In Genre theory, the term 'stage' is used.

~In Exposition, more than one argument is presented in favour of a judgement. We will refer to the judgement in Exposition as THESIS, and to the reasons supporting it as ARGUMENTS. In mature Exposition ... the Arguments and Thesis may be summed up in a final paragraph or CONCLUSION (p.14).

However, the structure of Japanese persuasive text may be constituted by those elements of structure that are different from those of English. This is because the structures are activated by the situations in which they are embedded (Hasan, 1985). As the situations of English and Japanese persuasive texts are different to a greater or lesser degree, the structure of Japanese persuasive texts may be constituted by different kinds of elements of structure.

In fact, this study identifies, although they may be related to the English elements, different kinds of obligatory and optional elements. Below, I will explain these elements one by one, by specifying their nuclear and elaborative meanings.

### **4.1 Obligatory Elements**

Obligatory elements of the generic structure of Japanese persuasive texts are i) Inducement (*sasoi*), ii) Empathetic Construction (*kyookan-koochiku*) and iii) Position (*tachiba*). These elements are identified as obligatory, because they occur in every text in the corpus. Table 3-8 represents this. The symbol “ \* ” indicates that the element is iterative. These elements will be exemplified by mainly using the *Privatisation* text below.



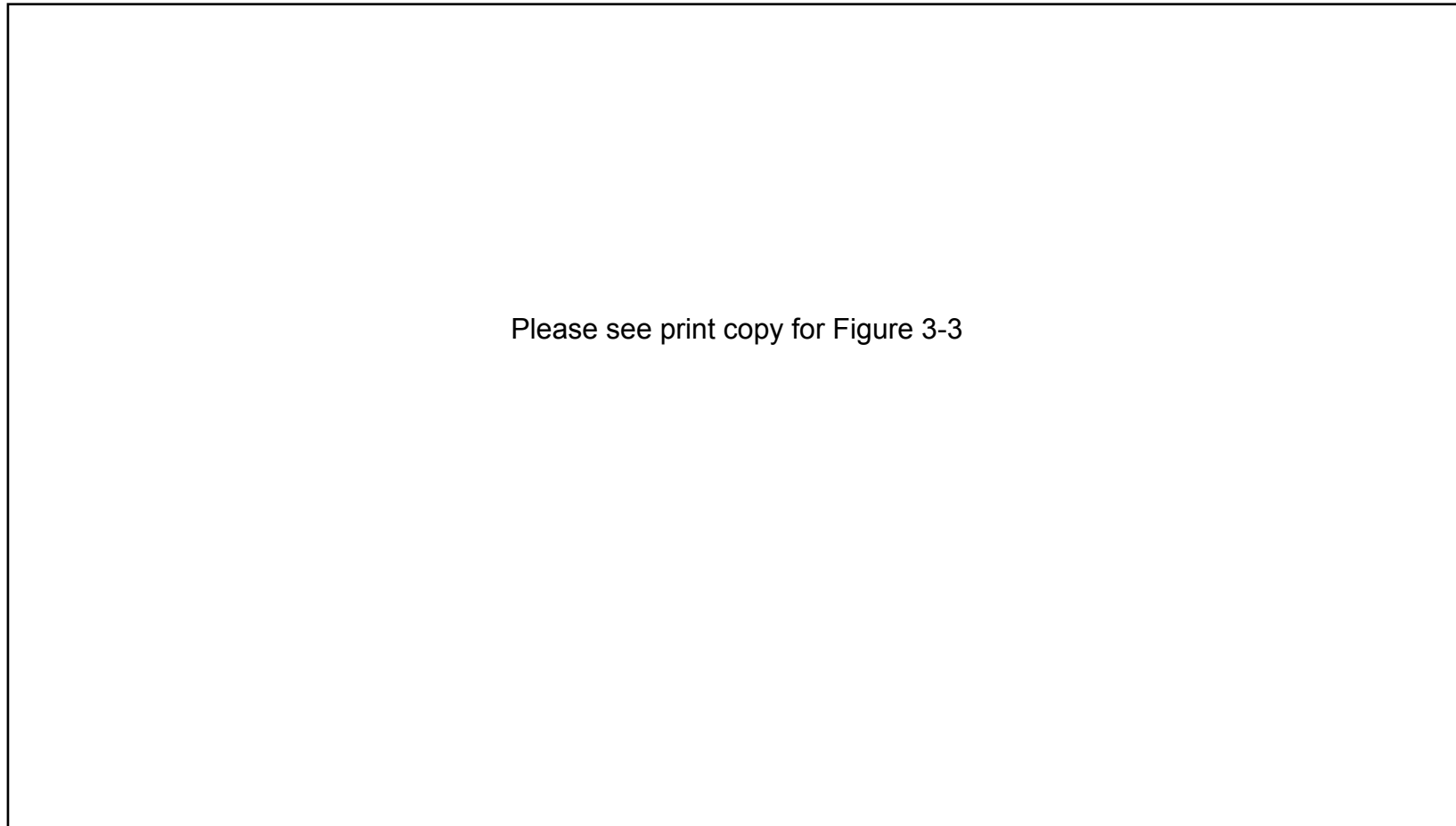
**Table 3-8 the appearance of Inducement, Empathetic Construction and Position**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F
Inducement	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Empathetic Construction	✓*	✓*	✓	✓*	✓*	✓*	✓*	✓*	✓*	✓*	✓*
Position	✓	✓	✓	✓	✓	✓*	✓	✓	✓*	✓	✓

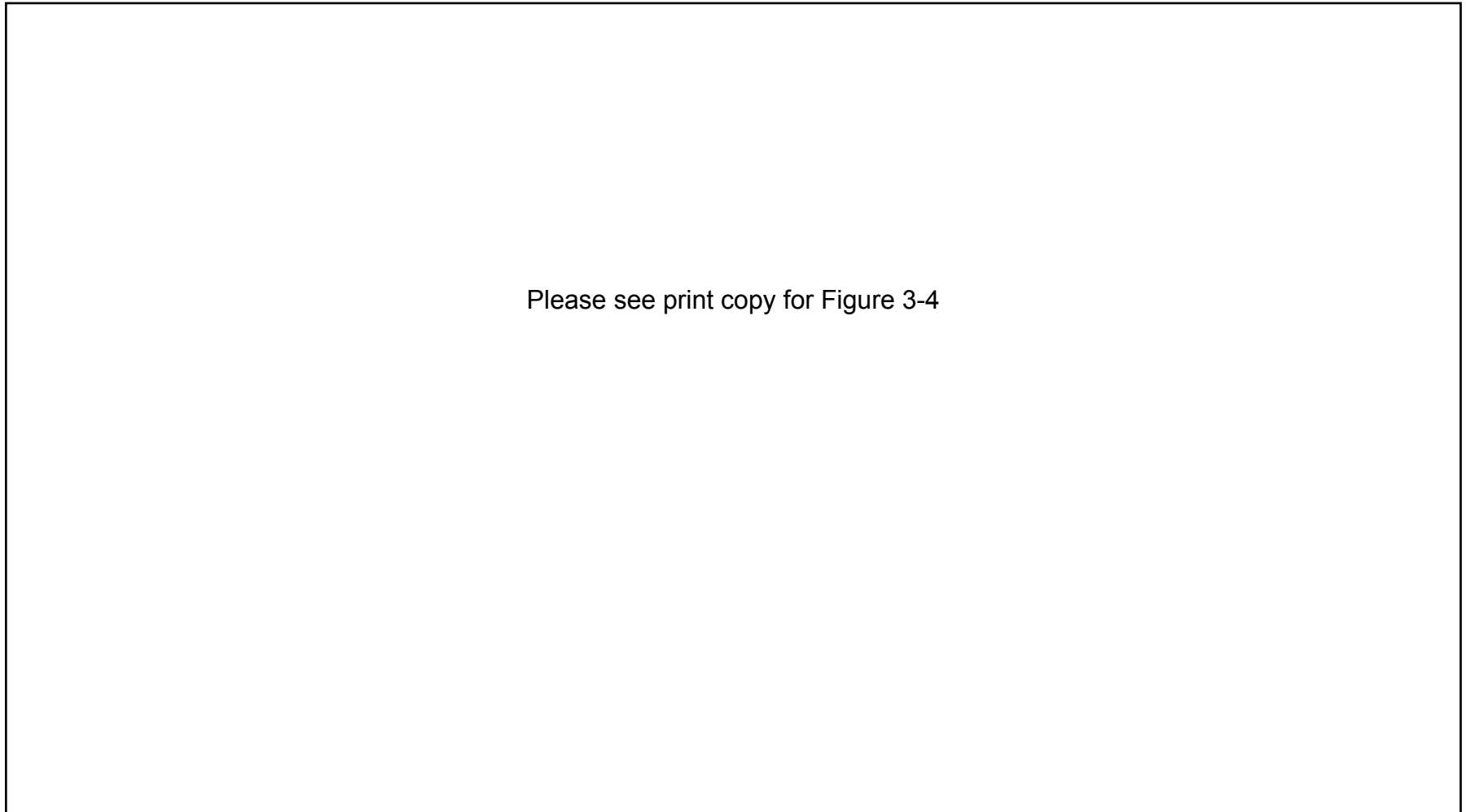
#### 4.1.1 Inducement (*sasoi*)

Inducement is the element that is motivated by the social activity of Attracting. The Inducement element always contains the nuclear meaning, **Invitation**. Invitation refers to those semantic attributes that invite and attract readers to the discourse, and introduce the events or ideas that are directly or indirectly related with the main subject matter of the persuasive texts. For instance, as illustrated in Figure 3-3 (translated version in 3-4) below, Invitation appears in the beginning of the *Privatisation* text. The Invitation invites readers to the discourse and introduces the main subject matter, ‘the privatisation of Postal Service’. In the text, the writer expresses Invitation by rhetorically asking his public: “*yuusei mineika-ga koizumi-naikaku no susumeru kaikaku no “honmaru” dearu to iu no-wa naze deshooka*” (Why is the privatisation of Postal Services the centre of the castle [metaphorically means ‘important’] for the restructuring of political system promoted by the Koizumi Cabinet?).

**Figure 3-3 the actual structure of *Privatisation* (original version)**



**Figure 3-4 the actual structure of *Privatisatioin* (translated version)**



In addition to the nuclear meaning, Invitation, the Inducement element can have three other types of elaborative meanings; i) **Announcement**, ii) **Motivation** and iii) **Preview**. **Announcement** explicitly states the assumption that the writers have in persuading the readers. For instance, in the *Meaning and function* text, the writer announces his assumption in its Inducement element by saying;

*shitagatte, bun-o kumitateru yooso-wa, kanarazushimo tango dewanai no da-ga, kono ronbun-dewa bun-o kumitateru yooso-ni naru no-wa tango dearu to iu fuu-ni, ima-wa tanjunksashite rikaishiteoku.*

Hence, although it is not always the case that the components of clause are words, in this paper, by simplifying it, (we) shall presume that the words are the components of a clause.

(from *Meaning and Function*)

The second type, **Motivation**, is the semantic attribute that motivates readers to believe that there are issues or problems around the topics that are chosen as the main subject matter. For instance, in the *Asahi* text, the writer expresses Motivation so that the readers believe that the Hand-over of sovereignty, which is the main subject matter of the text, has a problem. The writer does this by saying:

*sorenishitemo, tanan-na funade dearu. tero-ya shuugeki-no hyooteki-wa zanteisee-fu nimo mukerare, chitsujo-ga antee-suru kizashi-wa mienai. shuken no ijoo-o totsujō maedaoshi-shita no mo, ijoo-ni mukete hageshisa-o masu tero-o kawasoo-to iu ito kamoshirenai.*

Still, for all that, (it) is a very hard start of a voyage [metaphorically means dangerous start]. The Interim government becomes the target of terrorists' attack and, (we) cannot see any sign of the stability of the order. It was maybe the case that the Hand-over of the sovereignty was suddenly brought forward because of (their) intention to avoid terrorism which was becoming more active toward the Hand-over.

(from *Asahi*)

The third type, **Preview** illustrates how the writers organise texts or how they start their text. For instance, the Preview in the *Meaning and Function* text explains how the writer starts his text. The writer says:

*kono 'yooso=tango' no imi-ni tsuite no setsumee-kara hajimeyoo.*

Let's start with explaining the meaning of 'constituent = word'.

(from *Meaning and Function*)

The nuclear and elaborative meanings of the Inducement element are listed in Table 3-9.

**Table 3-9 the nuclear and elaborative meanings of Inducement**

Inducement	nuclear	Invitation	the semantic attribute that invites readers and introduces a main subject matter
	elaborative	Announcement	the semantic attribute that announces the assumption of a writer explicitly to readers
	elaborative	Motivation	the semantic attribute that motivates readers to believe that there are problems or issues around the topic chosen as main subject matter of texts
	elaborative	Preview	the semantic attribute that states the organisation of a text or what to discuss first in a text

#### 4.1.2 Empathetic Construction (*kyookan-koochiku*)<sup>15</sup>

The second type of obligatory element is Empathetic Construction. Empathetic Construction is the element that is motivated by the social activity of Relating. Empathetic Construction is expressed by the nuclear meaning, **Relativisation**. Relativisation is the meaning that evokes empathy from readers and reduces the ideological gap between the writers and the readers. In other words, it is the meaning that may make the readers think as the writers do. Hence, it ‘relativises’ the writers and the readers. For instance, in the *Privatisation* text, following the Inducement element, the writer expresses Relativisation in the Empathetic Construction element in order to make the readers think as the writer does – i.e. that privatisation will bring positive outcomes. He expresses the Relativisation by listing the potential benefits of the privatisation. For instance, He says:

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<sup>15</sup> Although the name ‘Empathetic Construction’ is mainly interpersonally oriented, I labelled the element as ‘Empathetic Construction’ so that it can reflect a variety of persuasive strategies. In the persuasive texts, the writer uses not just logic but other strategies. The names such as Argument (cf. Martin. J.R. 1985), on the other hand, highlight the ideational function of the elements or stages.

*yuusei-mineika-ga jitsugensure-ba, 350-choo-en mono boodaina shikin-ga kan-denaku minkan-de katsuyoosareru yoo-ni narimasu.*

If the privatisation of postal services is actualised (by someone), the fund of 350 billion-yen will be effectively used in private companies (by someone) but not in the public corporations.

(from *Privatisation*)

Empathetic Construction element may also contain an elaborative meaning,

**Detachment.** Detachment ‘detaches’ readers from the counter arguments that can work against writers’ ideological positions. For instance, in the *Privatisation* text, the writer attempts to detach his readers from the idea that public corporations are always beneficial, by saying;

*daiichi-ni, yuuchō ya kanpo no shikin-wa, koremade tokushu-hōjin-no jigyou-shikin-to shite katsuyoosaretekimasita. katsute-wa juuyō-na yakuwari-o hatashiteita jigyou-deatte-mo shidai-ni tsukawarekata-ga koochiku-ka-shi, kokutetsu ya dooro-koodan nado-ni mirareta yoo-ni muda-o shoōjisase, kekkyoku kokumin no zeekin-de hotenshinakerebanaranai rei-mo arimashita.*

Firstly, the capital from post-office saving and insurance has been utilised as the source of the fund for public corporation (by someone). Although public corporations played important role in the past, there were the cases in which the fund was wasted by the public corporations like the case of the Public corporation for Railway and Roads. As a result, (the loss/it) had to be covered by taxing public.

(from *Privatisation*)

Table 3-10 lists the nuclear and the elaborative meaning of Empathetic Construction.

**Table 3-10 the nuclear and the elaborative meaning of Empathetic Construction**

Empathetic Construction	nuclear	Relativisation	the semantic attribute that reduces the ideological gap between a writer and readers, and relativises them
	elaborative	Detachment	the semantic attribute that detaches readers from the counter arguments that can work against writer’s idea

#### 4.1.3 Position (*tachiba*)

The third obligatory element, Position, is the element in which the writers attempt to

locate the position of the readers. It is motivated by the social activity of Sharing. It is construed by the nuclear meaning, **Standpoint**. Standpoint expresses the ideas that the writers want to share with the readers. For instance, in the Position element of the *Privatisation* text, the writer states the idea that he wants his readers to adopt, -i.e. the idea that the public needs to prepare for the privatisation of the Postal Services. He does this by saying;

*yuusei mineika-ni mukiatteitadakitai-to omoimasu.*

(I) humbly ask you to prepare for the privatisation of Postal Services.

(from *Privatisation*)

In addition, the Position element may contain elaborative meanings such as **Concern** and **Promise**. **Concern** addresses potential anxiety of the readers in sharing the idea advocated by the writers. For instance, in the *Privatisation* text, the writer states the potential concern of the public with regard to the privatisation of Postal Service, by saying;

*daredemo genjoo-o kaeru koto-ni-wa teikoo-kan-ga aru mono desu-ga, ...*

everybody hesitates to change a current situation, but ...

(from *Privatisation*)

The other type, **Promise** describes what the writers will do, if readers accept to share the idea expressed by Standpoint. For instance, in the *Lion heart* text, the writer states the action that he and his government will take if the readers accept his idea to send Self Defence Force to Iraq, by saying:

*jieitai-o hakensuru baai-niwa, anzenmen-ni olte juubun-na hairyo-o-shi, nihonselfu-to shite zenryoku-o agete sonokatsudoo-o shienschitemairimasu.*

If (we) send Self Defence Force (to Iraq), (we) will deeply consider the safety and support (Self Defence Force) with our best.

(from *Lion heart*)

Table 3-11 lists the nuclear and the elaborative meanings of the Position element.

**Table 3-11 the nuclear and the elaborative meanings of Position**

Position	nuclear	Standpoint	the semantic attribute that expresses the idea/notion that a writer want to share with readers
	elaborative	Concern	the semantic attribute that expresses potential anxiety or concern of readers in sharing the idea advocated by a writer
	elaborative	Promise	the semantic attribute that states the actions that a writer will do, if readers accept to share writer's idea

These three elements, Inducement, Empathetic Construction and Position, are the elements of structure that are shared across all texts in the corpus.

#### 4.2 Optional Elements of the Japanese Persuasive Texts

Other than, these three obligatory elements, a Japanese persuasive text may have optional elements; i) **Précis** (*matome*), ii) **Prospect** (*tenboo*) and iii) **Suggestion** (*kanshoo*). These elements are identified as optional elements, as they appear in only certain texts, as illustrated in Table 3-12.

**Table 3-12 the appearance of the optional elements in the structure of the texts in the corpus**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F
Précis		✓		✓		✓					✓
Prospect								✓	✓	✓	
Suggestion		✓				✓		✓	✓*		✓



#### 4.2.1 Précis (*matome*)

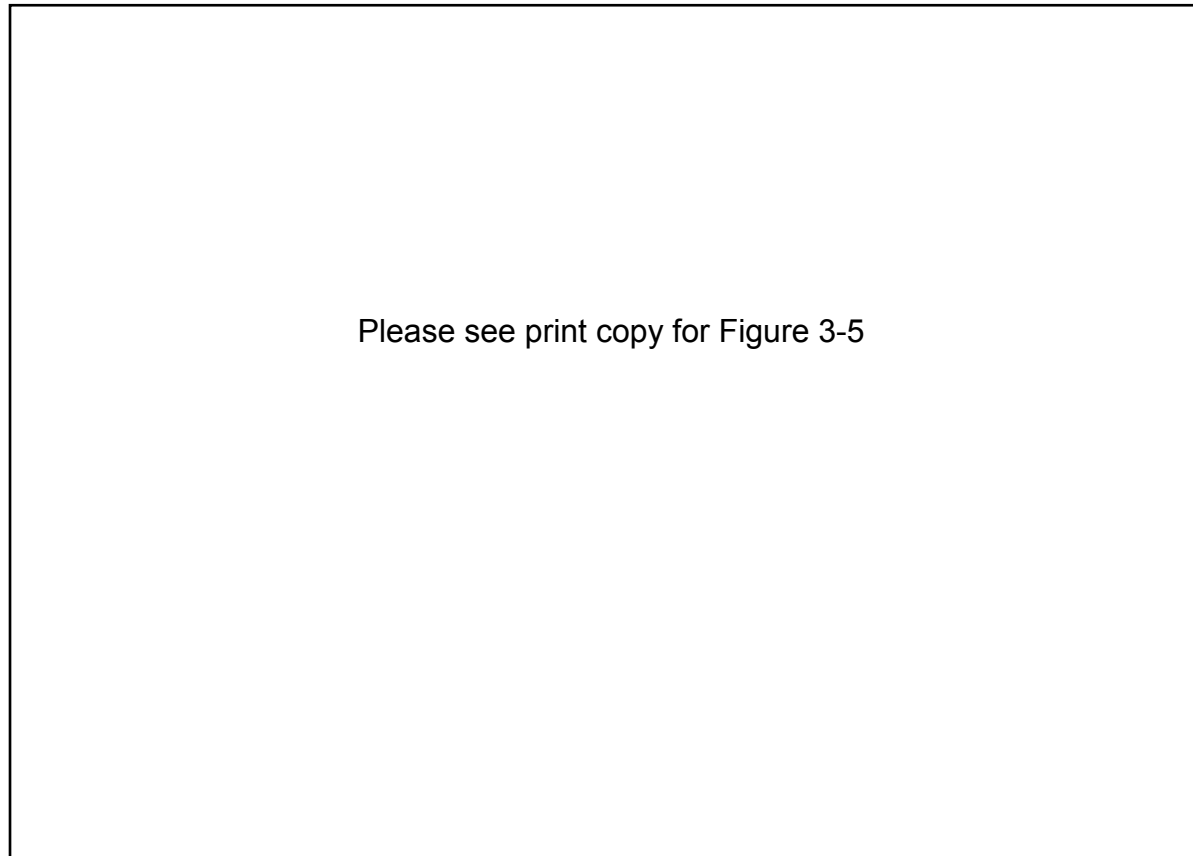
**Précis** is the element that is motivated by the social activity of Summarising. This is the element that contains the nuclear meaning, **Summary**. The nuclear meaning summarises the arguments that are presented in an Empathetic Construction element. For instance, as illustrated in Figure 3-5 below, in the Précis element of the *Lion heart* text, the writer realises Summary so that he can provide a summary of his discussion about the safety issue and the Constitutions with regard to the Humanitarian Reconstruction Assistance for Iraq that are presented in its Empathetic Construction elements. He summarises his view by saying that:

*konkai no iraku jindoo-fukkoo-shien-ni tsuite, nihon dake-ga "kiken dakara ikuna", "kikenna koto-wa hoka no kuni-de yattekure"-to itte, "kokusai-shakai-ni oite meiyo aru chii-o shimetai-to iu kenpoo no rinen-ni kanaunodeshooka. watashi-wa soo-wa omoimasen.*

In discussing about the Humanitarian Restoration Assistance (for Iraq), (can) we say that "we should not go because it is dangerous" or "let other countries do the dangerous tasks"? And, do (you) think that this will meet the Principle of the Constitution that (Japan) will carry out the actions that would be honoured from other countries? I don't believe so.

(from Lion hart)

**Figure 3-5 example of Précis**



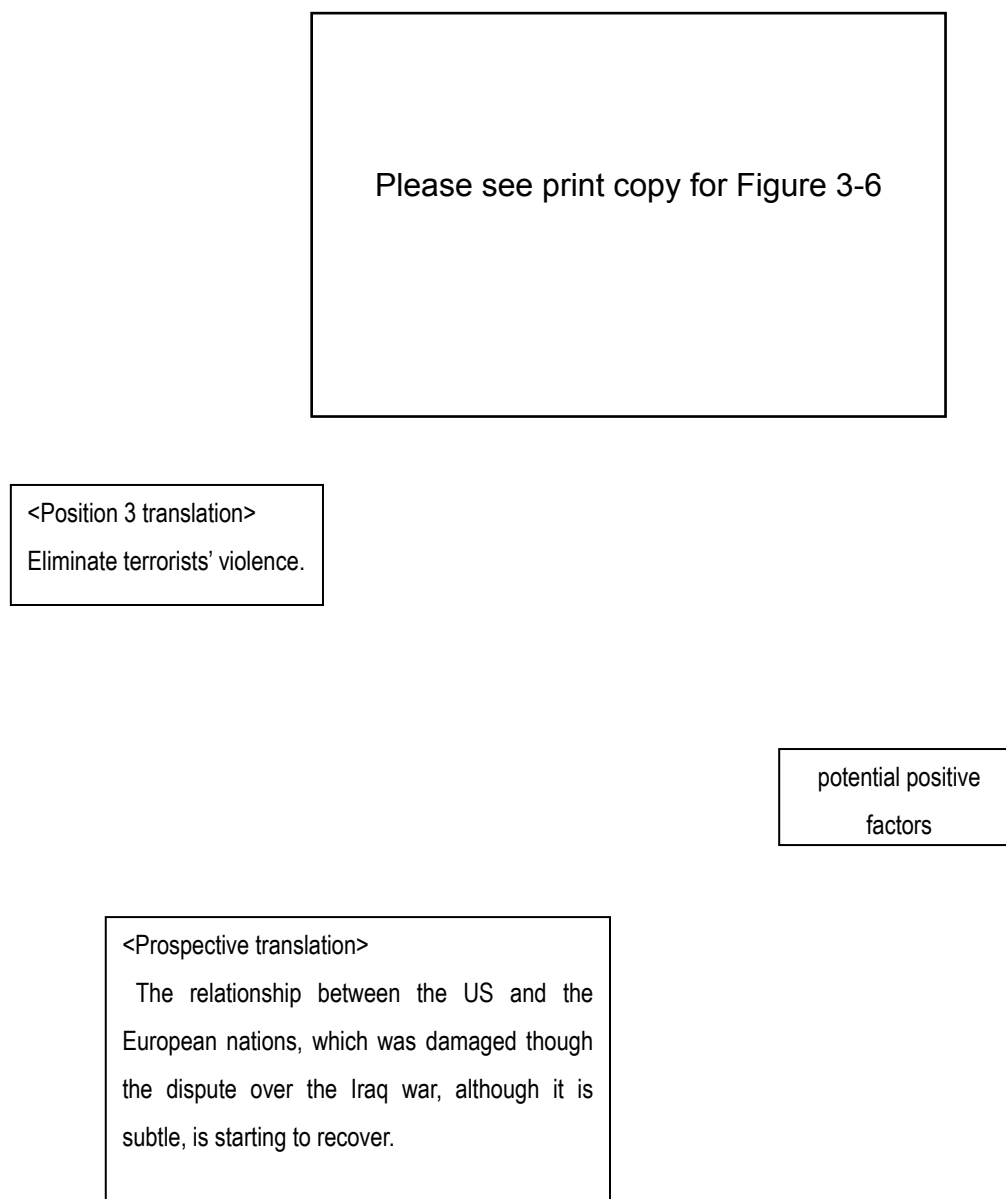
<Translation of Summary >

In discussing about the Humanitarian Restoration Assistance (for Iraq), (can) we say that “we should not go because it is dangerous” or “let other countries do the dangerous tasks”? And, do (you) think that this will meet the Principle of the Constitution that (Japan) will carry out the actions that would be honoured from other countries? I don't believe so.

#### 4.2.2 Prospect (*tenboo*)

Another optional element is **Prospect**. Prospect is the element that is motivated by the social activity of Anticipating. The nuclear meaning of the Prospect element is **Expectation**. Expectation describes the potential future events or the current situation that may positively affect the main argument presented in the Position element. For instance, in the Prospect of the *Mainichi* text, the writer express Expectation by listing the situations such as “*iraku sensoo no zehi-o meguri shoojita bei-oo no kiretsu-mo, ichiyoo wakai-e to ugokidashiteiru*” (The relationship between the US and the European nations, which was damaged through the dispute over the Iraq war, although it is subtle, is starting to recover), which may affect positively the realisation of the advocated idea such as “*booryoku tero-o tate*” (Eliminate terrorists’ violence) as illustrated in Figure 3-6.

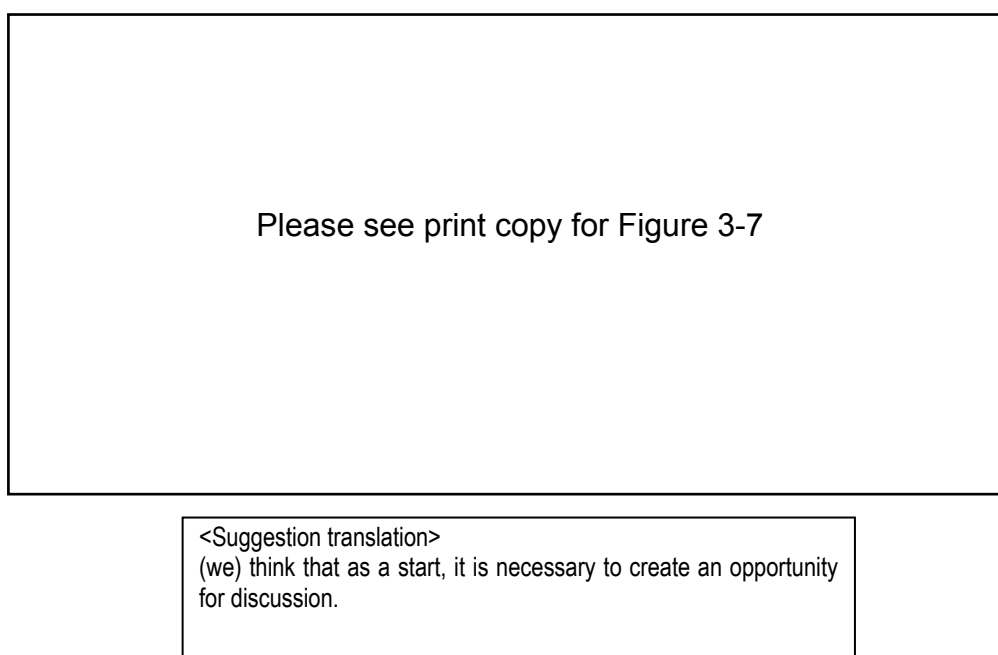
**Figure 3-6 example of Prospect**



#### 4.2.3 Suggestion (*kanshoo*)

The third optional element is Suggestion. This is the element that is motivated by the social activity of Suggesting. The element is expressed by the nuclear meaning, **Recommendation**. Recommendation suggests potential preliminary actions that may contribute to the implementation of the main ideas stated in the Position element. For instance, as illustrated in Figure 3-7, in the Suggestion of the *Arts policy* text, the writers express their recommendation for the action which may contribute to realise their requests to the Director of the Agency of the Cultural Affairs. They suggest “*mazu-wa, kyooigi no ba no secchi-ga hitsuyoo to kangaemasu*” ((we) think that, as a start, it would be necessary to create an opportunity for discussion).

**Figure 3-7 example of Suggestion**



With these three obligatory and three optional elements, the text structures of the Japanese persuasive texts are constituted. In the next section, I will formulate Generic Structure Potential of the texts by investigating the actual structure of the texts..

### 4.3 Generic Structure Potential of Japanese Persuasive Texts

In the previous sections, the elements of structure that appears in the corpus are categorised. By using the classification, the actual structures of the texts in the corpus are described as in Table 3-13.

**Table 3-13 actual structure of the texts in the corpus**

Text	actual structure
Privatisation	IDC^EC^EC^EC^EC^EC^PST
Environment	IDC^EC^EC^EC^EC^EC^EC^EC^PRE^SGT^PST
Eco-tourism	IDC^EC^PST
Lion Heart	IDC^EC^EC^EC^EC^EC^EC^PST^PRS
Soul	IDC^EC^EC^PST
Arts Policy	IDC^PST^EC^PST^EC^PRE^SGT
Asahi	IDC^EC^EC^EC^EC^PST
Yomiuri	IDC^PST^EC^EC^PRS^SGT^SGT
Mainichi	IDC^PST^EC^PST^EC^PST^EC^PRS^SGT
Sankei	IDC^EC^EC^EC^PRS^PST
Meaning and Function	IDC^EC^EC^EC^EC^EC^EC^EC^EC^EC^EC^EC^EC^PRE^PST ^SGT

Abbreviation	abbreviated element
IDC	Inducement ( <i>sasoi</i> )
EC	Empathetic Construction ( <i>kyookan-koochiku</i> )
PST	Position ( <i>tachiba</i> )
PRT	Précis ( <i>matome</i> )
PRS	Prospect ( <i>tenboo</i> )
SGT	Suggestion ( <i>kanshoo</i> )

The element, Inducement, always occurs in the beginning of the texts. In some texts such as *Privatisation*, *Eco-tourism* and *Lion Heart*, it is followed by one or a number of Empathetic Construction elements. In these texts, Position element occurs towards the end of the texts and there is only one Position element in each structure. Further, in these structures, Suggestion, if it is present, may precede Position as in *Environment*.

However, in other texts such as *Arts Policy*, *Yomiuri* and *Mainichi*, Inducement element is followed by Position element, which is further followed by one or a number

of Empathetic Construction elements. In these structures, with the exception of *Yomiuri*, more than one Position is present. When more than one Position is inserted, each Position is always followed by at least one Empathetic Construction. In these structures, Suggestion cannot precede Position.

This suggests that, depending on whether Empathetic Construction follows or precedes the Position element, different kinds of constraints are applied to the structures. In addition, it is also evident that, in any structures, Précis and Prospect do not appear simultaneously.

Based on this finding, I propose two models of the GSP of Japanese persuasive texts. I refer to the structure in which the Position element follows the Empathetic Construction element as the **mono-positioning** model, as it can have **only one** Position. I refer to the structure in which the Position element precedes the Empathetic Construction element as the **multi-positioning** model, as it **can** have **more than one** Position. The models of GSP are represented in Figure 3-8. The keys to notation are explained in Table 3-14, adopting Hasan (1984b).

**Figure 3-8 the GSP of the written Japanese persuasive texts in the corpus**

the mono-positioning model

$$IDC^{EC*}(PRT)/(PRS) \cdot (SGT) \cdot PST$$

the multi-positioning model

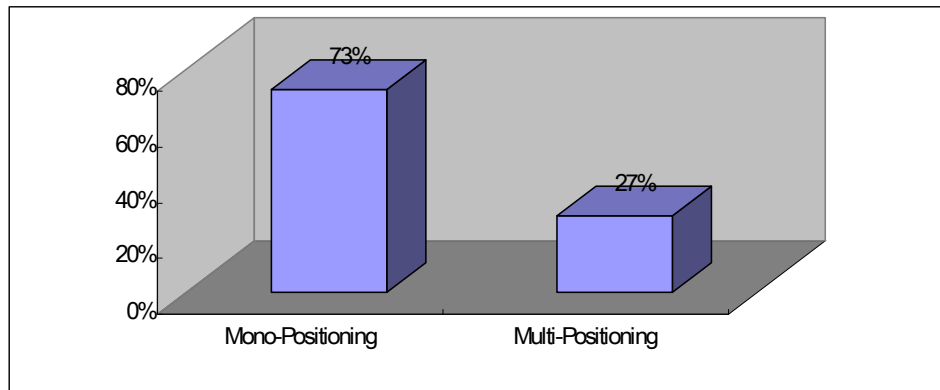
$$IDC \{PST^{EC*}\}^{*}(PRT)/(PRS)^{(SGT)}$$

**Table 3-14 keys and abbreviations for the GSP descriptions**

keys	notation meaning
( )	optionality of the element, e.g. (A) = the element A is the optional element
·	choice of order, e.g. A·B = Element A can precede or follow Element B
^	ordering, e.g. A^B = Element A precedes Element B
*	iteration, e.g. A* = Element A can occur more than one
{ }	iteration pair, e.g. {A^B}* = the structural pair A^B can appear more than once in a text
/	choice of element, e.g. A/B = either A or B can appear but not both simultaneously in a structure
Abbreviation	abbreviated element
IDC	Inducement ( <i>saso</i> )
EC	Empathetic Construction ( <i>kyookan-koochiku</i> )
PRT	Précis ( <i>matome</i> )
PRS	Prospect ( <i>tenboo</i> )
PST	Position ( <i>tachiba</i> )
SGT	Suggestion ( <i>kanshoo</i> )

As illustrated in Chart 3-1, in the corpus, the mono-positioning model is preferred. While 73% of the texts (8/11) have the mono-positioning structure, only 27% (3/11) have the multi-positioning structure.

**Chart 3-1 Preference between mono-positioning model and multi-positioning model in the corpus**



## 5 Discussion and Conclusion

### 5.1 Summary

In this chapter, I identified i) the situation type, ii) the obligatory elements, iii) the optional elements, iv) the potential order of the elements, v) the nuclear meanings, and vi) the elaborative meanings of the Japanese Persuasive texts in the corpus.

Firstly, I defined the situation type of the Japanese persuasive texts in the corpus as the population of the situations that shares the eight situational values listed in Table 3-15. The models of the GSP proposed above can be applied to this situation type.

**Table 3-15 the features that are generic in the situational type of the persuasive discourses in the corpus**

Field	social activity	Attracting, Relating, Sharing
Tenor	social distance	near maximum
	degree of institutionalisation	hierarchic
	agentive role	writer: Persuader, reader: Persuadee
Mode	channel	graphic
	process sharing	written
	language role	largely constitutive
	rhetorical purpose	persuasion

Secondly, I identified the elements of structure and their nuclear and elaborative meaning of the Japanese persuasive texts in the corpus. The obligatory elements of the texts were Inducement, Empathetic Construction and Position. The Inducement element



attracts the readers to the discourse. Its nuclear meaning is Invitation and its elaborative meanings are Assumption, Motivation and Preview. The Empathetic Construction element evokes empathy from readers. Its nuclear meaning is Relativisation and its elaborative meaning is Detachment. The third type, the Position element, expresses the ideas/notions that writers want to share with readers. Its nuclear meaning is Standpoint, and its elaborative meanings are Concern and Promise.

In addition, the present study identified the three types of optional elements, which are Précis, Prospect and Suggestion. The Précis element is realised by its nuclear meaning, Summary. The Prospect element is expressed by its nuclear meaning, Expectation. The Suggestion element is realised by the nuclear meaning, Recommendation. Table 3-16 below lists the nuclear and elaborative meaning of each element.

**Table 3-16 the lists of the elements of structure and nuclear and elaborative meanings of Japanese persuasive texts**

Inducement	nuclear	Invitation	the semantic attribute that invites readers and introduces a main subject matter
	elaborative	Announcement	the semantic attribute that announces the assumption of a writer explicitly to readers
	elaborative	Motivation	the semantic attribute that motivates readers to believe that there are problems or issues around the topic chosen as main subject matter of texts
	elaborative	Preview	the semantic attribute that states the organisation of a text or what to discuss first in a text
Empathetic Construction	nuclear	Relativisation	the semantic attribute that reduces the ideological gap between a writer and readers and relativise them
	elaborative	Detachment	the semantic attribute that detaches readers from the counter arguments that can work against writer's idea
Position	nuclear	Standpoint	the semantic attribute that expresses the idea/notion that a writer want to share with readers
	elaborative	Concern	the semantic attribute that expresses potential anxiety or concern of readers in sharing the idea advocated by a writer
	elaborative	Promise	the semantic attribute that states the actions that a writer will do, if readers accept to share writer's idea
Précis	nuclear	Summary	the semantic attribute that summaries the arguments presented in Empathetic Construction
Prospect	nuclear	Expectation	the semantic attribute that describes the potential future events or the current situation that may affect positively for the idea advocated by the writers in the Position element
Suggestion	nuclear	Recommendation	the semantic attribute that suggests possible preliminary actions that may contribute in implementing the advocated idea stated in Position

This finding suggests that, in order to persuade in writing in a Japanese community, writers have to i) attract their readers, ii) 'relativise' themselves and the readers and iii) indicate the idea that the writer want to share. The writers cannot simply state what they think and argue their position without attracting the readers and developing affiliation with them. It seems that Japanese persuasive texts are not structured with those elements that proves the validity of an individual position, but with those elements which invoke the readers to share the idea presented by the writers.

## **5.2 Mono-positioning and multi-positioning models – native and introduced?**

Further, I proposed i) the mono-positioning model and ii) the multi-positioning model as the generic structure potentials of the Japanese persuasive texts. But, why are there two models for the one situation type? This seems to be a rare incidence considering other

studies of GSP (Hasan, 1985; 1984b).

One possible explanation may be the potential distinction between native and introduced structure. The mono-positioning model might be the native model, while the multi-positioning model is the introduced one. According to the studies around 1980s such as the one by Hinds (1980), the Japanese expository text is characterised as inductive, since Japanese writers tend to present evidence before stating a position. However, studies around 2000s such as Spyridaki and Fukuoka (2000; 2002a) found that Japanese writers use an inductive as well as deductive approach. The deductive approach is the rhetorical style in which a position is presented before showing evidence. The findings from these studies can be interpreted as indicating that, originally the mono-positioning model was the dominant model of writing, but this situation might have started to change as both the mono-positioning and the multi-positioning models are utilised in structuring the persuasive texts. This divergence of structure might stem from a variety of factors. For instance, translation of Western materials (cf. Kato, 1998; Kubota, 1997) or the publication of 'how to manuals' for following English Expository text structure (cf. Noguchi, 2002) might be causal factors.

This shift may also suggest a change of cultural value in Japanese society. The mono-positioning model is more effective for maintaining group consensus. This is because, since the Position element occurs after Empathetic Construction, readers are more prepared to share writers' arguments, when they are presented. Hence, theoretically, there is less resistance. In other words, the mono-positioning model creates solidarity with the readers before stating a position. Hence, it is ideal for maintaining the consensus of the group.

On the other hand, in the multi-positioning model, writers' arguments are stated before solidarity is created because the Position precedes the Empathetic Construction. This is more effective for establishing and fixing a position. This is because, since the position is presented first, from the beginning, the readers know what position the writer wants them to adopt. The Empathetic Construction in this model may not prepare the readers, but rather, it may convince the readers to adopt the position. Although in the corpus, the mono-positioning model is preferred, in order to further investigate this issue, a study of a larger corpus would be necessary, and this is beyond the scope of the present study.

In the next three chapters, I will explore how the nuclear meanings of Japanese persuasive texts are realised ideationally, interpersonally and textually. Although I will

approach the three perspectives individually, these three occur simultaneously as explained in Chapter 2. I will bring the three together in Chapter 7.

## **Chapter 4 Persuasion as Experience – TRANSITIVITY**

### **1 Introduction**

The last chapter explored the text structures and the meanings of written Japanese persuasive texts. It proposed the two models of Generic Structure Potential and identified the three obligatory elements, which are Inducement (*sasoi*), Empathetic Construction (*kyookan-koochiku*) and Position (*tachiba*). Further, it also specified their nuclear meanings. The nuclear meaning of Inducement is the Invitation element, while that of the Empathetic Construction element is Relativisation. That of the Position element is Standpoint.

This chapter explores how the ideational perspective of these three nuclear meanings is, in part, realised by the system of TRANSITIVITY. Following this, Section 2 illustrates how the present study identifies the resources that realises the ideational aspect of the nuclear meanings. Section 3 indicates the location of the system of TRANSITIVITY in SF theory. Section 4 presents the features of TRANSITIVITY that are realised in the corpus. This will be followed by Section 5 that illustrates which features of TRANSITIVITY are involved in the realisation of the nuclear meanings.

### **2 Method for Identifying the Ideational Resources**

The instances of TRANSITIVITY in the corpus are examined for the identification of the ideational resources that realise the nuclear meanings. This process involves two stages.

The first stage is to test the applicability of Teruya's (1998; 2004) description of Japanese TRANSITIVITY. Although the English system of TRANSITIVITY is described in many studies (cf. Halliday and Matthiessen, 2004; Matthiessen, 1995; Halliday and Matthiessen, 1999), the Japanese system has been studied by only a few scholars, and Teruya's description (1998; 2004) is one of the few. Teruya (1998) identifies and describes the features of the system based on the corpus composed of approximately 5500 clauses using the SysConc programme.

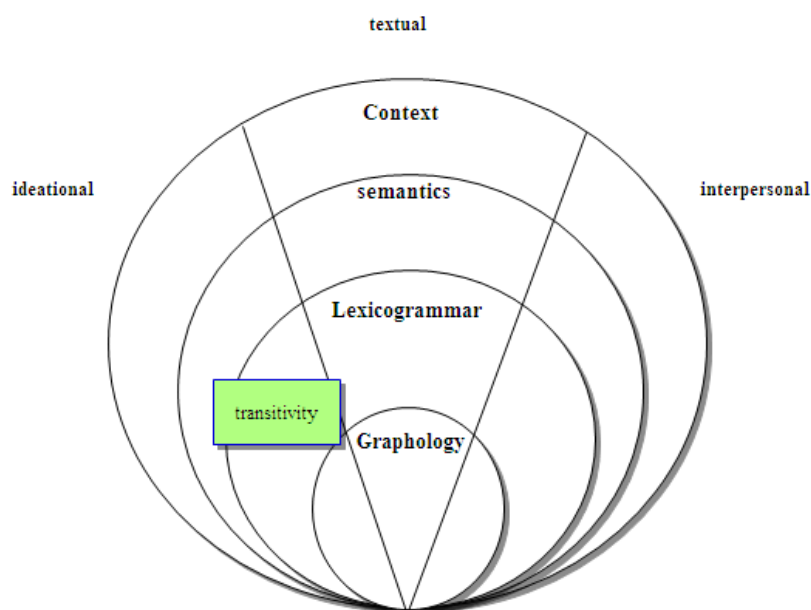
Although Teruya's description is extensive and was developed based on a relatively large corpus, this stage is necessary as Teruya's description have been applied in only a few studies (e.g. Barnard, 2003). In order to test his description, each major clause in the corpus was analysed. As a result, some features and Participant types are added to his description.

The second stage is to analyse which features of TRANSITIVITY are typically selected in realising the nuclear meanings. As mentioned in the previous chapter, Hasan (1984b) points out that a nuclear meaning can be realised either explicitly or implicitly. As this may suggest, one type of meaning may be expressed in a number of ways in accordance with its context. However, despite this, there are certain features that are often associated with the realisation. These features are identified by exploring frequency of the use of these features for realisation by the writers of the corpus. Through these stages, the study identifies the features that typically realise the ideational perspective of the nuclear meanings.

### **3 The System of TRANSITIVITY**

#### **3.1 Location of TRANSITIVITY in the SF dimensions of Language**

As illustrated in Figure 4-1, metafunctionally, TRANSITIVITY is an ideational resource, specifically, an experiential one. In other words, it is a resource for construing experience. Stratificationally, it is a lexico-grammatical resource. It is a resource of the stratum that is activated by semantics and that is realised by graphology or phonology.

**Figure 4-1 the location of the system of TRANSITIVITY**

As briefly mentioned in Chapter 2, the system of TRANSITIVITY represents experience by configuring ‘**Participant**’, ‘**Process**’, and optionally ‘**Circumstance**’ (Halliday and Matthiessen, 2004). The Process represents the event of experience. It is typically realised by a verbal group<sup>16</sup>. The Participant symbolises the entities who are involved in the event and it is realised by a nominal group. In Japanese persuasive discourse, it is frequently covertly expressed (See Chapter 6 for detail). The Circumstance represents circumstantial features of the event such as when or why the event occurs. It is realised by a postpositional phrase or adverbial group. For instance, the experience of “*tashinamerareta sensei*” (the teacher who was scolded) represented in the *Eco-tourism* text, is construed via the system of TRANSITIVITY as shown in Example 4-1.

<sup>16</sup> In Japanese, Process sometimes conflates with Participant, which is typically realised by a nominal group e.g. Attribute in ascriptive relational clause (cf. Teruya 1998).

**Example 4-1 Experiential structure of a clause**

たしなめられた先生は生徒たちを朝5時に起こして現場に連れて行った。

<i>tashinamerareta sensei-wa</i> scolded teacher-WA	<i>seito-tachi-o</i> students-O	<i>asa go-ji-ni</i> AM 5:00-at	<i>okoshite</i> wake up-and	<i>genba-ni</i> the place-NI	<i>tsureteitta.</i> take-PAST.
Participant ↓nom. gp.	Participant ↓nom. gp.	Circumstance ↓ post. phs.	Process ↓ver. gp.	Circumstance ↓post. phs.	Process ↓ ver. gp.

The teacher who was scolded (by a local farmer) woke the students up at 5:00 AM and took (them) to the place [to the farm].

(from *Eco-tourism*)

The event of the teacher's experience is represented by the Process “*okoshite*” (wake one up) and “*tsureteitta*” (took). The entities of the events are construed as the Participants “*tashinamerareta sensei*” (the teacher who was scolded) and “*seito-tachi*” (the students). The time and place in which the event occurred is construed as Circumstance “*asa go-ji-ni*” (at 5:00 AM) and “*genba-ni*” (to the place). By configuring these structural elements, the experience of the teacher is represented. In this thesis, I will not differentiate the types of Circumstance (for the classification of Circumstance, see Teruya (2004)).

### 3.2 Transitive and Ergative model of the System

SF theory offers two models for exploring the system of TRANSITIVITY, i) the **ergative** and ii) the **transitive models**. The ergative model is designed to illustrate causative relationships among participants across process types. It looks at the similarity among the features in the system as it does not distinguish types of Participant according to the process types (cf. Halliday and Matthiessen, 2004: 280-302). On the other hand, the transitive model is designed to represent the difference across process types. Unlike the ergative model, it does distinguish the types of Participant. In this study, both models are employed for describing the features of the system. The next section will present the features of the system realised in the corpus.

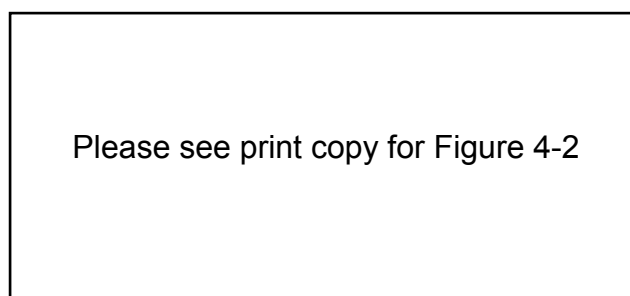


## 4 Features of the system of TRANSITIVITY in Japanese Persuasive Texts

### 4.1 Process type

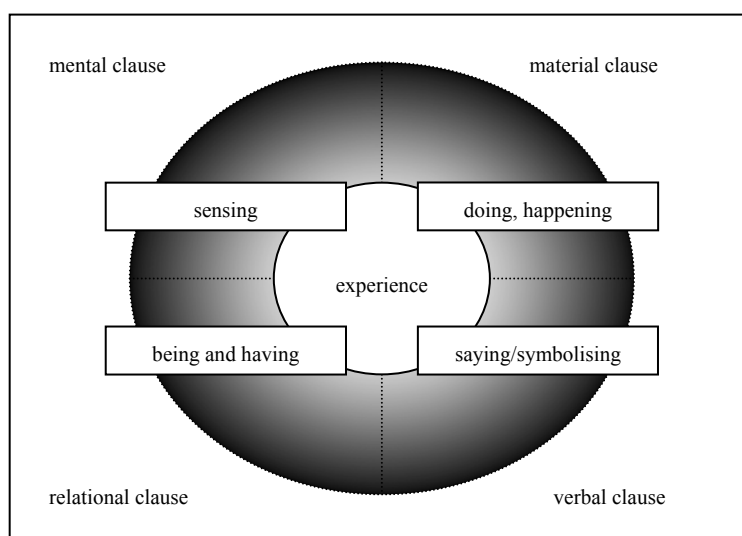
In Japanese persuasive texts, a variety of experiences are construed in accordance with the field of their discourse. However, when these experiences are represented as clause, they can be classified into four general types. This classification is possible as the Japanese system of TRANSITIVITY offers four primary features, i) **material**, ii) **mental**, iii) **relational** and iv) **verbal**. The features are represented in Figure 4-2 (Teruya, 1998).

**Figure 4-2 the features of TRANSITIVITY**



The four features are distinguished based on the system of **PROCESS TYPE**. The Process of each feature expresses a different kind of event. This is illustrated in Figure 4-3.

**Figure 4-3 process type and features of TRANSITIVITY**



The material clause construes process of **doing** and **happening**. It construes the experience of the physical world (**outer experience**) (Halliday and Matthiessen, 2004: 179-97). Example 4-2 is an instance.

#### Example 4-2 example of material clause

テロは世界各地で起こっています。

<i>tero-wa</i> terrorism-WA	<i>sekai kakuchi-de</i> everywhere in the World-DE	<i>okotteimasu.</i> occur-ASP.
Participant	Circumstance	Process: material

Terrorism is occurring everyplace in the World.

(from *Lion Heart*)

The mental clause represents process of **sensing**. It construes the experience of the psychological world (**inner experience**) (Halliday and Matthiessen, 2004: 197-210). An instance is in Example 4-3.

#### Example 4-3 example of mental clause

日ごろ忘れがちなこの大切な問題をぜひ、考えてみようではないか

<i>higoro wasuregachina kono taisetsuna mondai-o</i> daily life forgetting this important issue-O	<i>zehi,</i> ITJ,	<i>kangaetemiyouodewanaika.</i> think-ASP-VOL-KA
Participant	Inter. Adj	Process: mental

Let's think about this important issue which (we) tend to forget in everyday life.

(from *Eco-tourism*)

The relational clause symbolises the process of **being** and **having**. It construes the experience of the world of abstract relations (Halliday and Matthiessen, 2004: 210-48). Example 4-4 shows one instance.

#### Example 4-4 example of relational clause

私たちは宇宙船「地球号」の乗組員である。

<i>watashitchi-wa</i> We-WA	<i>uchuusen 'chikyugoo' no norikumi-in</i> spaceship 'earth' NO crew	<i>dearu.</i> COP.
Participant	Participant	Process: relational

We are the crew of the spaceship "the Earth".

(from *Environment*)

In the example, the clause construes the relation between “we” and “the crew of the spaceship “the Earth”.

The verbal clause construes the process of **saying** and **symbolising**. It construes the experience of the ‘symbolic exchange of meaning’ (Halliday and Matthiessen, 2004: 252-56), as in Example 4-5.

#### Example 4-5 example of verbal clause

すでに、アラウィ首相は非常事態宣言もあり得ると発言している。

<i>sudeni,</i>	<i>arawi shushoo-wa</i>	<i>hijoojitai sengen mo arieru-to</i>	<i>hatsugenshiteiru.</i>
already,	Allawi PM-WA	emergency alert MO can happen-TO	mention-ASP
Inter. adj.	Participant	Projection	Process: verbal

Already, PM Allawi has mentioned that there could be an emergency alert situation.

(from Mainichi)

In the sections below, the characteristics of each feature will be elaborated by specifying its sub-features. However, I will present the ergative types of Participant first, since, as mentioned, they are not distinguished in accordance with the process types.

## 4.2 Ergative Types of Participant

The ergative model of TRANSITIVITY classifies Participant into four types, i) **Medium**, ii) **Agent**, iii) **Beneficiary** and iv) **Range** (Halliday and Matthiessen, 2004).

The Medium represents the participant “through which the process is actualised” (Halliday and Matthiessen, 2004: 284). In other words, the Medium is the participant who is most centrally involved in the actualisation of the process (cf. Halliday and Matthiessen, 2004: 176). Because of the nature of the Medium, every clause expresses a Medium as its constituent, unless it is not covertly expressed. For instance, the clause in Example 4-6 below contains a Medium.

**Example 4-6 example of Medium and Agent**

われわれは、その意識の世界を拡大したのである。

<i>wareware-wa,</i> We-WA	<i>sono ishiki no sekai-o</i> that cognitive NO world-O	<i>kakudaishitanodearu.</i> extend-PST-ASP.
Agent	Medium	Process

We extended the world of the consciousness.

(from *Soul*)

In the example, the Medium is represented by the nominal group “*sono ishiki no sekai-o*” (the world of the consciousness). Through this Participant, the process of “*kakudaisuru*” (to extend) is actualised.

The **Agent** expresses the external causer of an event (Halliday and Matthiessen, 2004: 280-302). It is the entity that causes the event. In Example 4-6 above, the nominal group “*wareware-wa*” (we) functions as Agent, as it is the participant who causes the event “*kakudaisuru*” (to extend).

The **Beneficiary** is “the one to whom or for whom the process is said to take place” (Halliday and Matthiessen, 2004: 293). Example 4-7 contains a Beneficiary.

**Example 4-7 example of Beneficiary**

統治はアラウィ暫定政権にゆだねられた。

<i>toochi-wa</i> sovereignty-WA	<i>arawi-zanteiseiken-ni</i> Allawi-Interim government-NI	<i>yudanerareta.</i> render-PASS-PST.
Medium	Beneficiary	Process

The sovereignty was rendered to the Allawi Interim government.

(from *Asahi*)

In the example, the Beneficiary “*arawi-zanteiseifu-ni*” (Allawi Interim government) receives “*toochi*” (sovereignty) as the outcome of the Process “*yudanerareta*” (was rendered).

The **Range** is the participant which “specifies the range or domain of the process” (Halliday and Matthiessen, 2004: 293). Example 4-8 contains a Range.

**Example 4-8 example of Range**

20 世紀初[め]頃には 16 億 2500 万人を越えた

<i>20 seiki hajime-goro-ni-wa</i>	<i>16 oku-2500 man nin-o</i>	<i>koeta.</i>
20 century early at-WA	1 billion and 625 million people-O	exceed-PST.
Circumstance	Range	Process

In the early 20<sup>th</sup> century, [population] exceeded over 1 billion and 625 million.

(from *Environment* text)

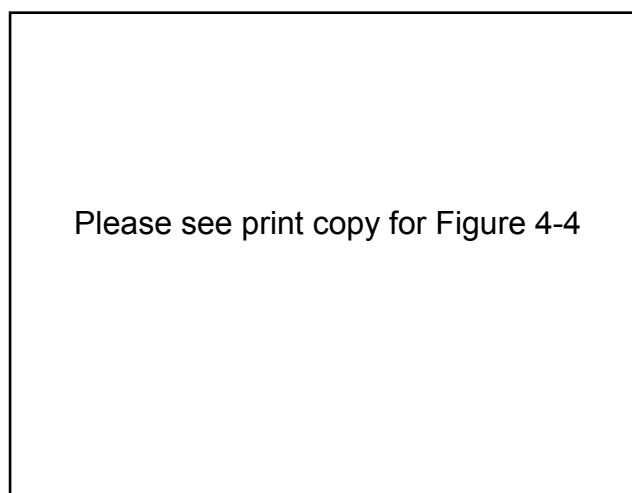
In the example, the Range is “*16 oku 2500 man nin-o*” (over 1 billion and 625 million people), since it represents the range over which the event “*koeta*” (exceeded) took place.

These four types are the kinds of Participant in the ergative model. In the following section, I will relate them with the transitive types of Participant to establish recognition criteria for the features of TRANSITIVITY. I will start with the feature ‘verbal’.

**4.3 Features of Verbal Clause**

The feature ‘verbal’ is realised by the presence of the Participant ‘**Sayer**’ and has the sub-features illustrated in Figure 4-4 (Teruya, 1998).

**Figure 4-4 the features of VERBAL**



The Sayer is the participant who verbalises/symbolises meaning<sup>17</sup>. For instance, Example 4-9 contains Sayer.

<sup>17</sup> Sayer is sometimes called ‘Symbolic source’ so that the term covers the case in which Sayer is a non-human participant.

**Example 4-9 example of Sayer**

人間が言った。

<i>ningen-ga</i> human being-GA	<i>itta.</i> say-PST.
Sayer	Process: verbal

The human said.

(from *Soul*)

In the example, the nominal group “*ningen-ga*” (human) is the Sayer, as “*ningen*” (human) is the participant who verbalised.

Other than the Sayer, a verbal clause may construe the Participants, **Verbiage** and **Prompter**<sup>18</sup>. The Verbiage represents subject-matter, class or quality of what is verbalised/symbolised (Teruya, 2004). For example, the nominal group “*ooku-o*” in Example 4-10 is Verbiage. It is often marked by particle “-o” (Teruya, 2004).

**Example 4-10 example of Verbiage**

その点についても最近の児童文学は多くを語ってくれる。

<i>sono ten-ni tsuit-mo</i> that point about-too	<i>saikin no jidoobungaku-wa</i> recent NO child literature-WA	<i>ooku-o</i> many thing-O	<i>katattekureru.</i> tell-ASP.
Circumstance	Sayer	Verbiage	Process: verbal

About that point, recent child literatures tell many things, too.

(from *Soul*)

The Prompter is one of the Participants in Japanese identified in the present study. It is the participant who makes the Sayer verbalise/symbolise. An instance of Prompter is shown in Example 4-11 below.

<sup>18</sup> Rhondda Fahey kindly suggested the name ‘Prompter’. Other than these participants, a verbal clause may contain Receiver. Receiver is the participant to whom Sayer verbalises/symbolises. However, in the corpus, Receiver is rarely explicitly stated, so I did not include it in the description.

**Example 4-11 example of Prompter**

ノートンは最新作において、小人に彼らの生活がいつまで安全に続くかわからないという不安について語らせている。

<i>nooton-wa</i> Norton-WA	<i>saishinsaku-ni oite,</i> latest volume in	<i>kobito-ni</i> a pixie-NI	<i>karera no seikatsu-ga itsu made anzen-ni</i> their life -GA when until safe-NI <i>tsuzukuka wakaranai-to iu fuan-ni tsuite</i> continue-KA know-NEG TO IU anxiety about	<i>kataraseteiru.</i> say-CAV-ASP.
Prompter	Circumstance	Sayer	Circumstance	Process: verbal

Norton, in the latest volume, makes a pixie talk about their anxiety that they do not know how long they can continue their life safely.

(from *Soul*)

In the example, the Prompter is realised by the nominal group “*nooton-wa*”, as Norton is the person who makes “a pixie” verbalise. As in the example, when a Prompter is present in a clause, Sayer is typically marked by particle “*-ni*”.

The feature ‘verbal’ has two sub-features, i) **verbal saying** and ii) **verbal behaviour** (Teruya, 1998).

**4.3.1 Verbal Saying**

Verbal saying, according to Teruya (1998), represents “prototypical verbal clauses” (p.126). The Verbal saying proposes further two choices, i) **verbal exchange** and ii) **verbal judgement**.

The feature ‘verbal exchange’ represents “our experience of dialogic exchanges of a commodity between a speaker and an addressee” (Teruya, 1998: 132). This feature represents the process of, for instance, *tutaeru* (telling), *noberu* (mentioning) and *meigensuru* (asserting). In this type of clause, ‘the commodity’ of the exchange is construed as Verbiage or a projected clause, and the ‘speaker’ is represented as Sayer (Teruya, 2004: 121-59). An instance is in Example 4-12 below.

**Example 4-12 example of verbal exchange**

われわれはそれについてのファンタジーを語ることによって、その一端を伝えることができる。

<i>wareware-wa</i> we-WA	<i>sore-ni tsuite no fantajii-o kataru koto-ni yotte,</i> that about NO fantasy-O tell KOTO-by,	<i>sono ittan-o</i> that aspect-O	<i>tsutaerukoto-ga-dekiru.</i> talk KOTO-GA-can
Sayer/ Medium	Circumstance	Verbiage	Process: verbal exchange

We can talk an aspect of that [soul] by telling a tale about it.

(from *Soul*)

In this clause, the commodity of the exchange “*sono ittan*” (an aspect of that [soul]) is construed as Verbiage and the speaker “*wareware-wa*” (we) is represented as Sayer. As in the example, the Sayers of verbal exchange in the corpus is typically Medium.

Verbal judgement, on the other hand, construes the experience associated with the process of *shikaru* (blaming), *homeru* (praising), *hihansuru* (criticising) and so on (Teruya, 1998). It represents the process of saying with Sayers’ evaluation. It is structurally different from verbal saying as it can construe the Participant, **Target**, while verbal exchange cannot. Target is the participant who is judged by a Sayer (Teruya, 1998). Example 4-13 is an instance.

**Example 4-13 example of verbal judgement**

修学旅行の打ち合わせのために長野県飯田市の南信州観光公社を訪れた他県の高校の先生は、地元酪農農家にこうたしなめられた。

<i>shuugaku ryokoo no uchiawase no tame-ni nagano-ken</i> graduate trip NO planning as for Nagano-prefecture <i>iida-shi no minami shinshuu kankoo koosha-o otozureta</i> Ida-city NO south-Shinshuu travel agency-O visit-PST <i>taken no kookoo no sensei-wa,</i> other prefecture high school NO teacher WA,	<i>jimoto</i> local <i>rakunoonooka-ni</i> farmer-NI	<i>koo</i> in this way	<i>tashinamerareta</i> correct by telling (scold)-PSV-PST .
Target	Sayer	Circ.	Process: verbal judgement

The high school teacher from other prefecture who visited the south-Shinshuu travel agency in Ida city, Nagano prefecture, ‘was corrected by telling’ [means: was scolded] by the local farmer in this way.

(from *Eco-tourism*)

The example clause construes the process of saying with the evaluation by the Sayer “*jimoto rakunoonooka-ni*” (local farmer) towards the Target “*kookoo no sensei*” (the high school



teacher). The evaluation is expressed by its Process “*tashinameru*” (correct by telling/scold). When a Target is present, Sayer functions as Agent while Target functions as Medium. This feature can be used as the recognition criterion of the feature.

### 4.3.2 Verbal behaviour

Verbal behaviour construes the experience that can be categorised as the intermediate between the process of saying and the process of behaving<sup>19</sup> (Teruya, 1998). According to Teruya (1998), the experience construed by a verbal behaviour can also be interpreted as a behavioural process. Hence, it is marginal in comparison to the feature ‘verbal saying’. This ambiguity is a feature of this type.

Because of this characteristic, the Sayer in this type can be also interpreted as Behavior. The Behavior is the participant who internally instigates the process of happening (cf. Teruya, 1998). An instance is in Example 4-14.

#### Example 4-14 example of verbal Behavior

東アジアの安全保障、テロ対策、海賊対策、そして自由貿易協定などについて意見交換し、

( <i>watashitachi-wa</i> ) (We-wa)	<i>higashi-ajia no anzen hoshoo, tero-taisaku, kaizoku-taisaku,</i> East Asia NO security treaty, terror strategy, pirate strategy <i>soshite jiyuu booeiki kyootei nado-ni tsuite</i> and, free trade treaty etc-about	<i>iken-kookanshi,</i> exchange-opinion-do-and,
(Sayer/ Behavior)	Circumstance	Process: verbal behaviour

(We) will exchange our opinion about the East-Asia Security Treaty, the strategies for terrorism and piracy, Free Trade Treaty and so on

(from *Lion Heart*)

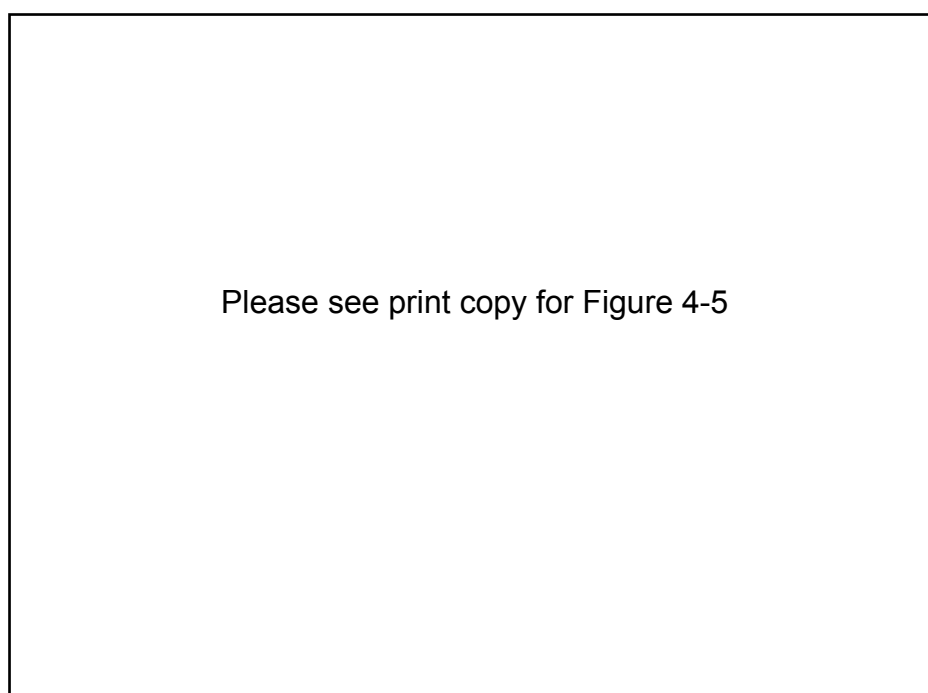
In this example, although it is covertly expressed, the Sayer “*watashitachi-wa*” (we) can be interpreted as Behavior as well, since the process of “*ikenkookan*” (exchanging opinion) can be considered as a Behavioural process as well as verbal.

<sup>19</sup> the process of behaving is represented by a type of material: happening: motional (cf. Teruya 2004).

#### 4.4 Features of Mental Clause

The feature ‘mental’ is realised by the presence of Participant ‘**Senser**’ and has the sub-features described in Figure 4-5 (Teruya, 1998).

**Figure 4-5 the features of MENTAL**



The Senser is the participant who ‘senses’ a phenomenon. It is the participant who feels, perceives, thinks, desires, intends and so on. For instance, in Example 4-15, the nominal group “*furoito-wa*” (Freud) realises the Senser of the clause.

#### Example 4-15 example of Senser

フロイトは考えた

<i>furoito-wa</i>	<i>kangaeta</i>
Freud-WA	think-PST
Senser	Process: mental

Freud thought

(from *Soul*)

“Freud” is the Senser because he is the participant who “*kangaeta*” (thought). Because of its

transitivity role, there is a value restriction on Senser; it must be able to ‘sense’. Hence, it is typically restricted to an entity endowed with consciousness (Halliday and Matthiessen, 2004; Teruya, 2004)<sup>20</sup>.

Other than Senser, a mental clause may construe the Participant, ‘**Phenomenon**’. It is the participant which is sensed or is created through the process of sensing (Teruya, 2004). An instance is in Example 4-16.

#### Example 4-16 example of Phenomenon

我々の社会や文明には根本的に考え直さなければならない欠点が多くあることが分かる。

<i>wareware no shakai ya bunmei-ni-wa konponteki-ni</i> our society and culture-at-WA fundamentally <i>kangaenaosanakerebanaranai ketten-ga kazuooku aru koto-ga</i> reconsider-OBL fault-GA many COP KOTO-GA	<i>wakaru.</i> understand
Phenomenon	Process: mental

(We) understand the fact that there are many fundamental faults within our society and culture that have to be reconsidered.

(from *Environement*)

In the clause, the nominal group “*wareware no shakai ya bunmei-ni-wa konponteki-ni kangaenaosanakerebanaranai ketten-ga kazuooku aru koto-ga*” (the fact that there are many fundamental faults within our society and culture that have to be reconsidered) is the Phenomenon, as it is the participant sensed by the covertly expressed Senser “we”.

The feature ‘mental’ has two sub-features i) **non-projecting** and ii) **projecting** (Teruya, 1998). As the names suggests, while the non-projecting type cannot project a clause, the projecting type can do so.

#### 4.4.1 Non-projecting

Non-projecting type has two sub-features, i) **emotive** and ii) **perceptive**. Emotive construes the process of emotional reacting such as *komaru* (to be troubled), *yorokobu* (to be pleased)

<sup>20</sup> the present study found that there is a case that an inanimate participant is construed as Senser. However, in such case, the inanimate is construed as though it is an animate by using the strategy called *gijinho* (personification). For detail, see the section for the realisation of ATTITUDE’ in Chapter 5.

and *odoroku* (to be surprised) and feeling such as *konomu* (to like), *kirau* (to hate) and *aisuru* (to love). According to Teruya (cf. 1998), A Phenomenon in this type can construe both a concrete act and an abstract phenomenon. Examples 4-17 and 4-18 contain the instances of this feature.

**Example 4-17 example of Phenomenon/Range in an emotive clause**

企画した旅行会社も引率の先生も遊歩道からの観察では満足せず

<i>kikakushita ryokoo-gaisha mo</i> planned travel-agency too <i>insotsu no sensei mo</i> be-in change-of teacher too	<i>yuuhodoo-kara no kansoku-de-wa</i> footpath-from NO observation-by-WA	<i>manzokusezu,</i> satisfy-NEG, and
Senser/ Medium	Phenomenon/ Range	Process: emotive

Both the travel agency who planned (the trip) and the teachers who was in charge of the trip did not satisfy the observation from the foot path, and ...

(from *Eco-tourism*)

**Example 4-18 example of Phenomenon/Agent in an emotive clause**

(彼女の行為は)人々を驚かせたのである。		
<i>(kanojo no kooi-wa)</i> (her act-WA)	<i>hitobito-o</i> people-O	<i>odorokasetanodearu.</i> surprise-PST
(Phenomenon/ Agent)	Senser/ Medium	Process: emotive

(her act) surprised people

(from *Soul*)

The Phenomenon in this type may function as either Range or Agent. The Phenomenon in Example 4-17 above is Range, while the one in Example 4-18 is Agent, since it causes the process “*odorokaasetanodearu*” (surprised). Because a Phenomenon functions as Agent typically only in this type, this can be used as the recognition criterion of the feature.

The feature ‘perceptive’ construes the process of perceiving by visual, auditory, olfactory, gustatory and tactile senses (Teruya, 1998). It construes the process of *miru*

(watching), *nozoku* (observing) and *kiku* (listening) and so on<sup>21</sup>. In a perceptive clause, the Sensor serves as Medium, while the Phenomenon serves as Range. Example 4-19 is an instance.

#### Example 4-19 example of perceptive

(生徒たちが)まね事を見て

( <i>seitotachi-ga</i> )	<i>manegoto-o</i>	<i>mite</i>
(student-GA)	mimic (act)-O	see
(Sensor/ Medium)	Phenomenon/ Range	Process: perceptive

if (students) watch a mimic act

(from *Eco-tourism*)

In the example, the experience of “*seito*” (students’) visual perception is construed. According to Teruya (2004), the feature ‘perceptive’ is different from ‘emotive’. This is because the Phenomenon in this type is restricted to a concrete entity, since it needs to be ‘perceivable’ by the Sensor.

#### 4.4.2 Projecting

The projecting type **can** construe inner experience **with** or **without** projection. It has sub-features i) **cognitive**, ii) **intentional** and iii) **desiderative** (Teruya, 1998). The feature ‘cognitive’ construes the process of *kangaeru* (thinking), *wakaru* (understanding), etc. A cognitive clause can project a proposition realised by a declarative or interrogative clause (Teruya, 1998). In a projecting clause, the Sensor typically functions as Medium, while the Phenomenon functions as Range. Example 4-20 is an instance.

#### Example 4-20 example of cognitive

神学だけでは駄目だとわかった

( <i>hito-wa</i> )	<< <i>shingaku dakede-wa damede-to</i> >>	<i>wakatta</i>
(one)	theology only by-WA not possible-TO	understand-PST
(Sensor/ Medium)	proposition ↘ declarative	Process: cognitive

(one) understood that (it cannot be answered) by just theology

(from *Soul*)

In the example, the clause construes the experience of “*wakatta*” (understood) and projects a proposition realised by a declarative clause “*shingaku dake dewa dame da*” ((it cannot be answered) by just theology).

The feature ‘intentional’ construes the process of *ketsuisuru* (deciding), *keikakusuru* (planning), *ketsudansuru* (determining), and so on. The feature ‘intentional’ is different from ‘cognitive’ as it can project a proposal realised by an oblique or an imperative clause but not declarative or interrogative (Teruya, 1998). An oblique clause is a mood choice that is typically selected to realise the speech function of ‘offer’ (cf. Teruya, 1998). Example 4-21 is an instance.

#### Example 4-21 example of intentional

参加しようと決意している

<i>sankashiyoo-to</i> participate-VOL	<i>ketsuishiteiru</i> intend-ASP
proposition ∨ oblique	Process: intentional

(I) decide (to offer to) participate

(from *Lion Heart*)

The clause construes the experience of *ketsui* (deciding/intending) and it projects the oblique clause “*sankashiyoo-to*” ((I offer to) participate).

Desiderative construes the process of desiring or wanting. The verbs such as *yooboosuru* (demand), *yooseisuru* (request), *negau* (hope) realise the Process of this feature. Example 4-22 is an instance. The clause in the example construes the experience of *motomeru* (seeking).

#### Example 4-22 example of desiderative

より美味しいものより、贅沢なものを求め

<i>yori oishii mono yori zaitaku na mono-o</i> more tasty thing [food] rather expensive thing [food]-O	<i>motome</i> seek
Phenomenon	Process: desiderative

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(People) seek more expensive thing/food rather than tasty thing/food

(from *Environment*)

Like the intentional, desiderative can project only a proposal (Teruya, 2004). The grammatical difference between them is that while desiderative can construe embedded clause: ‘act clause’, intentional cannot (Teruya, 2004)<sup>22</sup>. An act clause is an embedded clause which nominalises the process of a major clause and down-ranks it to a nominal group (Halliday and Matthiessen, 2004). In Japanese, a major clause can be down-ranked into an act clause by a nominaliser “-*no*”. As the corpus does not have the desiderative clause with embedded act or ‘act clause’, Teruya’s (1998: 248) example is reproduced below in Example 4-23.

**Example 4-23 example of desiderative with an act clause (reproduction of Figure 4-110 in Teruya (1998: 248))**

Please see print copy for Example 4-23

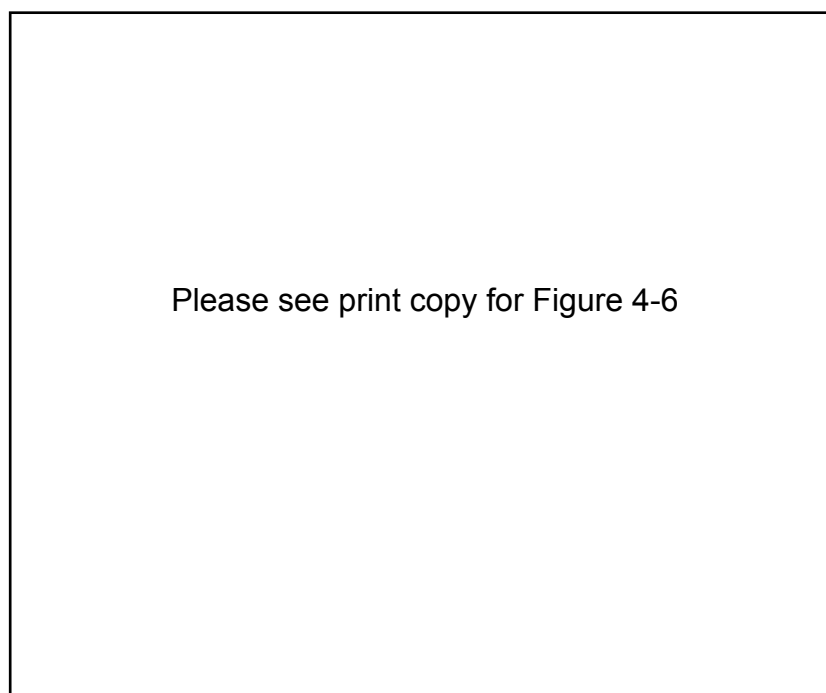
While the desiderative process “*inotte*” (pray) can have the act clause “*ame-ga furu*” (that rain falls) as Phenomenon, the intentional process such as *ketsudansuru* (determine) cannot do so. This feature can be used to distinguish the two types.

#### 4.5 Features of Material

The feature ‘material’ is realised by the Participant, ‘**Actor**’ and has the sub-features described in Figure 4-6 below (Teruya, 1998).

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<sup>22</sup> for ‘act clause’, see also Halliday and Matthiessen (2004), p.437-438.

**Figure 4-6 the features of MATERIAL**

The Actor refers to the participant who or which “does the deed – that is, the one that brings about the change” (Halliday and Matthiessen, 2004: 179). Example 4-24 contains an instance of Actor.

#### **Example 4-24 example of Actor**

米英両国によるイラクの占領が、ともかくも終わった。

<i>bei-ei ryookoku-ni yoru iraku no senryoo-ga,</i> Both the US and the UK-by Iraq NO occupation-GA	<i>tomokakumo</i> somehow	<i>owatta.</i> finish-PST
Actor	Interpersonal adjunct	Process: material

The occupation of Iraq by the US and UK, somehow, finished.

(from *Asahi*)

In the example, the participant “*bei-ei ryookoku-ni yoru iraku no senryoo-ga*” (The occupation of Iraq by the US and UK) is the Actor. The feature ‘material’ has two sub-features, i) **doing** and ii) **happening**.

#### **4.5.1 Doing**

The feature ‘doing’ is the selection for construing the process of *okonau* (doing). It



represents the experience in which the Actor causes a certain change to other participants. The feature is realised by the presence of Participant **Goal** (Teruya, 1998). It is the participant that is affected by the Actor. This participant only occurs in the doing type. The Goal functions as the Medium of material clause (Teruya, 2004). Example 4-25 contains an instance of Goal.

**Example 4-25 example of Goal/ Medium**

かつて国鉄や電々公社が民営化されて、

<i>katsute</i> in the past	<i>kokutetsu ya dendenkoosha-ga</i> Public Rail and Public Telecommunication-ga	<i>mineika-sarete,</i> privatise-PASS
Circumstance	Goal/ Medium	Process: doing

In the past, the Public Rail and Public Telecommunication were privatised

(from *Privatisation*)

Other than the Actor and the Goal, the feature ‘doing’ may involve the Participants, **Initiator** and **Recipient**. The Initiator is one of the participants that do not appear in Teruya’s description (1998; 2004). It refers to the participant who makes the Actor to do a certain action (Halliday and Matthiessen, 2004). Example 4-26 below contains an instance of Initiator.

**Example 4-26 example of Initiator**

研修と資格制度の整備、および一定の基準に基づく専門的人材の配置に向けて、制度上、法制上の整備に着手していただきたい。

( <i>watashi-wa</i> ) (I-wa)	( <i>anata-ni</i> ) (you-NI)	<i>kenshuu to shikakuseido no seibi, oyobi ittei no</i> seminar and certificate system NO preparation, and certain <i>kijun-ni motozuku senmon-teki jinzai no haichi-ni</i> base-NI based specialist NO locating-NI <i>mukete, seidojoo, hooseijoo no seibi-ni</i> towards, policy, regulation NO preparation-NI	<i>chakushushite- undertake itadakitai.</i> -CAV-HUM
Initiator/ Agent 1	Actor/ Agent 2	Goal/ Medium	Process: doing

(I) humbly ask [‘ask is realised by morpheme ‘*itadakitai*’ in the verbal group *chakushushite-itadakitai* but it is not realised as Process] you to undertake the preparation for holding a seminar, establishing a certificate system and creating a policy and regulation for locating a specialist.

(from *Arts Policy*)

The **Recipient** is the participant to whom the Process is directed. It is the Beneficiary of material clause. This participant is, like Initiator, unique to the feature ‘doing’. It is typically marked by the particle ‘-*ni*’ as in Example 4-27 (Teruya, 1998).

**Example 4-27 example of Recipient**

統治はアラウィ暫定政権にゆだねられた。

<i>toochi-wa</i> sovereignty-WA	<i>arawi zanteiseiken-ni</i> Allawi interim government-NI	<i>yudanerareta.</i> hand over-PASS-PST
Goal/ Medium	Recipient/ Beneficiary	Process: doing

The sovereignty was rendered to the Allawi Interim government.

(from *Asahi*)

The feature ‘doing’ offers two sub-features i) **creative** and ii) **dispositive** (Teruya, 1998). The feature ‘creative’ construes the experience in which Actor creates Goal (Teruya, 1998). The Process of this type is expressed by the verbs such as *tsukuru* (create), *jitsugensuru* (realise), *setsuritsusuru* (establish). The feature is realised by the presence of the Goal that is created through the actualisation of the process (Teruya, 1998). This is the value restriction of the Goal in this type, and it can be used as a recognition criterion of this type. Example 4-28 is an instance.

**Example 4-28 example of creative**

いろいろなものをつくる。

(ningen-wa)	<i>iroirona mono-o</i>	<i>tsukuru.</i>
(People)	various things-O	create.
Actor	Goal: entity created through the actualisation of the process	Process: creative

(People) create various things.

(from *Soul*)

In the example, Goal “*iroirona mono-o*” (various things) is created through the process of “*tsukuru*” (create).

On the other hand, the feature ‘dispositive’ construes the experience in which the Actor makes a certain change to a pre-existing Goal. The process in this type is expressed by the verbs such as *bunruisuru* (classify), *kakudaisuru* (extend) and *taberu* (eat). The feature is realised by the presence of the Goal that pre-exists before the actualisation of the process (Teruya, 1998). This is the distinction from the creative. Example 4-29 is an instance.

**Example 4-29 example of dispositive**

日本とアセアン諸国との協力を強化してまいります。

<i>nihon to asean</i>	<i>shokoku to</i>	<i>no</i>	<i>kyooryoku-o</i>	<i>kyookashitemairimasu.</i>
Japan and ASEAN countries	between	NO	cooperation-O	strengthen-ASP
Goal: pre-existing entity				Process: dispositive

(I) will strengthen the cooperation between Japan and ASEAN countries.

(from *Lion Heart*)

In the example, the Goal “*nihon to asean shokoku to no kyooryoku-o*” (the cooperation between Japan and ASEAN) pre-exists before the actualisation of the Process “*kyookashitemairimasu*” (will strengthen) is construed.

**4.5.2 Happening**

The other primary feature of material is ‘happening’. The feature ‘happening’ construes the process of *okoru* (happening). It represents the experience that is self-engendering (Teruya, 1998). In this type, the Actor is conflated with Medium. There is one participant that is unique to this type, i.e. **Scope**. Scope is the Range of the happening type. The Scope

represents the one of two functions; i) specifies the domain of the process or ii) specifies the process itself (Halliday and Matthiessen, 2004). Example 4-30 contains an instance of Scope.

#### Example 4-30 example of Scope

我々はこの悲しみを乗り越えて

<i>wareware-wa</i> we-WA	<i>kono kanashimi-o</i> this sadness-O	<i>norikoete</i> overcome, and
Actor/ Medium	Scope/ Range	Process: happening

we overcome this sadness, and

(from *Lion Heart*)

In this example, the nominal group “*konokanashimi-o*” (this sadness) specifies the domain of the Process “*norikoete*” (overcome).

The feature ‘happening’ proposes two sub-features, i) **eventive** and ii) **motional**. Eventive construes the experience in which the process takes place without the Actor’s internal instigation (Teruya, 1998). The process of this type is expressed by the verbs such as *shuuryoosuru* (to finish), *kanketsusuru* (to complete), *heru* (to decrease). Example 4-31 is an instance.

#### Example 4-31 example of eventive

昨年四月にフセイン前政権が崩壊して

<i>sakunen shigatsu-ni</i> last year April-in	<i>fusein-zen-seiken-ga</i> Hussein former-government-GA	<i>hookaishite</i> collapse
Circumstance	Actor/ Medium	Process: eventive

In April last year, Hussein former government collapsed

(from *Yomiuri*)

In the example, the feature ‘eventive’ construes the collapse of Hussein former government. The Actor “*fusein-zen-seiken-ga*” (Hussein former government) does not instigate the process “*hookaisuru*” (to collapse).

On the other hand, the feature ‘motional’ construes the experience in which Actor

internally instigates the process (Teruya, 1998). The process of this type is expressed by the verb such as *torikumu* (work on), *warau* (laugh) and *kyoodoosuru* (collaborate)<sup>23</sup>. Example 4-32 is an instance.

#### Example 4-32 example of motional

一人の小人は笑いだして

<i>hitori no kobito-wa</i>	<i>waraidashite</i>
one pixie-WA	laugh-ASP
Actor/ Medium	Process: motional

one pixie started to laugh

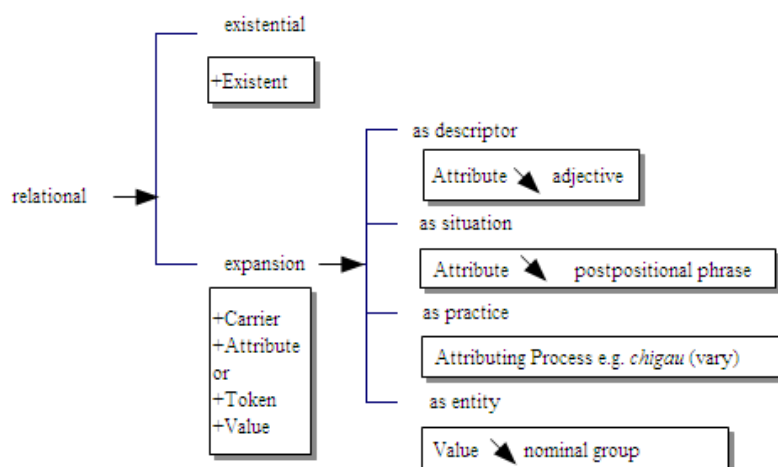
(from *Soul*)

In this example, the Actor “*hitori no kobito-wa*” (one pixie) internally instigates the process of “*warau*” (to laugh). One of the grammatical differences between eventive and motional is that the process of motional can be expressed with the morphemes that represent Aspect of intentionality such as the morphemes ‘-*miru*’ (attempt to) and ‘-*shimasu*’ (shall do). However, the process of eventive cannot be realised with them (Teruya, 1998).

#### 4.6 The Features of Relational

The relational clause, as mentioned, construes the relationship between/among entities. It represents the relations of the entities which exist either in the inner or outer world. The feature ‘relational’ has the system described in Figure 4-7 below, as proposed by Teruya (2004). I have added two new features ‘as situation’ and ‘as practice’ to his network, since these features are not described in Teruya’s categorisation. The feature ‘relational’ proposes two sub-features, i) **existential** and ii) **expansion**.

<sup>23</sup> Teruya (1998) categorises behavioural process as a subtype of motional.

**Figure 4-7 the features of RELATIONAL**

#### 4.6.1 Existential

The feature ‘existential’ represents the relation of *sonzaisuru* (existing). The feature is realised by the presence of the Participant, ‘**Existent**’ (Teruya, 1998). It is the participant that is related to the fact of its existence (Teruya, 2004). From the ergative perspective, Existent is conflated with Medium. Example 4-33 contains an instance.

#### Example 4-33 example of existential and Existent

スペースシャトルには厳しい重量制限があり

<i>supeesushatoru-ni-wa</i> space shuttle-at	<i>kibishii juuryooseigen-ga</i> strict weight limit-GA	<i>ari</i> cop
Circumstance	Existent/ Medium	Process: existential

There is a strict weight limit at a space shuttle [A space shuttle has a strict weight limit]

(from *Environment*)

In the example, Existent “*kibishii juuryooseigen-ga*” (strict weight limit) is related to the fact of its existence. Teruya (1998) also claims that the process such as “*itteiru*” (has gone) and “*suwatteita*” (was sitting) can represent the Process of the feature ‘existential’.

#### 4.6.2 Expansion

The other primary feature of relational is expansion. In this type, the relationship between

entities is represented by expanding one element semantically by the other in various ways (Teruya, 2004). The feature ‘expansion’ has the sub-features ‘as descriptor’, ‘as situation’, ‘as practice’ and ‘as entity’. As mentioned, ‘As situation’ and ‘as practice’ are the new features which were added to Teruya’s description (2004) as a result of the present study.

The feature ‘as descriptor’ construes the relationship of ‘property (*tokusei*) ascription’ (Teruya, 2004). That is to say, it establishes the relationship of class membership between two entities (Teruya, 2004). The feature is realised by the presence of the Participant ‘**Carrier**’ and ‘**Attribute**’ that is realised by **adjective**<sup>24</sup> (Teruya, 1998). Carrier construes a member of the class represented by Attribute. Attribute, in turn, expresses the class that an entity expressed by Carrier belongs to. The class represented by the Attribute in as descriptor clause is typically temporal feature (Teruya, 2004). From the ergative perspective, Carrier is conflated with Medium while Attribute is conflated with Range. Example 4-34 is an instance of the feature.

#### Example 4-34 example of as descriptor

国連の要因が本格的な活動を再開することは難しい。

<i>kokuren no yoin-ga honkakuteki na katsudo-o saikaisuru koto-wa</i> the UN NO factor GA full scale activity O restart KOTO WA	<i>muzukashii</i> difficult
Carrier/Medium	Attribute/ Range: \ adjective

It is difficult for the UN to restart the full scale activity.

(from *Asahi*)

In the example, the relation of property ascription is established between “*katsudoo-o saikaisuru koto*” (restarting the activity) and “*muzukashii*” (difficult). The clause sets up the relation between the Attribute “difficult” and the Carrier, “restarting the activity”.

‘As Situation’ construes the relationship between an entity and a circumstantial feature. In this type, a situational feature such as time and reason expressed as Attribute is attributed to Carrier. This feature is realised by the presence of Attribute realised by **an adverbial**

<sup>24</sup> other than Carrier and Attribute, as descriptor clause may have the participant Attributer. Attributer is the participant which attributes Carrier to the class represented by Attribute.

**group or postpositional phrase.** Example 4-35 is an instance.

### Example 4-35 example of as situation

そうなることができるのは、これらの名詞が《物＝道具》をあらわしているからである。

<i>soonaru koto-ga dekiru no-wa,</i> so become KOTO-GA can do NO-WA,	<i>korerano meishi-ga &lt;&lt;mono = doogu&gt;&gt;-o</i> these nouns GA <<entity=tool>>-O <i>arawashiteiru-kara</i> represent-ASP-KARA	<i>dearu.</i> COP.
Carrier	Attribute: ↳ postpositional phrase	Process: as situation

The reason that (it) can become that is because these nouns represent <<entity=tools>>.

(from *Meaning and Function*)

In the example, the reason for why “*soonaru koto-ga dekiru no*” (it can become that) is attributed to the Carrier, which is realised by the postpositional phrase “*korerano meishi-ga <<mono=doogu>>-o arawashiteiru-kara*” (because these nouns represents <<entity = tools>>).

‘As practice’ construes the process of attributing an entity. This feature is realised by the presence of **Attributing Process** such as *kotonaru* (differ), *chigau* (vary), *yakunitatsu* (the process of attributing something to the class of ‘being useful’), *naritatsu* (the process of attributing something to the class of ‘being valid’) and *tsuuyoosuru* (the process of attributing something to the class of ‘be effective’). Example 4-36 is an instance of the feature.

### Example 4-36 example of as practice

この構造のなかにはいりこむカテゴリーカルな意味がことなる

<i>kono koozoo no naka-ni hairikomu kategorikaru na imi-ga</i> this structure NO inside to embed categorical meaning-GA	<i>kotonaru</i> differ
Carrier	Process: Attributing ↳ verbal group

the categorical meaning that embeds in the structure differs

(from *Meaning and Function*)

The clause in the example construes the experience of attributing the Carrier “*kono koozoo*



*no naka-ni hairikomu kategorikaru-na imi-ga*” (the categorical meaning that embeds in the structure). The attributing process is that of “*kotonaru*” (differ). Although the transitivity structure of ‘as practice’ and ‘as descriptor’ is different, like the ‘as descriptor’, ‘as practice’ construes the relationship of property ascription. This is because the class that a Carrier is attributed is implied by the Attributing Process, although it is not explicitly stated as a structural element.

‘As entity’ type represents either identifying relation or the relation of quality (*shitsu*) ascription<sup>25</sup> (Teruya, 2004). In an identifying relation, one entity is defined or identified by other entity. In a ‘quality ascription’, one entity is attributed to a class that is typically permanent (Teruya, 2004). The feature is realised by the presence of **Token** and **Value**<sup>26</sup>. Both Value and Token is realised by a nominal group (Teruya, 2004). Teruya (1998) defines Token and Value as follows;

The Token is an element that is characterized, qualified, specified, classified, signified, named or defined by a Value; and the Value is in turn an element carrying meanings that allow it to play such function (p. 300).

From the ergative perspective, Token is Medium and Value is Range. Example 4-37 below shows an instance of Token and Value.

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<sup>25</sup> ‘quality’ does not refer to a kind of intensive type in the English system of relational clause (cf. Teruya 2004: 250).

Other than Token and Value, as entity clause may have the participant Assigner. Assigner is the participant which characterises or symbolises Token. Assigner can be construed when as entity represents an identifying relation.

<sup>26</sup> Teruya’s (1998) definitions of Token and Value are wider than those of English. He states that “the coverage of Token and Value [in his description of Japanese] is wider than that of English where these are employed to differentiate structural patterns of identification, whereas here they are applicable for both ascription and identification” (p. 300).

**Example 4-37 example of expansion, Token and Value**

なにより必要なのは、イラク人が自ら困難を克服し、望む社会の建設に邁進する強力な意思である。

<i>naniyori hitsuyoo-na</i> what rather essential <i>no-wa,</i> NO-WA	<i>iraku-jin-ga mizukara konnan-o kokufukushi,</i> Iraq-people-GA themselves trouble-O overcome, and <i>nozomu shakai no kensetsu-ni maishinsuru kyooryoku na ishi</i> hope society NO construction-NI do their best strong determination	<i>dearu.</i> COP
Token/ Medium	Value/ Range	Process: expansion

What is the most essential is the strong determination that (make people) to do their best for the construction of society in which Iraqi people can hope and overcome their troubles by themselves.

(from *Sankei*)

In the example, the Token “*naniyori hitsuyoo-na no-wa*” (what is the most essential) is specified by the Value.

**4.7 Summary**

These features of verbal, mental, material and relational discussed above exhausts the features of TRANSITIVITY that are utilised in the persuasive texts in the corpus. The feature ‘verbal’ has sub-features ‘verbal exchange’, ‘verbal judgement’ and ‘verbal behaviour’. The feature ‘mental’ has its sub-features ‘emotive’, ‘perceptive’, ‘cognitive’, ‘intentional’ and ‘desiderative’. The feature ‘material’ can further be classified into ‘creative’, ‘dispositive’, ‘eventive’ and ‘motional’. The feature ‘relational’ has the sub-features ‘existential’, ‘as descriptor’, ‘as situation’, ‘as practice’ and ‘as entity’. Two new features ‘as situation’ and ‘as practice’ are added to Teruya’s system network (Teruya, 1998; Teruya, 2004). In addition, two new types of Participant ‘Prompter’ and ‘Initiator’ were found. Further, the Participant is modelled from both transitive and ergative models. The relationship between transitive and ergative types of Participants discussed above is summarised in Table 4-1 below. This can be used as the recognition criterion of the features.

**Table 4-1 Participants of the feature ‘verbal’ from the transitive and ergative perspective**

Process type	transitive	ergative
Verbal	Sayer	Medium or Agent (when +Target)
	Verbiage	Range
	Receiver	Beneficiary
	Target (only in verbal judgement)	Medium
	Prompter	Agent
Mental	Senser	Medium
	Phenomenon	Range, Agent (in emotive: reacting)
Material	Actor	Agent (in doing type), Medium (in happening type)
	Goal (only in doing)	Medium
	Scope (only in happening)	Range
	Recipient (only in doing)	Beneficiary
	Initiator	Agent
Relational	Existent (only in existential)	Medium
	Carrier	Medium
	Attribute	Range
	Token (only in as entity)	Medium
	Value (only in as entity)	Range

## 5 Realisation of the Ideational Perspective of the Nuclear Meanings

Having illustrated the features of TRANSITIVITY, I will now illustrate how the system realises the ideational perspective of the nuclear meanings, Invitation, Relativisation and Standpoint.

### 5.1 Realisation of the Ideational Perspective of Invitation

Invitation, as mentioned in Chapter 3, is the nuclear meaning of the Inducement element, which attracts target audiences to the discourse and introduces the subject matter of a text. Ideationally, Invitation is typically realised by the presence of ‘doing’ clauses in which the human participants (either writers themselves or third parties) are construed as the Actor and in which the entities, phenomena or people that are associated with the subject matter of texts are construed as the Goal. This is, in part, illustrated in Table 4-2. The symbol “✓” represents the fact that the writers select the feature in representing the experience.

**Table 4-2 the instances of the features of TRANSITIVITY for the realisation of Invitation**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F
material: doing: dispositive			✓		✓	✓	✓	✓		✓	
material: doing: creative									✓		✓
nominalisation of doing clause		✓		✓							

The table shows that except in *Privatisation*, *Eco-tourism* and *Lion heart*, all writers select features of ‘doing’ – i.e. either ‘dispositive’ or ‘creative’ in the realisation of the Invitations. In *Environment* and *Lion heart*, the writers do not select the feature; however, the doing clauses are present in these texts as well, although they are nominalised and construed in group-rank.

The feature ‘doing’ ideationally contributes to realise the Invitation, because the writers tend to construe the event in which the Actor is instantiated by the writers themselves or a third party who affect a Gaol instantiated by some aspects of the subject matter. The writers construe the experience as a way to introduce the subject matter of their texts to the readers. The dispositive clause in the Invitation of *Sankei* in Example 4-38 illustrates this. The main subject matter of the text is the hand-over of sovereignty and the act of the US during and after the Iraqi war.

**Example 4-38 realisation of Invitation in Sankei**

六月三十日に予定されていた連合軍暫定当局（CPA）からイラクへの主権の移譲が急遽繰り上げられた。

<i>roku-gatsu sanjuu nichi-ni yotei-sarete-ita</i> June 30 th NI plan-PASS-ASP <i>rengoogun-zantei-tookyoku (CPA) kara</i> Coalition-Provisional-Authority (CPA) from <i>iraku e no shuken no ijoo ga</i> Iraq to sovereignty NO devolution GA	<i>kyuukyo</i> suddenly	Ø	<i>kuriage-rare-ta.</i> brought forward-PASS-PST.
Goal	Inter Adj.	(Actor)	Process: dispositive

The hand-over of sovereignty from Coalition Provisional Authority (CPA) to Iraq that had been planned on 30th of June was suddenly brought forward.

(from *Sankei*)

In the example, the dispositive doing clause represents the experience of the Hand-over. The Goal “*roku-gatsu sanju nichi-ni yotei-sarete-ita rengoogun-zantei-tookyoku (CPA) kara iraku e no shuken no ijoo-ga*” (The hand-over of sovereignty from Coalition Provisional Authority (CPA) to Iraq that had been planned on 30th of June) is the phenomenon that is directly related to the subject matter – i.e. the Hand-over. The Actor, although it is covertly expressed, can be interpreted as the CPA who is a third party human participant from the information given in the Goal<sup>27</sup>. In construing the constituents related to the subject matter, the writer uses this experience as a way to introduce the main subject matter to the readers.

Similarly, the writer of *Lion Heart* uses dispositive doing clauses as a way to introduce the subject matter, although they are nominalised. The dispositive clauses in the Invitation of *Lion Heart* are shown in Example 4-39. The dispositive clauses are nominalised by the Nominaliser “-koto” and represented as Phenomenon. The nominaliser “-koto” can nominalise a ranked clause into a group-rank (cf. Teruya, 1998). The main subject matter of the text is “Humanitarian Reconstruction Assistance for Iraq”.

<sup>27</sup> Actor/Agent is often covertly expressed in Invitation. (See Chapter 6 for detail)

**Example 4-39 example of the nominalised doing clause in Invitation**

9日、イラク人道復興支援特別措置法に基づいて、イラクに自衛隊を派遣し、イラクの人道復興支援活動にあたらせることを閣議決定しました。

<i>kokono-ka,</i> 9 <sup>th</sup> -day,	<i>iraku-jindoo-fukkoo-</i> Iraq-humanitarian-reconstruction <i>shien-tokubetsu-sochi-hoo-ni</i> assistance-special-measures-NI <i>motozuite,</i> based on	[[ <i>iraku-ni jieitai-o haken-shi,</i> ]] Iraq-NI Self Defence Force-O send-and, <i>iraku no jindoo-fukkoo-shien-katsudoo-ni</i> Iraq NO humanitarian-reconstruction-assistance-activities-NI <i>ataraseru</i> ]] <i>koto-o</i> carry out-CAV KOTO-O	<i>kakugi-</i> the Cabinet- <i>ketteishimashita.</i> decide-PST.
Circ.	Circ.	Phenomenon	Process: intentional

On the 9th, based on the Special Measures on Humanitarian and Reconstruction Assistance in Iraq, (I) made-at-the-Cabinet the decision that (I) will send Self Defence Force to Iraq and make (them) carry out the activities for the Humanitarian and Reconstruction Assistance for Iraqi people.

(from *Lion Heart*)

In the example, two dispositive doing clauses “*iraku-ni jieitai-o haken-shi*” ((I) send Self Defence Force to Iraq) and “*iraku no jindoo-fukkoo-shien-katsudoo-ni ataraseru*” ((I) make them carry out the activities for the Humanitarian and Reconstruction Assistance for Iraqi people) are nominalised and construed as Phenomenon. The transitivity analysis of the nominalised dispositive is in Example 4-40.

**Example 4-40 nominalised dispositive clause in the Invitation of *Lion Heart***

イラクに自衛隊を派遣し、イラクの人道復興支援活動にあたらせる

Clause A	Ø	<i>iraku-ni</i> Iraq-NI	<i>jieitai-o</i> Self Defence Force-O	<i>haken-shi,</i> send-and,
	(Actor)	Circ.	Goal	Process: dispositive
Clause B	Ø	Ø	<i>iraku no jindoo-fukkoo-shien-katsudoo-ni</i> Iraq NO humanitarian-reconstruction-assistance-activities-NI	<i>ataraseru</i> carry out-CAV
	(Initiator)	(Actor)	Goal	Process: dispositive

((I) will send Self Defence Force to Iraq and (I) make (them) carry out the activities for the Humanitarian and Reconstruction Assistance for Iraqi people

(from *Lion Heart*)

In Clause A, the Goal is instantiated by the people who are involved in the activities for the

Humanitarian and Reconstruction Assistance for Iraq – i.e. Self Defence Force. The Actor is the writer himself, as he is the one who made the decision. The Actor is covertly expressed by the instance of a formal ellipsis (See Chapter 6 for formal ellipsis). In Clause B, the Gaol represents the phenomenon or the action that is directly related to the subject matter of the texts – i.e. Humanitarian Reconstruction Assistance for Iraq. The Actor is Self Defence Force and Initiator is the writer. In this manner, the two nominalised clauses contribute to introduce the subject matter.

Based on the arguments above, it seems that Invitation, ideationally, is often realised by the presence of the doing clause of which the Actor is a human participant and of which the Goal is the entities, phenomenon or people that are involved in the experience that introduces the subject matter. I will refer to this experience realised by the doing clauses as **Topical experience**.

## 5.2 Realisation of the Ideational Perspective of Relativisation

Relativisation, as mentioned, is the nuclear meaning of Empathetic Construction element, which evokes the empathy of readers and reduces the ideological gap between writers and their readers.

The realisation of Relativisation often requires the instances of various features such as ‘dispositive’, ‘motional’, ‘expansion’ and ‘cognitive’. This is, in part, illustrated in Table 4-3 below.

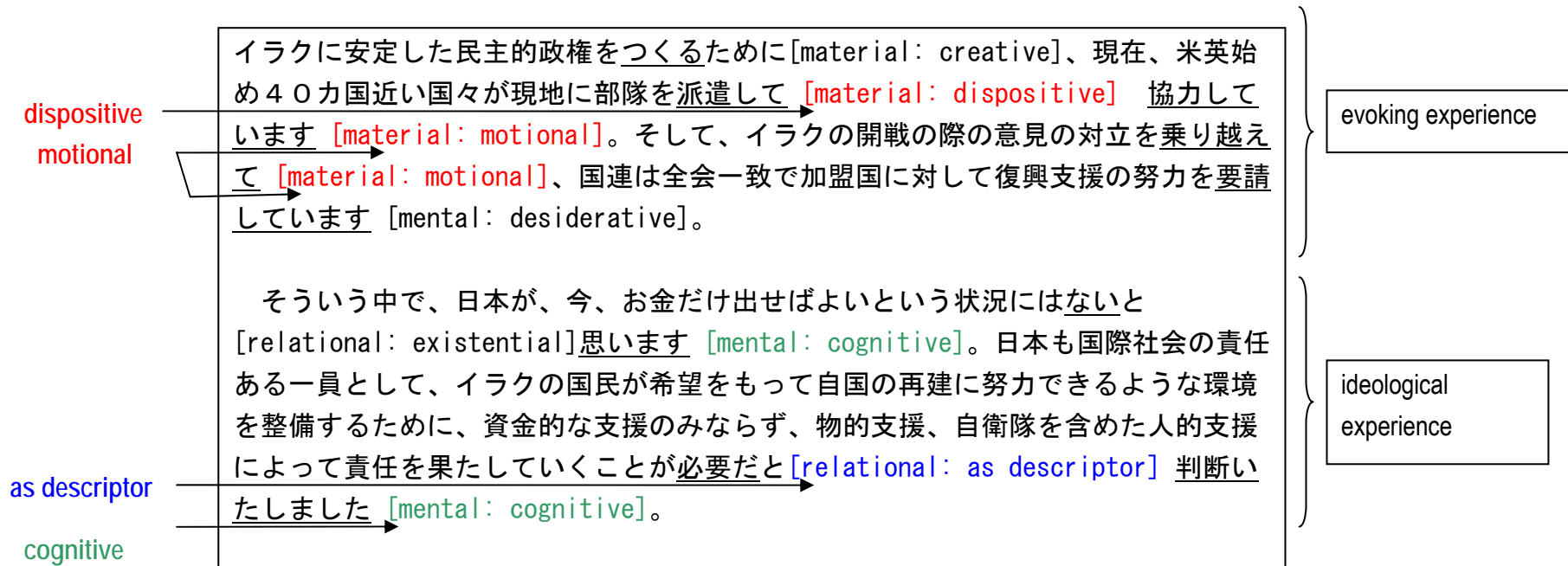
**Table 4-3 the instances of the features of TRANSITIVITY for the realisation of Relativisation**

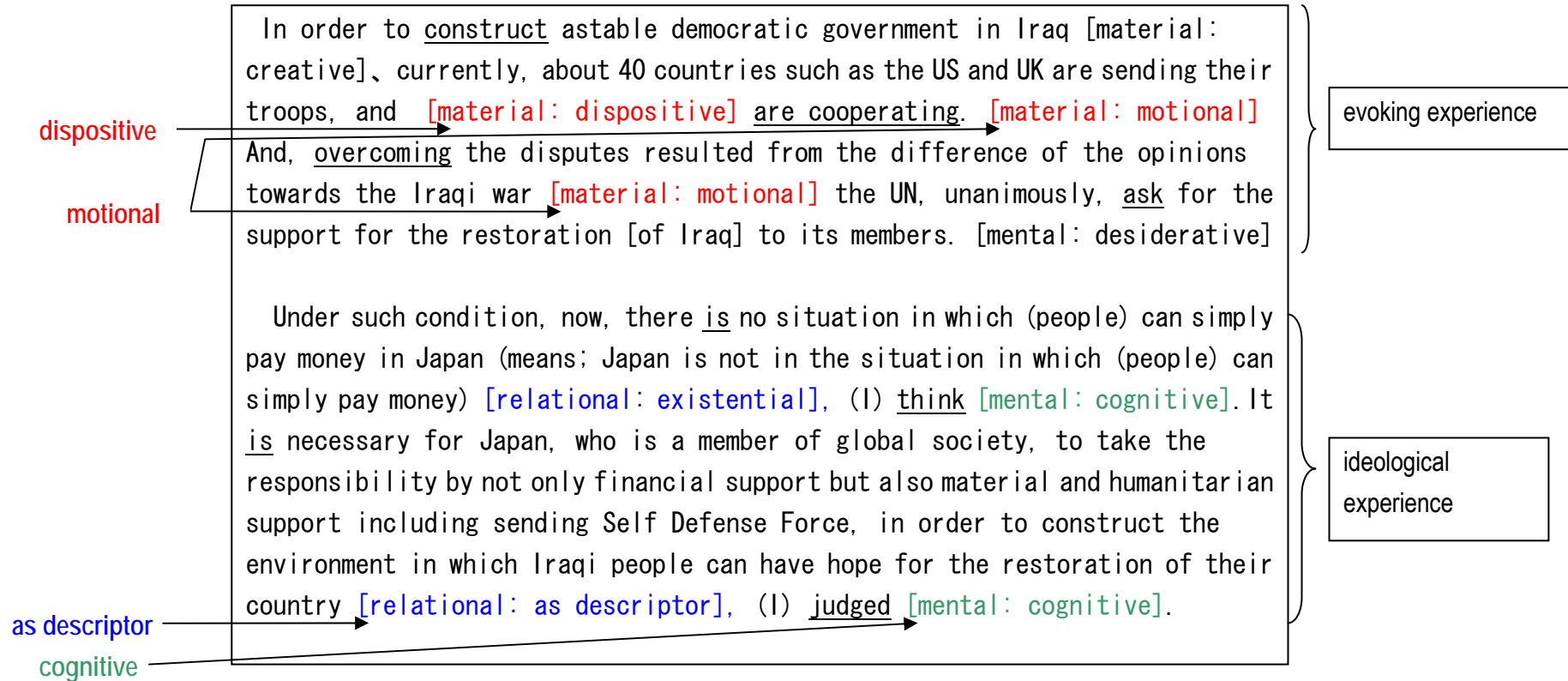
	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability
material: dispositive	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
material: motional		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	91%
relational: expansion	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
mental: cognitive	✓	✓		✓	✓	✓	✓			✓	✓	73%

The table shows these features are often selected by the writers of the corpus in realising the Relativisations. ‘dispositive’ and ‘expansion’ is expressed by all writers. The feature ‘motional’ is selected by 91% of the writers. ‘cognitive’ is selected by 73% of the writers.

These features are realised in expressing a Relativisation as they are involved in the representation of the two types of experience, i) **Evoking experience** and ii) **Ideological experience**. Evoking experience invokes the empathy of readers toward the writers’ ideological position. Ideological experience announces the writer’s ideological position. As an example, the Relativisation of the *Lion Heart* is provided in Example 4-41 (translated version is in Figure 4-42) below. The writer of the *Lion heart* text utilises ‘dispositive’, ‘motional’ clauses for construing its Evoking experience. These features contribute to construe the experience, since they describe the action of “the countries such as the US” and “the UN” which may make his readers believe, as he does, that sending Self Defence Force is necessary (evoking experience). The relational: ‘as descriptor’ clause and mental: ‘cognitive’ clauses are used to construe the Ideological experience. The ‘cognitive’ clause projects the ‘as descriptor’ clause. The ‘as descriptor’ clause assigns “necessity” to the action “taking the responsibility by not only financial support but also material and humanitarian support including sending Self Defence Force”. In this manner, the cognitive and ‘as descriptor’ clauses contribute to represent the ideological position of the writer.



Example 4-41 realisation of Relativisation in *Lion Heart*

Example 4-42 realisation of Relativisation in *Lion Heart* (translated)

In some cases, the writers explicitly state only evoking experience but not ideological experience. In such case, only some of the features identified above are used by the writers. For instance, the writer of the *Privatisation* text selects only ‘dispositive’ and ‘expansion’ from the four features, as he explicitly states only **evoking experience** in one of its Empathetic Constructions. This is shown in Example 4-43 (translated version in Example 4-44) below. The writer explicitly represents only the experience that can make readers believe that the privatisation of Postal Service can be beneficial (evoking experience). In construing the experience, ‘dispositive’ and ‘expansion: as entity’ is used but ‘motional’ and ‘cognitive’ is not utilised.

However, even in such cases, writers may still evoke ideological experiences covertly via evoking experience. This is because evoking experience can implicitly represent ideological experience, as it often contains the evaluation that implies ideological experience. For instance, the evoking experience represented in Example 4-43 (translated version in Example 4-44) implies the writer’s ideological position towards the privatisation, because the evoking experience contains writer’s evaluation of the privatisation. For example, the expressions such as “*kookensuru*” (contribute) and “*uruosu*” (benefit) represent writer’s positive evaluation of the privatisation. In this manner, these evaluations in the evoking experience implicitly represent the ideological experience. This point will be further discussed in the next chapter.

Hence, the analysis of the corpus suggests that Relativisation is often realised by the presence of the various features such as ‘dispositive’, ‘motional’, ‘expansion’ and/or ‘cognitive’ that express Evoking and Ideological experiences, although not all but some of these features may be selected when only the Evoking experience is explicitly represented.

**Example 4-43** realisation of Relativisation in *Privatisation*

民営化され[material: dispositive] 税金を払うようになれば[material: dispositive]国や地方の財政に貢献するようになります[material: eventive]。また、政府が保有する株式が売却されれば[material: dispositive]、これも国庫を潤し[material: dispositive]財政再建にも貢献します[material: eventive]。将来増税の必要が生じてても[material: eventive]、増税の幅は小さなものになるでしょう[relational: as entity]。

evoking experience

evaluation

**Example 4-44** realisation of Relativisation in *Privatisation* (translated)

If (it [Public Postal Service]) is privatised and [material: dispositive] pays tax,[material: dispositive] (it) will contribute to the finance of the nation and prefectures. [material: eventive]. Further, if the stock that the Government has is sold, [material: dispositive], (this) also will benefit the finance, [material: dispositive] (it) will also contribute to the restoration of the national finance. [material: eventive]. Even if the necessity to increase tax emerges, [material: eventive] the amount that will be increased will be small [relational: as entity].

evoking experience

evaluation

### 5.3 Realisation of the Ideational Perspective of Standpoint

Standpoint is the nuclear meaning of the Position element by which writers express the idea that they want to share with readers. The standpoint is often realised by the presence of ‘cognitive’ clauses in which the Sayer is instantiated by the writers and/or readers and of which Phenomenon or projected clauses represent the main arguments of the texts. Alternatively, it may be realised by the presence of ‘verbal exchange’ in which the Sayer is instantiated by writers and Verbiage or projected clauses represents the main arguments. This is, in part, indicated in Table 4-4. Except for the writers of *Yomiuri* and *Sankei*, all writers selected ‘cognitive’ and/or ‘verbal exchange’.

**Table 4-4 the writers’ selection of the features from TRANSITIVITY for the realisation of Standpoint**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability
mental: cognitive	✓	✓	✓	✓	✓	✓					✓	64%
verbal: verbal exchange				✓	✓		✓		✓			36%

For instance, the cognitive clause is used in the Standpoint of the *Environment* text as in Example 4-45.

#### Example 4-45 realisation of Standpoint in *Environment*

この理解に立って《合成の安定》を目指した新しい文明を、新産業社会を構築していかなければならないと考える。

Clause A	Ø ( <i>watashi-wa</i> ) (Senser)	<<Clause B>><<Clause A>>  <i>kangaeru.</i> think Process: mental: cognitive
<<Clause B>>	<i>kono rikai-ni</i> this understanding-NI Phenomenon	<i>tatte</i> stand, and Process: mental: cognitive
<<Clause C>>	<< <i>goosei no antei</i> >>-o <i>mezashita</i> combination NO stability-O aim <i>atarashii bunmei-o, shin-sangyoo-shakai-o</i> new    culture-O, new-industrial-society-O Goal	<i>koochikushiteikanakerebanaranai-to</i> construct-OBL-TO Process: material: creative

(I) think that, understanding in this way, (we) have to construct the new culture and the industrial society which aims for 'the stability in combined system'.

(from *Environment*)

In the example, Clause A which is a cognitive clause, projects Clause B and C. The Sayer of Clause A is the writer, although it is covertly expressed. The projected clause B and C construes the experience that represents the main argument of the *Environment*

text. In this manner, the cognitive clause in which the Sayer is the writer and in which the projected clauses represents the main argument contributes to realise the Standpoint.

The Standpoint in the *Mainichi* text is realised by the presence of the verbal exchange clause in which the Sayer is instantiated by the writer and in which the projected clause represents one of the main arguments of the text. One of the *Mainichi*'s Standpoints is represented in Example 4-46.

**Example 4-46 realisation of Standpoint in Mainichi**

そして、最後に、「暴力テロを絶て」と訴えたい。

Clause A	<i>soshite,</i> and,	<i>saigo-ni,</i> finally,	Ø ( <i>watashi-wa</i> ) (I)	<<>>	<i>uttaetai</i> ask-INC
	Text. Adj.	Text. Adj.	(Sayer)		Process: verbal exchange
Clause B	<i>'booryoku-tero-o</i> violent-terrorism-O		<i>tate'-to</i> eliminate-IMP-TO		
	Goal		Process: dispositive		

And, finally, (I)'d like to ask 'Eliminate violent acts of terrorism'.

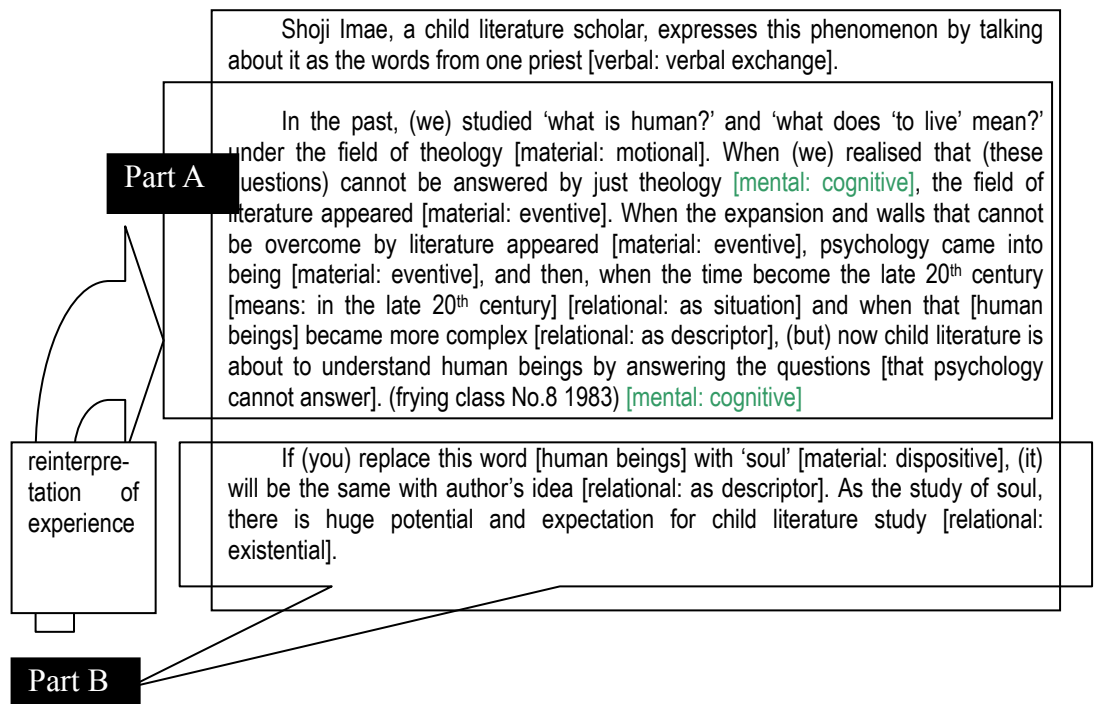
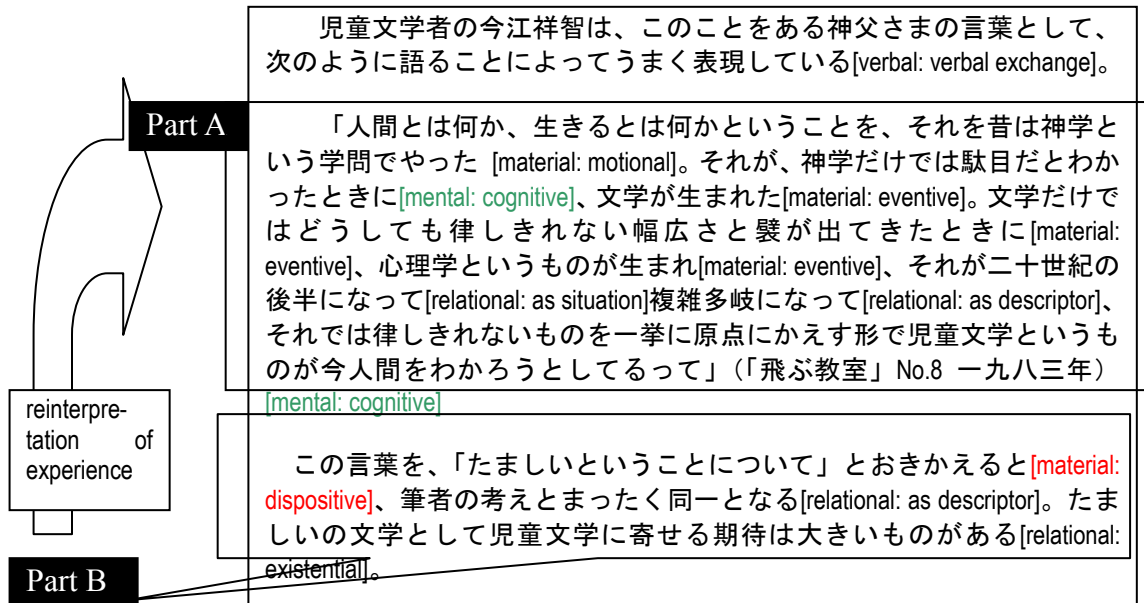
(from Mainichi)

In the example, Clause A is the verbal exchange clause. In the clause, the Sayer is the writer, although it is covertly expressed. The clause projects Clause B which represents one of the main arguments of *Mainichi*. In this way, the clause contributes to realise one of *Mainichi*'s Standpoints.

Based on the arguments above, it is likely to be the case that the Standpoint is typically realised by the presence of the cognitive or verbal exchange clauses. I will refer to this experience that represents the main arguments of the texts as **Positioning experience**.

In the examples above, the Positioning experience of *Environment* and *Mainichi* are clearly represented. However, some writers may choose the Positioning experience that represents the main arguments in a more implicit manner. For instance, the writer of *Soul* represents his main argument implicitly. The Standpoint of *Soul* is in Example 4-47 below.

## Example 4-47 realisation of Standpoint in Soul



This positioning experience is somehow more implicit in comparison to the positioning experience of the *Environment* or *Mainichi* text. This implicitness is derived from the writer’s strategy of making the readers reinterpret the experience described in Part A. The writer indirectly suggests his readers to replace the words ‘human being’ in Part A with the term ‘soul’. This is expressed by the dispositive material and as descriptor relational clauses in Part B.

## 6 Conclusion

This chapter illustrated the features of TRANSITIVITY utilised in the corpus, and identified those features that are typically involved in the realisation of the ideational perspective of the nuclear meanings, Invitation, Relativisation and Standpoint. As a result, I proposed that:

- i) Invitation is often realised by the presence of ‘doing’ clauses, although the clauses may be nominalised and expressed in a group-rank unit. In the clauses, human participants such as the writers or third parties are construed as the Actor. In addition, the entities, phenomenon or people that are involved in the experience that introduces subject matter of the texts are construed as the Goal.
- ii) Relativisation is often expressed by the presence of various features such as ‘dispositive’ ‘motional’, ‘expansion’ and ‘cognitive’. When only Evoking experience but not Ideological experience is explicitly construed, only some features from the four may be realised, and
- iii) Standpoint is often realised by the presence of cognitive and/or verbal exchange clauses. In the clauses, the writers are construed as the Senser (in cognitive) or the Sayer (in verbal exchange). Further, the main arguments of the texts are typically construed by Phenomenon (in cognitive), Verbiage (in verbal exchange) or a projected clause.

Further, I argued that:

- i) Invitation often involves Topical experience – i.e. the experience that introduces main subject matter of the texts,
- ii) Relativisation, at least, is composed by Evoking and Ideological experience. Evoking experience triggers empathy from the readers towards the writers’ ideological position. Ideological experience announces the writers’ ideological position. The ideological experience may be indicated implicitly through the evoking experience.
- iii) Standpoint is constituted by Positioning experience, which represent the idea that the writers want to share with the readers. Positioning experience is expressed either in an explicit or implicit manner.

The discussion above is summarised in Table 4-5 below.



**Table 4-5 typical realisation of the nuclear meanings via the features of TRANSITIVITY**

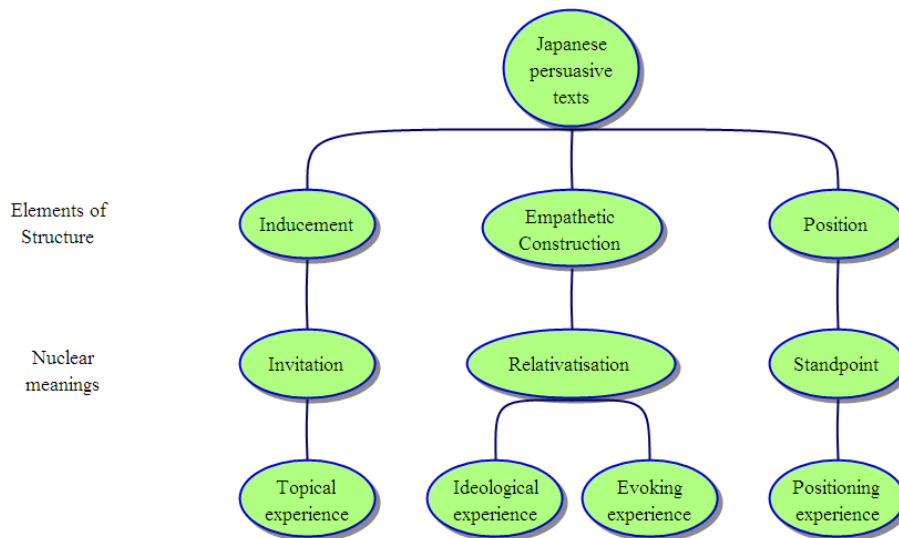
Nuclear meaning	Experience	The resources for the realisation in the corpus
Invitation in the Inducement element	Topical experience	- material: doing (Actor: writer or third parties, Goal: entities, phenomenon or people that are involved in Topical experience)
Relativisation in the Empathetic Construction element	Evoking experience Ideological experience (can be implicit)	- dispositive - motional - expansion - cognitive *when only Evoking experience is represented, some of the four may be utilised.
Standpoint in the Position element	Positioning experience (can be implicit)	- cognitive (Sayer: writer and/or readers, Phenomenon/projected clause: the ones that represents main arguments of the texts) and/or - verbal exchange (Sayer: writer, Verbiage or projected clause: the ones that represents main arguments of the texts)

These findings suggest that in Japanese persuasive texts, the writers typically introduce the subject matter of the texts by construing the experience in which the entities, phenomenon or people involved in Topical experience are **changed** (i.e. either transformed in some ways or created) by a third party or the writers themselves. This is suggested based on the fact that the doing clause is realised for the realisation of the Topical experience in the most texts of the corpus.

In addition, the fact that Ideological experience can be implicitly expressed via Evoking experience implies that, in Japanese persuasive texts, it is not obligatory for writers to construe their ideological position explicitly in the texts.

Similarly, based on the fact that Positioning experience can be realised either in an implicit or explicit manner, it is possible to argue that, although they have to be indicated, the main arguments of Japanese persuasive texts can be indicated covertly.

Further, based on the findings, it is possible to propose a particular structure of Japanese persuasive texts. The structure is presented in Figure 4-8 below.

**Figure 4-8 particulate structure of written Japanese persuasive texts**

The particulate structure shows the minimal ideational constituents of Japanese persuasive texts. In other words, it shows what kinds of ideational constituents a written Japanese persuasive text has to have in order to realise its social purpose – i.e. persuasion. As mentioned in Chapter 3, the text must have the three obligatory elements, Inducement, Empathetic Construction and Position. The elements must contain, at least, the three nuclear meanings of, Invitation, Relativisation and Standpoint. Adding to this, this chapter shows that the nuclear meanings must have Topical experience (Invitation), Evoking and Ideological experience (Relativisation) and Positioning experience (Standpoint). In other words, writers of Japanese persuasive texts have to construe at least:

- i) the experience that introduce the subject matter of the texts,
- ii) the experience that evokes empathy from readers towards the writers' ideological position,
- iii) the experience that implicitly or explicitly announces the writers' ideological position and
- iv) the experience that represents implicitly or explicitly the idea that the writers want to share with the readers in their texts.

Based on the arguments above, I propose that, ideationally speaking, the features of TRANSITIVITY that realise these experiences are the ones that are essential for constructing a written Japanese persuasive text. In the next chapter, the nuclear meanings will be explored from an interpersonal perspective.

## **Chapter 5    Persuasion as Evaluation — ATTITUDE in APPRAISAL**

### **1 Introduction**

In the previous chapter, I investigated the ideational perspective of the nuclear meanings, Invitation in the Inducement element, Relativisation in the Empathetic Construction element and Standpoint in the Position element. In this chapter, these nuclear meanings are explored from the interpersonal perspective.

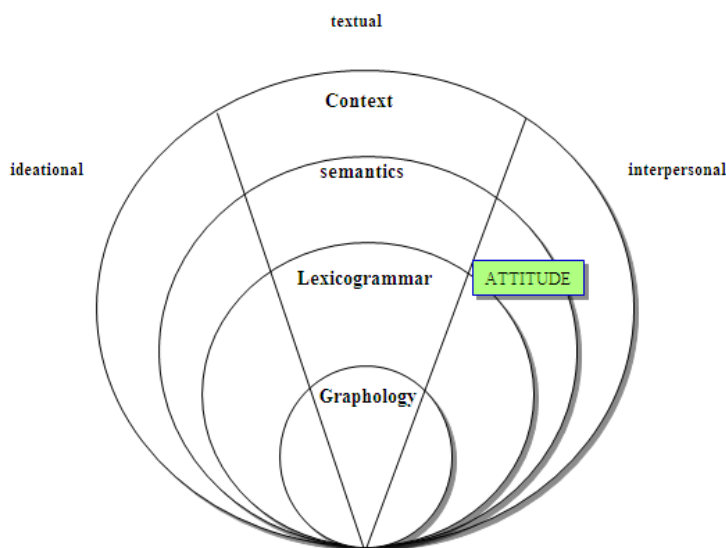
This chapter illustrates how the interpersonal perspective of the three nuclear meanings is, in part, expressed by one of the systems of APPRAISAL, that of ‘ATTITUDE’. Following this section, Section 2 locates the system of ATTITUDE in the SF dimensions of language. Section 3 describes the approach that is used to examine how the system is involved in the realisation of the nuclear meanings. Section 4 identifies the strategies for expressing ATTITUDE. Section 5 specifies which strategies are involved in the realisation of the nuclear meanings. Section 6 will conclude the chapter.

### **2 The System of ATTITUDE**

#### **2.1      ATTITUDE in the SF dimensions of Language**

The location of the system of ATTITUDE in the dimension of metafunction and stratification is illustrated in Figure 5-1 below.

**Figure 5-1 the location of ‘attitude’ in APPRAISAL**



Metafunctionally, the system of ATTITUDE is an interpersonal resource. In other words, it is one of the resources for enacting, maintaining, building, strengthening or weakening a social relationship between writers and readers. Stratificationally, it is a resource in the semantic stratum (Martin and White, 2005). That is to say, it is construed by lexico-grammatical resources and is activated by contextual factors.

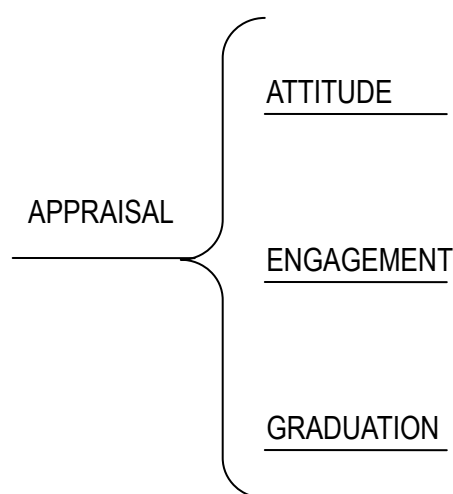
## **2.2 ATTITUDE in the System of APPRAISAL**

ATTITUDE, as mentioned, is one of the systems of APPRAISAL. The system of APPRAISAL has been studied by the scholars such as Martin (2000b) and Martin and Rose (2003), Martin and White (2005), White (2002; 2003) and Hood (2004) with the aim to extend the SF account of interpersonal meaning. The system has been employed to explore a variety of discourses such as politics (cf. Miller, 2004), education (cf. Painter, 2003; Hood, 2004) and media (cf. White, 1998).

APPRAISAL, according to Martin (2000b), represents “the semantic resources

used to negotiate emotions, judgements, and valuations, alongside resources for amplifying and engaging with these evaluations” (p.145). Martin (2000b) shows that the English system, other than ATTITUDE, proposes two sub-systems, ENGAGEMENT and GRADUATION as shown in Figure 5-2.

**Figure 5-2 the system of APPRAISAL**



The three systems express one’s evaluation by using different resources (Martin and White, 2005). The system of ATTITUDE construes evaluation by using gradable resources that explicitly or implicitly indicate positive or negative evaluation (Martin, 2000b; Martin, 2004). The system of ENGAGEMENT construes evaluation by utilising the resources that indicate the ignorance or the acknowledgment of dialogism or intersubjective positioning in discourse (White, 2003; Martin, 2004). The system of GRADUATION construes evaluation by using the resources that grade meaning by degree (Martin, 2004; Hood, 2004).

Although the features of the systems may not be exactly the same<sup>28</sup>, the three systems are present in the linguistic system of Japanese. For instance, Example 5-1 below suggests the presence of the systems in Japanese.

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<sup>28</sup> This point is further discussed in Chapter 7.

### Example 5-1 example of the instance of ATTITUDE

マングローブ森は、世界で最も生物繁殖の盛んな場所であり二酸化炭素を非常に効率的に吸収することでも貴重な地域でもある。

<i>manguroobu-rin-wa, sekai-de mottomo seibutsu-hanshoku no sakanna basho-deari,</i> mangrove forest-WA, world-DE best creature-reproduction NO active place COP, and <i>nisankatanso-o hijooni <u>kooritsutekini</u> kyuushuusuru koto-demo <u>kichoona</u> chiiki dearu.</i> carbon dioxide-O very <u>effectively</u> absorb KOTO also <u>precious</u> place COP.
While mangrove forest is the best breeding ground, it is also a <u>precious</u> place in the sense that it can very <u>effectively</u> absorb carbon dioxide.

(from *Environment*)

The boxed expressions such as the adverb “*kooritsutekini*” (effectively) and the adjective “*kichoona*” (precious) construe the the writer’s positive evaluation toward the mangrove forest. These expressions can be considered as instances of ATTITUDE. The instance of Attitude “*kooritsutekini*” (effectively) is graded by the underlined adverb “*hijooni*” (very). As “*hijooni*” (very) grades the meaning, it can be seen as an instance of GRADUATION. In addition, the bolded copula “*dearu*” (is) expresses that the proposition is a bare assertion along with the absence of expressions that can acknowledge heteroglossic nature. This expression suggests that the writer ignores other dialogistic alternatives in the discourse. Therefore, it can be considered as an instance of ENGAGEMENT. Other Appraisal studies of Japanese discourse (e.g. White and Sano (2006), Tann (2005), Fukui and Thomson (2005), Sano (2005), Sano and White (2005)) also suggest the presence of these systems. As mentioned, among the three systems, the use of ATTITUDE is explored in this study.

In the study of APPRAISAL, the person who evaluates is called the **Appraiser**, while the target that is evaluated is referred to as the **Appraised** (Martin, 2000b). For instance, in Example 5-1 above, with regard to the evaluation expressed by the lexical items “*kooritsutekini*” (effectively) and “*kichoona*” (precious), the Appraiser is the writer and the Appraised is the mangrove forest.

### **3 Method for identifying the Resources in the Realisation of the Nuclear Meanings — ATTITUDE**

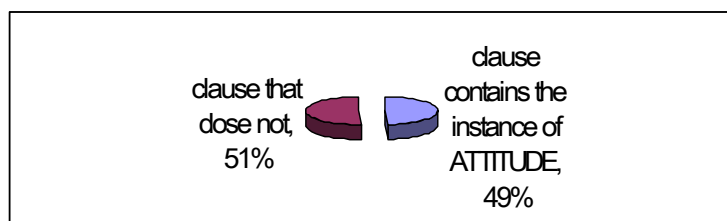
In this study, how the system of ATTITUDE contributes to realise the interpersonal perspective of the nuclear meanings is investigated in two stages. The first stage is to explore the strategies for expressing ATTITUDE. In other words, the present study explores the lexicogrammatical resources that realise the features of the semantic system, ATTITUDE are explored. The resources are classified by following the work of Martin and White (2005) and Seto's (2002) study of Japanese rhetoric as a starting point. Each instance of attitude in the corpus is examined and the lexicogrammatical resources that realises the system are identified. This stage is necessary because, although Tann (2005) investigates some aspects of the strategies in a text published in 1930s, there are few studies of the resources in modern Japanese discourse.

The second stage is to specify which strategies are typically involved in the realisation **of the nuclear meanings**. The characteristic patterns of selecting the strategies for each nuclear meaning are explored. This stage is necessary because, through this, it is possible, in part, to identify the patterns that writers use in order to express their evaluation in written Japanese persuasive texts.

### **4 Strategies for the Realisation of ATTITUDE in Japanese Persuasive Discourse**

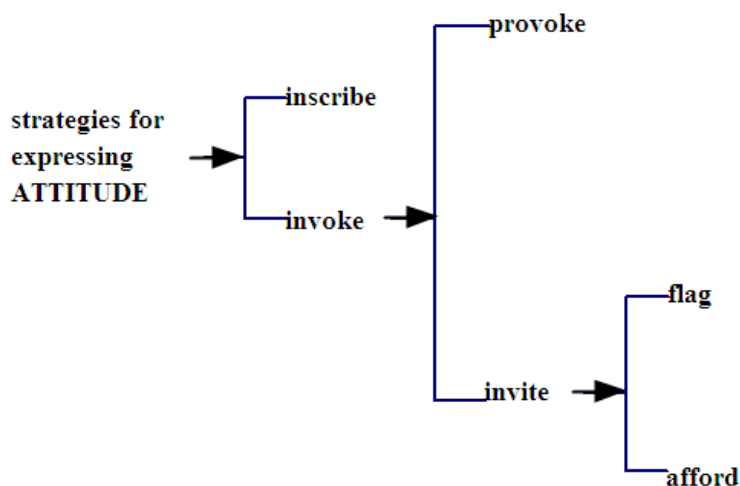
The written persuasive texts in the corpus contain a variety of evaluative expressions. In the corpus, about 49% of the clauses in the corpus contain an instance of attitude, as illustrated in Chart 5-1. Statistically speaking, this means that one in every two clauses contain an evaluative expression. This fact confirms that evaluation is one of the fundamental features of Japanese persuasive texts.

Chart 5-1 Probability of the Instance of ATTITUDE



As there are many instances of attitude, there are many ways of expressing ATTITUDE. However, the present study found that the strategies identified by Martin and White (2005) are applicable to the majority of the instances of ATTITUDE in the corpus. The types of strategies suggested by Martin and White (2005) are represented in Figure 5-3. In this section, I will explain each strategy and illustrate how they can be expressed in written Japanese discourse.

Figure 5-3 the strategies for inscribing and invoking attitude



#### 4.1 inscribe

The feature ‘inscribe’ is the strategy that **explicitly** expresses how Appraisers want their readers to feel about an Appraised. An inscribed Attitude “launches and subsequently reinforces a prosody which directs readers in their evaluation of non-attitudinal



ideational material under its scope” (Martin and White, 2005: 64). This strategy is expressed by the presence of **attitudinal lexis** (Martin and White, 2005). An instance is in Example 5-2.

### Example 5-2 example of inscribe

毅然として、かつ細心に、政治プロセスの進展を図ることが肝要だ。

<i>kizen to shite, katsu saishin-ni, seiji-purosesu no shinten-o hakaru koto-ga</i>	<i>kanyoo da.</i>
Resolutely, carefully political-process NO development-O plan KOTO-GA	important COP.
What is important is to plan a development of a political process resolutely and carefully.	

(from *Yomiuri*)

In this example, the writer of *Yomiuri* uses the attitudinal lexical item “*kanyoo*” (important). This term explicitly expresses how the writer wants their readers to feel towards the action “*kizen to shite, katsu saishin-ni, seiji-purosesu no shinten-o hakaru koto*” (to plan a development of a political process resolutely and carefully). Table 5-1 below lists some examples of the attitudinal lexis used in the corpus which realise this feature<sup>29</sup>.

<sup>29</sup> The distinction among the five categories established in Table 5-1 is discussed in Chapter 7.

Table 5-1 examples of attitudinal lexis realised in the corpus

attitudinal lexis in the corpus														
to do with <i>kokoro</i> (emotion) of Appraiser			to do with <i>shitsu</i> (quality) of Appraised			to do with <i>kooka</i> (effect) of Appraised			to do with <i>kachi</i> (value) of Appraised			to do with <i>tadashisa</i> (correctness) of Appraised		
喜ぶ	<i>yorokobu</i>	joy	欠陥	<i>kekkan</i>	defect	危険な	<i>kikenna</i>	dangerous	不可欠	<i>fukaketsu</i>	essential	違反	<i>ihan</i>	illegality
憤る	<i>ikidoori</i>	anger	欠点	<i>ketten</i>	fault	厄介な	<i>yakkaina</i>	problematic	必要	<i>hitsuyoo</i>	necessary	短絡	<i>tanraku</i>	illogicality
悲しむ	<i>kanashimu</i>	be sad	欠落	<i>ketsuraku</i>	lack	蔓延する	<i>manensuru</i>	spread negatively	大切	<i>taisetsu</i>	important	読み違い	<i>yomichigai</i>	misreading
嘆く	<i>nageku</i>	feel grief	難しさ	<i>muzukashisa</i>	difficulty	貢献	<i>kooken</i>	contribution	貴重	<i>kichoo</i>	valuable	否定	<i>hitei</i>	denial
心強い	<i>kokorozuyoi</i>	reassuring	困難	<i>konnan</i>	hardness	害	<i>gai</i>	harm	肝要	<i>kanyoo</i>	vital	反問	<i>hanmon</i>	oppose
危惧する	<i>kigusuru</i>	fear	単純	<i>tanjun</i>	simplicity	恩恵	<i>onkei</i>	benefit	ブーム	<i>buumu</i>	boom	堅持	<i>kenji</i>	maintain firmly as a correct/valid thing
心配する	<i>shinpaisuru</i>	feel anxiety	汚染	<i>osen</i>	pollution/impurities	有効	<i>yuukoo</i>	effective	話題になる	<i>wadaininaru</i>	popular	まちがい	<i>machigai</i>	mistake
おびえる	<i>obieru</i>	terrify	よごれ	<i>yogore</i>	blot	通用しない	<i>tsuuyooshinai</i>	ineffective	目立つ	<i>medatsu</i>	outstanding	相反する	<i>aihansuru</i>	contradict

## 4.2 invoke

The feature ‘invoke’, on the other hand, is the strategy that express how Appraisers want readers to feel about an Appraised **in a more indirect manner** than the feature ‘inscribe’. Unlike the feature ‘inscribe’, the realisation of the ‘invoke’ does not involve the presence of attitudinal lexis. ‘invoke’ proposes two sub-features; i) **provoke** and ii) **invite**.

### 4.2.1 provoke

The feature ‘**provoke**’ is the strategy that indirectly express the Appraiser’s evaluation on the Appraised **via the instance of lexical metaphor** (Martin and White, 2005). In the corpus, there are three types of lexical metaphors that may provoke the Appraiser’s evaluation, which are i) *chokuyu* (simile), ii) *inyu* (screened metaphor) and iii) *gijinhoo* (personification) (Seto, 2002)<sup>30</sup>. The simile and screened metaphor may provoke evaluation by linking or comparing the Appraised with the entity, action or phenomenon that potentially inspires a positive or negative impression in the readers.

The **simile** explicitly signals the presence of a lexical metaphor to the readers as the metaphor is marked by morpheme such as ‘- yoo’ (as/like) (Seto, 2002). An instance is in Example 5-3.

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<sup>30</sup> Seto translates *inyu* as ‘metaphor’. However, I translated it as ‘screened metaphor’ to distinguish it with other types of metaphor.

### Example 5-3 example of provoke via simile

「民間にできることは民間に」、「行財政改革を断行しろ」「公務員を減らせ」と言いながら郵政民営化に反対というのは、手足をしばって泳げというようなものだ

*"minkan-ni dekirukoto-wa minkan-ni", "gyoo-zaisei-kaikaku-o dankooshiro" "koomuin-o herase" to ii-nagara yuusei-mineika-ni hantai-to iu no-wa, teashi-o shibatte oyoge to iu yoona mono da*

Objecting to the privatisation of the Postal Service while saying "Let the private citizens do what they can do", "Restructure the Administration and Finance of the nation" and "Reduce the number of public servants" is like being ordered to swim when your hands and feet are tied

(from Privatisation)

In the example, the use of the simile provokes the writer's negative evaluation of the Appraised actions "*minkan-ni dekirukoto-wa minkan-ni*", "*gyoo-zaisei-kaikaku-o dankooshiro*" "*koomuin-o herase*" to *ii-nagara yuusei-mineika-ni hantai-to iu no*" (objecting to the privatisation of the Postal Service while saying "Let the private citizens do what they can do", "Restructure the Administration and Finance of the nation" and "Reduce the number of public servants"). The evaluation is provoked as the Appraised is compared with the lexical metaphor "*teashi-o shibatte oyoge to iu yoona mono*" (like being ordered to swim when your hands and feet are tied), which may inspire a negative impression in his readers. The presence of lexical metaphor is evident as the metaphor is marked by the morpheme "*-yoo*" (like).

On the other hand, **screened metaphor** does not explicitly state the presence of a lexical metaphor, as the lexical metaphor is not marked by morpheme such as "*-yoo*" (Seto, 2002). Example 5-4 is an instance.

#### Example 5-4 example of provoke via screened metaphor

治安改善と復興活動は、国家再建の両輪である。

<i>chian-kaizen</i>	<i>to fukkoo-katsudoo-wa,</i>	<i>kokkasaiken no</i>
The improvement of public safety and the activities of the restoration-WA, the reconstruction of the Nation NO		
<i>ryoorin dearu.</i>		
<b>wheels</b> COP.		
The improvement of public safety and the activities for the restoration are the <b>wheels</b> of the reconstruction of the nation.		

(from *Sankei*)

In the example, the use of a screened metaphor may provoke the writer's positive evaluation on the Appraised "*chiankaizen to fukkoo-katsudoo*" (The improvement of public safety and the activities for the restoration). The positive evaluation is provoked as the Appraised is metaphorically compared with "*kokka saiken no ryoorin*" (the wheels of the reconstruction of the nation). In this context, the term "*ryoorin*" (wheels) can metaphorically imply 'the system which brings an entity forward'. The presence of the lexical metaphor is not evident as a simile, as the presence of the lexical metaphor is not marked by the morpheme "-yoo".

The third type, **Personification**, refers to the lexical metaphor that treats inanimate entities as people (Seto, 2002). The personification assigns the expressions that are typically used only for people, to inanimate entities. Example 5-5 is an instance.

#### Example 5-5 example of provoke via personification

エコツーリズムはまだほんの問題の入り口をのぞいたにすぎない。

<i>eko-tuurizumu-wa</i>	<i>mada honno mondai no iriguchi-o</i>	<b>nozoita-ni suginai</b>
eco-tourism-WA	yet just issue NO entry-O	watch-ASP-only
Senser	Phenomenon	Process: mental
Eco-tourism <b>has only watched</b> just the entry point of the issue.		

(from *Eco-tourism*)

In the example, the inanimate entity "*eko-tuurizumu*" (eco-tourism) is treated as though a person with the expression "*nozoku*" (watch), as it is construed as the Senser of the

clause (See Chapter 4 for ‘Senser’). “*nozoku*”, in some context, can construe the process of watching with negative connotation, although it typically refers to the action of people but not an inanimate abstraction. Via personification, the negative connotation of *nozoku* is emphasised along with the resources for intensifying meaning “*madahonno*” (just) and “*-suginai*” (only/merely). Through this, a negative evaluation on the Appraised, “*eko-tuurizumu*” (eco-tourism) is provoked.

#### 4.2.2 invite

The other feature of ‘invoke’, ‘invite’, refers to the strategy which invokes Appraiser’s evaluation without using attitudinal lexis or lexical metaphor. It has two sub-features, i) **flag** and ii) **afford**.

The feature ‘**flag**’ refers to the strategy that invokes the evaluation by signalling it via the lexicogrammatical resources for i) counter-expectation and ii) intensification, etc (Martin and White, 2005). The resources for counter-expectation may flag the Appraiser’s evaluation as in Example 5-6.

#### Example 5-6 example of flag via counter-expectation

祝福はしたいが

*shukufuku wa shitai ga*

celebrate-WA-want although

Although (we) want to celebrate [the Hand-over of sovereignty]

(from *Asahi*)

In the example, the Appraiser’s negative evaluation on “the Hand-over of sovereignty” is flagged by the use of the adversative conjunctives “*-ga*” (although), which is one of the resource for expressing counter-expectation.

The resources for intensification can also hint at evaluation. Intensification is often expressed by the resources for the system of GRADUATION such as the modifier *saidaino* (the biggest) as in Example 5-7.

### Example 5-7 example of flagged Attitude by intensification

最大の使命は、来年一月に予定される国民議会選挙を、滞りなく実現させることである。

<u>saidai-no</u>	<i>shimei-wa, rainen ichigatsu-ni yotelesareru kokumin-gikai-senkyo-o ,</i>
the <u>biggest</u>	aim-WA, next year January-NI planed national-parliamentary-election-O,
<i>todokoorinaku jitsugensaseru koto dearu</i>	
without delay realise-PASS KOTO COP.	
The <u>biggest</u> aim is to carry out the national parliamentary elections planned for January next year without delay.	

(from *Yomiuri*)

In the example, although there is no attitudinal lexis, the use of the modifier “*saidaino*” (the biggest) may invoke the importance of the Appraised “*rainen ichigatsu-ni yotelesareteiru kokumin-gikai-senkyo-o, todokoorinaku jitsugensaseru koto*” (to carry out the national parliament election planned next year without delay) to some readers.

A flagged Attitude via intensification may also be expressed by other rhetorical strategies such as i) *kyokugenhoo* (litotes) and ii) *gakugenhoo* (paralepsis)<sup>31</sup>. The **litotes** refers to the strategy that emphasises meaning by denying the opposite of the meaning that writers like to express (Seto, 2002)<sup>32</sup>. By denying the opposite, it intensifies the meaning (Seto, 2002). Example 5-8 is an instance.

<sup>31</sup> See Seto 2002 for other rhetorical strategies for intensifying meaning.

<sup>32</sup> In the English Appraisal system, the negation is typically associated with a resource of engagement: deny. However, in Japanese, the negation has a role not only as a resource for engagement but also in the system of ATTITUDE. This is because the litotes is recognised as a resource for intensifying an evaluative meaning – i.e. it is a resource for grading the meaning by degree (Seto, 2002).

**Example 5-8 example of flagged Attitude by indirect negation**

私は自衛隊だから行ってはいけないという考えはもっておりません。
<i>watashi-wa jieitai dakara itte wa ikenai to iu kangae-wa motteorimasen.</i>
I-WA the Self-Defense force because <u>go-WA-NEG</u> TO IU idea-WA <u>have-NEG</u> .
I <u>don't have</u> an idea that because they are the Self-Defence force, they <u>cannot go</u> .

(from *raion haato*)

In the example, the litotes is expressed by the use of two negatives. Via the use of the litotes, the writer flags his positive attitude towards the idea that Self Defence Force **can** go, while invoking the negative attitude towards the idea that “because they are Self Defence Force, they cannot go”.

**Paralepsis** refers to the strategy where writers actually say what they say they will not (Seto, 2002). Via this approach, the writers can intensify the meaning that they want to express (Seto, 2002). Example 5-9 is an instance.

**Example 5-9 example of invoked attitude via paralepsis**

そうした方向へ局面を転換させる責任が、まずブッシュ大統領にあることは言うまでもない。

<i>sooshita hookoo-e kyokumen-o tenkansaseru sekinin-ga</i>
that direction to situation-O change responsibility-G
<i>mazu, busshu daiitoryoo-ni aru koto-wa iu mademo na.</i>
firstly, Bush President-at COP KOTO-WA say-ASP-NEG
<u>(I) don't need to say</u> that, firstly, the President Bush has the responsibility for changing the situation into such direction.

(from *Asahi*)

In the example, the writer says “*iumademonai*” ((I) don't need to say), though he actually mention what he want to say. In this context, paralepsis may invoke and hint at the writer's evaluation of the Appraised “the President Bush” in terms of his importance.

The other feature, **afford**, refers to the strategy that invokes the Appraisers' evaluation via their selection of experiential information (Martin and White, 2005). Example 5-10 is an instance.



**Example 5-10 example of afford**

環境省のエコツーリズム推進モデル事業にも指定された。

(minami shinshuu-koosha-wa)
(south Shinsu-public corporation-WA)
<u>kankyoo-shoo no</u> <u>eko-tuurizumu-suishin-moderu-jigoo-ni mo shiteisareta.</u>
environment-Ministry NO Eco-tourism-promotion-model-company-for select-PASS-PST.
(South Shinshu public corporation) <u>is selected for Ministry of Environment's model company for the promotion of</u> <u>eco-tourism.</u>

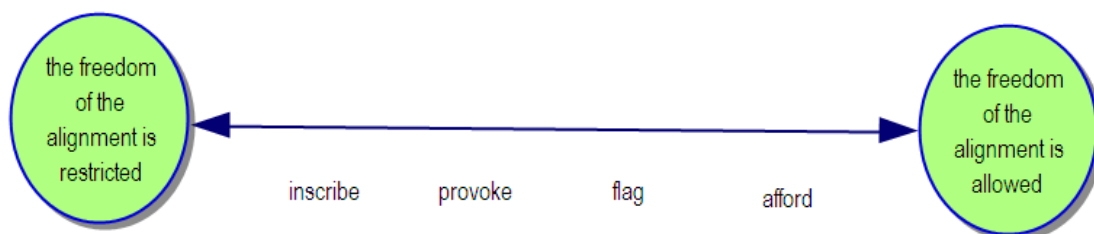
(from *Eco-tourism*)

In the example, there is no attitudinal lexis, lexical metaphor, the resource for counter-expectation or intensification. However, it may still invoke the positive evaluation towards the Appraised “*minamishinshuu-koosha*” (Southern Shinshuu public cooperation) based on the experiential information that it is selected for the Ministry’s model.

**4.3 The Degree of Freedom in Alignment**

By the features ‘inscribe’, ‘provoke’, ‘flag’ and ‘afford’, the instances of ATTITUDE in the corpus are realised directly or indirectly. The topological difference between these strategies, according to Martin and White (2005), can be seen as “a cline from ‘inscribe’ to ‘afford’ according to the degree of freedom allowed readers in aligning with the values naturalised by the text” (p.67). The cline is illustrated in Figure 5-4.

**Figure 5-4 the cline from inscribe to afford**



Inscribed Attitude, as mentioned, reinforces an evaluative position. It explicitly specifies an evaluative position of the Appraisers and directs readers. As it ‘directs’ the readers, it restricts the freedom of alignment. In other words, it limits the range of ideological

positions that can be aligned with as a result of being 'explicit'.

On the other hand, the features of Invoke 'provoke', 'flag' and 'afford', allows wider freedom of alignment in comparison to 'inscribe'. This is because they do not reinforce but rather invite readers to an evaluative position. As mentioned, their expression of Appraiser's evaluation is more indirect in comparison to the 'inscribe'. Since they are indirect, they may not suggest a specific evaluative position but multiple or ambiguous ones. Because of this characteristic, they can be aligned with a wider range of ideological positions than the inscribed attitudes.

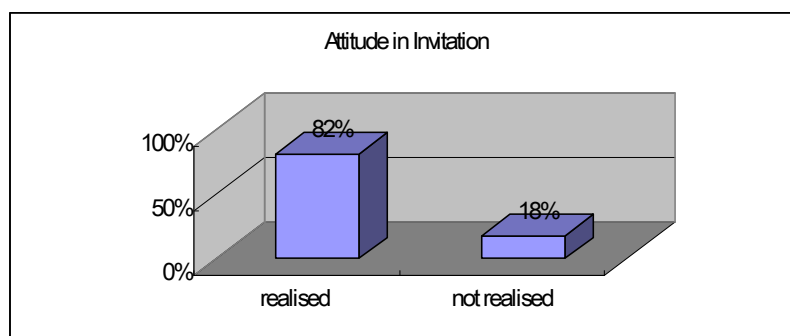
## 5 Realisation of the Nuclear Meanings via the Strategies for Expressing ATTITUDE

In the section above, I illustrated the strategies for the realisation of ATTITUDE utilised in the written Japanese persuasive texts. In this section, I will illustrate how these strategies are typically involved in the realisation of Invitation, Relativisation and Standpoint.

### 5.1 Invitation

For the realisation of Invitation, the use of Attitude is optional, although most writers do utilise the system. As illustrated in Chart 5-2, 18% of the writers such as the writer of *Lion Heart* do not realise the system, although 82% of the writers use the system of ATTITUDE.

**Chart 5-2 the use of Attitude in the realisation of Invitation**



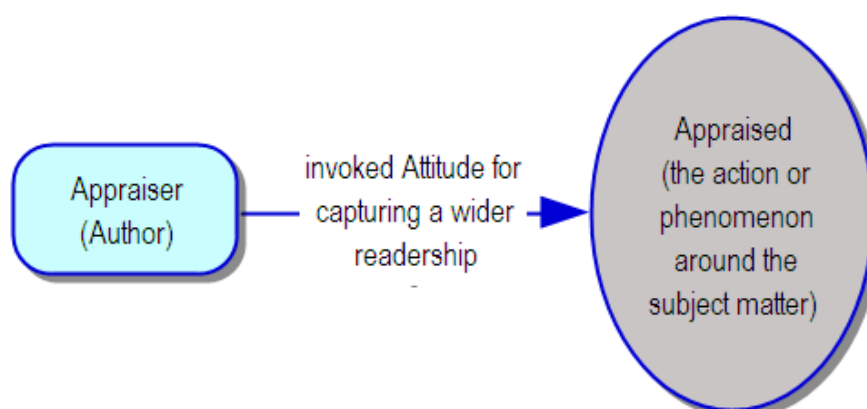
The feature that is typically involved in the realisation is 'invoke'. Table 5-2 represents this. As the table shows, 82% writers use the features of 'invoke'. Among the features of 'invoke', 64% of the writers select 'flag'.

**Table 5-2 the selection of the strategies for realising ATTITUDE in Invitation**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	Probability
inscribed		✓	✓		✓	✓			✓			45%
invoke	✓	✓	✓		✓	✓	✓	✓	✓	✓		82%
provoke	✓								✓			18%
flag		✓	✓		✓		✓	✓	✓	✓		64%
afford					✓	✓		✓	✓			36%

Invoked Attitude is often used in order to express writers' evaluation of the action or phenomenon related to the main subject matter of a text. The writers express the evaluation to attract interest from a wide range of readers. I will refer to the evaluation expressed for such purpose as **Attracting evaluation**. This role of invoked attitude is represented in Figure 5-5.

**Figure 5-5 the role of invoked attitude for the realisation of Invitation**



Invoked Attitude is employed for this function because of its indirectness and the degree of freedom for alignment. As mentioned, in comparison to an inscribed Attitude, an invoked Attitude is more implicit and indirect. The writers utilise this characteristic to attract a wide range of readers who may have diverse ideological positions. For example, the instances of invoked Attitude in the *Sankei* text may attract wider ideological positions than the case in which an inscribed Attitude is used. A part of *Sankei*'s Invitation is reproduced in Example 5-11.

**Example 5-11 example of the invoked attitude in Invitation**

六月三十日に予定されていた連合軍暫定当局（CPA）からイラクへの主権の移譲が急遽繰り上げられた。

rokugatsu sanjuunichi-ni yoteesareteita rengoogun-zantei-tookyoku  
(CPA)-kara iraku-e no shuken no ijoo-ga kyuukyo kuriagerareta.

flagged Attitude

The hand-over of sovereignty from Coalition Provisional Authority  
(CPA) to Iraq that had been planned on 30th of June was suddenly  
brought forward.

flagged Attitude

In the realisation of the Invitation, the writer invokes their evaluation via intensification expressed by the adverbial group “*kyuukyo*” (suddenly) as identified in the example above. This expression implicitly expresses the writer’s evaluation to some readers as it may suggest that the Hand-over is not well planned. In other words, the expression may hint that the writer questions the quality of the Hand-over. However, the expression does not force this interpretation. As it is implicit and indirect, other readers may not consider the expression as evaluative at all, if they interpret the expression simply as a circumstantial feature of the event.

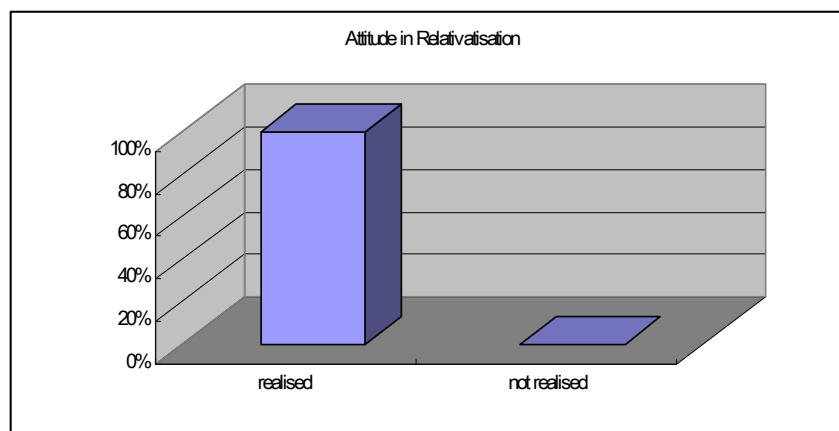
This invoked Attitude attracts wider ideological positions than the case in which an

inscribed Attitude such as *fumanzokuna katachi-de* (unsatisfactorily) is used. This is because the evaluation expressed by the invoked Attitude can be accepted by the readers who are for or against the idea that the Hand-over is unsatisfactory, since the expression is implicit and ambiguous. On the other hand, the expression by the inscribed Attitude such as ‘unsatisfactorily’ would risk solidarity with the readers who are against the idea that the Hand-over is unsatisfactory.

## 5.2 Relativisation

For the realisation of Relativisation, unlike the case of Invitation, an instance of Attitude is obligatory. Chart 5-3 shows this. All writers use the system of ATTITUDE in the realisation.

**Chart 5-3 the use of Attitude in the realisation of Relativisation**



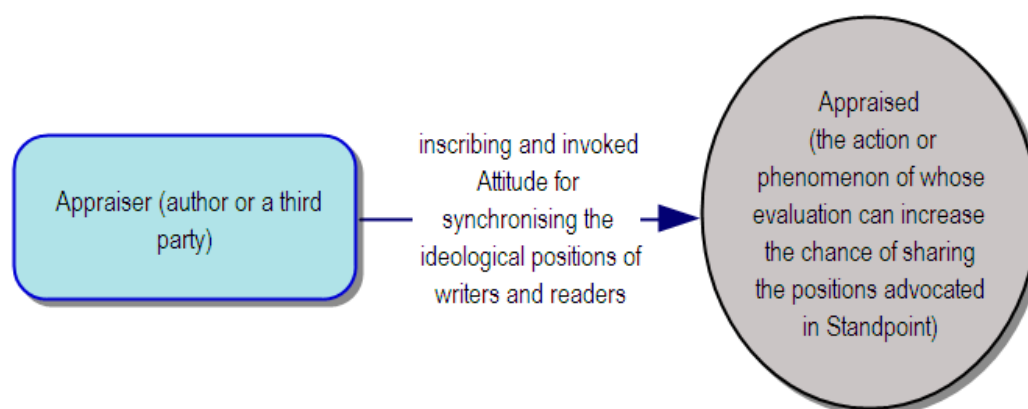
The realisation of a Relativisation typically involves the use of both inscribed and invoked Attitudes. Table 5-3 illustrates this. All writers use both inscribed and invoked Attitudes.

**Table 5-3 the selection of the strategies for realising ATTITUDE in Relativisation**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability
inscribed	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
invoke	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
invoke: provoke	✓	✓	✓	✓	✓		✓	✓	✓	✓		82%
invoke: flag	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
invoke: afford	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	91%

Both strategies are used as they are employed to express the writers' or third party's evaluation of the action or phenomenon whose evaluation can increase the chance of sharing the positions advocated in Standpoint. The writers express the evaluation in order to motivate readers to synchronise their ideological positions with those of the writers. I will refer to such evaluation as **Synchronising evaluation** below. The role of inscribed and invoked attitude is illustrated in Figure 5-6.

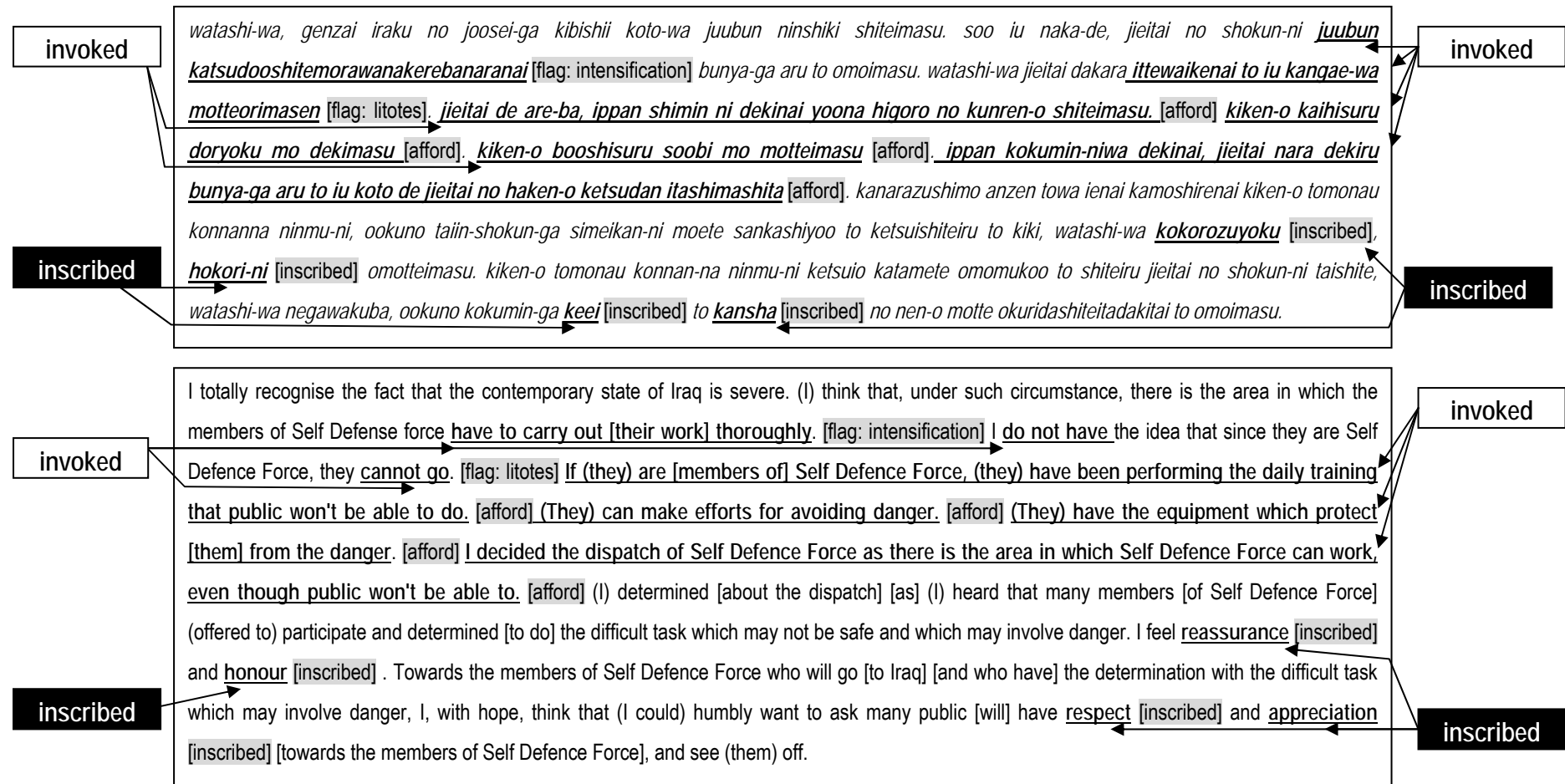
**Figure 5-6 the role of invoked and inscribed attitude for the realisation of Relativisation**



For instance, the writer of *Lion Heart* uses inscribed and invoked Attitudes to motivate his readers to synchronise their ideological position with his own. One of the

Relativisations in *Lion Heart* is in Example 5-12. In the example, only the inscribed and invoked Attitudes of the Appraised “*jieitai*” (Self Defence Force) are identified for emphasis.

Example 5-12 example of inscribed and invoked attitudes in Relativisation

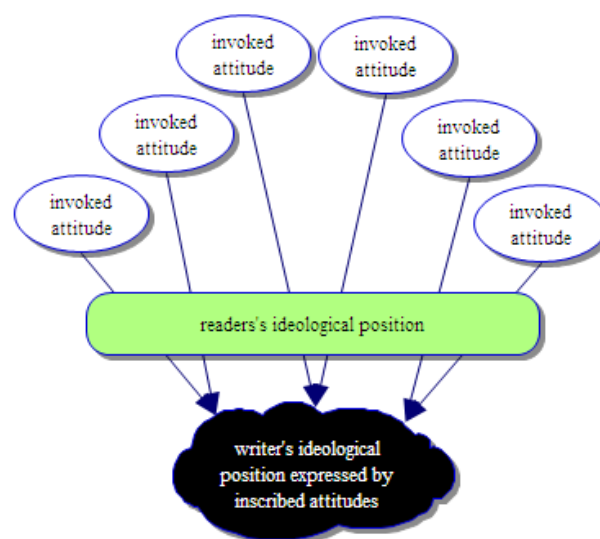




In the example, the inscribed and invoked attitudes work together to motivate the readers. On one hand, the inscribed attitude explicitly states the ideological position of the writer with which he wants his readers to synchronise. For instance, the instance of inscribed attitude such as “*kokorozuyoku*” (reassuring) and “*hokorini*” (honour) explicitly express the writer’s positive evaluation of Self Defence Force. On the other hand, the instances of invoked attitudes prepare the readers to synchronise with the position expressed by the inscribed attitudes. For example, the afforded expression “*jieitai de are-ba, ippan shimin ni dekinai yona higo no kunren-o shiteimasu*” (If (they) are [members of] Self Defence Force, (they) have been performing the daily training that public won’t be able to do) makes the readers ready to synchronise. This is because this experiential information selected by the writer may motivate the readers to evaluate Self Defence Force positively in terms of their capability and strength. It does not direct the readers but it can invite them to the writer’s evaluative position by implication. By using both inscribed and invoked attitude, the writer reduces the chance of risking the solidarity of the readers.

Figure 5-7 represents the effect of the inscribed and invoked attitudes discussed above.

**Figure 5-7 the combined effect of the inscribed and invoked attitudes in Relativisation**

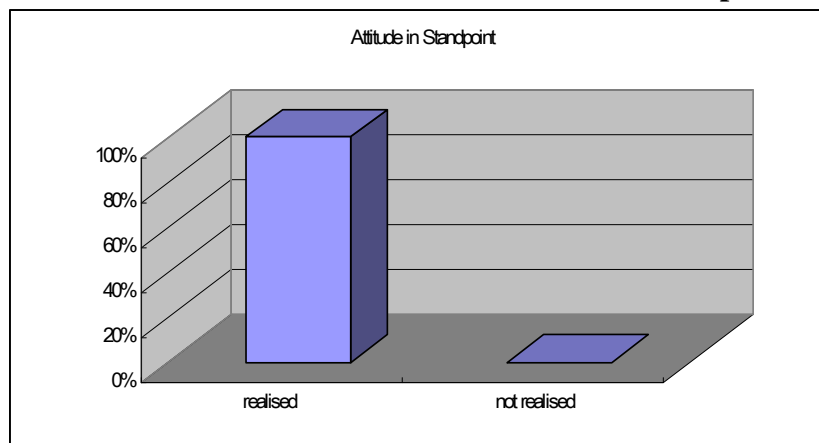


The invoked attitudes tempt and shift the readers’ ideological position towards the writers’ position that is explicitly expressed by the inscribed attitudes.

### 5.3 Standpoint

For the realisation of Standpoint, unlike the case of Invitation but like the case of Relativisation, the instance of ATTITUDE is obligatory. As shown in Chart 5-4, all writers use the system of ATTITUDE. In the Standpoint, an evaluative position must be presented.

**Chart 5-4 the realisation of the features in ATTITUDE in Standpoint**



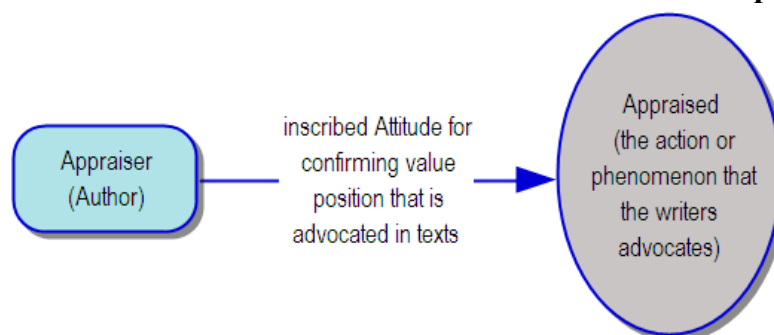
The feature that is typically involved in the realisation of Standpoint is ‘inscribe’. In the corpus, 82% of the writers use at least one inscribed Attitude, as shown in Table 5-4. The writer may also use the feature ‘invoke’ as well as ‘inscribe’. For instance, while the writers of *Privatisation* and *Yomiuri* only use instances of inscribed Attitude, the writers of *Soul* and *Mainichi* use both inscribed and invoked Attitudes.

**Table 5-4 the selection of the strategies for realising ATTITUDE in Standpoint**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	Probability
inscribed	✓		✓	✓	✓	✓		✓	✓	✓	✓	82%
invoke		✓			✓		✓		✓		✓	45%
invoke: provoke					✓		✓					18%
invoke: flag		✓			✓		✓		✓		✓	45%
invoke: afford					✓							18%

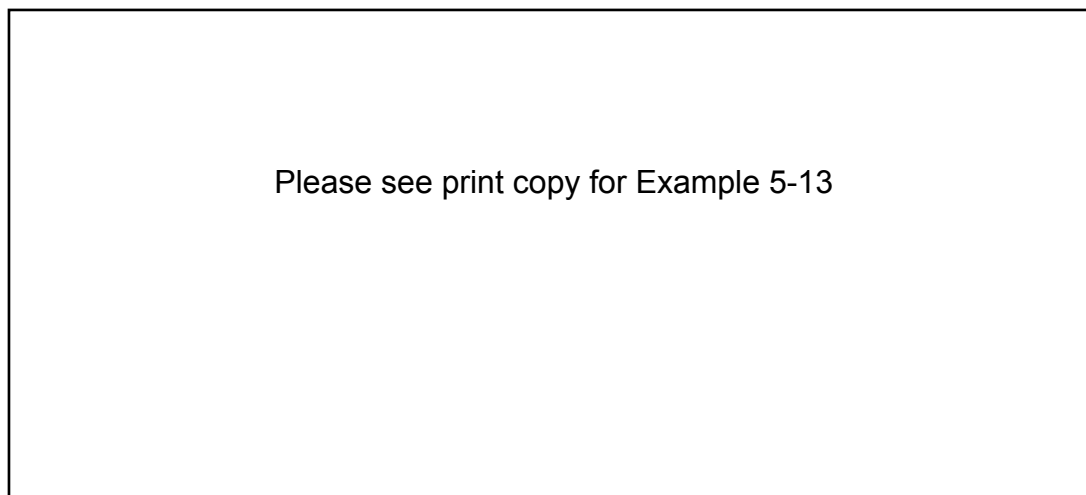
The inscribed attitudes are typically used for expressing the writers' evaluation of the action or idea that they advocate. The writer expresses the evaluation so that readers can confirm the value positions that are advocated by the writers through the texts. I will refer to this type of evaluation as **Confirming** evaluation. Figure 5-8 represents the role of inscribed attitude in Standpoint.

**Figure 5-8 the role of inscribed attitude for the realisation of Standpoint**



For instance, the writer of *Eco-tourism* uses instances of inscribed Attitude to explicitly state his/her value position towards the questions which stem from eco-tourism. The Standpoint of *Eco-tourism* is in Example 5-13.

**Example 5-13 example of inscribed attitude in Standpoint**



In the example, the writer uses the instance of inscribed attitude “*taisetsuna*” (important) to express their value position towards the questions raised by eco-tourism. Via this resource, the writer confirms their value position advocated throughout the text.

## 6 Conclusion

This chapter i) located the system of ATTITUDE in the SF dimension of language, ii) described the methodology, iii) mapped the strategies for realising ATTITUDE following the work of Martin and White (2005) and iv) identified which strategies are typically involved in the realisation of the nuclear meanings. As a result, the present study found that interpersonally;

- i) the realisation of Invitation typically involves the use of **invoked** attitudes,
- ii) the realisation of Relativisation often involves the use of both **inscribed** and **invoked** attitudes
- iii) the realisation of Standpoint typically involves the use of **inscribed** attitudes.

This chapter also illustrated that;

- i) Invitation often involves the expression of **Attracting** evaluation,
- ii) Relativisation often involves the expression of **Synchronising** evaluation
- iii) Standpoint often involves the expression of **Confirming** evaluation

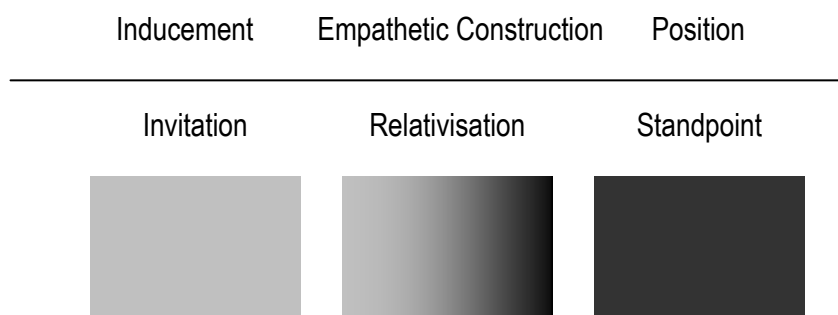
The arguments are summarised in Table 5-5.

**Table 5-5 Interpersonal perspective of the nuclear meanings and its realisation**

Nuclear meaning	Experience	The resources for the realisation
Invitation in Inducement	- Attracting evaluation	- invoked attitude
Relativisation in Empathetic Construction	- Synchronising evaluation	- invoked and inscribed attitude
Standpoint in Position	- Confirming evaluation	- inscribed attitude

These findings suggest a prosodic shift in Japanese persuasive texts, which is illustrated in Figure 5-9. The grey colour represents the indirect and implicit representation of evaluation by invoked attitudes, while the black colour represents the direct and explicit representation of evaluation by inscribed attitudes.

**Figure 5-9 prosody in written Japanese persuasive texts**



In the Invitation, the prosody is '*pianissimo*', since the writers invoke their

evaluation. This strategy is beneficial for the writers because the Invitation is the nuclear meaning of Inducement, which is the first element of structure of a written persuasive text as mentioned in Chapter 3. In the beginning, the writers have not established solidarity with readers. Without solidarity, instances of inscribed attitudes could potentially offend some readers who may have an ideological position that is in contradiction to that of the writers. As a result, it could potentially result in the loss of the readers instead of inviting or attracting them to the subject matter and the writers' position. Invoked Attitudes reduce this risk.

In the Relativisation, the prosody shifts to the mixture of '*piano*' and '*forte*', as the writers combine the effect of inscribed and invoked attitudes. This mixture of the prosody is essential for the role of Empathetic Construction in which the writers attempts to evoke empathy from the readers. This is because the combined prosody leads the readers' positions to the writers' position by using a synchronising evaluation.

In the Standpoint, the prosody changes to '*fortissimo*', as the writers typically use inscribed attitude. This prosody contributes to the realisation of Position, in which the writers states the position that they want their readers to share. This is because, via the expression of Confirming evaluation, the readers can confirm the value position that the writers attempt to persuade. Via this prosodic shift created through the use of the system of ATTITUDE, the interpersonal perspective of the nuclear meanings is, in part, realised. In the next chapter, the textual perspective will be explored.

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## **Chapter 6 Persuasion as Implicature – ELLIPSIS**

### **1 Introduction**

The last two chapters explored the three nuclear meanings of Japanese persuasive texts, Invitation, Relativisation and Standpoint from ideational and interpersonal perspectives. This chapter focuses on the third perspective. It will explore how the nuclear meanings are realised from a textual perspective by investigating writers' use of the system of ELLIPSIS.

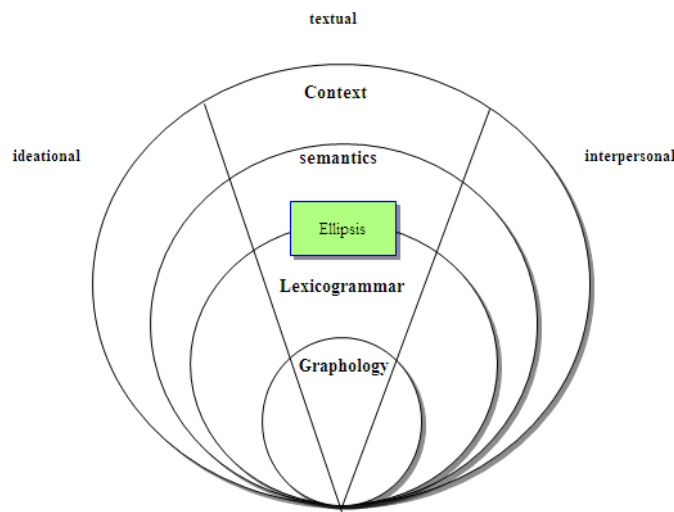
This chapter is composed of six parts. Following this section, Section 2 will specify the location of ELLIPSIS in the SF dimensions of language. Section 3 will describe the methodology that is used for identifying the features of ELLIPSIS involved in the realisation of the nuclear meanings. Section 4 will identify the features of ELLIPSIS utilised in the corpus. Section 5 will show which features are involved in the realisation and how they contribute to it. Section 6 will summarise arguments and conclude the chapter.

### **2 Ellipsis in SF theory**

#### **2.1 The Location of Ellipsis in the Dimension of Metafunction and Stratification**

The system of ELLIPSIS has been studied by many SF scholars such as Halliday and Hasan (1976), Hasan (1984a), Martin (1992) and Matthiessen (1995). However, there are only a few SF studies which explore the Japanese system of ELLIPSIS (e.g. Tsukada, 2001; Thomson, 2001; 2005), although there are many non-SF studies (eg. Kuroda, 1979; Martin, 1975; Kuno, 1995; Hinds, 1982; Nariyama, 2000; 2003). Figure 6-1 below illustrates the location of ELLIPSIS in the dimensions of metafunction and stratification.

**Figure 6-1 the location of the system of ELLIPSIS is the dimension of metafunction and stratification**



From a metafunctional view, the system of ELLIPSIS is a textual resource, contributing to the creation of cohesion and coherence of a text (Thomson, 2001).

From the view of stratification, the system is seen as both lexico-grammatical and semantic resource (Thomson, 2005). This is because, unlike other cohesive devices such as reference and lexical cohesion, ellipsis creates cohesion between meanings through wording rather than directly linking meanings (Halliday and Hasan, 1976; Halliday and Matthiessen, 2004).

## 2.2 Ellipsis from a Semantic Perspective

The system of Ellipsis, from a **semantic perspective**, is one of the resources for creating cohesion between meanings. Ellipsis is an implicit encoding device – i.e. a unit which “involves a semantic dependence for its precise interpretation” (Hasan, 1996a: 196). The Japanese system of ELLIPSIS contributes to create coherence and cohesion of a text by assigning two types of **textual status**. The textual status refers to “values assigned to elements of discourse that guide speakers [and writers] and listeners [and readers] in processing these elements” (Halliday and Matthiessen, 2004: 549)<sup>33</sup>. The two types of the textual status are **identifiability** and **continuous information**.

Textual status of **identifiability** concerns whether the information given by a writer is identifiable or non-identifiable by a reader. Halliday and Matthiessen (2004)

<sup>33</sup> Thematicity and newsworthiness are the other types of textual status (Halliday and Matthiessen 2004: 549).



define the textual status as follows:

identifiability: does the speaker [or writer] judge that a given element can be recovered or identified by the listener [or reader] at the relevant point in the discourse or not? If it is presented as identifiable, then the listener will have to recover the identity from somewhere else ... If it is presented as non-identifiable, then the listener will have to establish it as a new element of meaning in the interpretation of the text (p.550-551).

The textual status of identifiability is typically associated with the system of REFERENCE in English. However, the Japanese system of ELLIPSIS can assign the textual status to an element, as shown in many studies (e.g. Kuroda, 1979; Hinds, 1982). It seems that there is a different division of labour in Japanese by comparison to English.

Ellipsis in Japanese expresses identifiability by its presence. If ellipsis is present, then, it signals that the covertly expressed element is identifiable<sup>34</sup>. Example 6-1 illustrates this. The symbol “Ø” indicates the presence of ellipsis.

#### Example 6-1 example of ellipsis: identifiability

文はこの物の役わりをもうつしだしながら、意味的な構造をかたちづくる。

Clause A	↑ <i>bun-wa</i> clause-WA	<i>kono mono no yakuwari-o-mo</i> this thing NO role-O-too	<i>utsushidashi-nagara,</i> represent-while,
Clause B	Ø	<i>imi-teki-na koozoo-o</i> semantic structure-O	<i>katachizukuru.</i> construct.

While a clause represent the role of this thing, (it) constructs the semantic structure too.

(from *Meaning and Function*)

In Clause B, nominal group “*bun-wa*” is covertly expressed by ellipsis. By its presence, the ellipsis signals that the covert element is identifiable from somewhere else, in this case, from the constituent of Clause A. In this manner, the ellipsis creates cohesion between Clause A and B.

The textual status of **continuous information** concerns whether an element is marked as prominent or non-prominent. Halliday and Matthiessen (2004) defines the textual status:

Ellipsis marks the textual status of continuous information within a certain grammatical structure. At the same time, the non-ellipsed elements of that structure are given the status of being contrastive in the elements of a structure: if they are non-prominent (continuous), they are ellipsed; if they are prominent (contrastive), they are present. The absence of elements through ellipsis is an iconic realization of lack of prominence (p.563).

(emphasis in original)

<sup>34</sup> The degree of ‘identifiability’ varies according to the choices in the system of ELLIPSIS, as it will be described in the next section.

For an illustration of this, the clauses from Example 6-1 are reproduced in Example 6-2 below with a different emphasis.

**Example 6-2 example of ellipsis: continuous information**

文はこの物の役わりをもうつしだしながら、意味的な構造をかたちづくる。

Clause A	<i>bun-wa</i> clause-WA	<i>kono mono no yakuwari-o utsushidashi-nagara,</i> this thing NO role-O-too represent-while,
Clause B	Ø ( <i>bun-wa</i> ) (clause-WA)	<i>imi-teki-na koozoo-o katachizukuru.</i> semantic structure-O construct.
	non-prominent	prominent

While a clause also represents the role of this thing, (it) constructs the semantic structure.

(from *Meaning and Function*)

In Clause B, the nominal group “*bun-wa*” is non-prominent, as it is covertly expressed by ellipsis. At the same time, the rest of the constituents of Clause B become prominent against the background of the non-prominence of the nominal group. In this manner, by establishing the two types of textual status, ellipsis in Japanese contributes to the organisation of a text.

### 2.3 Ellipsis from a Structural Perspective and the Recognition of Ellipsis

From a structural perspective, ellipsis is the resource for covertly expressing units of lexicogrammar. Ellipses in the corpus covertly express various types of units such as clauses, groups/phrases, words and morphemes (typically particles). In this study, ellipses of the units in groups/phrases-rank are mainly focused, as they are the units that are most frequently covertly expressed by ellipses. In this chapter, I use the term ‘covert expression’ to refer to implicit expressions of a structural unit indicated by silence (phonologically) or absence of character (graphologically)<sup>35</sup>.

In some cases, precise location of ellipsis in a clause or clause complex may not be identifiable. This is because a Japanese clause has relatively free-word-order (cf. Thomson, 2001). For the sake of argument, I insert the symbol “Ø” in the unmarked place of elements, based on the studies of Teruya (1998; 2004) and Thomson (2001) from a transitive and thematic perspective.

The recognition of implicit encoding devices such as reference is often straightforward. This is because they are overtly expressed by grammatical items such as “*kono*” (this) and “*sono*” (that). However, as ellipsis is realised by silence or absence

<sup>35</sup> I will avoid the terms such as ‘omit’ or ‘elide’, as in Japanese discourse, certain semantic or grammatical elements are often not expressed by sound or character even though they are implied (cf. Nariyama 2003). I adopt the term ‘covert’ in consideration of this.

of characters, the recognition of ellipsis can be problematic.

In SF studies of English ellipsis, this difficulty is often resolved by considering the realisation of the features in MOOD. For instance, Hasan (1984a) uses the realisation statement for ‘indicative’ in the system of MOOD - i.e. the insertion of Subject. As the insertion is necessary for an indicative clause, if Subject is not present in the clause, one can identify the presence of an instance of ellipsis<sup>36</sup>. However, this recognition criterion does not function for Japanese ellipsis, as Japanese features of MOOD do not require the insertion of Subject for its realisation (Teruya, 2004; Fukui, 1998; in press).

In the present study, as recognition criteria, I use the realisation statements for the features of TRANSITIVITY<sup>37</sup>. For instance, if a clause is a ‘material: doing’ type such as Clause B in Example 6-1 reproduced in Example 6-3, then, the clause must have the participant functioning as Actor/Agent and Goal/Medium regardless of whether they are expressed overtly or covertly (Teruya, 1998).

#### Example 6-3 example of ellipsis: identifiability

意味的な構造をかたちづくる。

Clause B	Ø	<i>imi-teki-na koozoo-o</i> semantic structure-O	<i>katachizukuru.</i> construct.
	(Actor)	Goal	Process: material: doing

(it) constructs the semantic structure too.

(from *Meaning and Function*)

In Clause B, only Goal is expressed overtly. Based on this fact, one can identify the fact that Clause B contains the ellipsis of Actor. In this way, one can recognise the presence of ellipsis in a Japanese major clause.

### 3 Method for Identifying the Resources for the Nuclear Meanings — ELLIPSIS

In the present study, I explore how the system of ELLIPSIS contributes to realise the textual perspective of the three nuclear meanings in three steps. Firstly, the features of ELLIPSIS in Japanese are identified, by using Hasan’s (1984a) classification of implicit devices as a starting point. Some features which do not appear in Hasan’s classification are identified.

Secondly, the features are typically involved in the realisation of the nuclear meanings, Invitation, Relativisation and Standpoint are specified. For this purpose, the

<sup>36</sup> The SF term ‘Subject’ is different from that of traditional grammar. In SF theory, the Subject is the entity that is modally responsible for the event represented by Predicate (cf. Halliday and Matthiessen 2004).

<sup>37</sup> See Chapter 4, for the realisation statements of the features of TRANSITIVITY.

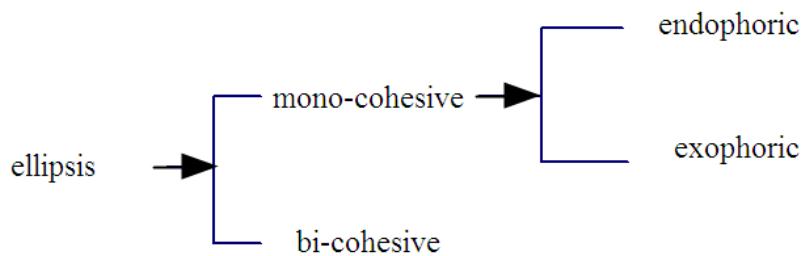
frequency of certain features by the writers in realising the nuclear meanings is calculated.

Thirdly, this study examines the purpose of the writers' selection of the features. As ELLIPSIS is a textual resource that organises ideational and interpersonal meaning in a text, the study examines what transitivity types of Participants are often covertly expressed. In addition, it also explores the relationship between the instances of ELLIPSIS and the instances of ATTITUDE in the corpus.

#### 4 The System of ELLIPSIS in Japanese Persuasive Texts

The ellipses in the Japanese persuasive texts can be categorised into two primary categories; i) **mono-cohesive** and ii) **bi-cohesive**, as shown in Figure 6-2.

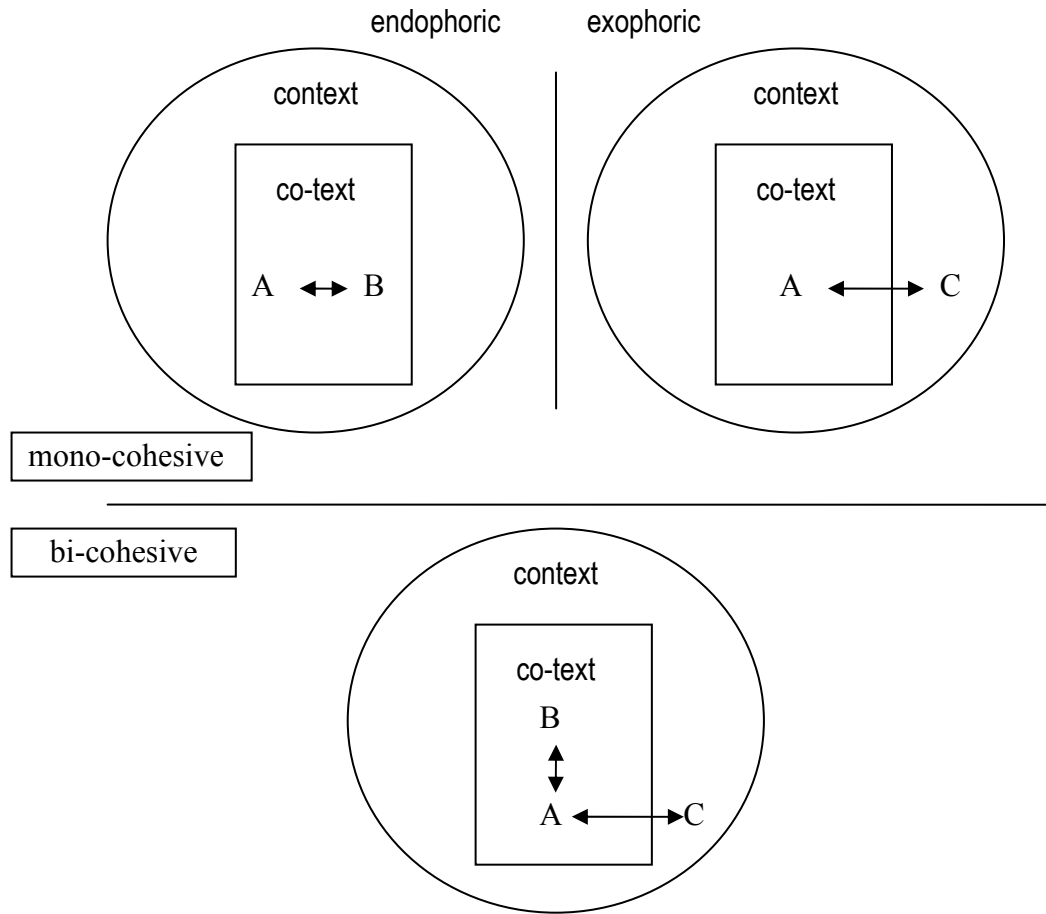
**Figure 6-2 the system of ELLIPSIS in the Japanese persuasive texts**



**The mono-cohesive ellipsis** creates one cohesive tie between meanings by one instance of ellipsis, while the **bi-cohesive ellipsis** creates two. When the feature ‘mono-cohesive’ is selected, it proposes two sub-features; i) **endophoric** and ii) **exophoric**.

The endophoric ellipsis creates a cohesive tie between meanings in a text, by referring to the element which is present in the **co-text** (Hasan, 1984a). The exophoric ellipsis creates a cohesive tie between a meaning in a text and a meaning in **context** (Hasan, 1984a)<sup>38</sup>. The bi-cohesive ellipsis creates a cohesive tie between meanings in the **co-text** as well as between a meaning in a text and a meaning in the **context**. The bi-cohesive ellipsis is a kind of ellipsis identified in this study. Figure 6-3 below illustrates these functions of the endophoric, exophoric and bi-cohesive ellipsis.

<sup>38</sup> As mentioned in Chapter 2, in this study, the term ‘context’ is used technically. It captures not only an instance of context – i.e. situation but also the potential of context – i.e. culture

**Figure 6-3 the cohesion created by the mono-cohesive ellipsis and bi-cohesive ellipsis**

Let us presume that A and B are the meanings in a text, while C is the meaning in the context. “↔” indicates cohesion between the meanings. Endophoric ellipsis creates cohesion between A and B, while exophoric ellipsis creates cohesion between A and C. As previously mentioned, they are mono-ellipsis because one instance creates one cohesive tie. In contrast, bi-cohesive ellipsis, by one instance, creates cohesion between A and B as well as between A and C. The characteristics and sub-features of endophoric, exophoric and bi-cohesive ellipsis are described in the following section.

#### **4.1 Endophoric Ellipsis and its Sub-features**

Endophoric ellipsis, as mentioned, creates a cohesive tie between meanings in co-text (Hasan, 1984a). One of the characteristics of the type is that the units that are covertly expressed by endophoric ellipsis can be interpreted and worded by repetitively using the wordings in the co-text. Example 6-4 illustrates this.

**Example 6-4 example of endophoric ellipsis: anaphoric**

出来事というのは物の運動であるし、物のあいだの相互作用にほかならない。

Clause A	— <i>dekigoto to iu no-wa mono no undo dearu-shi,</i> event TO IU NO-WA thing NO movement COP-SUSP,		
Clause B	→ <i>Ø(dekigoto to iu no-wa)/</i> <i>(sore-wa)</i>	<i>mono no aida no</i> <i>soogo-sayoo-ni</i> thing NO between NO interrelation-NI	<i>hokanaranai.</i> not something else
	(Token)	Value	Process: relational

The event is the movement of things, and (the event/ it) is the interrelation between the things.

(from *Meaning and Function*)

Clause B contains endophoric ellipsis. The ellipsis is endophoric as it refers to the element “*dekigoto to iu no-wa*” (the event) in Clause A, which is in the co-text. In order to interpret a word that is covertly expressed, exactly the same wording in Clause A “*dekigoto to iu no-wa*” can be used, as shown in the example. Alternatively, it may be possible to use the pronoun “*sore-wa*” (it) to substitute the ellipsis.

The endophoric ellipsis can be subcategorised into i) **anaphoric** and ii) **cataphoric** ellipsis. The **anaphoric** ellipsis occurs where the interpretative source exists in the **preceding** text, while the **cataphoric** is where the interpretative source exists in the **following** text (Hasan, 1984a). For instance, the ellipsis in Example 6-4 above is anaphoric, as the interpretative source appears in Clause A. An instance of cataphoric ellipsis is shown in Example 6-5.

**Example 6-5 example of cataphoric ellipsis**

郵貯は銀行が、簡保は保険会社が同じようなサービスを提供しています。

Clause A	<i>yuucho-wa</i> postal saving-WA	<i>ginkoo-ga</i> bank-GA	Ø	Ø
	Circ: Matter	Actor	Goal	Process: material
Clause B	<i>kanpo-wa hokengaisha-ga onajiyoona saabisu-o teikyooshiteimasu.</i> postal insurance-WA insurance company-GA similar service-O provide-ASP-POL			

As for postal saving, banks (provide the similar service), and as for postal insurance, insurance companies provide the similar service.

(from *Privatisation*)

Clause A contains the ellipsis of Goal and Process. The ellipsis is cataphoric, as its interpretative source follows in Clause B. In the corpus, for ellipses of nominal groups, both anaphoric and cataphoric ellipses are used. However, for the ellipsis which covertly expresses the unit which contain a verbal group, cataphoric ellipsis is typically chosen as in Example 6-5.

**4.2 Exophoric Ellipsis and its Sub-features**

Exophoric ellipsis, as mentioned, creates cohesion between a meaning in a text and a

meaning in context. It creates cohesion by referring readers to contextual factors such as material situation, a particular individual or community's belief or the system of the language (Hasan, 1984a).

One of the structural differences between endophoric and exophoric ellipsis is that while the endophoric ellipsis can be interpreted or worded by using the wordings in co-text, exophoric ellipsis cannot. Exophoric ellipsis has two subtypes, i) **situational** and ii) **formal** (Hasan, 1984a).

#### 4.2.1 Situational Ellipsis

The situational ellipsis creates a semantic dependency between a meaning in a text and a meaning in a situation. As the texts in the corpus are published written texts, when this type of ellipsis is realised, it tends to be difficult for readers to interpret or word a covertly expressed unit, unless the readers share the situational knowledge that the writers have. An instance is in Example 6-6.

##### Example 6-6 example of the situational ellipsis

治安が改善されなければ、国連の現場復帰も遅れ、選挙の実施も不可能になる。

Clause A	<i>chian-ga</i> public safety-GA	Ø	<i>kaizen-sare-nakere-ba</i> improve-psv-neg-cnd
	Goal	(Actor)	Process: material
	<b>prominent</b>	non-prominent/ situational	<b>prominent</b>
Clause B	<i>kokuren no genba fukki mo okure,</i> UN NO scene return too late-cop-sup		
Clause C	<i>senkyo no zisshi-mo fukanoo-ni naru.</i> election NO implementation -too impossible-NI become.		

If the public security is not improved (by someone), the return of the UN will be delayed and the implementation of the election will not be possible.

(from *Yomiuri*)

In the example, Clause A contains situational ellipsis. It is 'situational' since what it refers to is not present in the co-text. Unless the readers share the situational knowledge that the writer has, the readers will not be able to interpret the ellipsis.

#### 4.2.2 Formal Ellipsis

The other type of 'exophoric', formal ellipsis occurs where the interpretation of ellipsis is largely predetermined by selections from linguistic systems<sup>39</sup>. According to Hasan (1984a), formal ellipsis is categorised as one type of exophoric ellipsis, as it requires

<sup>39</sup> The definition of formal ellipsis in the Japanese persuasive texts is slightly different from the one in Hasan's (1996) classification. They are the same in the sense that the interpretation of the ellipsis is predetermined by the language system. However, while in Hasan's classification, the formal ellipsis does not allow any variation in wording, the Japanese one does allow a limited number of variations in wording.

interpretation from outside of co-text. Example 6-7 is an instance.

#### Example 6-7 example of formal ellipsis

第二に、郵政民営化に対して、身近にある郵便局がなくなってしまうのではないかと心配の声をいただきます。

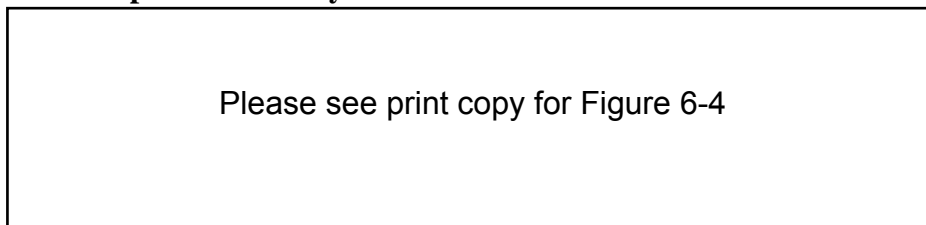
<i>daini-ni</i> , secondly,	<i>yuusei-</i> Postal Service- <i>mineika-ni</i> the privatisation <i>taishite</i> , about	Ø	<i>mijika-ni aru yuubinkyoku-ga</i> close to exist post office-GA <i>nakunatteshimau-nodewanai-ka-to iu</i> disappear-might-KA TO IU <i>shinpai no koe-o</i> worry NO voice-O	<i>itadakimasu.</i> hear/receive-HUM-POL.
Circ.	Circ.	(Senser)/ 1 <sup>st</sup> person	Phenomenon	Process: mental
Text. Adj.	Exp. Adj.	Subject	Complement	Predicate: humble

Secondly, about the privatisation of the Postal Service, (I) hear the anxious comment that the post office nearby might disappear.

(from *Privatisation*)

The clause in the example contains the formal ellipsis of Senser. The covert Senser can be interpreted as the participant who is 1<sup>st</sup> person - i.e. the writer in this case. This interpretation is possible because the feature ‘humble’ is selected from the system of HONORIFICATION. HONORIFICATION is the system for expressing speaker/writers’ respect toward addressees or a third party. The feature ‘humble’ is one of the features of the system, as shown in Figure 6-4 (Teruya, 1998; Mizusawa, forthcoming)<sup>40</sup>.

**Figure 6-4 the pre-selection by the feature ‘humble’**



When the feature ‘humble’ is selected in the corpus, it pre-selects the Subject to be 1<sup>st</sup> person<sup>41</sup>. Because of this pre-selection, the covertly expressed Senser in the example can be interpreted as 1<sup>st</sup> person – i.e. the writer.

#### 4.3 Bi-cohesive ellipsis

The feature ‘bi-cohesive’ is the other primary feature of ELLIPSIS. As mentioned,

<sup>40</sup> The system of HONORIFICATION has not been described as a system network with a realisation statement. The realisation statement that I put in is only valid in the corpus of Japanese persuasive text.

<sup>41</sup> In other discourses, as well as 1<sup>st</sup> person, the Subject can be an in-group member such as a member of one’s own family or own institution (cf. Nariyama 2003, Mizusawa forthcoming).



bi-cohesive ellipsis, via a single instance, creates cohesion between meanings in the co-text as well as cohesion between a meaning in the text and a meaning in the context.

Bi-cohesive ellipsis creates cohesion by functioning as both endophoric and formal ellipsis simultaneously. Example 6-8 illustrates this.

**Example 6-8 example of bi-cohesive ellipsis: rankshift type**

エコツーリズムはその当たり前の課題を改めて浮き彫りにし、21世紀における私たちの生き方を問いかけている。効率化の道をついて走ってきた日本人が本当に持続可能な社会を築けるかという問いである。

Clause A	<i>ekotuurizumu-wa sono atarimae no kadai-o aratamete ukiborini-shi,</i> eco-tourism-WA, that obvious NO issue-O again sculpture-and,		
Clause B	<i>Ø 21 seiki-ni okeru watashitachi no ikikata-o toikaketeiru.</i> 21 century in our understanding-O questions-ASP.		
Clause C	Ø	<i>kooritsuka no michi-o tsuppashittekita nihonjin-ga hontoo-ni</i> effectivatisation no path-O run-hardly-ASP Japanese-GA really <i>jizokukanoona shakai-o kizukeru-ka to iu toi</i> sustainable society-O constructu-Q TO IU question	<i>dearu.</i> COP.
	(Token)	Value	Process: relational

Eco-tourism identified the obvious issue again, and (it) questions our way of living in the 21<sup>st</sup> century. (The question that the eco-tourism provoke/ it) is the question whether Japanese people, who have privileged 'effectiveness', can really construct a sustainable society or not.

(from *Eco-tourism*)

In the example, Clause C contains bi-cohesive ellipsis. The ellipsis in Clause B is not the focus of the argument as it is endophoric ellipsis which refers to “eco-tuurizumu-wa” (eco-tourism) in Clause A. On one hand, the bi-cohesive ellipsis in Clause C refers endophorically, since it refers to the meaning expressed in Clause A and B. But, unlike endophoric ellipsis, the wordings in Clause A and B cannot be repetitively used to word the covertly expressed unit. This is where the ellipsis functions as though it is a formal ellipsis. In construing Clause C, the writer selects the feature ‘relational: as entity’ from the system of PROCESS TYPE. This selection predetermines the interpretation of the ellipsis. The selection predetermines that the covertly expressed unit is the one that is characterised by the Value – i.e. Token. This is because only the Value in the clause is overtly expressed despite the fact that the presence of Token and Value is the realisation statement of the relational transitivity feature ‘as entity’. In addition, the selection also predetermines that the covert unit is a nominal group, as the Token is realised by a nominal group. Following these conditions, readers can either nominalise/rankshift Clause A and B into a nominal group or alternatively insert a pronoun such as “sore-wa”. It is, via this mechanism, that bi-cohesive ellipsis creates the two cohesive ties.

There are two types of bi-cohesive ellipsis in the corpus. One involves rankshift as

in Example 6-8 above. The other type involves only the insertion or the change of a particle. An instance is shown in Example 6-9.

**Example 6-9 example of bi-cohesive ellipsis: particle change/insertion type**

およそ人間が経済的・社会的活動を営む限り、多かれ少なかれ自然は破壊される。

Clause A: active	<i>oyoso</i> as a rule	<i>ningen-ga</i> human-GA	<i>keizai-teki/shakai-teki-katsudoo-o</i> economic/social activity-O		<i>itonamu-kagiri</i> carry-on-as long as,
	Cic.	Actor/Medium	Scope		Process: material
Clause B: passive	<i>ookare-sukunakara</i> to a greater or lesser degree		<i>shizen-wa</i> nature-WA	Ø	<i>hakaisareru.</i> destroy-PST.
	Circ.		Goal	(Actor)	Process: material

As long as people carry out economical or social activity, Nature is destroyed (by the people).

(from *Environment*)

The bi-cohesive ellipsis in Clause B involves only the change of a particle. It creates the cohesion between Clause A and B, as the ellipsis refers to “*ningen-ga*” (people) in Clause A. Since “*ningen-ga*” (people) is a nominal group, it does not require a rankshift for it to be used for interpreting or wording the ellipsis in Clause B. However, “*ningen-ga*” cannot be repetitively used to word the ellipsis. This is because the particle “*-wa*” cannot mark the Agent in Clause B which is passive. Following on the writer’s selection of ‘material and ‘passive’, readers are required to change the particle to the particles such as “*-ni yotte*” (by) which can mark the Agent in a passive material clause.

These features, ‘anaphoric’, ‘cataphoric’, ‘situational’, ‘formal’ and ‘bi-cohesive’ exhausts the description of ELLIPSIS utilised in the corpus. Since they function differently, these features are utilised in different ways in each nuclear meaning. The following section will illustrate this.

## 5 Realisation of the Nuclear Meanings via Instances of ELLIPSIS

The last section presented features of the system of ELLIPSIS. This section will illustrate how these features are involved in realising the nuclear meanings, Invitation, Relativisation and Standpoint.

### 5.1 The Features of ELLIPSIS for Invitation

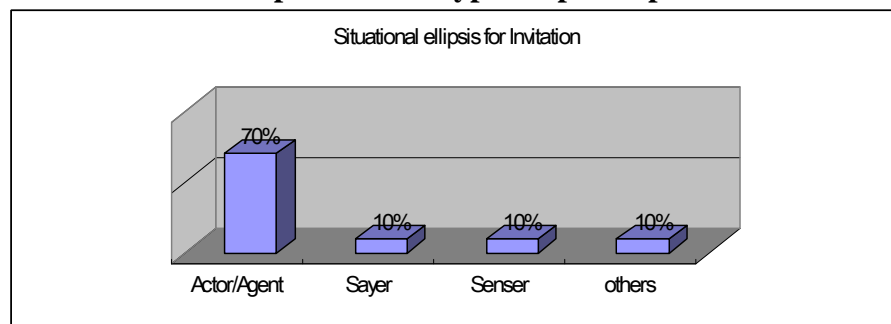
The features that are typically involved in the realisation of Invitation are ‘exophoric ellipses’. In the corpus, either the feature ‘situational’ or ‘formal’, which are the sub-features of the ‘exophoric’, are typically utilised for realising Invitation. Table 6-1 shows that, with the exception of the writer of *Privatisation*, all writers utilises either formal or situational ellipsis.

**Table 6-1 the instance of ellipsis for Invitation**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability:
endophoric: anaphoric		✓	✓		✓	✓			✓	✓		55%
endophoric: cataphoric			✓		✓							18%
exophoric: situational						✓	✓	✓	✓	✓	✓	55%
exophoric: formal		✓	✓	✓	✓							36%
bi-cohesive					✓				✓	✓	✓	36%

The instances of the features of ‘exophoric’ are typically associated with Topical experience<sup>42</sup>. As mentioned in Chapter 4, Topical experience is where the subject matter of the texts is introduced. By using exophoric ellipsis, the writers often make the human participants who are involved in Topical experience non-prominent. At the same time, by making the human participants non-prominent, the writers make the other constituents of the experience prominent. The writers select situational or formal ellipsis in accordance with the kinds of the human participants.

Situational ellipses are typically chosen for a third party who is construed as Actor/Agent. As Chart 6-1 indicates, 70% of the situational ellipses are used for covertly expressing Actor/Agent. Example 6-10 from *Mainichi* illustrates this.

**Chart 6-1 the situational ellipsis and the types of participant in Involution**

<sup>42</sup> See Chapter 4 for the types of Experience

**Example 6-10 example of the instance of situational ellipsis in Involution**

イラクへの主権移譲が行われた。				
<i>iraku-eno shuken-ijoo-ga</i> Iraq-to the hand-over of sovereignty-GA	$\emptyset$		<i>okonawareta.</i> carry-out-PASS-PST.	
Goal/Medium	(Actor/Agent)		Process: material	
Prominent	non-prominent/ situational		Prominent	

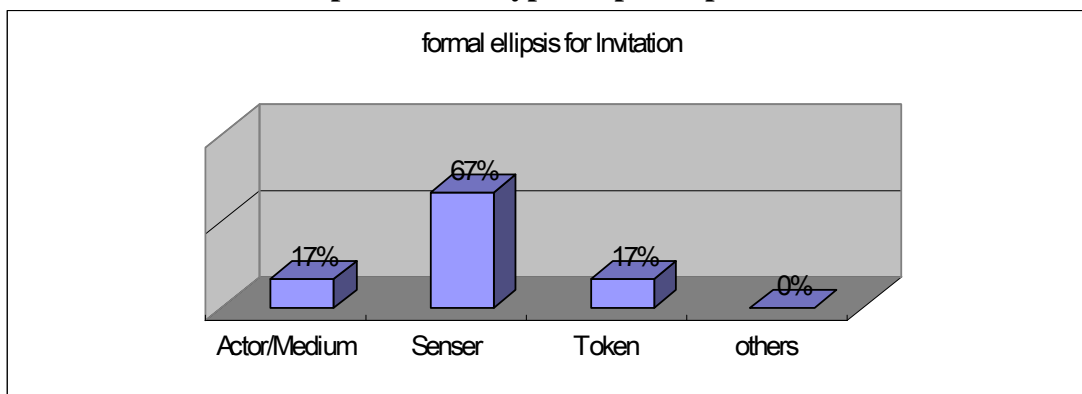
The hand-over of sovereignty was carried out (by someone).

(from *Mainichi*)

In the example, the third party involved in the event “carrying out the Hand-over of the sovereignty to Iraq” is covertly expressed via the situational ellipsis. The Hand-over of the sovereignty is the main subject matter of the *Mainichi* text, as mentioned in Chapter 3. In this manner, the writer makes the Actor/Agent non-prominent, while making other constituents that introduce the subject matter of *Mainichi* prominent.

Formal ellipses are typically utilised when the writers construe themselves as Sender. As Chart 6-2 shows, 67% of the formal ellipses in Invitation are used to express Sender covertly.

**Chart 6-2 the formal ellipsis and the types of participant in Involution**



An instance is in Example 6-11.

**Example 6-11 example of the instance of formal ellipsis in Involution**

環境問題とは何か、解決の方略はどうあるのかについて、本論では、文明論的に概観する。

<i>kankyoo-mondai-to-wa</i> environmental-problem-TOWA <i>nani-ka, kaiketsu no hooryaku-wa</i> what-KA solution NO strategy-WA <i>doo aru no-ka-ni tsuite,</i> how COP NO-KA-about	<i>honron-de-wa,</i> paper-in-WA	<i>bunmei-ron-teki-ni</i> cultural perspective-NI	$\emptyset$	<i>gaikan-suru.</i> look-through
Circumstance	Circumstance	Circumstance	(Sender)	Process: mental
Prominent			non-prominent/ formal	prominent

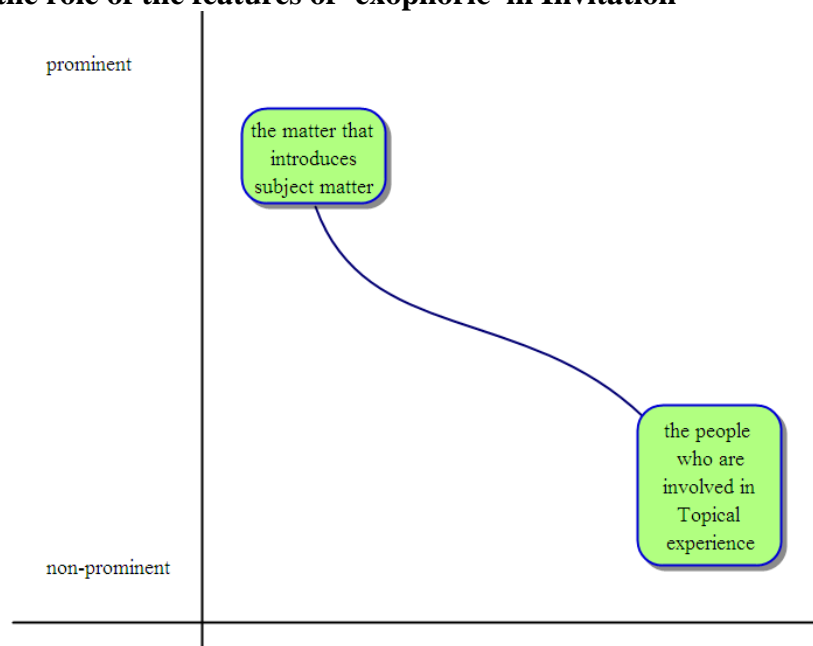
In this paper, about what is environmental problem and about how the strategies to solve [the problem] can be found, (I) will look through from a cultural perspective.

(from *Environment*)

In the example, the Senser “I”, who is the writer, is covertly expressed via the instance of formal ellipsis. The covert unit can be interpreted as 1<sup>st</sup> person because of the writer’s selection of ‘mental’ from PROCESS TYPE and ‘active’ from the system of VOICE, based on the fact that when Senser is not 1<sup>st</sup> person and when Phenomenon is not Agent, passive voice is typically selected (cf. Nariyama, 2003). In this manner, the writer makes himself **non-prominent**, while making the other constituents which introduce the main subject matter of *Environment* **prominent**.

The role of the instances of exophoric ellipses discussed above is illustrated in Figure 6-5. I will refer to the non-prominence of the human participants involved in Topical experience through the instance of the features of ‘exophoric’ as **Topical-agent non-prominence**, while referring to the prominence of the other constituents as **Topical-matter prominence**.

**Figure 6-5 the role of the features of ‘exophoric’ in Invitation**



## 5.2 The Features of ELLIPSIS for Relativisation

For the realisation of Relativisation, various features of ELLIPSIS are often utilised. This is illustrated in Table 6-2 below. The table shows that formal and bi-cohesive ellipses are utilised by all writers. In addition, anaphoric and situational ellipses are used by 91% of the writers.

**Table 6-2 the instances of ELLIPSIS for Relativisation**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability:
endophoric: anaphoric	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	91%
endophoric: cataphoric		✓		✓	✓						✓	36%
exophoric: situational	✓	✓	✓	✓	✓	✓	✓	✓		✓	✓	91%
exophoric: formal	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%
bi-cohesive	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	100%

These features have different roles in the realisation of Relativisation. One of the major roles of anaphoric ellipses is to link the clauses that contain the instances of ATTITUDE on the same Appraised. In other words, anaphoric ellipses are used to link the clauses that contain the evaluation of the same entity, action, phenomenon or notion. I will refer to the cohesion linking the evaluations through the instance of anaphoric ellipses as **Evaluative tie**. Example 6-12 below illustrates such a role of anaphoric ellipses.

**Example 6-12 example of the anaphoric ellipsis in the realisation of Relativisation**

これに比べて地球環境問題は、影響が地球レベルであり、原因や排出源も多元的で、複雑であり解決の方途は未だ見出せない非常に難しい問題である。

Clause A	<i>kore-ni kurabete chikyuu-kankyoo-mondai-wa,</i> in comparison to this, environmental problem-WA <i>eikyoo-ga chikyuu-reberu deari</i> [flagged attitude], effect-GA global-level COP, and
Clause B	<i>Ø/ anaphoric genin ya haishutsugen-mo tagen-teki-de</i> [ flagged attitude ], cause and the source of emission-too several, and
Clause C	<i>Ø/ anaphoric fukuzatsu deari</i> [ inscribed attitude] complex COP, and
Clause D	<i>Ø/ anaphoric kaiketsu no hotoo-wa imada miidasenai</i> resolve NO method-WA yet find-NEG <i>hijoo-ni muzukashii</i> [inscribed attitude ] <i>mondai dearu</i> extremely difficult issue COP.

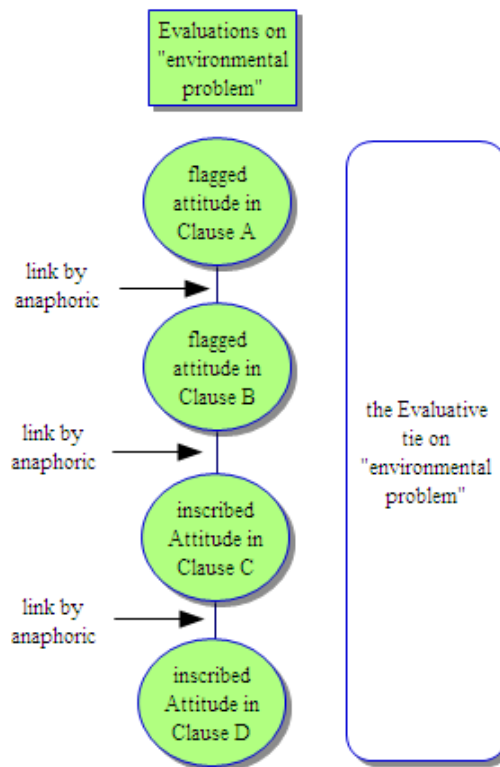
In comparison to this, an environmental problem can affect globally, and (it) has several causes and the sources of emission and (it) is complex and (it) is the extremely difficult problem whose resolution has not been found yet.

(from *Environment*)

In the example, anaphoric ellipses are utilised in order to link the clauses that contain the evaluation of “*chikyuu-kankyoo-mondai*” (environmental problem). Clause A and B

contain the flagged negative attitudes invoked by “*eikyoo-ga chikyuu-reberu deari*” (the effect is global level) and “*tagen-teki*” (several). Clauses C and D contain the inscribed negative attitudes expressed by the lexical items “*fukuzatsu*” (complex) and “*hijooni muzukashii*” (extremely difficult). These four clauses are linked by the anaphoric ellipses in Clause B, C and D, which all refer to the nominal group “*chikyuu-kankyoo-mondai-wa*” (environmental problem) in Clause A. Via this process, the Evaluative tie of “environmental problem” is created. This is illustrated in Figure 6-6.

**Figure 6-6 the evaluative tie by anaphoric ellipsis in Relativisation**



Bi-cohesive ellipses are often utilised in order to link an Appraised expressed by a clause or clauses and the clause that contains the instance of attitude towards the Appraised. I will refer to this cohesion between the clauses that express an Appraised and the clauses that contain the instance of attitudes created through bi-cohesive, as **Joint-constructive tie**. This label captures the fact that the interpretation of the bi-cohesive ellipsis requires nominalisation or substitution with a pronoun **by readers**. As mentioned, readers have to nominalise or substitute a clause or clauses in order to interpret the wording that is covertly expressed by bi-cohesive ellipsis. As the readers have to nominalise or substitute, they are invited to construct the tie. Example 6-13 is an

instance.

**Example 6-13 example of the bi-cohesive ellipsis in the realisation of Relativisation**

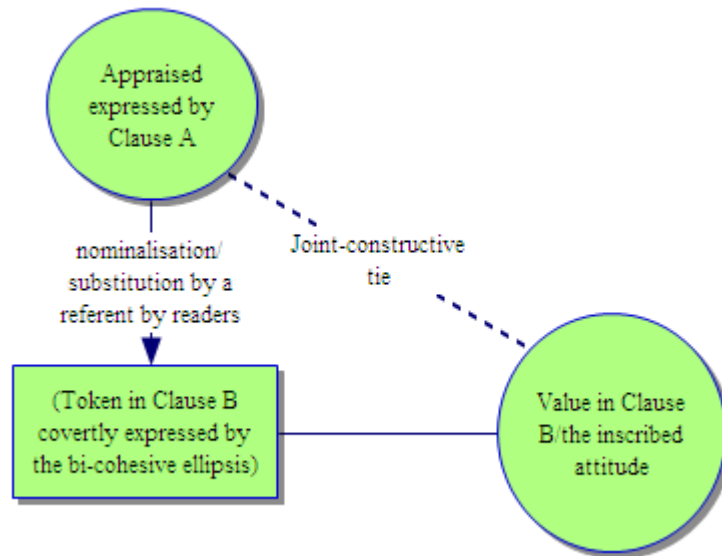
イスラム全土がこれからテロ集団の支配下に入るならば、世界にとっても深刻な脅威となる。

Clause A	<i>isuramu-zendo-ga korekara tero-shuudan no shihaika-ni hairunara-ba,</i> Islam all countries-GA from now Terrorists group NO under control-NI enter-if			
Clause B	Ø	<i>sekai-ni tottemo</i> world-NI as for	<i>shinkokuna kyooi-to</i> [inscribed negative emotive] serious menace-TO	<i>naru.</i> become
	(Token/ bi-cohesive)	Circ.	Value	Process: relational
If the Islam countries are ruled by terrorists' group, then (the governance by the terrorists/ it) will be a serious menace to the World.				

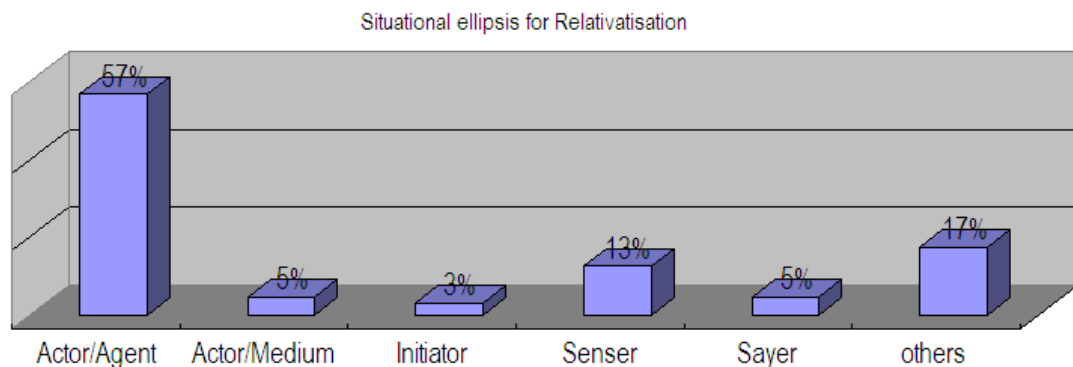
(from *Mainichi*)

In the example, Clause B contains the inscribed attitude expressed by “*shinkokuna kyooi*” (serious menace). The inscribed attitude is directed toward the Token of the Clause B as the inscribed attitude is the Value of Clause B. However, the Token is covertly expressed through the instance of bi-cohesive ellipsis. The bi-cohesive ellipsis refers to Clause A. Since the ellipsis refers to Clause A, Clause A is the actual Appraised. Hence, the covert Token can be interpreted or worded by referring to Clause A. However, Clause A cannot be repetitively used as it is, since it is a clause-rank unit and Token is realised by a group/phrase-rank unit. In order to interpret the ellipsis, based on the condition described above, the readers are required to nominalise Clause A or substitute Clause A with a referent such as *sore-wa* “it” as in the translation. Via this process, the readers are invited to make the link between the action described by Clause A and the inscribed attitude in Clause B. This is illustrated in Figure 6-7.



**Figure 6-7 the effect of bi-cohesive ellipsis in Relativisation**

Situational ellipses are often utilised in order to make non-prominent human participants who function as Actor/Agent or Sensor. As indicated by Chart 6-3, in the Relativisation, 57% of the situational ellipsis is used for Actor/Agent, while 13% is used for Sensor.

**Chart 6-3 the situational ellipsis and the types of Participant in Relativisation**

These human participants are often involved in Evoking experience. In other words, they are the human participants who are involved in the events that may evoke empathy from readers towards the ideological positions of the writers. By using the situational ellipses, the writers make the human participants **non-prominent**, and, at the same time, they make the other constituents of the experience **prominent**. I will refer to the non-prominence of the human participants as **Evoking-agent non-prominence**, while referring to the prominence of the other constituents as **Evoking-matter prominence**. Example 6-14 below illustrates this.

**Example 6-14 example of situational ellipsis in Relativisation**

もちろん、暫定政府は米英軍の支援なしに自立できる状況ではない。多国籍軍への攻撃は続き、アラウィ首相自身も標的にあげられている。

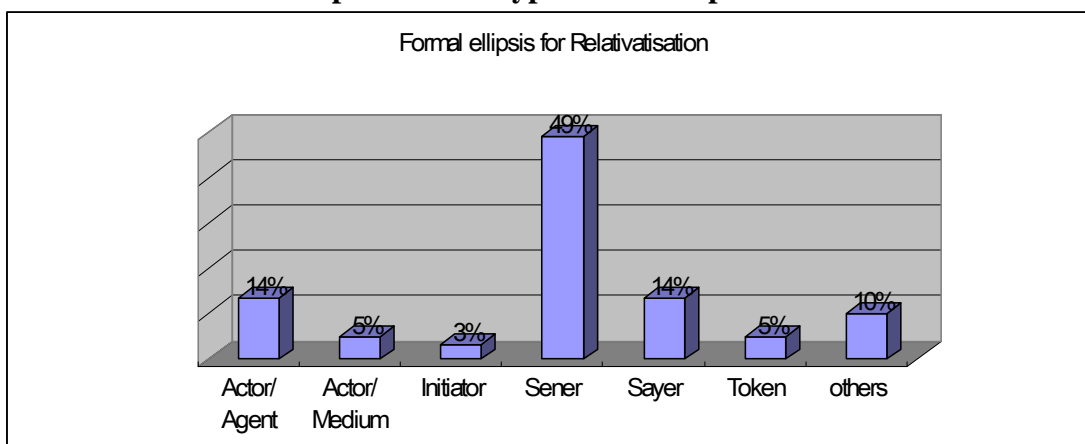
Clause A/ Ideological Experience	<i>mochiron, zantei-seifu-wa bei-ei-gun no shien nashi-ni.</i> of course, Interim-government-WA US-UK-army NO support without <i>jiritsu-dekiru jookyoo-de-wa nai</i> reliable state COP-NEG.		
Clause B/ Evoking Experience 1	<i>takokuseki-gun-e no koogeki-wa tsuzuki,</i> multinational-force-to NO attack-WA continue, and		
Clause C/ Evoking Experience 2	<i>arawi-shushoo-jishin-mo</i> Allawi-PM-himself-too	Ø	<i>hyooteki-ni agerareteiru.</i> target-PASS
	Goal/Medium	(Actor/Agent)	Process: material
	Prominent	Non-prominent/ situational	Prominent

Of course, the Interim government is not in the situation in which they are reliable without the help of the US and the UK army. The attack on the multinational force continues, and PM Allawi himself is targeted (by someone) too.  
(from Asahi)

In the example, Clause B and C are the experiences that may evoke empathy towards the writer's ideological positions expressed in Clause A – i.e. the ideological position that the Interim government is not reliable without the support from the US and the UK. Clause C contains a situational ellipsis. This ellipsis covertly expresses the Actor/Agent. The Actor/Agent is the human participant who targets the PM Allawi. In this manner, by using the situational ellipsis, the writer makes the human participant involved in “targeting the PM Allawi” **non-prominent**. Against the background of this non-prominence, the other constituents of the clause describing the event “targeting PM Allawi” are given **prominence**.

Formal ellipses are typically used when the writers construes themselves as Sener, Sayer or Actor/Agent. Chart 6-4 shows this. For the realisation of Relativisation, 49% of formal ellipses are used for Sener. 14% are used for Sayer. Another 14% are utilised for Actor/Agent.

**Chart 6-4 the formal ellipsis and the types of Participant in Relativisation**



The writers especially make themselves non-prominent when they are involved in Ideological experience. In other words, they make themselves non-prominent when they announce their ideological positions. At the same time, by making themselves non-prominent, the constituents that describe their ideological positions become **prominent**. I will refer to the non-prominence as **Ideological-agent non-prominence**, while referring to the prominence of the other constituents as **Ideological-matter prominence** below. Example 6-15 illustrates this.

**Example 6-15 example of formal ellipsis in Relativisation**

11月29日、奥克彦氏、井ノ上正盛氏は、イラク復興支援活動中、非業の死を遂げられました。誠に残念であり、このような残虐非道な犯行に対し強い憤りを覚えます。

Clause A/ evoking experience	<i>11 gatsu 29 nichi, oku katsuhiko-shi, inoue masamori-shi-wa</i> 11 month 29 day, Oku Katsuhito-Mr., Inoue Masamori-Mr.-WA <i>iraku-fukkoo-shien-katsudoo-chuu,</i> <i>higoo-no shi-o</i> <i>togeraremasiata.</i> Iraq-restoration-assistance-activity-during, violent-NO death-O meet-PST-HON.		
Clause B/ ideological experience	<i>Ø/bi-cohesive makotoni, zannen deari,</i> very, unfortunate COP, and		
Clause C/ ideological experience	Ø	<i>konoyoona zangyaku-hidoona hankoo-ni taishi tsuyoi ikidoori-o</i> this-like cruel and atrocious act-NI towards strong anger-O	<i>oboemasu.</i> feel
	(Senser)	Phenomenon	Process: mental
	non-prominent/ formal	Prominent	Prominent

On 29th, November, Mr. Oku, Katsuhiko and Mr. Inoue, Masamori met a violent end during the activities for the restoration of Iraq. (It/ their death) is very unfortunate, and (I) feel strong anger with such cruel and atrocious act [by terrorists].

(from *Lion-heart*)

In the example, the writer announces his ideological position towards the death of Mr. Oku and Mr. Inoue. His ideological position is expressed in Clause B and Clause C. The Ideological-agent non-prominence and the Ideological-matter prominence are created in Clause C. In Clause C, the Senser, who is the writer, is covertly expressed by formal ellipsis. The cover element can be interpreted as 1<sup>st</sup> person because of the predetermination by the selection of ‘mental’ in active voice. By the ellipsis, the writer makes himself non-prominent. At the same time, against the background of the non-prominence on the Senser, the other constituents that describe the writer’s ideological position become prominent.

### 5.3 The Features of ELLIPSIS for Standpoint

The feature that is often involved in the realisation of Standpoint is ‘formal ellipsis’. As indicated in Table 6-3, 82% of the writers use formal ellipses. It is also characteristic that no situational ellipsis is used for Standpoint. This is different from the cases in

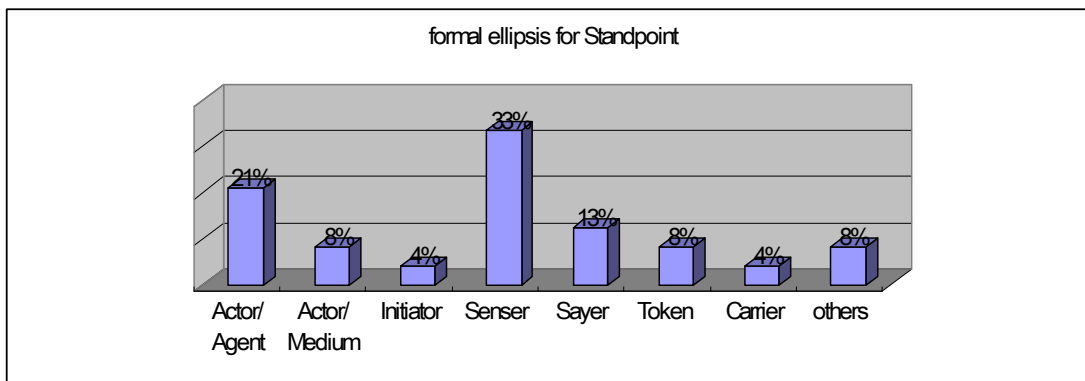
Invitation and Relativisation.

**Table 6-3 the instances of ELLIPSIS for Standpoint**

	Privatisation	Environment	Eco-tourism	Lion Heart	Soul	Arts Policy	Asahi	Yomiuri	Mainichi	Sankei	M and F	probability:
endophoric: anaphoric				✓	✓	✓			✓			36%
endophoric: cataphoric	✓	✓	✓						✓		✓	45%
exophoric: situational												0%
exophoric: formal	✓	✓	✓	✓	✓	✓	✓		✓		✓	82%
bi-cohesive					✓			✓				18%

Formal ellipses are typically used when the writers or readers are construed as *Senser*, *Actor/Agent* or *Sayer*. As shown in Chart 6-5, 33% of formal ellipses are used for making *Senser* non-prominent, 21% are used for *Actor/Agent* and 13% are utilised for *Sayer*.

**Chart 6-5 the formal ellipsis and the types of Participant in Standpoint**



The writers especially make themselves or the readers non-prominent when they are involved in Positioning experience. In other words, they make themselves or readers non-prominent when they are involved in the experience that states the position which the writers want their readers to share. I will refer to the non-prominence as **Positioning-agent non-prominence**. At the same time, against the background of the non-prominence, the writers make the other constituents of the experience that describe the position **prominent**. I will refer to this prominence as **Positioning-matter**

**prominence**. Example 6-16 is an instance in which a writer makes him **non-prominent**.

**Example 6-16 example of the formal ellipsis for Standpoint**

国民の皆様のご理解とご協力をお願い申し上げます。

Ø	<i>kokumin no minasama no gorikai to go-kyooryoku-o</i> public NO all NO understanding and cooperation-O	<i>onagai mooshiagemasu.</i> ask-HUMBLE
(Senser)	Phenomenon	Process: Mental
non-prominent / formal	Prominent	Prominent

(I) humbly ask the public [your] understanding and cooperation.

(from *Lion Heart*)

In the example, there is formal ellipsis of Senser. The ellipsis can be interpreted as the writer, since the feature ‘humble’ is chosen from the system of HONORIFICATION. By the formal ellipsis, the writer of *Lion hart* makes the Senser, which is the writer himself, **non-prominent**. Against this background, the other constituents that describe his position become **prominent**.

## 6 Conclusion

In sum, this study found that for the realisation of Invitation, the features of ‘exophoric’, ‘situational’ and/or ‘formal’ ellipses are used for expressing Topical-agent non-prominence and Topical-matter prominence. The writers make the human participants involved in Topical experience **non-prominent**, while they make the other constituents of the experience that introduce subject matter **prominent**. The ellipses are typically used for the third party functioning as Actor/Agent.

For the realisation of Relativisation, the writers use various features. Anaphoric ellipsis is used for creating Evaluative ties, where writers utilise anaphoric ellipses to connect the instances of attitudes on the same Appraised.

Bi-cohesive ellipsis is used for creating a Joint-constructive tie. In other words, bi-cohesive ellipsis is employed in order to create the tie between an Appraised and an instance of ATTITUDE jointly with the readers.

Situational ellipsis is used for expressing Evoking-agent non-prominence and Evoking-matter prominence; situational ellipsis is used to make the third parties involved in Evoking experience **non-prominent**, while making the other constituents of the Evoking experience **prominent**. Such situational ellipses are typically used for Actor/Agent and Senser.

Formal ellipsis is used for realising Ideological-agent non-prominence and Ideological-matter prominence; the writers employ formal ellipsis for making themselves **non-prominent**, while making the constituents of the Ideological

experience **prominent**. The ellipses are typically used when the writers construe themselves as Senser, Sayer and Actor/Agent.

For the realisation of Standpoint, formal ellipsis is employed for realising Positioning-agent non-prominence and Positioning-matter prominence. The writers use formal ellipsis for making themselves and reader **non-prominent** when they are involved in Positioning experience. At the same time, they make the other constitutes of Positioning experience that describes the writers' positions **prominent**. The ellipses are especially used when the writers construe themselves or readers as Senser, Sayer, Actor/Agent or Actor/Medium. These facts are summarised in Table 6-4.

**Table 6-4 the realisation of the interpersonal perspective of the nuclear meanings**

Nuclear meaning	Prominence, non-prominence and tie	The resources for the realisation
Invitation in Inducement	- Topical-agent non-prominence - Topical- matter prominence	- exophoric ellipsis: situational and formal
Relativisation in Empathetic Construction	- Evaluative tie - Joint-constructive tie - Evoking-agent non-prominence - Evoking-matter prominence - Ideological-agent non-prominence - Ideological-matter prominence	- anaphoric ellipsis - bi-cohesive ellipsis - situational ellipsis - formal ellipsis
Standpoint in Position	- Positioning-agent non-prominence - Positioning-matter prominence	- formal ellipsis

These findings suggest that, in Japanese persuasive discourse, writers often make human participants non-prominent. As mentioned, typically, the writers make third parties non-prominent when the writers construe them as Actor/Agent or Senser. In other words, the writers make the third parties non-prominent, when the writers construe the experience in which the third parties 'do' some actions or 'think' some ideas. In addition, there is the tendency by the writers to make themselves and the readers non-prominent when they function as Senser, Sayer, Actor/Agent and Actor/Medium. That is to say, the writers make, not just third parties, but themselves non-prominent, when they expresses the experience in which they think, verbalise, do or internally instigate certain thoughts and actions. This fact may imply that in written Japanese persuasive texts, individualism tends not to be emphasised, since the writers often do not express the person who 'does', 'says' and 'thinks' covertly. What are prominent in the persuasive texts are what is done, what is said and what is thought, but not the person who initiates actions or creates idea and thought.

The findings also suggest that the writers strategically invite readers to create the cohesion. This is evident from the fact that in Relativisation, bi-cohesive ellipsis are used by all writers for jointly constructing the cohesive tie between an Appraised and their evaluation of the Appraised. This can be an effective rhetorical strategy, as the instance of bi-cohesive ellipsis forces the readers to connect the two in order to interpret what is covertly expressed. Via this strategy, the writers can motivate the readers to evaluate certain entities as the writers do.

In the next chapter, I will conclude this thesis. I will summarise the arguments that have been made, and discuss why the language of the Japanese persuasive texts is shaped in the way described.

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## Chapter 7 Conclusion – Written Persuasive Texts in Japanese Culture

### 1 Introduction

This thesis set out to explore those linguistic resources that are essential for constructing written Japanese persuasive texts. For this purpose, the present study employed SF theory and identified the obligatory and the optional elements of the Japanese persuasive texts in the corpus. It also described how these elements are realised by their nuclear and elaborative meanings. Further, it demonstrated how the nuclear meanings of the obligatory elements can be expressed through the utilisation of TRANSITIVITY, ATTITUDE and ELLIPSIS.

This last chapter is designed to summarise and discuss these findings. It is composed of 5 sections. In Section 2, I will summarise and interpret the findings of the study. Section 3 illustrates how the features of TRANSITIVITY, the strategies for expressing ATTITUDE and the system of ELLIPSIS function collaboratively to realise the nuclear meanings of the obligatory elements. Section 4 speculates why certain linguistic features are utilised commonly across the texts in the corpus. Section 5 conclude the chapter and the thesis by indicating directions for further research.

### 2 Findings from the Present Study and their Interpretation/Application

#### 2.1 Generic Structure Potential of Written Japanese Persuasive Texts

One of the purposes of this study was to identify the rhetorical organisation of Japanese persuasive texts. This purpose was fulfilled by identifying the Generic Structure Potential of the persuasive texts in Chapter 3.

Two models of the structure potential for written Japanese persuasive texts were proposed; which are i) mono-positioning and ii) multi-positioning. Together, these two models exhaust the structure potential of the texts in the corpus. Figure 7-1 below represents the mono-positioning model of the GSP. The key for the GSP presented originally in Chapter 3 is reproduced below in Table 7-1.

**Figure 7-1 the GSP: mono-positioning model**

$$IDC^{*}EC^{*}(PRE)/(PRS) \cdot (SGT) \cdot PST$$

In this model, Empathetic Construction precedes Position. The study of the corpus suggests that, in this model, the Position element is not iterative.

The multi-positioning model of the GSP is represented in Figure 7-2.

**Figure 7-2 the GSP: multi-positioning model**

$$IDC^{\wedge}\{PST^{\wedge}EC^*\}^*(PRE)/(PRS)^{\wedge}(SGT)$$

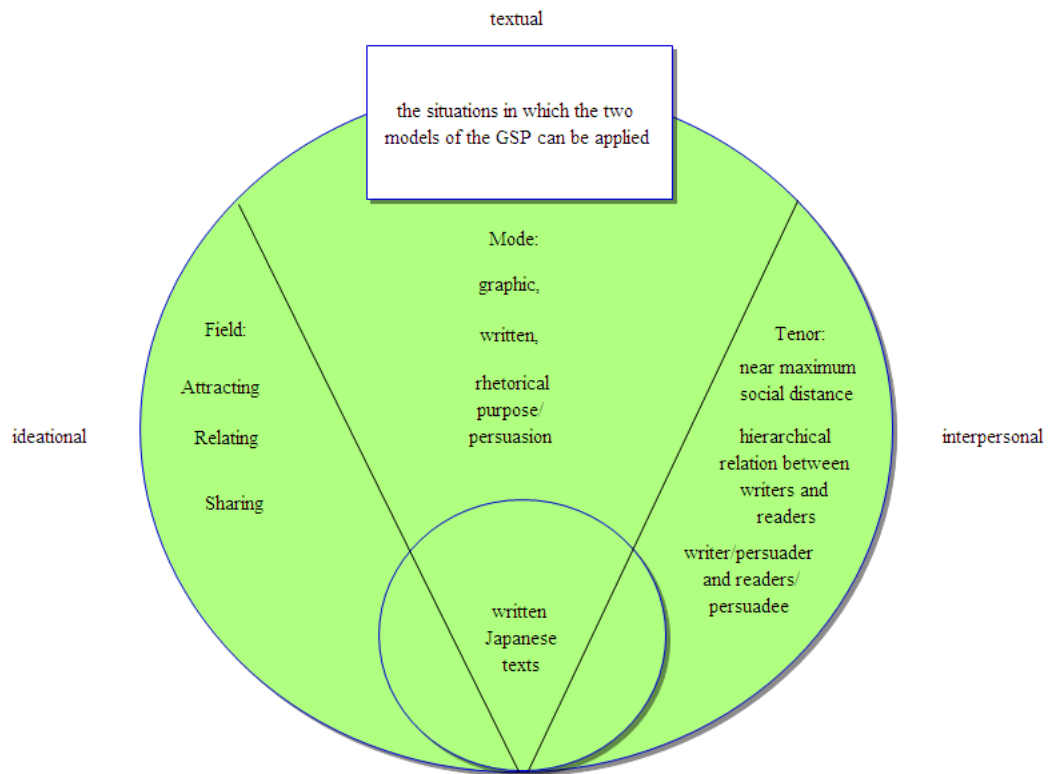
In this model, Position precedes Empathetic Construction. This model can be structured with more than one Position, although it must be accompanied by at least one Empathetic Construction.

**Table 7-1 Keys for the GSP of written Japanese persuasive texts**

notation	notation meaning
( )	optionality of the element, e.g. (A) = the element A is the optional element of structure
.	choice of order, e.g. A · B = Element A can either precede or follow Element B
^	ordering, e.g. A^B = Element A precedes Element B
*	iteration, e.g. A* = Element A can occur more than one in a text
{ }	iteration pair, e.g. = {A^B}* = the structural pair A^B can appear more than once in a text
/	choice of element, e.g. A/B = either A or B can appear but not both simultaneously in a structure
Abbreviation	abbreviated element
IDC	Inducement ( <i>saso</i> )
EC	Empathetic Construction ( <i>kyoohan-koochiku</i> )
PRE	Précis ( <i>matome</i> )
PRS	Prospect ( <i>tenboo</i> )
PST	Position ( <i>tachiba</i> )
SGT	Suggestion ( <i>kanshoo</i> )

In these models, the elements that **must be** present are Inducement, Empathetic Construction and Position, while those that **can be** presented are Prospect, Précis and Suggestion. Hence, it is suggested that the elements of the structure that are essential for constructing Japanese persuasive texts are Inducement, Empathetic Construction and Position.

As described in Chapter 3, the two models of the GSP are described for the situation type which has the contextual characteristics described in Figure 7-3.

**Figure 7-3 the situation type in which the GSPs can be applied**

For the GSP to be applicable, the Field of discourse should contain three social activities, i) Attracting, ii) Relating and iii) Sharing. Attracting activity invites and introduce readers to the subject matter of each text. Relating activity reduces the ideological gap between writers and the readers. Sharing activity announces the position that writers want to share with the readers.

In the Tenor of discourse, the writers must have near maximum social distance with the readers. There should be a hierarchical relationship between them. The readers should have a higher status since they have the right to agree, disagree or ignore the writers' arguments. Further, the writers ought to play the agentive role of Persuader, while the readers can play the role of Persuadee.

With regard to the Mode of discourse, the channel of the texts must be graphic. The medium must be written and the main rhetorical purpose of the texts should be persuasion. This specification of the situation type would help to prevent over-generalisation of the models.

This study, in this manner, identified the structure potential of the Japanese persuasive texts within the situation type. This finding challenges Hind's (1990) argument that a main idea is often presented towards the end of a text. The presence of the two GSP models suggests that the main ideas can be located at the beginning or the

end as long as they are located after Inducement. This may reflect a diachronic change of the structure, since Hinds' (1980) studies were conducted around 1980s-90s mainly, and since Japanese writing has been affected by the translation of English materials as Kubota (1997) claims.

On the other hand, the finding supports Fukuoka and Spyridakis (2000) arguments that writers' main idea can be presented at the beginning (deductive) or the end of texts (inductive). However, the finding is more delicate than their study because it specifies how such rhetorical organisation can be constructed, identifying the kinds of elements that construct the structure.

In addition, this finding is different from previous studies as it presents the generic organisation as 'potential'. Since the GSP presents the potential structures, it can accommodate and capture various actual structures of Japanese persuasive texts. Such a view of the generic structure may be more advisable than the structures proposed by Hinds (1980) and Fukuoka and Spyridakis (2000). The studies of Hinds (1980) and Fukuoka and Spyridakis (2000) propose the rhetorical organisation as 'fixed schemas' since they argue that the Japanese rhetorical organisations is either *ki-shoo-ten-ketsu* or a baseline theme structure (Hinds), or inductive or deductive (Fukuoka and Spyridakis). These perspectives may idealise and oversimplify the actual generic structures of persuasive texts.

## 2.2 Nuclear and Elaborative Meanings of Written Japanese Persuasive Texts

Another purpose was to specify those meanings that must be present in the obligatory elements. This purpose was also accomplished in Chapter 3 by classifying the meanings in the corpus into nuclear and elaborative meanings.

In Chapter 3, I identified the nuclear and elaborative meanings that realise the elements of structure. The result is summarised in Table 7-2.

**Table 7-2 The elements of structure and their nuclear and elaborative meanings**

element of structure -obligatory -optional	Inducement	Empathetic Construction	Position	(Précis)	(Prospect)	(Suggestion)
	↘	↘	↘	↘	↘	↘
semantic attribute -Nuclear -(Elaborative)	Invitation (Announcement) (Motivation) (Preview)	Relativisation (Detachment)	Standpoint (Concern) (Promise)	Summary	Expectation	Recommendation

The element, Inducement, is realised by the nuclear meaning, Invitation. Invitation attracts readers to the discourse and introduces the main subject matter of the texts. Inducement can have elaborative meanings such as Announcement, Motivation and Preview. Announcement explicitly states writers' assumption in persuading the readers. Motivation may prompt the readers to believe that there are issues or problems around the subject matter introduced via Invitation. Preview illustrates how the writers organise or start their texts.

The element, Empathetic Construction, is realised by the nuclear meaning, Relativisation. Relativisation evokes empathy from the readers and 'relativises' the ideological positions of the writers and that of the readers. In addition, Empathetic Construction may contain the elaborative meaning, Detachment. Detachment 'detaches' the readers from counter arguments that may work against the writers' ideological positions.

The element, Position, is realised by the nuclear meaning, Standpoint. Standpoint expresses the ideas or the notions that the writers want to share with the readers. Position may also contain the elaborative meanings, Concern and Promise. Concern acknowledges potential readers' anxiety in sharing the position advocated by the writers. Promise states the actions that the writers will do if the readers accept to share the advocated ideas.

The optional elements, Précis, Prospect and Suggestion are realised by the presence of the nuclear meanings, Summary, Expectation and Recommendation respectively. Summary summarises the arguments presented in Empathetic Construction. Expectation describes the future events or the current situations that may affect positively the ideas described in the Standpoint. Recommendation suggests a preliminary action that may contribute to implement the ideas described in the Standpoint.

Hence, the meanings that must be present in Japanese persuasive texts would be those nuclear meanings of the obligatory elements, which are Invitation, Relativisation and Standpoint. These meanings are also the ones that realise the obligatory elements. Therefore, they can be used as the recognition criteria for identifying the rhetorical organisation of persuasive texts.

### **2.3 The Nuclear Meanings of the Obligatory Elements and their Realisation in the corpus**

Another purpose was to explore which kinds of lexicogrammatical resources typically

or often realise the nuclear meanings of the obligatory elements in the corpus. This purpose was achieved in Chapters 4, 5 and 6.

In Chapter 4, those features of TRANSITIVITY typically involved in the realisation of the ideational perspective of the nuclear meanings were identified. In Chapter 5, those strategies for expressing ATTITUDE that express the interpersonal perspective of the meanings were specified. In Chapter 6 those features of ELLIPSIS that are involved in the realisation of the textual perspective of the meanings were nominated. Table 7-3 summarises the findings.

**Table 7-3 the lexicogrammatical resources for realising the nuclear meanings of the obligatory elements in the corpus**

	TRANSITIVITY	ATTITUDE	ELLIPSIS
Invitation	material: doing	invoked attitude	exophoric ellipsis
Relativisation	material: dispositive material: motional relational: expansion, and mental: cognitive	the combination of invoked and inscribed attitude	anaphoric ellipsis bi-cohesive ellipsis situational ellipsis formal ellipsis
Standpoint	mental: cognitive and/or verbal: verbal exchange	inscribed attitude	formal ellipsis

**Invitation**, ideationally, is often realised by the material: doing clauses in which human participants are construed as the Actor and in which entities, phenomenon or people that are associated with the subject matter of the texts are construed as the Goal. Interpersonally, it is expressed by the presence of ‘invoked attitude’. Textually, where ellipsis occurs, it tends to be ‘exophoric’.

**Relativisation**, ideationally, is typically realised by the presence of material: dispositive or motional, relational: expansion and/or mental: cognitive clauses. Interpersonally, it is often expressed by the combination of ‘invoked attitude’ and ‘inscribed attitude’. Textually, it is often symbolised by the presence of ‘anaphoric’, ‘bi-cohesive’, ‘situational’ and ‘formal ellipsis’.

**Standpoint**, ideationally, is frequently realised by the presence of mental: cognitive clauses or verbal: verbal exchange clause in which the writers are construed as Sayers/Senser and the main arguments of the texts are construed as Phenomenon/Verbiage or projected clauses. Interpersonally, it is often expressed by the presence of inscribed attitudes. Textually, it is typically realised by the presence of formal ellipsis. These resources are the linguistic resources that are essential for representing the nuclear meanings.

These findings suggest that, in order to realise Relativisation, the writers need to

employ various resources. In comparison to the other meanings, more resources are utilised from each system. This may suggest that the Relativisation is the heart of written Japanese persuasive texts in which writers have to make their best effort.

The finding is readily applicable to pedagogic purposes. As these resources described in the table are likely to be the essentials of the persuasive texts, they can be recognised as the lexicogrammatical resources that need to be taught to native or non-native students for them to construct or understand a written Japanese persuasive text. It would be beneficial to teach these resources in relation to the nuclear meanings and the elements of structure as they stand in the relationship of realisation.

### 3 Fusion of the Ideational, Interpersonal and Textual Metafunctions

Although in this thesis, ideational (Transitivity), interpersonal (Attitude) and textual (Ellipsis) resources were explored separately, they function collaboratively, as they operate simultaneously. This may become evident when the effects of these resources are considered.

As mentioned in Chapter 4, 5 and 6, the lexicogrammatical resource described in the section above are strategically used to express certain kinds of i) experience, ii) evaluation, iii) non-prominence, prominence or ties. They are summarised in Table 7-4.

**Table 7-4 the role of the lexicogrammatical resources**

	Ideational	Interpersonal	Textual			
Invitation	Topical Experience	Attracting Evaluation	Topical-agent non-prominence	Topical-matter prominence	Evaluative tie      Joint-constructive tie	
Relativisation	Evoking Experience Ideological Experience*	Synchronising Evaluation	Evoking-agent non-prominence Ideological-agent non-prominence	Evoking-matter prominence Ideological-matter prominence		
Standpoint	Positioning Experience*	Confirming Evaluation	Positioning-agent non-prominence	Positioning-matter prominence		

“\*” indicates those can be expressed implicit or explicitly

These experiences, evaluations, (non)-prominences and ties work together to realise the functions of the nuclear meanings, Invitation, Relativisation and Standpoint. Invitation attracts readers to the discourse and introduces the subject matter. This function cannot be realised by one resource. It takes the three. Topical experience can contribute to realise the meaning by introducing the subject matter; but this may not be enough to attract readers. This is where Attracting Evaluations come in. The Attracting Evaluations invite a wide range of readership by expressing ‘fuzzy’ and ‘ambiguous’ evaluation. Further, Topical-agent non-prominence and Topical-matter prominence

emphasise the effect of the Topical experience and the Attracting Evaluation by covertly expressing human participants involved in the Topical experience. Via blending these effects, the function of Invitation is realised.

The Relativisation evokes reader's empathy towards the ideological position of the writers and reduces the ideological gap between them. This function is, in part, achieved through Evoking experiences that evoke the empathy from readers towards the writers' ideological position. This effect of the Evoking experiences becomes prominent via Evoking-agent non-prominence and Evoking-matter prominence. These resources make the Evoking experience prominent by making the third parties involved in the experience non-prominent.

Further, Ideological experiences also play a role in the realisation by making sure that the readers know what the writers' ideological positions are. The role of the Ideological experience is emphasised by Ideological-agent non-prominence and the Ideological-matter prominence. These resources make the constituents that describe the writer's ideological positions prominent by making the writers themselves non-prominent, if they are involved in the Ideological experience.

Furthermore, these effects of the experiences, non-prominences and prominences are accented by Synchronising evaluations. The Synchronising evaluations "relativise" the ideological positions of the writers and that of the readers by tempting the readers to accept the writers' positions via invoking and inscribing evaluations. This effect of the Synchronising evaluation is supported by Evaluative ties. The evaluative ties help synchronise by creating cohesion between these invoked and inscribed evaluations. In addition, the process of synchronising is supported by Joint-Constructive ties, which force the readers to jointly construct cohesion between the writer's evaluations and their targets of the evaluations. Via the combination of these effects, Relativisation reduces the ideological gap between the writers and the readers, and 'relativises' them.

Standpoint announces the main arguments of the texts that the writers want to share with their readers. This role is, in part, achieved by Positioning experiences that construe the experiences which implicitly or explicitly represent the writer's main arguments. This role of the Positioning experience is supported by Confirming evaluations. The evaluations confirm the main positions of the writers by inscribing evaluation. Further, the main arguments are given prominence by Positioning-agent non-prominence and Positioning-matter prominence. These resources make the main arguments prominent by making the writers and the readers non-prominent if they are



involved in the Positioning experience. By combining these, the Standpoint expresses the main arguments to the readers.

The findings discussed so far are summarised in Table 7-5. The table indicates the location of the contextual features and linguistic resources that are often shared, in the dimensions of the **stratification** and the **metafunction** of Japanese persuasive discourse. The linguistic resources listed in the table are the ones that are commonly shared among the texts of the corpus. The table also illustrates how each linguistic choice is typically realised by the resources in a lower stratum. I conclude that these resources are the essential linguistic resources for constructing written Japanese persuasive texts.

This conclusion challenges Hinds' notion of 'reader responsibility'. As described in Chapter 1 briefly, Hinds (1987) suggests that the cause of the implicitness of Japanese persuasive texts stems from 'reader responsibility' – i.e. the idea that in Japanese culture, not writers but readers are responsible for creating bridges between arguments. Like Hinds, I did acknowledge implicitness in Japanese persuasive texts; however, the result of this study would not suggest that the implicitness is caused by the reader responsibility. Rather, it is suggested that implicitness is used strategically by the writers in order to i) invite readers, ii) to 'relativising' the ideological positions of the writers and the readers and iii) to create particular prominences.

But what motivate writers to use these rhetorical strategies? In the next section, I will attempt to provide an answer to this question, by approaching it from the **potential** side of context– i.e. the context of culture.

**Table 7-5 the context and the language of written Japanese persuasive texts in the corpus**

Japanese persuasive texts						
situational type						
Field: Attracting, Relating and Sharing, Tenor: near maximum social distance, hierarchical, writer/persuader, reader/ persuadee, Mode: graphic, written, rhetorical purpose/persuasion						
Generic structure potential	mono-positioning IDC^EC*(PRE)/(PRS)·(SGT)·PST			multi-positioning IDC^(PST^EC*)*(PRE)/(PRS)^(SGT)		
element of structure	Inducement (IDC)	Empathetic Construction (EC)	Position (PST)	Précis (PRE),	Prospect (PRS),	Suggestion (SGT)
	↓	↓	↓	↓	↓	↓
semantic attribute -Nuclear -(Elaborative)	Invitation (Announcement) (Motivation) (Preview)	Relativisation (Detachment)	Standpoint (Concern) (Promise)	Summary	Expectation	Recommendation
the Nuclear meanings of the Obligatory elements and their realisation						
	Ideational perspective	Interpersonal perspective	Textual perspective			
Invitation	Topical Experience	Attracting Evaluation	Topical-agent non-prominence and Topical-matter prominence			
	↓	↓	↓			
	material: doing	invoked attitude	exophoric ellipsis: situational and/or formal			
Relativisation	Evoking and Ideological Experience (Ideological Experience can be implicit)	Synchronising Evaluation	Evaluative tie	Joint-constructive tie	Evoking-agent non-prominence and Evoking-matter prominence	Ideological-agent non-prominence and Ideological-matter prominence
	↓	↓	↓	↓	↓	↓
	material: motional and dispositive relational: expansion mental: cognitive	the combination of invoked and inscribed attitude	anaphoric ellipsis	bi-cohesive ellipsis	situational ellipsis	formal ellipsis
Standpoint	Positioning Experience (Positioning Experience can be implicit)	Confirming Evaluation	Positioning-agent non-prominence and Positioning-matter prominence			
	↓	↓	↓			
	mental: cognitive and/or verbal: verbal exchange	inscribed attitude	formal ellipsis			

#### 4 Persuasion under the principle of Homologisation

##### 4.1 Culture and Ways of Persuading

Culture, as illustrated in Chapter 2, motivates or activates linguistic systems. There is a relationship of *realisation* between the two systems. According to Hasan (1984a), each culture develops its own ways of meaning and saying. In consideration of this relationship, Hasan (1996a) develops the concept of **semiotic style** and **semantic style**;

a culture develops characteristic ways of meaning. These ways of meaning, in their totality, are specific to that culture; they constitute its *semiotic style*... The term *semiotic style* covers not only characteristic ways of saying but also of being and behaving... Logically the notion of semiotic style subsumes that of *semantic style*; the latter can be succinctly described as the style of meaning verbally. A characteristic semantic style prevalent in a culture must logically be in keeping with that culture's prevalent semiotic style (p. 191-192). (emphasis in original)

Provided that the ways of meaning – i.e. *semiotic style* is shaped by culture, the ways of persuading that I have described throughout this thesis – i.e. *the semantic style of persuasion*, must be motivated by Japanese culture.

However, as Hasan (1984a) points out, culture is not a homogeneous entity. Culture is a complex system that has delicate systems, which are often referred to as 'subcultures' or 'cultural-groups'. The presence of the delicate systems is evident from the divergent ways of persuading. The way of persuading in one text is different from another to a greater or lesser degree, as the wording of one text is not exactly the same as that of another. This difference implies that the subcultures that each author of the texts belongs to may not be exactly the same.

The presence of sub-cultures is also evident from the fact that there are divergent and controversial views on cultural beliefs of the Japanese, as described from various perspectives such as the various ethnographical, historical, sociological, psychological and linguistic descriptions (e.g. Aida, 1970; Nakane, 1970; Norbeck and DeVos, 1972; Suzuki, 1975; Moeran, 1984; DeVos, 1985; Arima, 1991).

Further, there are some trends that tend to admonish the attempted correlation of the culture and the language. For instance, Kubota (1997) cautions against the identification of cultural beliefs having an effect on the rhetoric of Japanese. She points out that this can result in the stereotyping of the Japanese rhetorical style and the culture itself. She criticises the work of Hinds for this, as mentioned, by arguing that the work of Hinds is an over-generalisation and over-simplification of the rhetoric

of Japanese.

Given this debate, how can one identify cultural beliefs that shape the semantic style of persuasion? And further is it meaningful to do so?

Despite the existence of subcultures, the divergent views of Japanese culture and Kubota's critique, I will attempt to identify the cultural beliefs that affect the semantic style for three reasons. Firstly, I believe that the identification of cultural beliefs is meaningful, since language and culture stand in a relationship of realisation. Language is one of the main media that realise social and cultural behaviour as Halliday (1978) illustrates. Secondly, it is because Systemic Functional linguistics provides the theory to do so, as is illustrated in many SF studies such as the work of Hasan (1984a), in which she compares the semantic style of English and Urdu. Thirdly, the present study identified the ways of persuading that are commonly shared by all writers of the texts in the corpus; these writers belong to subcultures which are, to a greater or a lesser degree, different. Despite the differences, all writers use the obligatory elements and it's the associated nuclear meanings as their strategy for persuading in writing. The presence of commonly shared strategies suggests the presence of cultural factors, beliefs or assumptions that motivate the writers to express the obligatory elements and associated nuclear meanings beyond the boundaries of their subcultures.

## **4.2 Culture and Ways of Persuading**

The SF principle of realisation can be interpreted as suggesting that there is a cultural belief **motivating** the way of persuading described in the present thesis and that this belief is, in fact, **realised** by the ways of persuading. Hence, following this principle, by looking at what the way of persuading expresses, it is possible to identify the cultural belief. What do the ways of persuading express? I suggest that it expresses the philosophy of **homologisation** (Ikegami, 1991).

### **4.2.1 The Concept of Homologisation**

Homologisation is the idea that “anything and everything deserves to be given its own proper place within the whole culture scheme” (Ikegami, 1991: 15). According to Ikegami, this idea is one of the respected and honoured ideals or principles of Japanese culture (Ikegami, 1991).

Homologisation “relativises” or makes a relationship between entities (Ikegami, 1991). It provides the “proper” place for the entities within a whole by relating and

finding a common super-ordinate for them. The “proper” place can be given even to the entities that appear to be in contradiction. Ikegami (1991) illustrates the concept by reference to Japanese traditional clothing (*kimono*) and Western clothing (*yoofuku*) in a Japanese community:

The two types of dress come from different traditions and thus have different values which may very well be manifested contrastively in their general function as articles of clothing. But they can be saved from clashing with each other by having different functions assigned to them. For example, the native dress will be for ceremonial occasions and the Western one for daily occasions. Notice that the two different types of dress are here placed in metaphoric relationship: that is, the native dress is for ceremonial occasions as the Western dress is for daily occasions. Thus the two types of dress are conditional variants, the choice between them depending on the kind of occasions on which they are worn. Furthermore, the two occasions are complementary. They do not overlap. Thus the two types of dress can now coexist (p.13).

Hence, homologisation can be understood as a way of dealing with conflict as well as an approach to maintaining the co-existence among members of a culture, and which can include a new member from other cultures.

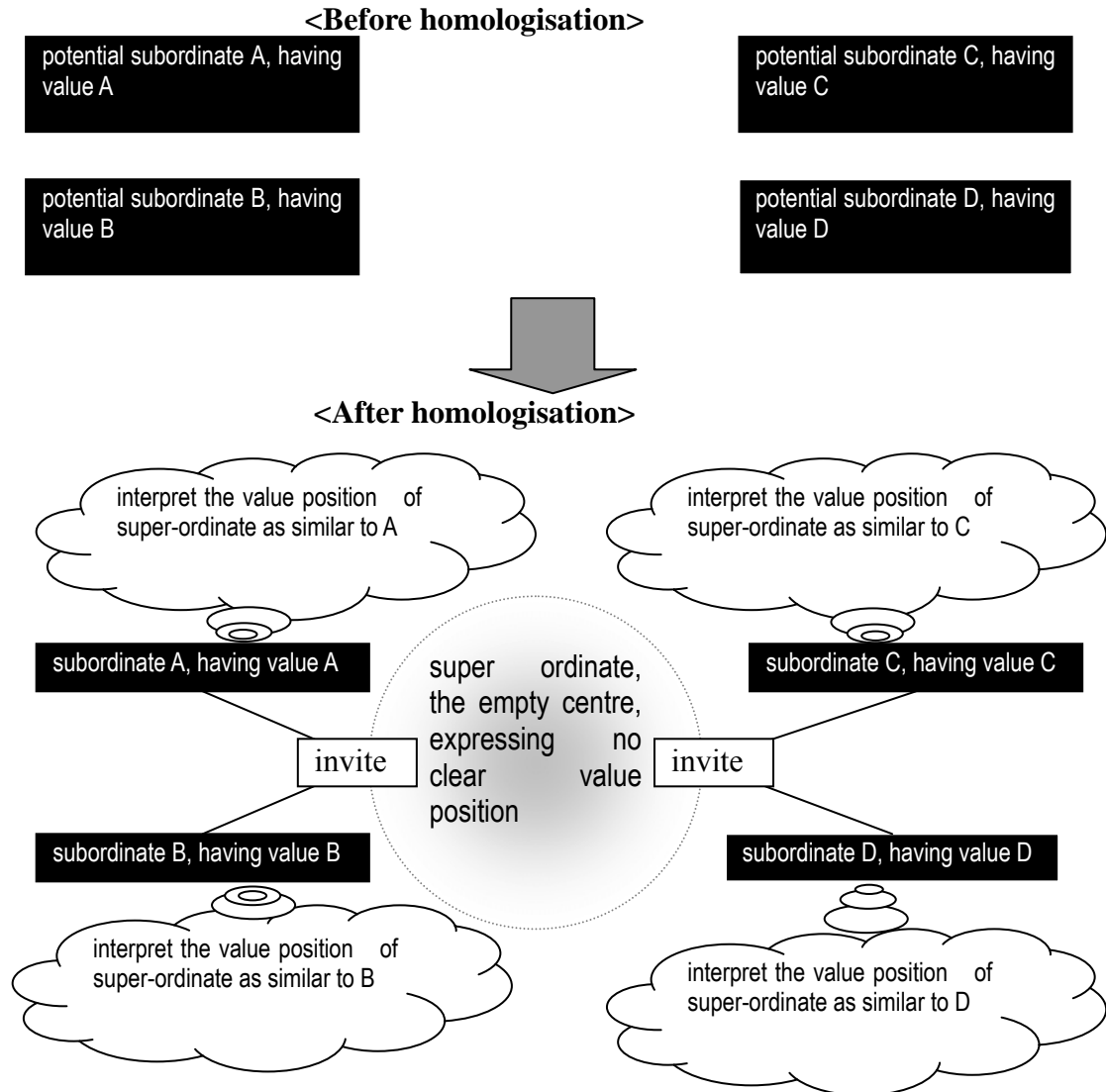
However, a question arises. Is it practically possible to find a super-ordinate that can “relativise” potentially conflicting elements? The methodology which Ikegami believes that the Japanese culture utilises is to have what Ikegami calls “an empty centre”. If a super-ordinate is “empty” or has no clear ideological and value-laden position, the interpretation of the ideology or the value of the super-ordinate is up to the subordinate candidates. This approach allows the subordinate candidates, who may have different ideological positions, to have multiple interpretations of the super-ordinate position. Hence, even if each subordinate candidate has a different ideology, they can “be relativised” or enabled to co-exist by connecting them not to each other but to the super-ordinate.

Ikegami argues that along with being “empty”, the super-ordinate has to have another characteristic in order to “relativise” the potential subordinates. The characteristic is the ability to **attract** the potential subordinate candidates. Ikegami specifically use the term “invite” to refer to this ability of the super-ordinate. Ikegami (1991) suggests that the empty centre “invites, all kinds of possible reorganization based on any standard of values and ideologies”(p.15). In other words, the centre has to be attractive enough so that the subordinate candidates accept the potential reorganisation of the relationships as a result of the homologisation.

Although homologisation may not be a belief of all members of Japanese culture, it seems to be respected by a large number of Japanese. This is evident from the fact that a similar concept is proposed as a Japanese cultural value in a variety of the

studies such as that of anthropologist Nakane (1970), historian Aida (1970) as *hakushiteki tachiba* (white-paper-position), and psychologist Kawai (1982) as *chuukuu koozoo* (blank-centre structure). These ideas are summarised in Figure 7-4.

**Figure 7-4 the notion of homologisation**



Before the process of homologisation takes place, the potential subordinates may exist in contradiction. Each potential subordinate is not related to the others. However, if the process of homologisation occurs, each subordinate can be related through the super-ordinate -'empty centre'. By having the common super-ordinate, the contradiction among the subordinates may be resolved and they can exist in harmony.

As homologisation is a strategy for dealing with conflict, it can become a way to maintain group consensus. According to Ikegami (1991: 15), homologisation functions within a culture such as Japan which values group-cohesion and

complementarities among the group members, but not in a culture that “organizes itself around a firmly fixed set of values or ideologies, which would certainly work strongly against any relativizing movement”. He says:

“A culture with an empty center would thus tend to work centripetally – it is somewhat like the astronomer’s black hole,’ which draws and absorbs everything into itself- without suffering any change at all. A culture with an empty center can accommodate and keep in it apparently diverse elements, not in a state of conflict, but in a state of harmony with each other”

(1991: 15).

The empty centre, by being a “black hole”, ensures the existence of all the members in the culture.

#### **4.2.2 Persuasion under the principle of Homologisation**

Now, one may notice that there is a problem. If the members of Japanese culture value homologisation, then, how can one persuade? If homologisation restricts one to expressing a clear ideological position, then, would it also restrict acts of persuading?

This problem can be framed differently. Persuasion involves advocating particular value-laden positions, –i.e. the positions of persuaders. In order to advocate the positions, it is necessary to express the positions to persuadees. However, under the principle of homologisation, if the writers show their values explicitly, this will be likely to result in failure. This is because the explicit expression of one’s position can result in fixing the particular value and hence loses a chance to be the super-ordinate. Further, there is a potential that the consensus among the group members will be disturbed and consequently the persuaders are “out-grouped”.

As a way of persuading people under the principle of homologisation, I believe, Japanese writers of the texts in the corpus commonly utilise the way of persuading that I have described in this thesis. In other words, the philosophy of homologisation activates the way of persuading, while the way of persuading construes the philosophy of homologisation.

Homologisation influences the way of persuading in a number of ways. For instance, homologisation is reflected in the obligatory elements and their nuclear meanings discussed in Chapter 3. As mentioned, the elements, Inducement, Empathetic Construction and Position, and the associated nuclear meanings, Invitation, Relativisation and Standpoint are the essential linguistic resources of Japanese persuasive texts. These resources are activated by the homologisation because, through structuring persuasive texts with these elements and meanings, writers can

establish their idea not as the ideas of individuals but as the idea of a group. That is to say, the writers can establish their idea not just as belonging to themselves, but also as belonging to their persuadees.

Realising the Inducement element through Invitation, the writers can attract the readers who may have a wide range of ideological positions via by expressing the meanings: Topical experience, Attracting Evaluation, Topical-agent non-prominence and Topical-matter prominence (realised by material: doing clauses, invoked attitude and exophoric ellipsis respectively). This is achieved without losing readership through the instance of invoked attitudes with '*pianissimo*' prosody.

Expressing the Empathetic Construction element by Relativisation, the writers can evoke the readers' empathy and 'relativise' the writers themselves and their readers. The writers, through the instances of motional, dispositive, expansion and cognitive clauses, construe Evoking and Invoking experiences, and evoke readers' empathy. Further, through Synchronising Evaluation (realised by the combination of invoked and inscribe attitudes), the writers lead readers' to the writer's ideological position via the prosody created by the combination of '*piano*' and '*forte*'. This is reinforced through the use of instances of Evaluative and Joint constructive ties (realised by anaphoric and bi-cohesive ellipses). In addition, the writers can obscure the distinction between themselves and the readers, or other third parties by using a variety of ellipses (e.g. situational and formal ellipses) by which means they are able to make themselves or other human participants non-prominent.

Realising the Position via Standpoint, the writers announce the position that they want to share with the readers. The writers can implicitly or explicitly express the idea that they want to share with the readers. In addition, through Confirming evaluation (realised by instances of inscribed attitude), the writers can confirm the advocated position, which is emphasised by Positioning-matter prominence (expressed by formal ellipsis). Further, through Positioning-agent non-prominence (also realised by formal ellipsis), as in the case of Empathetic Construction, writers can obscure the person who is arguing – i.e. themselves, and the person who is targeted for persuasion – i.e. the readers.

Through this structuring of the texts, the particular selection of the meanings and the deployment of the lexicogrammatical resources described, the writer's idea can become the idea of the writers **and** the readers. It is via this approach that the writers can avoid asserting their individual positions and thereby running the risk of being



‘out-grouped’, while they persuade people and advocate an argument.

In this manner, the writers can persuade within the homologisation framework. This interrelation between the way of persuading and homologisation suggests that homologisation motivates the way of persuading - i.e. the semiotic style expressed by the utilisation of the linguistic resources described throughout this thesis.

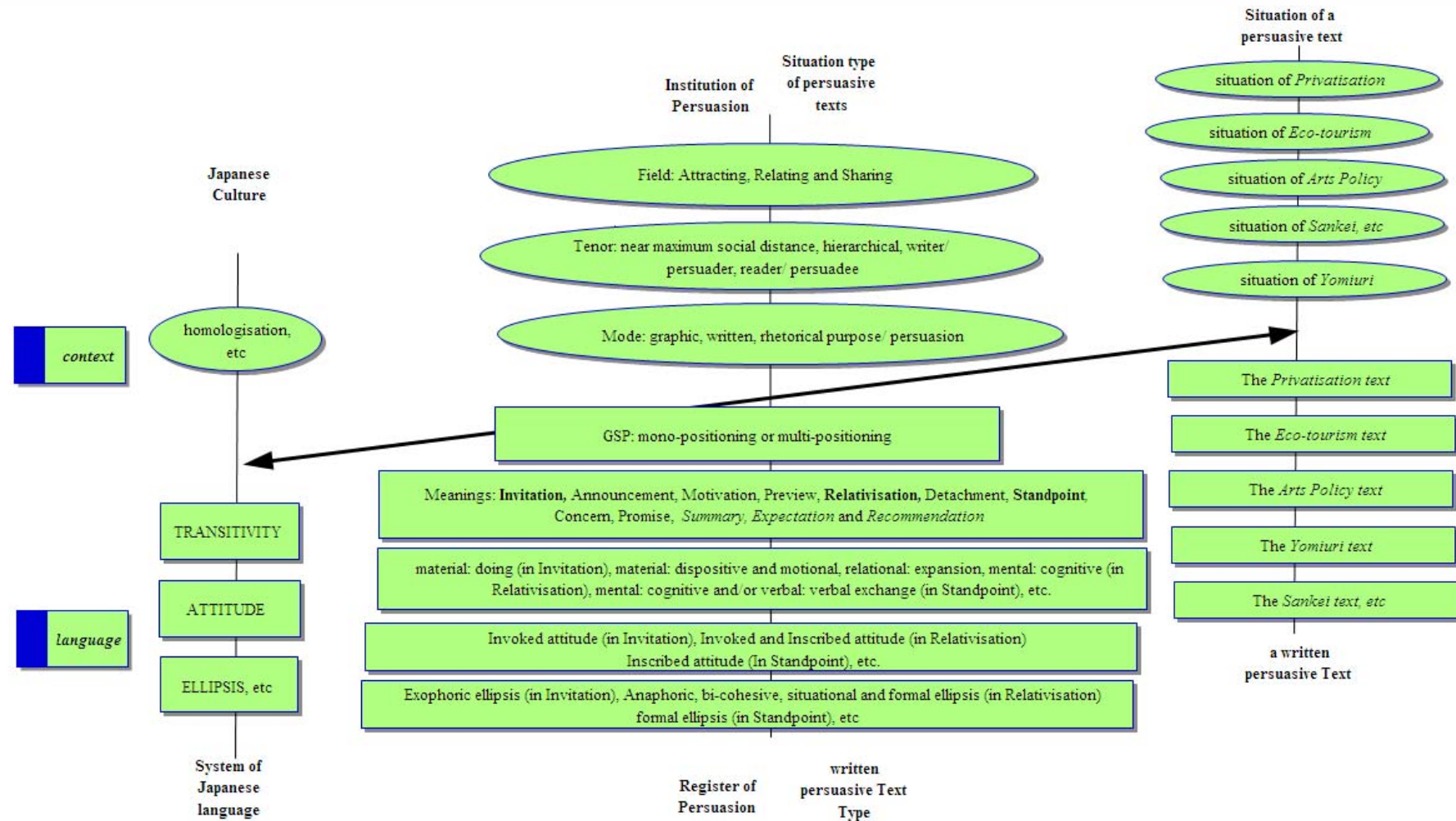
The discussion above is summarised in Figure 7-5. As can be seen, Figure 7-5 attempts to map the present study in terms of the dimensions of instantiation and stratification of the language and the context<sup>43</sup>.

The significance of this study lies in the evidence that the linguistic analysis provides for the sociological frame of homologisation. It is important to speculate on how a culture orders its semiotic style, but it is more important to demonstrate with linguistic evidence how it is realised. It is my hope that this study is received as an attempt to document the presence of the particular semantic style, that is, a style for persuasion in Japanese.

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<sup>43</sup> One may like to compare Figure 7-5 with Figure 2-11 (Figure 1-11 Halliday and Matthiessen (2004: 28)).

Figure 7-5 written persuasive text in Japanese culture



## **5 Further directions**

As a way to conclude the thesis, I will indicate those areas which may require further investigation. These have been acknowledged during the course of this study.

### **5.1 Generic Structure Potential, Nuclear and Elaborative Meanings.**

This study proposed two models of the GSP for written Japanese persuasive texts, i) mono-positioning and ii) multi-positioning. It also identified the nuclear and elaborative meanings for the elements that construct the two structures. However, these models are formulated based on the present corpus composed of only 11 texts, as the present study is a case study of Japanese written persuasive texts. This prompts the necessity for quantitative research of the two models. The applicability of these models needs to be tested with a larger corpus.

In addition, the two models were distinguished by i) the differences between the location of the Position and Empathetic Construction elements and ii) how this difference constrains the potential structure of persuasive texts. However, it has not explored the difference in the selection of semantic and lexicogrammatical resources. This suggests the need for a further study which compares the linguistic features of the two models.

### **5.2 TRANSITIVITY**

This study identified some new features such as sub-categories of relational processes ‘as practice’ and ‘as situation’ which were not described in Teruya’s descriptions of TRANSITIVITY. Also, it found the existence of the some types of Participant which are not acknowledged in his descriptions such as ‘Prompter’. Additional to these features and the Participant, I found clauses or nominal groups that may not fit in any categories proposed by Teruya. However, in the corpus, these potential features or Participants are minor, as the number of their instances is very limited. I list these potential features and types of Participant in Table 7-6. The presence of these features and types in Japanese may need to be tested with a large corpus to extend the description of the Japanese system of TRANSITIVITY.

**Table 7-6 the potential new features and the Participants which may exist in Japanese**

feature	description	example
dememorising	It is a potential new feature of the mental: non-projecting type, as it cannot project a clause. It is different from emotive type, as it does not represent Senser's emotion like the 'emotive'. It is different from the 'perceptive' as it can construe abstract phenomenon or what Teruya (1998) calls 'hyper-phenomenon'. Hence it may be a new feature. It is realised by the presence of the Process such as " <i>wasureru</i> " (forget) or " <i>mushisuru</i> " (ignore).	<i>soshite ningen-wa sorera-o yashinau koto igai-ni nan no yaku-ni tatsu' koto mo nai koto-o wasureteiru</i> (People forget the fact that they have no use except for fostering them). (from <i>Soul</i> )
semiotic existent	Teruya (2004) subcategorises the feature 'existential' into 'existent' and 'existence-plus'. He further classifies 'existence' into 'animate existent' and 'inanimate existent'. Animate existent is the feature that construes the existence of animate, while inanimate existent is the feature for construing the existence of inanimate. According to Teruya (2004), Existent in animate existent or inanimate existent is marked by particle " <i>-ga/wa</i> ". But the study found the Existent marked by particle " <i>-to</i> ". Hence, it cannot be categorised either as animate or inanimate existent. When Existent is marked by the particle " <i>-to</i> ", it represents the existence of semiotic phenomenon such as one's comment or opinion in a book or speech. Hence, it is may be a new feature.	<i>kenpoo no zenbun-ni, ... zenryoku-o agete kono suukoona risoo to mokuteki-o tasseisuru koto-o chikau-to arimasu.</i> (There is the sentence that "... (we) promise that (we) will do our best for achieving this aim and purpose that is honourable" in the preface of the Constitution. (from <i>Lion Heart</i> )
Participant	description	example
Resultative Attribute	It may be a Participant of the dispositive clause that is not acknowledged in Teruya's '(1998) description. It is the participant which represents the state of Goal after the actualisation of the process (cf. Halliday and Matthiessen 2004).	<i>gendaijin no wakamonotachi-ni totte, iwaba aihansuru shigoto—to demo iubeki kono futatsu no kadai-wa karera-o futatsu-ni hikihanashiteshimau.</i> (These two tasks that are contradictory tear young people into two pieces). (from <i>Soul</i> )
Depictive Value	It also may be a Participant of the dispositive clause, which is not described in Teruya's (1998) description. It is the participant that specifies what kind of functional role the Goal plays in the actualisation of the process (cf. Halliday and Matthiessen 2004).	<i>dooshi no asupekuto-o rei-ni totte</i> (using aspect of a verb [as] example) (from <i>Meaning and Function</i> )

### 5.3 ATTITUDE

In Chapter 5, I explored the strategies for expressing ATTITUDE. During the course of this, each instance of ATTITUDE was analysed.

The analysis of the ATTITUDE suggests that the Japanese features of ATTITUDE may be different from those of English. For instance, one of the features of ATTITUDE in English, ‘affect’, may need to be categorised and defined differently in Japanese. Affect in English refers to the evaluation that is realised through expressing “the emotions; reacting to behaviour, text/process, phenomenon” (Marin and White 2005). This definition of ‘affect’ may reflect the fact that, in the language of English, the emotions are typically associated with ‘reacting’.

However, emotion in Japanese, *kokoro*, is conceptualised differently in the language of Japanese. *kokoro*, like in the English language, can be inspired by reacting to behaviour, text/process or phenomenon. However, in addition, *kokoro* can *wakiokoru* (engender) and *itosareru* (be intentionally possessed). These different ways of inspiring *kokoro* is reflected in the classification and the structural features of the subsystems of mental: emotive (cf. Teruya 1998). This conceptualisation of *kokoro* may prompt one to categorise and define the evaluation via expressing ‘*kokoro*’ differently from ‘affect’ in English.

With consideration of the potential difference of Attitude system of English and Japanese, I tentatively categorise the instances of ATTITUDE as in Figure 7-6. This categorisation is reflected in the classification of attitudinal lexis in Table 5-1 presented in Chapter 5. The table is also reproduced as Table 7-7 below.

Figure 7-6 tentative taxonomy of types of attitude in Japanese

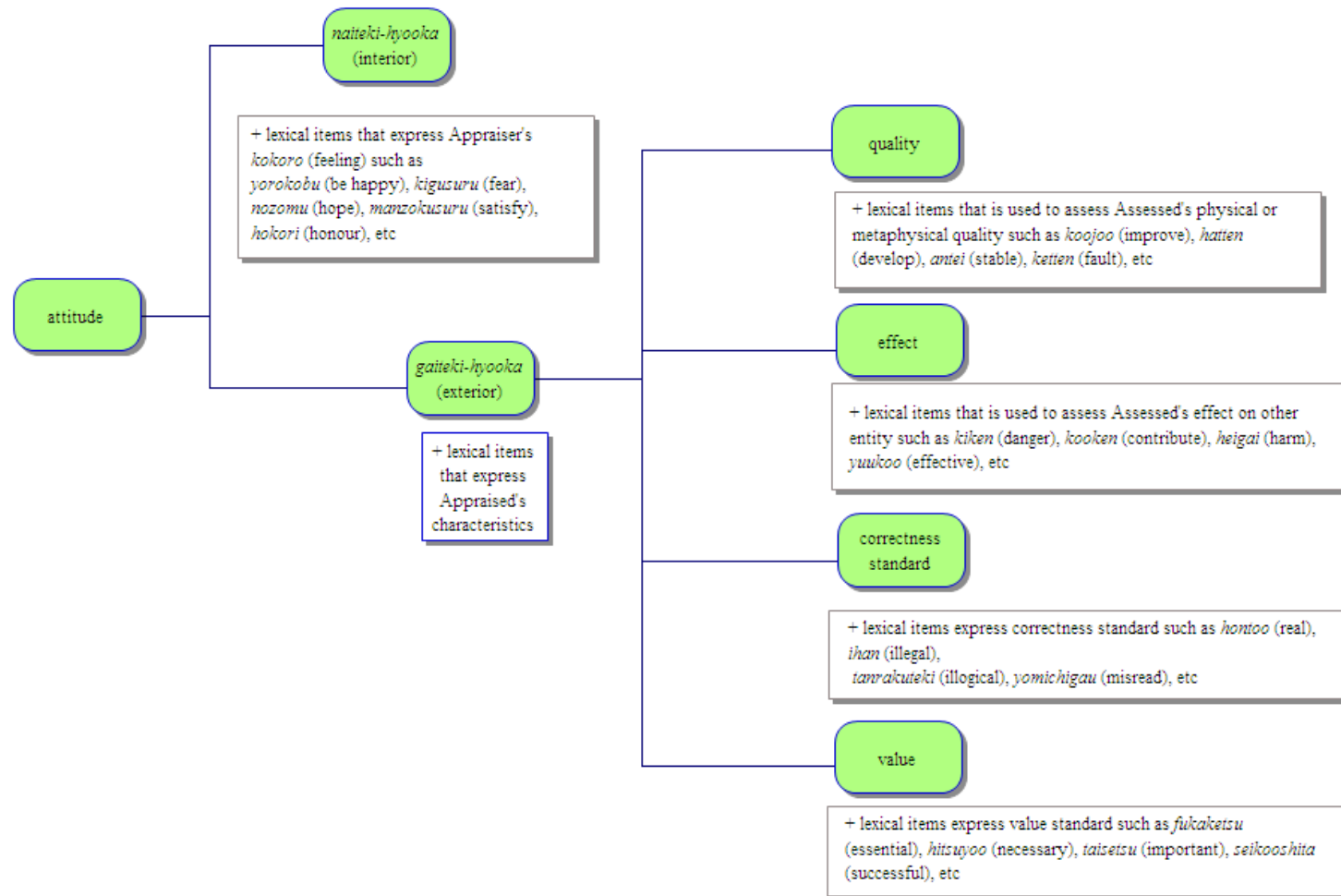


Table 7-7 examples of attitudinal lexis realised in the corpus

attitudinal lexis in the corpus														
to do with <i>kokoro</i> (emotion) of Appraiser			to do with <i>shitsu</i> (quality) of Appraised			to do with <i>kooka</i> (effect) of Appraised			to do with <i>kachi</i> (value) of Appraised			to do with <i>tadashisa</i> (correctness) of Appraised		
喜ぶ	<i>yorokobu</i>	joy	欠陥	<i>kekkan</i>	defect	危険な	<i>kikenna</i>	dangerous	不可欠	<i>fukaketsu</i>	essential	違反	<i>ihan</i>	illegality
憤る	<i>ikidoori</i>	anger	欠点	<i>ketten</i>	fault	厄介な	<i>yakkaina</i>	problematic	必要	<i>hitsuyoo</i>	necessary	短絡	<i>tanraku</i>	illogicality
悲しむ	<i>kanashimu</i>	be sad	欠落	<i>keturaku</i>	lack	蔓延する	<i>manensuru</i>	spread negatively	大切	<i>taisetsu</i>	important	読み違い	<i>yomichigai</i>	misreading
嘆く	<i>nageku</i>	feel grief	難しさ	<i>muzukashisa</i>	difficulty	貢献	<i>kooken</i>	contribution	貴重	<i>kichoo</i>	valuable	否定	<i>hitei</i>	denial
心強い	<i>kokorozuyoi</i>	reassuring	困難	<i>konna</i>	hardness	害	<i>gai</i>	harm	肝要	<i>kanyoo</i>	vital	反問	<i>hanmon</i>	oppose
危惧する	<i>kigusuru</i>	fear	単純	<i>tanjun</i>	simplicity	恩恵	<i>onkei</i>	benefit	ブーム	<i>buumu</i>	boom	堅持	<i>kenji</i>	maintain firmly as a correct/valid thing
心配する	<i>shinpaisuru</i>	feel anxiety	汚染	<i>osen</i>	pollution/impurities	有効	<i>yuukoo</i>	effective	話題になる	<i>wadaininaru</i>	popular	まちがい	<i>machigai</i>	mistake
おびえる	<i>obieru</i>	terrify	よごれ	<i>yogore</i>	blot	通用しない	<i>tsuuyoooshinai</i>	ineffective	目立つ	<i>medatsu</i>	outstanding	相反する	<i>aihansuru</i>	contradict

Primarily, I tentatively categorise the instances of ATTITUDE in the corpus into i) *naiteki-hyooka* (interior) and *gaiteki-hyooka* (exterior). The interior realises Appraiser's evaluation towards Appraised by expressing *kokoro* (emotion) of the **Appraiser** as in the Example 7-1.

#### Example 7-1 example of emotive

イラク人の約9割が米軍の撤退を望んでいる

<i>iraku-jin</i>	<i>no</i>	<i>yaku 9 wari ga</i>	<i>beigun</i>	<i>no</i>	<i>tettai o</i>	<i>nozondeiru</i>	
Iraq-people	NO	about %	GA the US army	NO	leaving O	hope-asp.	
About 90% of Iraqi people	hope	the US army to leave					

(from *Asahi*)

In the example, an emotive evaluation is expressed by the verbal group “*nozondeiru*”, which expresses the positive feeling of the Iraqi people toward *beigun no tettai* (the US army to leave).

On the other hand, the feature ‘exterior’ realises Appraiser's evaluation by expressing *tokuchoo* (characteristics) of **Appraised**. An instance is in Example 7-2.

#### Example 7-2 example of non-emotive

我々の社会や文明には根本的に考え直さなければならない欠点が多くあることが分かる。

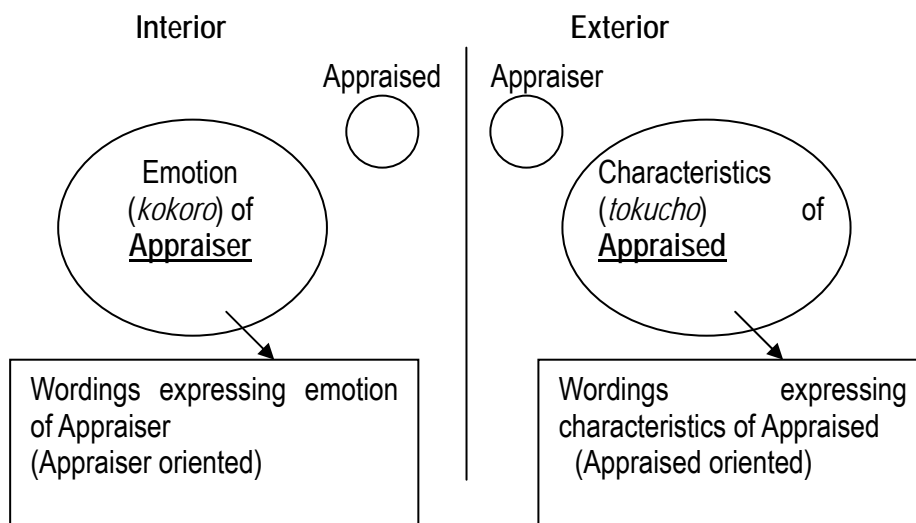
<i>wareware no shakai ya bunka niwa konponteki ni kangaenaosanakerebanaranai</i>	
our society and culture at fundamentally reconsider-OBL	
<i>ketten ga kazuooku aru koto ga wakar.</i>	
defect GA many COP KOTO GA see	
(We) see that there is a fundamental defect in our society and culture, which has to be reconsidered.	

(from *Environment*)

In the example, the writer's negative evaluation is realised by *tokucho* (the characteristics) of *wareware no shakai ya bunka* (our society and culture), which is expressed by the lexical item *ketten* (defect).

The difference between the two features is in the orientation of the expressions that realises the features. The difference is illustrated in Figure 7-7 below.



**Figure 7-7 the orientation in the emotive and non-emotive type**

As the ‘interior’ expresses the emotion of the **Appraiser**, the expression that realises the feature is **Appraiser** oriented. On the other hand, because the ‘exterior’ expresses the characteristics of the **Appraised**, the expressions that realise the exterior is **Appraised** oriented. This is one of the motivations to distinguish the emotive and the non-emotive.

The exterior type may further be classified based on the perspective from which the Appraiser evaluates the characteristics of the Appraised. In the corpus, the characteristics of Appraised are evaluated in terms of i) *shitsu* (quality), ii) *kooka* (effect), iii) *tadashisa* (correctness standard) or iv) *kachi* (value).

The quality type is realised by the wordings that express the evaluation of the physical and metaphysical *shitsu* (quality/norm) of an Appraised. This includes the wordings that expresses i) *kanzensei* (perfection), ii) *fukuzatsusa* (complexity) and iii) *jundo* (purity) of the Appraised.

The effect type is realised by the wordings that expresses i) *anki* (safety/danger), ii) *rigai* (benefit/harm) and iii) *yuukoosei* (utility) of an Appraised.

The correctness standard type is realised by the wordings that expresses *shingi* (truth), ii) *seitoosei* (propriety) and iii) *datoosei* (validity) of Appraised.

The value type is realised by the wordings that expresses i) *hitsuyoosei* (necessity), ii) *zyuuyoosei* (importance) and iii) *ninki* (popularity) of Appraised.

As mentioned, this is only a tentative categorisation. Further, the distinctions among the categorisations and the realisations of the types are preliminary. This prompts the need for a study that explores the Japanese features of ATTITUDE.

#### 5.4 ELLIPSIS

This study defined and proposed a network for ellipsis in Japanese in Chapter 6. Through the course of the analysis, this study identified some issues with studies of Japanese ellipsis. The first concerns the definition and conceptualisation of ellipsis in Japanese linguistics. As mentioned, there are many studies on Japanese ellipsis (cf. Kuroda, 1979; Martin, 1975; Kuno, 1995; Hinds, 1982; Nariyama, 2000; Nariyama, 2003). However, despite this, the concept of ellipsis is not accepted in some major branches of Japanese linguistics. For instance, Mikami (1963) and Ohno (1978) claim that since it is a principle of the Japanese language to covertly express the element that can be inferred by listeners/readers and the covert expression does not make the structuring of a Japanese clause incomplete, the concept of ellipsis that implies ‘omission’ or ‘eliding’ reflects the imposition of western linguistics paradigm on the Japanese language.

I believe that part of the cause of this controversy stems from how ellipsis is often defined in Japanese linguistics. Many definitions of ellipsis are either semantically or syntagmatically oriented but not defined from both aspects. There are a few definitions which consider both aspects such as the one by Tsukada (2001), but, these definitions do not specify the relationship between the two. For instance, in Tsukada’s definition, it is true that some semantic and structural aspect of the ellipsis are defined; however, it is not clear how or which “*gengokeishiki*” (linguistic form) is associated to “*fukugen-katei*” (retrieving process).

省略とは、話して（書き手）の意図することを、聞き手（読み手）が復元可能な部分のところを指す。そして、この復元過程は、言語形式と推意の 2 側面によって相互作用しながら行われるのである。（p.319）

Ellipsis refers to the part which expresses the intention of a speaker (writer) and which can be retrieved/recovered by a listener (reader). And, the process of retrieving/recovering is carried out by the interplay between linguistic form and inference (Tsukada 2001 p.319).

Unless ellipsis is defined both semantically and structurally, it is difficult to identify which kind of linguistic phenomenon can be counted as ellipsis and which are not. Without accomplishing this task, the controversy will not be solved.

This task can be accomplished by applying the trinocular perspective to ellipsis, as Systemic Functional linguistics does. The definition of ellipsis in the present study is a start, but it needs to be further developed so that it can represent the ellipsis of Japanese discourse generally.

The second issue is that some scholars argue that although there are some

functional differences, the function of Japanese ellipsis is similar to the function of English pronouns (cf. Hinds, 1982). Following this idea, there are some linguistic branches which call Japanese ellipsis as “*zero-daimeishi*” (zero-pronoun), especially in computational linguistics based on generative grammar (Hashimoto et al., 2001). However, such a view considers only one aspect of the textual function of ellipsis, which is the function to assign the textual status of identifiability. The other function, the function which assigns the textual status of continuous information needs to be considered as well. In order to further develop the understanding of the system of ELLIPSIS in Japanese, further work needs to be carried out.

The process of such further research will result in a deeper understanding of Japanese persuasive discourse and stimulate further exploration of Japanese language from the Systemic Functional perspective.

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終

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