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Yumiko Mizusawa
University of Wollongong

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**Investigating the Directive genre
in the Japanese and Australian workplace:
A Systemic Functional approach**

Volume One

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

Doctor of Philosophy
from
University of Wollongong

by

Yumiko Mizusawa
BA, Keio University
MEd, University of Wollongong

Faculty of Arts

2008

Certification

I, Yumiko Mizusawa, declare that this thesis, submitted in order to fulfil 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.

Yumiko Mizusawa

26 August 2008

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Key to Notations

Inter liner gloss

COP copula
RES respectful
HUM humble
FOR formal
INT interrogator
NEG negotiator
BEA beatifying
IMP imperative form
NEG negative polarity realised by a morpheme
NI particle 'ni'
NO Nominal linking maker "no"
O particle 'o'
WA particle 'wa'
PST past tense

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}	u (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){キユ}		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){ニユ}		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){ミユ}		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){ギユ}		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)	ga (が)	ni (に)	de (で)	e(へ)	o (を)

Abstract

This study is concerned with how tenor relations impact on the language of the workplace, particularly as the workplace is typically organised hierarchically (Iedema, 1995) and is concerned with getting things done. In other words, the workplace is about administrative practices of guidance, surveillance and compliance (Iedema, 1995). In most cases, these social acts of guidance, surveillance and compliance are realised by discursive practices or workplace genres. Specifically, this study investigates the discursive practices of compliance, known as Directives, with a view to understanding the effect tenor relations have on the language choices of workers in Japan and Australia. The effect is described by using the tools of systemic functional grammar, particularly from the perspective of the interpersonal metafunction. The two corpora are analysed from ‘around’ (the lexicogrammar) and from ‘above’, (the semantics).

The results show that, while the language and meanings of Directives in both languages are highly sensitive to tenor relations, the nature of this sensitivity differs. In general terms, in the workplace, it seems that the Japanese language is more interpersonally oriented, while English is less so, with a tendency to be rather more ideationally oriented. The results go some way to supplying linguistic evidence for the claim that Japanese society in general is hierarchical (Nakane, 1970), while Australian society is less so.

Acknowledgement

First and foremost, I would like to offer my sincerest gratitude to Dr Elizabeth Thomson, who has supported me throughout my thesis with her knowledge. I dedicate my thesis to her encouragement and help. Without her, this thesis would not have been completed. One simply could not wish for a better or cooperative supervisor.

I also would like to express my gratitude to Dr. Carmel Cloran. I have been greatly encouraged by her constructive suggestions in the process of researching for, and the writing of, this thesis. She has shown me richness and essence of Systemic Functional Linguistics to me.

I am deeply indebted to Professor Norimitsu Tosu who encouraged me in my choice of career. Without his advice, this thesis would not have been achieved.

I also would like to thank Dr. Shoshana Dreyfus and Dr. Motoki Sano. They have offered much advice and insight throughout my work. Without their generous and invaluable help, I may well have reached an impasse.

Special thanks to my colleagues, who provided me with text examples covered by this thesis. Due to ethical reasons, I cannot state their names, but I sincerely express my gratitude to them all.

In my daily work, I have been blessed with a friendly and cheerful group of students. Emma and Anthony in particular have helped my English. Aki, Hide and Yuki have given me various insights, not only into the study, but also in life.

I would like to thank all my friends in Japan and Australia for the experience I have gained in my life. They have helped and inspired me during my studies. They are extremely precious to me.

Finally and most importantly, my deepest gratitude goes to my family. I am greatly indebted to my father, Takaya and my mother, Yoshiko for their care and love. I owe my loving thanks to my partner Steve. Without his understanding and support, it would have been impossible to complete this thesis.

Chapter 1. The study of written administrative Directives

1.0. Introduction

Workplaces contain very complex social roles. In such situations, language differs depending not only on power but also social distance and/or the topic of the texts generated. In a workplace context, a highly structured text is preferred. However, a text in a workplace context does not necessarily begin with straightforward means to issue a command (Ghadessy & Webster, 1988). Thus, even though the purpose of the text (e.g. to issue commands) is the same, texts may occur in various types to accomplish the purpose. The main aim of this research is to explore Japanese and English Directive texts.

This chapter presents aims, background and motivation, the corpus, the relevant research, and the compositional aspects of this research.

1.1. Aims of the research

This thesis presents a case study of administrative Directive texts in Japanese and Australian workplaces, focusing on understanding the distinctive characteristics of this genre across two languages: English and Japanese. To address this aim, this research explores;

- i) text structures that construe the Directive texts,
- ii) meanings that are expressed in the Directive texts,
- iii) lexicogrammatical resources that construe the meanings,
- iv) similarities and differences in the Japanese and English Directive texts, and
- v) reasons behind the similarities and differences.

1.2. Background and Motivation of the research

The background of this study derives from three points. The study of language use in the workplace is still limited compared with the other fields (Forey, 2004; Hewings,

2002; St John, 1996; Swales, 2000), even though workplace texts have highly complex structures due to the fact that they contain visible and invisible power relations. The first reason why this study focuses on written administrative Directives in the workplace is because these written texts are often the outcomes of spoken texts (Forey, 2004; Iedema, 1999, 2000).

The second reason is to extend knowledge of the genre of the workplace to Japanese. The motivation for this study derives from on two studies, one of which was carried out as the Disadvantaged School Program (hereafter DSP) in New South Wales in Australia in 1995, and the other a research project called “Mapping the Genres of Japanese (hereafter MGJ) research Project.

The DSP studied three types of discourse constituting of 1) educational discourse, 2) media discourse and 3) organisational discourse, the third of which relates to this present study. According to the DSP report (Iedema, 1995), interaction in the workplace is achieved through “administrative practice”. Administrative practice is an activity which specifies general rules of conduct in order to administer employees in the workplace, which can be divided into 1) guidance, 2) surveillance and 3) compliance¹. These administrative practices are realised in the discursive forms of Provisions, Records and Directives respectively. The focus of this study is the third category of Directives shown in Figure 1-1.

¹ Guidance is the process of determining the institutional behaviour of employees. Surveillance is the process of recording past and current states of affairs. Compliance is the process of organising people in time and space (Iedema, 1995).

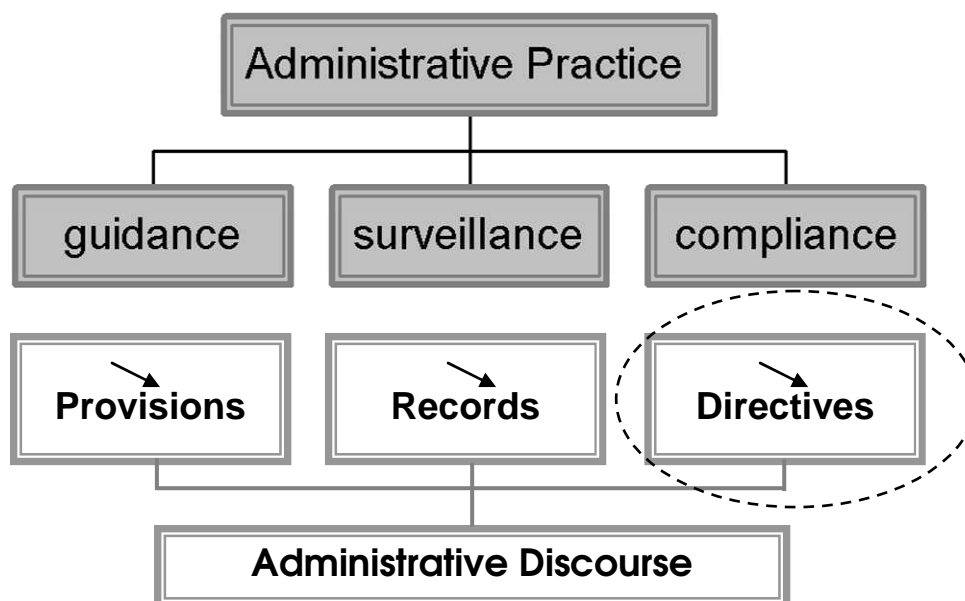


Figure 1-1: Relation between administrative practice and its discursive forms

The other motivation is the MGJ project initiated by Thomson (2006). The aims of this project were to:

- 1) 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, and
- 2) 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.

This study will extend the focus of the MGJ project by describing Japanese Directive texts.

The third reason arises from my interest in understanding written Directives in the Japanese workplace and the Australian workplace. The comparative perspective of two languages magnifies the issues which lie within (Fasold, 1990). By comparing the Japanese Directives with English Directives, the distinctive characteristics of both languages in a specific genre can be made more explicit.

While the nature of English Directives is already understood, this is not the case for Japanese. This study will thus map the genre of Japanese administrative Directives in Japanese workplaces, and is expected to illuminate cultural and social differences between the Japanese and Australian workplaces through a comparison of Directives in these two workplace sites. The significance of this study lies in 1) investigating written texts in the workplace, 2) contributing to the body of knowledge on Japanese factual genres and 3) understanding the cultural and contextual similarities and differences which are construed by the two languages.

1.3. The corpora of the study

In order to explore written administrative Directives, 55 Japanese written texts from Japanese organisations were selected from the Japanese workplace, and 35 English written texts were selected from the Australian workplace. The reason for the larger number of Japanese texts derives from one of the aims of this research: to extend the MJG project. A relatively large number of Japanese texts helps to fulfil this aim.

The texts were collected after being used in the workplace. That is, the texts are extracted from authentic linguistic resources. The Japanese texts were written by native speakers of Japanese, and the English texts were written by native speakers of English. Example 1-1 and 1-2 are textual exemplars of the Japanese and English Directive texts.

Example 1-1: Japanese Text Example

XXXXXXXXXXXXXXXXXXXX

平成18年4月21日

Addressee's name 殿

Name of an organisation

理事長 Writer's name

name of a committee 委員会

委員への委嘱について（ご依頼）

平素は、当財団の運営には格別のご理解を賜り厚く御礼申し上げます。

本年度から、Name of a project 事業は

A org. から B org. へ 移管されました。 Name of a project

事業をより円滑に推進するため、新たに標記委員会を学識経験を有する方及び行政庁の方に委員にご就任願ひ組織いたします。

つきましては、貴殿に委員として下記によりご就任いただき、学識経験者としてのご指導を賜りたく委嘱したいと存じますので、公務ご多忙中のところ誠に恐縮に存じますが、何卒ご承諾くださいますようお願いいたします。

なお、ご承諾の上は、お手数ですが同封の承諾書に記名押印の上、平成18年5月19日（金）までに小職あてにご返信下さいますよう併せてお願いいたします。

追って、このことにつきましては、貴所属施設長あてに別途、ご依頼しておりますので、申し添えさせていただきます。

敬具

記

- | | |
|---------|-------------------------|
| 1. 委員会名 | name of a committee 委員会 |
| 2. 役職名 | 委員 |
| 3. 委嘱期間 | X.X.X日から平成X年X月X日 |
| 4. 職務 | |
| 5. 報酬 | X円の謝金を支給 |
| 6. その他 | 委員会は年間2回（1回約2時間）程度開催 |

Example 1-2: English Text Example

✓

[Redacted]

4th July, 2005

Dear Staff Member

RE: New Policy on Alcohol and Drugs in Employment

I am writing to you to advise that the Univeristy has introduced a new Policy on Alcohol and Drugs in Employment. This document provides a framework for supervisors and employees to ensure they are fulfilling their duties of care to ensure a safe working environment for all people at the University.

The Policy addresses issues surrounding the impact that consumption of alcohol and use of drugs can have on an employee's ability to perform their duties. Key elements of the policy include:

- That it is a requirement that employees do not work under the influence of alcohol or drugs.
- Zero tolerance towards alcohol consumption is a requirement in hazardous environments. Examples of such areas include working in laboratories and workshops, using machinery and hand held power tools, and working as a first aid officer.
- Failure to comply with the policy can result in disciplinary action, which may lead to the termination of employment.

A copy of the policy is enclosed. You are asked to familiarise yourself with the policy and ensure you observe its provisions.

Associated with the Policy are Guidelines on the Use and Management of Alcohol at University Functions. The Guidelines have been designed to assist with policy implementation in the specific settings of social functions. The Guidelines use a risk management approach to assess the potential for harm at social functions, and provide guidelines for organizers and participants to follow in regards to these functions.

Your supervisor will be reinforcing the policy with you in the following months. Any questions regarding the Policy or Guidelines can be raised with them, or directly with the [Redacted] Unit via extension [Redacted]

Regards

Signature [Redacted]

Printed sign [Redacted]

Position [Redacted]

Name of organisation [Redacted]

Encl

Occupational Health & Safety Unit
Telephone [Redacted]

Facsimile: [Redacted]

There are three types of workplaces: governmental, private business and educational organisations. For ethical reasons, the detailed names of the organisations and people involved have been withheld and will remain confidential.

In workplaces, as Burton (2002) points out, “there are many different styles of business communications: messages, memos, letters (both internal and external)... Writing is a major part of any workplace, even with the concept of the paperless office” (Burton, 2002, pp. 121-122). Although the nature of the written language is high lexical density with elaborated and complex structures (Halliday, 1994), differences may occur depending on text types. In order to analyse the general features of written Directive texts, the corpora consists of four types; memos, emails, letters and facsimiles.

There is another consideration in relation to the analysis of the corpora. The workplaces are filled with hierarchical relations. In order to analyse the potential lexicogrammatical differences in terms of the hierarchical relations between the writer and the addressee(s), the corpora is characterised by three types of hierarchical relations. The first type is those texts which are sent from a subordinate to superior(s). The second type is those texts which are sent from a superior to subordinate(s). The third type is those texts which are sent between employees of equal status. For easy reference of with these three tenor relations, symbols are used. The ascendant hierarchic relation i.e., from a subordinate to superior(s), $U (\uparrow)$, the descendant hierarchic relation, from a superior to subordinate(s), $D (\downarrow)$, and those of equal relation, $E (\rightarrow)$ are used respectively.

1.4. Literature Relevant to this Study

This section will locate the current study in the field of linguistics. As stated previously, the aim of this study is to map Directives in two languages; English and Japanese in the workplace context. Firstly, linguistic theories from a general perspective will be discussed. Secondly, studies in the workplace where English is used will be introduced. Thirdly, linguistic theories practised in Japan will be described. Lastly, theoretical application to Japanese will be described.

1.4.1. Linguistics as science

In the course of the mid 20th century, various linguistic theories were proposed, deriving from the achievement of the late 19th and the early 20th centuries (Koerner & Asher, 1995). The most prominent development in giving a direction in the study of language was that of Ferdinand de Saussure (1857-1913). Before Saussure, linguistics had been a subsidiary of other studies such as psychology or history. The contribution by Saussure was to elevate linguistics to a field of science (Culler, 1976).

Saussure's ideas influenced the subsequent development of linguistic theories. One of his influential ideas was the distinction between *langue* and *parole*. While *langue* refers to an abstract system, *parole* refers to an actual instance of speech production (de Saussure, 1907/1996). In addition, *langue* is more individual and mental, whereas *parole* is more communal and social (de Saussure, 1907/1996). This distinction affected two orientations in the subsequent modern linguistic theories.

1.4.2. Two orientations in the modern linguistics

Broadly speaking, there are two orientations in the field of modern linguistics. One is to focus on the forms of language, and the other is to focus on the meanings that language forms convey, i.e. their function. These classifications are termed the formal and the functional orientations (Chapman, 2006; Crystal, 1971; Dik, 1978; Matthiessen, 1995; Newmeyer, 1998).

1.4.2.1 Formal orientation

The formal orientation considers forms over meanings. The primary concern of the formal orientation is to investigate grammatical rules and patterns, or syntactic structure. One of the representative researchers in the formal orientation is Chomsky. Chomsky (1957) states;

Syntax is the study of the principles and processes by which sentences are constructed in particular languages. Syntactic investigation of a given language

has as its goal the construction of a grammar that can be viewed as a device of some sort for producing the sentences of the language under analysis (p. 11).

Thus, the formal orientation explains language ‘by concentrating only on one aspect of the problem’ (Chapman, 2006, p. 9). In other words, the formal approach views ‘language as *rules*’ (Halliday, 1978, p. 17, italic in original). In Saussurean terms, the aim of the formal orientation is to pursue the mental and abstract nature of *langue*.

1.4.2.2 Functional orientation

In contrast to the formal orientation, the functional orientation considers meanings expressed by linguistic forms. A primary concern of the functional orientation views language as ‘an integral part of SOCIAL INTERACTION’ (Van Dijk, 1977, p. 167, emphasis in original). Broadly speaking, the functional orientation captures ‘language as *resource* - resource for meaning, with meaning defined in terms of **function**’ (Halliday, 1978, p. 17, italic in original and bold is added). The aim of the functional approach is to pursue the social nature of *langue* and *parole* (Joseph, 1995). However, the expression “functional” has been applied to different types of linguistic practice (Newmeyer, 1998).

There are several functional approaches. Two prominent examples are the Functional Grammar of Simon Dik (1978; 1997), and Halliday’s Systemic Functional Grammar (Halliday, 1978, 1985c, 1994; Halliday & Hasan, 1976, 1985; Hasan, 1984, 1985c; Martin, 1992a; Matthiessen, 1995 etc.). The Functional Grammar which was developed by Dik in the 1970’s is a theory of the organization of natural language. The model is based on a structural-functional theory of language with a psychological orientation (Hengeveld & Mackenzie, 2008).

On the other hand, the Systemic Functional model was developed in the 1960’s by M.A.K. Halliday (1973; 1975; 1978; 1985c; 1994) drawing on insights from a

number of sources. These include Saussure (1916/1974), the Polish anthropologist Bronislaw Malinowski (1923; 1995) and J.R. Firth (1957a; 1957b) in the London school, Hjelmslev (1970) in the Copenhagen school, the Prague school and the American anthropological linguists Boas, Sapir and Whorf (Halliday, 1985/2002). Building on the Saussurean distinction of the paradigmatic (choice) and syntagmatic (chain) relations in language, Halliday gives priority to the paradigmatic relations (Halliday, 1978, p. 40) although most modern linguistic theories have given priority to the syntagmatic form of organisation².

Unlike other approaches, SFL can show ‘theoretically the dynamic and co-evolutionary relationship between context and language’ (Royce, 2008) because the SFL model shows languages resources within a situation that is culturally constructed (Hasan, 1985a, p. 55). In other words, systemic functional linguistics (hereafter SFL) views language as meaning potential (Halliday, 1978). SFL has been further expanded by researchers such as Hasan (cf. 1985b; 1996a), Martin (cf. 1992a) and Matthiessen (cf. 1995) etc. Thus, SFL focuses on the analysis of authentic social interaction considered in relation to cultural and social contexts, and the application is wide and extensive (Eggins, 1994). For this reason the Systemic Functional approach enables this study to investigate language usage in the Australian and Japanese workplace within their respective cultures.

1.4.3 Studies of language use in the workplace

In recent years, the language used in the workplace context has been subjected to linguistic analysis, and an increasing number of studies on the workplace context has been carried out. However, it is relatively limited compared to other well-researched applied linguistic areas (Forey, 2004; Hewings, 2002; St John, 1996; Swales, 2000).

² Lamb (1971) and Firth regards the two relations together. In Halliday’s conception, a linguistic stratum is a network representing both relations together (Halliday, 1978).

The linguistic research on the workplace context could be divided into several types such as the study of a general organisation (Grant & Iedema, 2005) or a particular type of the organisation (Forey & Nunan, 2002), the study of a communication style (Ghadessy, 1993; Ghadessy & Webster, 1988; Gimenez, 2000; Harrison & Young, 2004; Mullany, 2004; Pollach, 2003; Zhu, 2005), the study of the cross-cultural communication (Emmett, 2003; Forey & Nunan, 2002; Hamada, 1980; Heine, 2004; Marriott, 1991, 1993; Takata, 1994; Watanabe, 2004; H. Yamada, 1990, 1992; Yotsukura, 2003) and the study of a particular genre (Iedema, 1995, 1997, 1999; Mizusawa, 2007; Simons, 1996).

Among these, several studies have been conducted from the Systemic Functional point of view. For example, Ghadessy & Webster (1988) and Ghadessy (1993) analysed business letters using a register analysis. Forey and Nunan (2002) conducted research on an accountancy field in Hong Kong by interviewing workers, and later Forey (2004) extended the research to different organisations in Hong Kong focusing on text cohesion. Iedema (1995) carried out research on administrative Directives in the Australian workplace and subsequently developed a taxonomy of written administrative genres (Iedema, 1997). Iedema's work is thus most relevant to the present study in that he studied English administrative discourse and mapped the genre of Directives in the Australian workplace. Subsequently Iedema (1997) developed a taxonomy of written administrative genres in the Australian workplace.

Although both Iedema's studies and the present study analyse the genre of Directives, this study takes a different approach to the understanding of the concept of genre.

1.4.4. Studies of Genre

Genre analysis is an insightful and thick description of texts (Bhatia, 1993, p. 11). However, “genre remains a fuzzy concept” (Swales, 1990, p. 33). Linguists use the concept of genre in different ways. Bhatia (1993) classifies these approaches from a theoretical perspective, whereas Breure (2001) classifies them from a geographical perspective. According to Breure (2001), the concept of genre has been developed in two countries; America and Australia following its introduction as a linguistic concept by the Russian linguistic Mikhail Bakhtin (1986). However, the approach taken to the concept varies between the two countries. The American approach is motivated by discourse analysis, cultural anthropology etc. (Swales, 1990), and is applied especially to English for Academic Purpose (Swales, 1990) or English for Specific Purpose (Dudley-Evans & St. John, 1998; Swales, 2000).

On the other hand, the Australia tradition is motivated by SF theory, and the approach is applied to a wide range of varieties such as nursery tales (Hasan, 1996a), services encounters (Hasan, 1985a), educational discourse (e.g. Christie, Martin & Rothery, 1991; Martin, 1992b, 1999) media discourse (White, 1994), scientific discourse (Rose, 1992) or workplace discourse (Iedema, 1995) to name but a few.

Within SF theory, there are two approaches to genre; Martin’s interpretation (Martin, 1992a, 1992b; Martin & Rose, 2008) and Halliday & Hasan’s interpretation (Halliday & Hasan, 1989; Hasan, 1996a). Martin’s model defines genre as a ‘staged, goal-oriented social process’ (Martin, 1997, p. 13). In Martin’s model, genre is located outside of context as an additional stratum because he considers that it is difficult to associate genre with any one metafunction of discourse (i.e. Mode)³

³ Martin admits in a footnote in *English Text* that his view is based on a misinterpretation of the function of Halliday’s textual metafunction (Martin, 1992a, p.589).

On the other hand, Halliday and Hasan's model captures genre as the rhetorical purpose or semiotic function of a text, i.e. what is being achieved by the text in rhetorical terms (Halliday, 1978; Halliday & Hasan, 1989). Genre is located as an aspect of the textual metafunction construing Mode, and is viewed as the linguistic reflection of a text's contextual configuration (i.e. particular values of field, tenor and mode). Text structure is viewed as potential, and this model represents variations within a particular genre (Hasan, 1996a). Hasan (1992) argues that genre

represent[s] the total potential of structures for a genre *G*, while the actual or **schematic structure of any one instance of *G* would represent a particular configuration permitted by the GSP [generic structure potential] itself**. The GSP is thus analogous to a system, while the actual structure of some individual text is just one possible instantiation of some particular path allowed by the GSP (p. 51 emphasis added).

Hasan's concept of generic structure potential will be adopted by this study and will be further described in chapter 3.

The reason why this study adopts Halliday and Hasan's model is because their model is considered to be more theoretically rigorous. Furthermore, the purpose of this study is to present a generalised structure potential of the genre of Directives and to compare the same genre across two cultures. The representation of the potential of a particular genre - Directives - in two different cultural contexts enables this study to show a model of the genre of Directives and draw a comparison of the potential expression of this genre across two cultures.

Despite SFL's extensive applicability to English, the history of the application of SFL to Japanese is relatively new. The following paragraphs will explain how Japanese grammar has been described and where this study is located in the current body of knowledge.

1.4.5. Grammatical description of Japanese

An understanding of modern Japanese linguistics varies depending on the researchers⁴.

The Meiji period is recognised as the beginning of modern Japanese linguistics. After opening up the country's borders to foreign countries in the Meiji era (1868-1912), there was a necessity to study the Japanese language by adapting a western description of grammar to Japanese. Ootsuki (1897) established modern Japanese grammar which harmonised with the traditional description of Japanese but referred to western linguistic theories. It is called *Kokugaku* (the study of Japanese linguistics). His contribution to modern Japanese grammar was to classify the eight parts of speech in Japanese and describe the conjugation patterns of verbs.

Four researchers who followed Ootsuki's pioneering work and contributed to the establishment of Japanese modern grammar were Yamada (1873-1958), Matsushita (1878-1935), Hashimoto (1882-1945) and Tokieda (1900-1967) follow Ootsuki's pioneering work.

Yamada (1908; 1936), criticised Ootsuki's classification of the eight parts of speech and presented *Goron* (a theory for words), *Kuron* (a theory for sentences, clauses and phrases), and classified particles into further categories. While Yamada was interested in written language (*Bungo*), another early modern linguist, Matsushita, focused on spoken language (*Koogo*). Later, Matsushita (1928) presented a systematic modern Japanese grammar from a more practical point of view than previous researchers.

Hashimoto's contribution to modern Japanese grammar is to establish a formal description of the Japanese language (1935). The current Japanese grammar widely

⁴ Many researchers (Hachiya, 2002; Hida, 2002; Masuoka, Nitta, Gunji & Kinsui, 1997; Morioka, Miyaji, Ikegami, Minami & Watanabe, 1974; Tokuda, 1983) discuss the Japanese grammar from historical perspective. Please see these studies for more details.

taught in schools is based on Hashimoto's description. However, Hashimoto captured only the syntagmatic structure of the Japanese language (Kindaichi, Hayashi & Shibata, 1995).

In contrast, Tokieda (1941; 1950) explained Japanese grammar from a functional point of view. Tokieda's explanation utilised situational types such as in a certain situation or in a certain text type. *Gengo kateisetsu* (theory of language as process) by Tokieda is an effort to establish a native Japanese grammatical description as a reaction against Japanese grammarians who followed the western linguistic description (Nitta, 2005, pp. 79-80).

In sum, the modern Japanese grammar which Ootsuki commenced has been developed by Yamada, Matsushita, Hashimoto and Tokieda. After the achievement by the above scholars, Sakuma (1933; 1932a; 1932b; 1936), Mio (1942; 1948) and Mikami (1955; 1960; 1963) described the syntactic features of Japanese grammar using the cognitive perspective.

In the 60's, a Japanese grammatical description which followed the idea of Chomsky's (1957; 1965) Transformational Generative (hereafter TG) Grammar, emerged. Kuroda (1965; 1973) and Kuno (1973; 1978) analysed Japanese from the Chomskyan perspective, and Kuroda (1973 cited in Kuno 1978: 276) was the first to study the particular characteristics of certain Japanese syntactic patterns. Kuno (1978) investigated the generative syntax of spontaneous speech, the main focus being to analyse how each constituent of a sentence behaves syntactically, rather than analyse how meaning is made.

A description from SF theory is, on the other hand, a relatively new approach in Japanese linguistics. Broadly speaking, SF approach to Japanese can be divided into

two types. One is a description of the Japanese language itself, and the other is the application of SF theory to the Japanese language.

After the introduction of Yamaguchi (2000) and Tatsuki (1997)’s pioneering work, descriptive work on Japanese was conducted by Teruya (1998; 2004; 2007) and Tsukada (2001). The researchers applied SF theory to various fields. Table 1-1 illustrates the application of SF theory to the various fields.

Table 1-1: Applications of SF theory to Japanese

Please see print copy for table 1.1

As illustrated in Table 1-1, SF theory is applied to pedagogic fields (Hayakawa, 2006; Ramzan, 2005; Ramzan & Thomson, forthcoming; Sano, 2007; Sasaki, 2006; Thomson, 2005), nursery tales (Thomson, 2001), the field of computational linguistics (Ito, Sugimoto & Sugeno, 2004), translation (Naganuma, 2001), media discourse (Iwamoto, 1998; Nanri, 2005; Sano, 2006; Thomson, 2001; Thomson, Fukui & White, 2008), and administrative discourse (Thomson & Sano, 2006). Most notably for this study, Thomson and Sano (2006) mapped the genres of the Japanese administrative discourse. However, they did not examine the specific genre of administrative Directives on which this study focuses.

Studies from the perspective of the interpersonal metafunction⁵ have been conducted by some researchers (Fukui, in press; Hori, 1995; Teruya, 2004, 2007). Hori (1995) for example, investigated the subjectless clause in relation to the use of the honorific expressions, while Teruya (2004; 2007) set out the system of POLITENESS and HONOURIFICATION according to their use in written and spoken texts. Fukui (in press) conducted research on Mood analysis by using casual spoken texts, and set out the system of FORMALITY and an elaboration of the system of HONOURIFICATION. However, none of these focus on the workplace context from the interpersonal perspective.

Comparative studies between Japanese and English, one of the aims of this study, have been conducted by Hayakawa (2006) and Naganuma (2001). Hayakawa compared Japanese science textbooks with English science textbooks from an ideational perspective. Naganuma compared Japanese with English from the textual perspective.

In sum, although the SF theoretical approach to Japanese is rapidly growing, little work on administrative discourse in the Japanese workplace has been undertaken. Further, no research on a comparative study between the Japanese and Australian workplaces has been conducted. Thus, this study will provide a new insight into the linguistic and cultural field from the SF theoretical perspective.

1.5. Structure of the study

This thesis consists of 11 chapters. These chapters are divided into four parts. Figure 1-2 illustrates the organisation of this thesis.

⁵ Metafunction consists of three kinds: Ideational, interpersonal and textual. Chapter 2 will explain these three metafunctions closely.

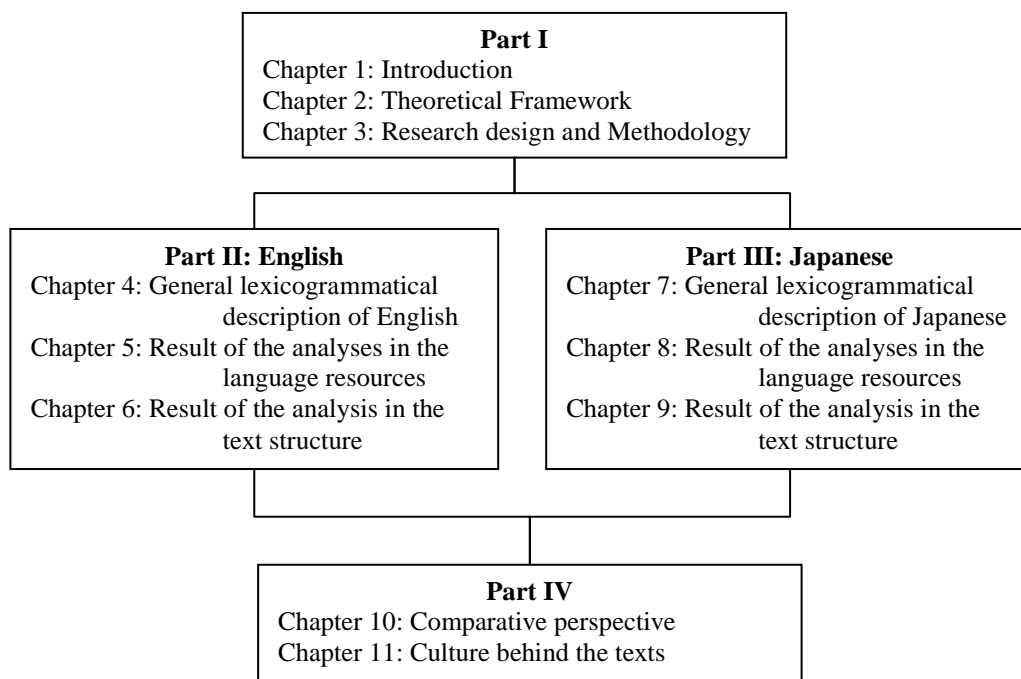


Figure 1-2: The organisation of this thesis

The first part consists of chapter 1 for the introduction, chapter 2 for the theoretical framework and chapter 3 for the research design and methodology. Chapter 1, as we have seen, is an introductory section. This section has discussed the purpose of this study, its background, the nature of the corpora and reviewed the relevant literature pertaining to this area of research. Chapter 2 explicates the theoretical framework which this study adopts. Chapter 3 provides a research design and methodology, in general terms. The first chapter in the second part and the third part will give more details of the methodological aspects by referring to each language, that is, English and Japanese.

While the second part provides the description of English, the third part provides the description of Japanese. Both parts consist of three chapters. Chapter 4 in the second part and chapter 7 in the third part give the general lexicogrammatical descriptions of English and Japanese which are relevant to the analyses. Chapter 5 in the second part and chapter 8 in the third part explore the result of the linguistic analyses of the English and Japanese corpora respectively. Chapter 6 in the second part and chapter 9 in the third part illustrate the text structure of the English and Japanese Directive texts.

The fourth part provides comparisons and conclusions in two chapters. Chapter 10 provides an explanation of the Directives texts in the two workplaces from the comparative perspective. This chapter will compare the Japanese Directives and the English Directives from the linguistic perspective. Finally, chapter 11 refers to the cultures behind the texts and suggests potential area for further study.

Chapter 2. Theoretical framework

2.0. Introduction

This chapter addresses the linguistic theoretical framework of the present study: Systemic Functional (SF) theory. As one of its most significant features, SF theory regards language as a meaning-making resource (Halliday & Matthiessen, 2004).

According to Leech (1983), there are two paradigms of language which equate to a distinction between formal explanations and functional explanations. The formal explanation can be referred as “formalist (*eg* Chomsky)”, and the functional explanation can be referred as “functionalist (*eg* Halliday)” (Leech, 1983, p. 46). The differences can be seen in the understanding of language. While the formalists regard language primarily as a mental phenomenon, the functionalists regard it as a social phenomenon. While the formalists study language as an autonomous system, functionalists study it in relation to its social function in context or external. Leech concludes that, in the process of the analysis, “a formal explanation will always leave something unexplained” (Leech, 1983, p. 48).

SF theory is the tradition developed by Halliday (1973; 1975; 1978; 1985c; 1994; Halliday & Matthiessen 2004) and succeeding scholars (Hasan, 1984, 1989; Martin, 1992a; Matthiessen, 1995 etc.). The origin of Systemic for SF theory derives from system in the technical sense in which this term was used by J. R. Firth (1957b), who suggested that the first principle of linguistics is to distinguish between system and structure (Halliday & Martin, 1981). The focus on system is a defining characteristic of SF theory. SF theory singles out paradigmatic⁶ relations, and gives them priority, while

⁶ The word: paradigmatic comes from Saussure’s definition. Saussure (1916/1974, p. 171) originally defined functions of language as “associatif” (paradigmatic) and “syntagmatique” (syntagmatic). Halliday (1994, p. xxii) mentions that “we follow Saussure in his understanding of the relationship between the system of language and its instantiation in acts of speaking; although not in his implied conclusion, that once the text has been used as evidence for the system it can be dispensed with - it has served its purpose”.

“most of modern linguistic theory has given priority to the syntagmatic form of organization” (Halliday, 1978, p. 40).

SF theory enables us to explain language and meaning in its social context, and thus offers this study an essential tool for solving problems concerning the linguistic choices made by writers when issuing Directives in the context of the workplace in the respective cultures.

The following sections will focus on specific attributes of the systemic functional model of language. These attributes are: 1) System and Structure, 2) Stratification, 3) Instantiation and 4) Metafunction.

2.1. System and Structure in language

SF theory gives priority to **System**. System is a way of representing the **paradigmatic** axis of language and displaying language as **meaning potential** (Halliday, 1978). Whenever we use language, we always select linguistic features from a large set of possible other choices. For example, to get somebody to close a window, a person might say “close the window”, “please close the window”, or “could you close the window?” Or else, by saying “I’m cold”, a person can imply her/his intention of getting someone to close a window.

This paradigmatic view of language is a distinctive feature of SF theory. Meaning potential, or choice, is formalised in **system networks**. Figure 2-1 is an example of a system network.

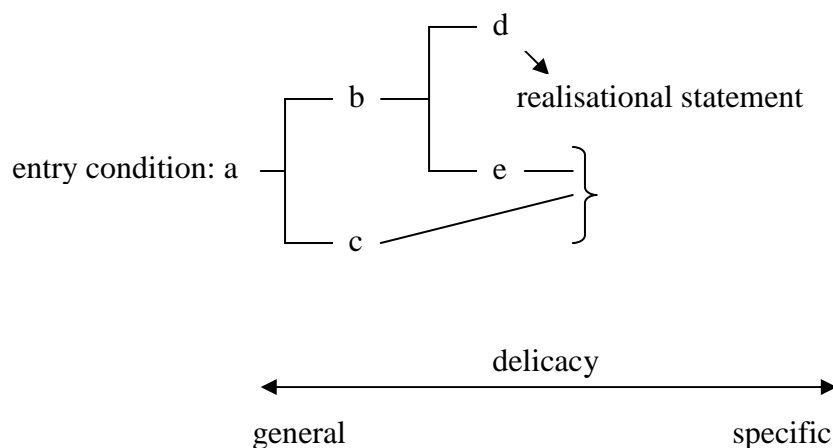


Figure 2-1: System Network

If an entry condition is **a**, then this entry condition provides the environment for a choice either **b** or **c**. These options then may become the environment for further choices, e.g., the option **b** is the entry condition for choosing either **d** or **e**. The alphabet letters: **a**, **b**, **c**, **d** and **e** represent **features**. The system choices are general in the first instance. On the other hand, as selections move through the network, they become more specific. These moves from general to specific are known as movement in **delicacy** (Halliday & Matthiessen, 1999).

This paradigmatic representation of language, according to (Halliday, 1996, p. 21), make it possible 1) to “free the grammar from the constraints of structure”, 2) to describe some feature and relate it to other features, 3) to define the notion of meaning potential and provide an interpretation of the system in the other, 4) to understand the probabilistic modelling of grammar in a system, and 5) to connect grammar with a choice of words, that is, the lexicon.

The systemic or paradigmatic axis is primary in the particular sense that it defines the overall organisation of the grammar of a language. The structural or **syntagmatic** axis operates on choices in the system to specify their realization in structure. In other words, the syntagmatic axis is represented as a set of instructions or

realisation statements for deriving structure from particular choices or features in a system network, i.e. a realisation statement is an instruction concerning how a structure is to be derived at a particular feature. The **realisation statement** is symbolised by a diagonal arrow as shown in Figure 2-1.

In SF theory, linguistic structure is hierarchically organised in terms of **rank scale**. Figure 2-2 graphically shows the rank scale in English together with examples.

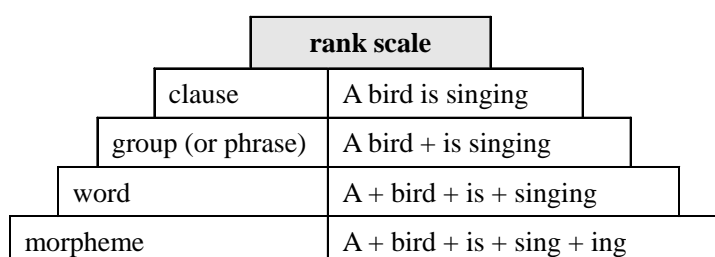


Figure 2-2: Rank scale as hierarchical units

Each rank comprises one or more constituents of the rank next below. The rank scale enables us to capture language as structure at each layer.

2.2. Stratification

SF theory interprets language as a stratified system. Halliday (1978, p. 39) points out that language is “a basically tristratal system: semantics, grammar and phonology⁷” For instance, consider the following extract from interaction at the dinner table.

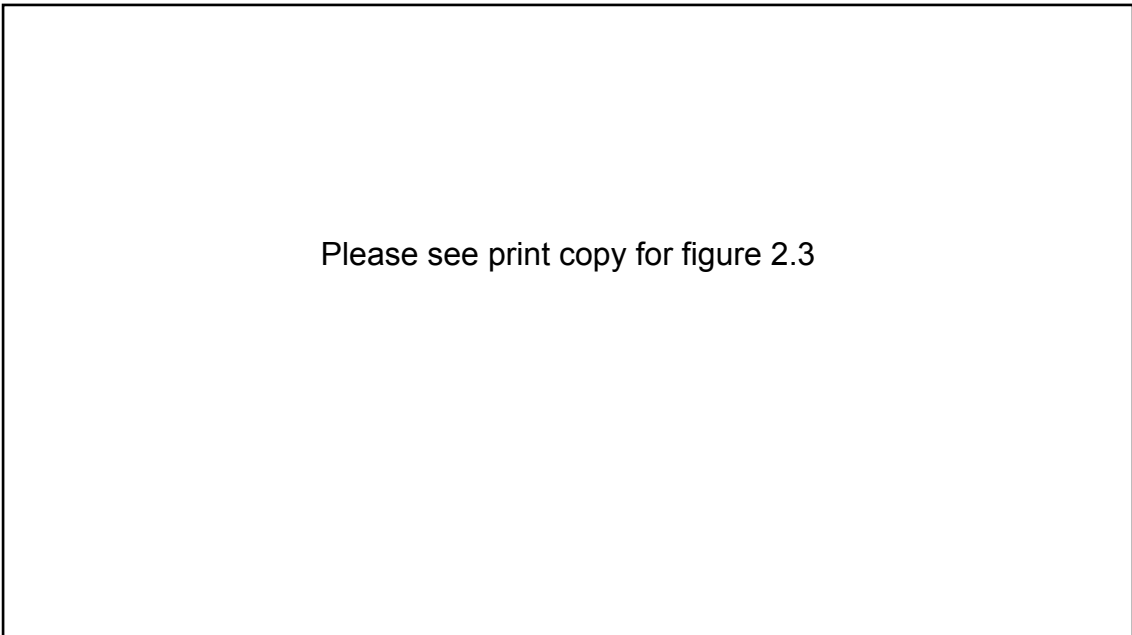
A1: Could you pass me the salt?
 B1: Here you are.
 A2: Thank you.

Person A is demanding a service (semantics) by formulating an interrogative (lexicogrammar) which is accessible to Person B as a string of sounds/words (phonology/graphology). Thus, any message is realised by this simultaneous tristratal system. These tristratal systems correspond to meaning, wording and sounding respectively.

⁷ Phonology is only applied to speech. In the case of letters, phonology is replaced by graphology.

The stratum of semantics is a resource for meaning. This stratum is the gateway to the linguistic system, and is an interface between systems that lie outside language and the system of lexicogrammar.

Similarly, lexicogrammar is a resource for expressing meanings by means of structures and lexical/grammatical items. A stratal role of lexicogrammar is as an interface between systems at the stratum of semantics and systems at the stratum of phonology. Phonology is a resource for realizing abstract wordings as sounds and letters. Thus, in the stratification, phonology realises lexicogrammar, and phonology and lexicogrammar realise semantics. On the other hand, semantics is realised by lexicogrammar and phonology, and lexicogrammar is realised by phonology. Figure 2-3 postulates ‘the internal language structure of language as tristratal consisting of semantics, lexicogrammar and phonology’ (Hasan, 1996b, p. 105). The tristratal language structure is “related to [language users’] ways of living their life” (Hasan, 1996b, p. 105), that is, context. In Figure 2-3, the language internal system is represented by solid lines and the language external system is represented by a broken line.



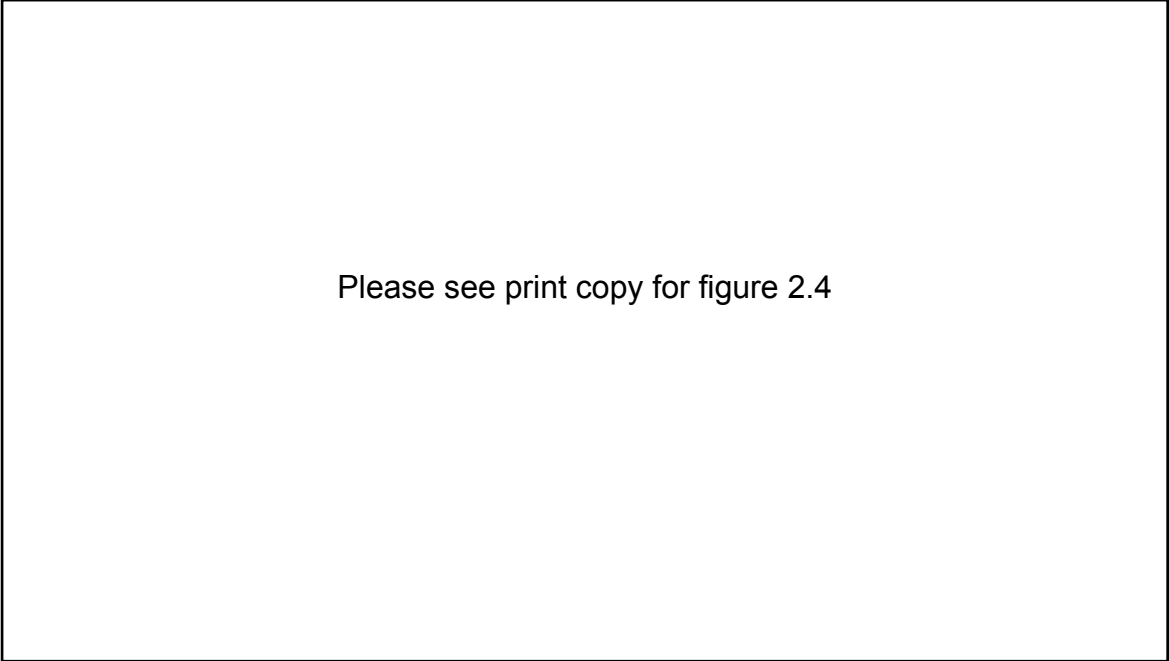
Please see print copy for figure 2.3

(based on Hasan, 1996b)

Figure 2-3: Stratification

The concept of stratification enables us to capture language resources in a context which traditional grammar does not take into account.

It is possible to describe each stratum via a system network, for example, SPEECH FUNCTION is a system network in the stratum of semantics, while MOOD is a system network in the stratum of lexicogrammar. The semantic features of SPEECH FUNCTION are realised by a set of options from MOOD. Figure 2-4 illustrates the relation between the stratification and system networks at each stratum.



Please see print copy for figure 2.4

(based on Matthiessen & Halliday, 1997)

Figure 2-4: Interstratal realization

For example, command in the system of SPEECH FUNCTION is realised by the imperative in the system of MOOD.

2.3. Instantiation

The concept which mediates language as system and language as a set of texts is **instantiation** (Halliday & Matthiessen, 2004). A linguistic system itself is a meaning potential, i.e. a linguistic system is a resource for creating meaning. This potential is construed in the form of text, which “refers to all the instances of language” (Halliday, 1991/2007, p.274). Similarly, culture is instantiated in situation as system is instantiated in text. Figure 2-5 is a graphic representation of these relations along the vertical and horizontal axes.

Please see print copy for figure 2.5

(Halliday,, 1991/2007, p.275)

Figure 2-5: Language and context, system and instance

The vertical axis indicates realisation. Context is realised by linguistic resources. The horizontal axis represents instantiation. Culture is instantiated by situation. Likewise, language as system is instantiated by text.

2.4. Metafunction

One of the key characteristics of SF theory is **metafunction**. Metafunction refers to language functions. Halliday (1994, p. xiii) points out that “all languages are organised around two main kinds of meaning”. These condensed functions of language are the construal of experience and the enactment of social process. SF theory calls them the **ideational** and the **interpersonal** metafunctions respectively. Further, in order to weave these functions together, language needs to create relevance to context. This third function of language is the **textual**. Figure 2-6 attempts to illustrate these metafunctions.

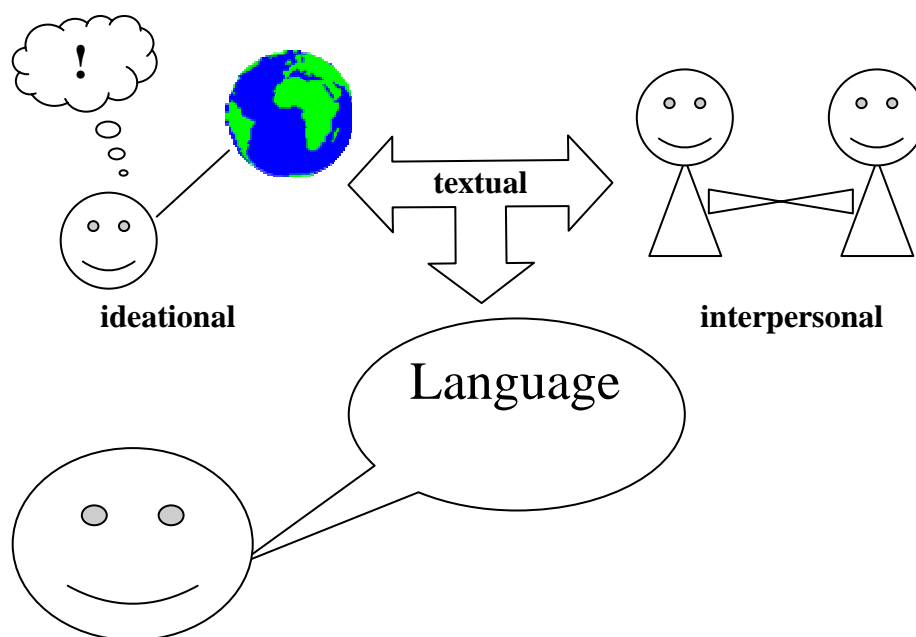
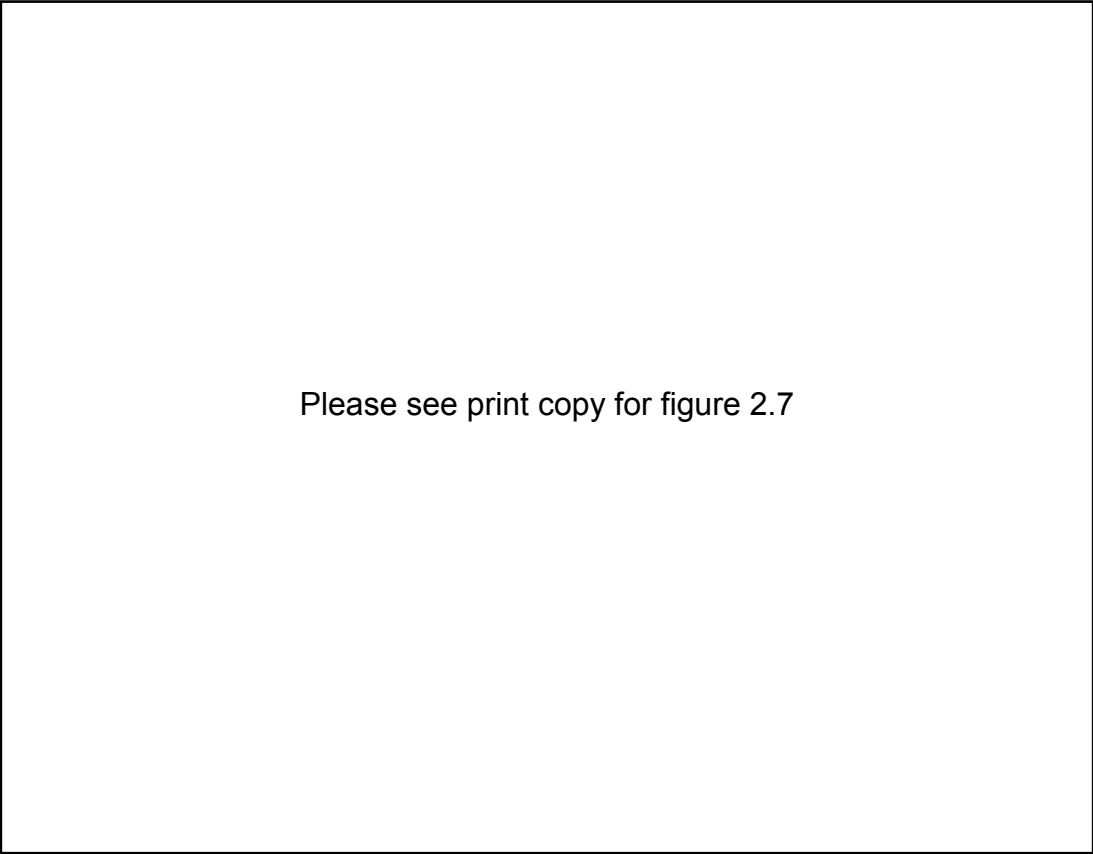


Figure 2-6: Metafunction

The ideational metafunction is further subcategorised into the **experiential** and the **logical** metafunctions. While the experiential metafunction construes our internal/external experiences, the logical metafunction constructs the relation between these experiences (Halliday & Matthiessen, 2004, p. 61).

Metafunctions are realised by particular kinds of grammatical systems at the stratum of lexicogrammar. Experiential meaning is realised at clause rank by the system of TRANSITIVITY; the system of TAXIS realises the logical metafunction at clause and group ranks. THEME is one of the systems which realises the textual metafunction, MOOD is one of the systems realising the interpersonal metafunction. Each of these lexicogrammatical systems operates at clause rank. Figure 2-7 is a graphic representation of the metafunctions and interstratal realisation.



Please see print copy for figure 2.7

(based on Matthiessen & Halliday, 1997)

Figure 2-7: Metafunction and interstratal realisation

Since the purpose of the present study is to explore the social roles which are realised through the linguistic choices made in Directive texts, the systems of the interpersonal metafunction are the main focus.

2.5. Conclusion

This chapter illustrated how SF theory describes language by referring to the five relevant concepts; system, structure, stratification, instantiation and metafunction. The concept of System enables us to see language as a meaning making resource. The

concept of Structure enables us to see the compositional aspect of language. The concept of Stratification enables us to describe language at various strata such as semantics, lexicogrammar or graphology. The concept of Instantiation enables us to understand the underlying potential of language and a set of texts. Similarly, it also enables us to mediate between context of culture and context of situation. The concept of metafunction enables us to see language as a simultaneous system by capturing the functions of language. This linguistic model of language makes it possible to analyse not only the language resources of the Directive texts in the study, but also to examine the particular contexts of situation in particular contexts of culture.

The following chapter will illustrate the methodological aspect of the study in accordance with the theoretical framework which was introduced in this chapter.

Chapter 3. Research design and Methodology

3.0. Introduction

This chapter addresses research design and methodological issues. The previous chapter reviewed SF theory, referring to the essential concepts which are relevant to the current study. This chapter presents how the Japanese and English corpora are analysed in SF theory. Figure 3-1 graphically maps this study by using the concepts of stratification and metafunction.

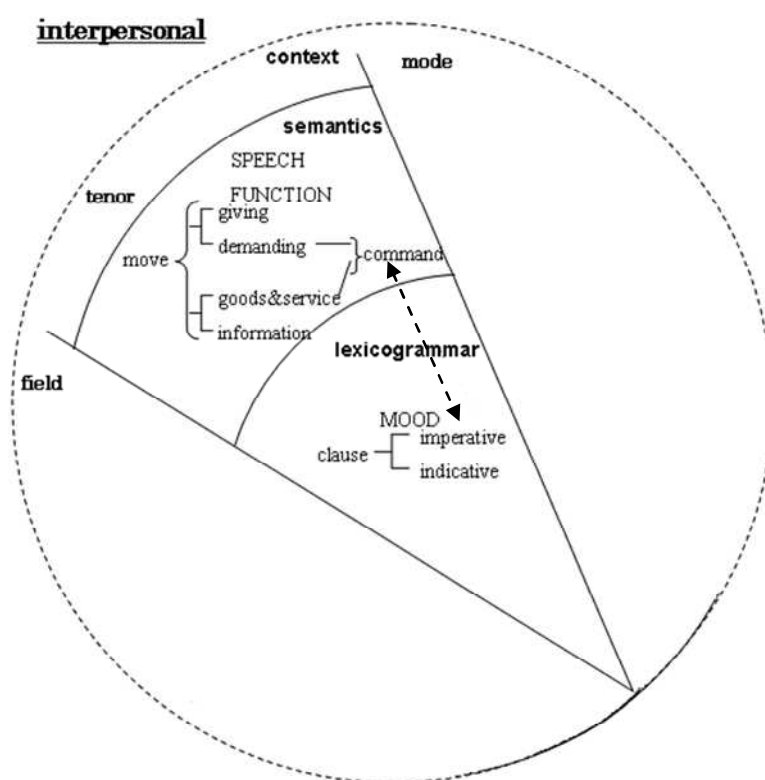


Figure 3-1: Mapping this study in SF theory

Each section in this chapter is concerned with the interpersonal stratum in the model of SF theory already presented. Following this introduction, section 3.1 explains the analytical means utilised especially for the lexicogrammar. Section 3.2 presents the analytical means for the semantics and section 3.3 describes the means of analysing the text structure in relation to the nature of the corpora. This latter section deals with the

context of situation located outside of the linguistic strata. Finally, section 3.4 summarises and concludes this chapter.

3.1. Wording Analysis

In order to clarify the wording of the Directive texts, firstly, this study employs Mood analysis in the interpersonal metafunction (which involves the enactment of social roles). Mood analysis is used because it is a representative system, and it identifies the selection of particular roles in the speech situation of the writers and the addressees (Halliday, 1973). The lexicogrammatical realisations as seen in the systems of MOOD and MODALITY differ depending on the language.

This section describes the common concept of lexicogrammatical systems for both Japanese and English, and descriptions of the systems of MOOD and MODALITY for each language will be presented in chapter 4 for the English and chapter 7 for Japanese. In addition to these two systems, Japanese has another important system which is called HONOURIFICATION which expresses a writer's respect towards a person or an object which s/her writes or talks about. Honourifics is further explained in chapter 7.

Since “within the interpersonal component, there is a high degree of interdependence of this kind between systems of mood and modality” (Halliday, 2002, p. 200), this study also analyses the use of modality in the Directive texts. **Modality** is a system which lies between the polarity systems of yes and no (Halliday, 1985c, 1994). Modality is further divided into two types: **modalisation** and **modulation** depending on the semantic categories: while modalisation refers to the categories of giving and demanding information, modulation refers to the categories of giving and demanding goods-&-services. The following section explains the semantic category.

3.2. Meaning Analysis

The Directive texts in this study share a similar purpose. The writers of the texts issue commands. This section presents how the meaning of the Directive texts are analysed. The system of **SPEECH FUNCTION** can clarify meanings in social enactment as chosen by the writers of the Directive texts. The system of **SPEECH FUNCTION** is an interpersonal system which is located at the semantic stratum. Unlike the lexicogrammatical systems such as **MOOD** or **MODALITY**, the semantic system of **SPEECH FUNCTION** is applicable to both English and Japanese (Teruya, 2007). For this reason, the description of this section covers both English and Japanese.

Halliday (1994, pp. 68-71) categorises speech roles under two headings. They are **role** and **commodity**. The role consists of i) **giving**, or ii) **demanding**; the commodity consists of a) **goods-&-services** or b) **information**. These variables define four types of speech function; **statement**, **question**, **offer** and **command**. The semantic function of a clause in the exchange of information is called **proposition**, and that in the exchange goods & services is called **proposal**. Table 3-1 summarises these headings.

Table 3-1: Giving or demanding, goods-&-services or information

Please see print copy for table 3.1

(Halliday, 1994)

These speech functions in Table 3-1 are illustrated by the system network as shown in Figure 3-2.

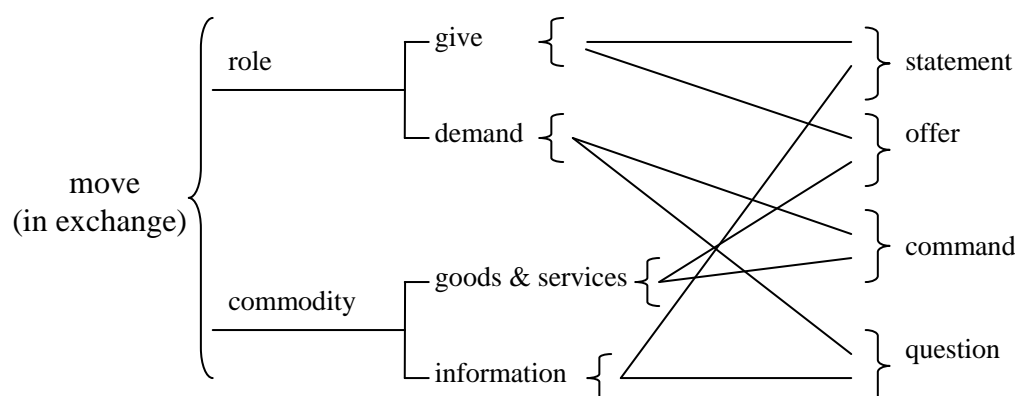


Figure 3-2: Semantic system of SPEECH FUNCTION

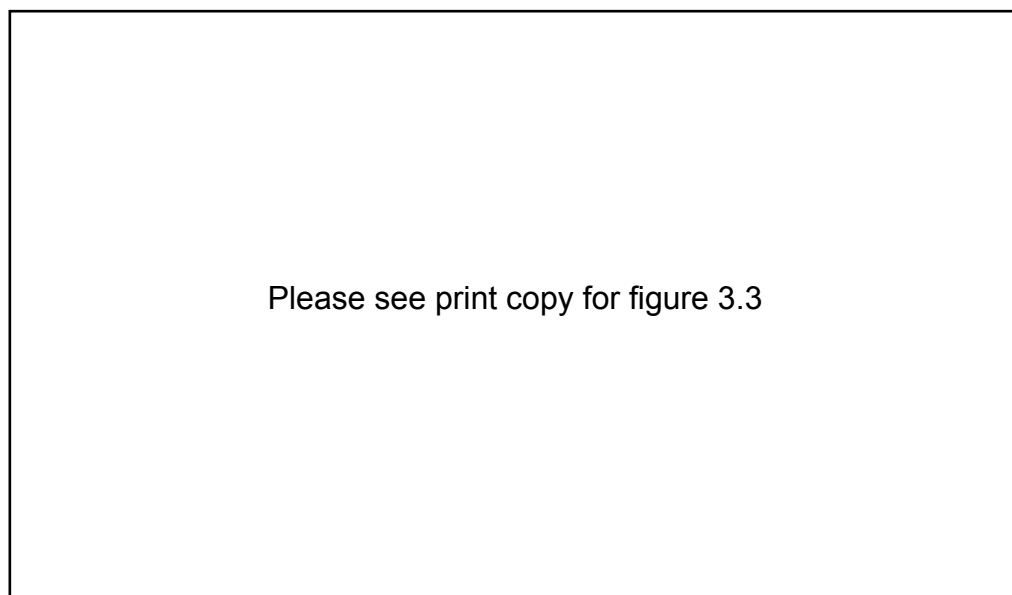
The system of SPEECH FUNCTION clarifies the meaning of the Directive texts at the semantic stratum. In this study, the results of the speech function analysis will be provided in chapter 6 for English and chapter 8 for Japanese.

So far, section 3.1 and section 3.2 have shown the methods used to analyse the wording and the meaning respectively. The next section 3-3 will describe how text structure will be analysed.

3.3. Text Structure Analysis

Since one of the aims in this study is to identify the text structure of the Directive texts and to add a branch to the MJG project, this study adopts **Generic Structure Potential** (hereafter GSP) analysis as mentioned in section 1-4 in chapter 1 briefly. GSP is a generalised statement of text structure and represents “the total potential of structures for a genre”⁸ (Hasan, 1996a, p. 53). The generic structure, as Halliday (1978, p. 134) states, “is outside the linguistic system; it is language as the projection of a higher-level semiotic structure”. The location of the GSP is graphically described by the concept of stratification in Figure 3-3.

⁸ There is another means to analyse text structure which is called schematic structure. The differences lie in its potentiality. ‘the actual or schematic structure of any one instance of [genre] would represent a particular configuration permitted by the GSP itself’ (Hasan, 1996a, p. 53).



(based on Hasan, 1996b)

Figure 3-3: Location of GSP in Stratification

The GSP is identified by specifying a set of contextual configuration⁹ as follows.

- 1) **what** elements **must** occur;
- 2) **what** elements **can** occur;
- 3) **where** they **must** occur;
- 4) **where** they **can** occur; and
- 5) **how often** they can occur?

(Hasan, 1985a, p. 56)

In order to be conceived as an adequate text, a text can be divided into **obligatory** elements which conflate with 1 above, and **optional** elements which conflate with 2. In other words, “a text is perceived as complete [in a given genre] if it realises all the obligatory elements” (Hasan, 1996a, p. 54). On the other hand, an optional element is one which is not obliged to occur, and the presence or the lack of optional elements makes a text unique (Hasan, 1985a). In addition, their **sequence** which corresponds to 3 and 4, and **iteration** of elements which corresponds to 5 are also identified.

⁹ “A CC is a specific set of values that realises **field**, **tenor**, and **mode**” (Hasan, 1985a, p. 56).

According to Hasan (1996a, p. 58), postulating a GSP of a given genre needs “a model of language description, which can be used for making non-ambiguous statements about the realisation of the semantic attributes by reference to which the structurally important units of text types can be identified”. In this study the GSP analysis will be given in chapter 6 for English and chapter 9 for Japanese. Table 3-2 summarises the procedure for identifying the structure potential of the Directive texts.

Table 3-2: The realisation of the elements of generic structure

Please see print copy for table 3.2

(Hasan, 1996a)

Associated with the identification of the crucial semantic attributes, two types of meanings; **NUCLEAR** and **ELABORATIVE** will be identified. Nuclear meanings are ones that **must** be present and essential to the movement of a genre, whereas elaborative meanings are ones that **can** be present and a genre can progress without any selections from the elaborative meanings (Hasan, 1996a).

The GSP is constrained by the three terms; **field**, **tenor** and **mode**¹⁰ (Matthiessen, 1995). According to Halliday (1985a, p. 12),

Field ‘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’.

Tenor ‘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’.

Mode ‘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’.

Field, tenor and mode are realised by the three metafunctions: experiential, interpersonal and textual at the strata of semantics, lexicogrammar and

¹⁰ These three headings are associated with text type, or **register** in the concept of the instantiation as stated in Chapter 2.

graphology/phonology respectively. The following paragraphs state field, tenor and mode by referring to the corpora of this study.

3.3.1. Field

A concern of field is the nature of the **social activity**. The social activity of the texts in the present study is to issue commands to addressees in the workplaces.

Another consideration is the kind of the workplace. The workplace where the corpora were collected is divided into three kinds. The first is governmental organisations. The second is educational institutions at tertiary levels. The third is private business organisations which are companies. These three are chosen so that the data will cover a wide range of workplace contexts. Having sketched the field, tenor will be discussed in the following sections.

3.3.2. Tenor

Tenor refers to who is taking part, or the nature of the participants (Halliday, 1985b). Components of tenor are **agent roles**, **dyadic relation** and **social distance**. The **agent roles** in the present study are a commander and a commandee(s) which are equivalent to a writer and addressee(s) respectively.

The agent role constructs the **dyadic relation** which may be **hierarchic** or **non-hierarchic**. The texts in the corpora include both hierarchic and non-hierarchic relations. The hierarchic relation is further divided into two types: an ascendant hierarchic relation and a descendant hierarchic relation.

Another component of tenor is **social distance**. The social distance is a continuum which has the two ends **maximal** and **minimal** (Hasan, 1985a). The Directive texts can be located at the maximal end as given in Figure 3-4.

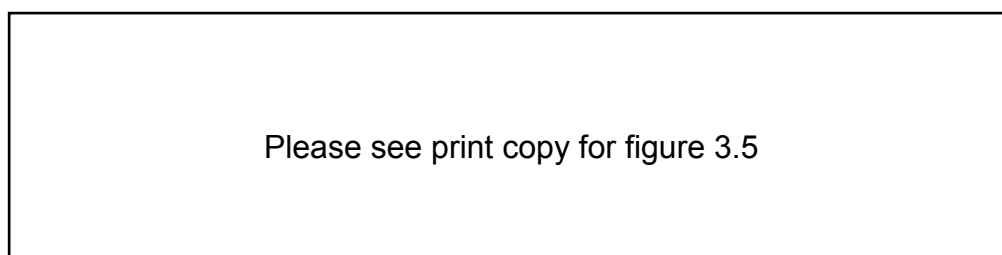


Figure 3-4: Continuum of the social distance

The writer and addressee's relation in the corpora can be placed at the relatively maximal end on the continuum.

3.3.3. Mode

Mode refers to what part the language is playing (Halliday, 1985a). Mode can be described under three headings. They are **language role**, **process sharing** and **channel** (Hasan, 1985a). The **language role** is a continuum which has two ends of **ancillary** and **constitutive** as given in Figure 3-5.



(based on Cloran, 2000)

Figure 3-5: Continuum of the language role

According to Cloran (2000, p. 176) language role is “conceptualised as a continuum at one end of which language is ancillary to the task in hand and at the other, language constitutes the activity”, The language role in the Directive texts is largely ancillary in that addressees are required to do a particular action because any Directive texts demands goods and services.

The **process sharing** is if the addressee is able to access a text as a text unfolds. The choice of the process sharing is either **spoken medium** or **written medium**. Since the Directive texts are in a written medium, the texts are not sharing with the addressees

and the texts are open to revision and editing in the process of text creation. Further the writer does not have an immediate response from the addressee(s).

The last heading is **channel**. Channel “refers to the modality through which one comes in contact with the message” (Hasan, 1985a, p. 58). The choice of channel is either **phonic** or **graphic**. The texts in the Japanese and English corpora are a graphic channel which is divided into memos, emails, letters and facsimiles. Finally, Table 3-3 summarises the CC of the present study.

Table 3-3: Summary of Field, Tenor and Mode in the corpora

Field	social activity	to make a request or a command to addressees
Tenor	agent roles	a commander or a commandee(s) (a writer or an addressee(s))
	dyadic relation	ascendant hierarchic, descendant hierarchic or non-hierarchic
	social distance	maximal
Mode	language role	ancillary
	process sharing	written medium
	channel	graphic

3.4. Interpreting the Directive Text Analyses

In order to analyse the Directive texts, this study uses an Excel spread sheet. A text is segmented into a clause, and each clause is inputted into a cell in a sheet. Each row has information on a clause. Table 3-4 is a copy of an example of the Excel spread sheet in the English corpus. A row has 32 columns for English and 36 columns for Japanese. The reason why the Japanese corpus has more columns derives from HONOURIFICATION in Japanese. The four additional columns are used for relevant information. The information, for example, which is in common between English and Japanese are clause number, serial number, the contextual configuration such as a tenor relation between the writer and the addressee(s) to name but a few. Table 3-4 shows an example sheet in the English corpus.

Table 3-4: Excel Spread Sheet for the data analysis in English

clause no	serial no	tenor	mode	clause	GSP		Semantics		Lexicogrammar				modalisaion		modulation	
					element	Semantic attribute	Speech function	con/inc	mood-fullness	status	type of binding	mood	probability	usuality	obli-gation	incli-nation
10.1	E10	eq	memo	Hi XXXXX,	Establishment	Greetings	-	-	minor			-				
10.2.1	E10	eq	memo	Please check what we need for stationery	Direction	Order	Command-pls	cong	major	free		imp				
10.2.3	E10	eq	memo	and leave the list on my desk.	Direction	Order	Command-pls	cong	major	free		imp				
10.3	E10	eq	memo	I will order everything this afternoon.	Legitimation	Causative Justification	statement	cong	major	free		decl	median			
10.4	E10	eq	memo	Thank you	Completion	Expression of thanks	-	-	minor			-				
10.5	E10	eq	memo	Name	Completion	Signature	-	-	minor			-				
10.6	E10	eq	memo	Date	Completion	Date	-	-	minor			-				

Key: * A letter alphabet before the number 10 in the column entitled, *serial no* refers to the three types of the organisations in the study. E stands for the educational organisations, and other two which are not in this table is G for the governmental organisations, and B for the private business organisations.

After updating the information on each clause in the Excel spread sheet, the function of pivot table in Excel is utilised. A pivot table allows us to sort items in a list. Table 3-5 is a copy of a pivot table in Excel.

Table 3-5: Copy of Pivot Table for totalling clause number

status	free ▼
Count of clause no	
mood ▼	Total
decl	249
imp	40
imp/b	8
int	14
Grand Total	311

In Table 3-5, there are two parts. One is for *status*, and the other is *Count of clause no*. In the first part, *free* in the second column at the top row is selected in the corpora. By designating *status* as free, all free causes are selected. In the second part, the number of clause is counted depending on the mood types. The cells on the left hand side in the second part indicate abbreviations of the mood types. For instance, ‘decl’ stands for declarative accounting for 249 free clauses, ‘imp’ stands for imperative accounting for 40 free clauses, ‘imp/b’ stands for unmarked imperative accounting for 8 free clauses, and ‘int’ stands for interrogative accounting for 14 clauses. Thus, the pivot table enables us to count the number of clauses depending on the matters which the study needs.

Having described how the corpora are analysed, the next section concludes this chapter.

3.5. Conclusion

This chapter has presented how the texts in the corpus will be analysed. For a description of the wording of the Directive texts, the MOOD analysis in relation to the Modality is utilised. In addition, for the Japanese corpus, the HONOURIFICATION analysis is conducted which will be explained in Chapter 7. For a description of the

meaning of the Directive texts, an analysis by the system of SPEECH FUNCTION is adopted. These analyses of the interpersonal metafunction allow us to examine how social roles are enacted in the Directive texts. For the identification of the genre of Directives and the text structure, the GSP analysis is adopted. The significance of the GSP is to describe a genre and also to represent a model when a new text is created.

Chapter 4. General description of the English Lexicogrammatical resources

4.0. Introduction

The previous chapter presented the methodological aspects which are applicable to both English and Japanese language. This chapter presents a description of the relevant lexicogrammatical features of English. Following this introduction, section 4.1 reviews the system of Mood in English, section 4.2 the system of Modality. Finally, section 4.3 summarises and concludes the chapter.

4.1. Mood

MOOD is an interpersonal system which is located at the lexicogrammatical stratum. The system of MOOD expresses the wording of the social enactment which is chosen by the writers of the Directive texts. For example, consider the following interaction in English.

Table 4-1: A typical piece of information-exchange dialogue

Please see print copy for table 4.1

(Halliday and Matthiessen, 2004, p.111)

As the dialogue in Table 4-1 unfolds, particular components are tossed back and forth. These components are called the **Mood element**. These components comprise (i) **Subject** and (ii) **Finite** operator. The remainder of the clause is called the **Residue**. As seen in the dialogue, the Mood element plays a crucial role in maintaining interaction.

The Subject is instantiated by a nominal group. On the other hand, the Finite is part of a verbal group, and expresses tense or modality.

The Residue comprises **Predicator**, **Complement** and **Adjunct**. The Predicator is instantiated by a verbal group minus the temporal or modal operator functioning as Finite. The Complement ‘is an element ... that has the potential of being Subject’ (Halliday & Matthiessen, 2004, p. 123), which is typically a nominal group. An Adjunct is an element that does not have the potential of being Subject; it is typically instantiated by an adverbial group or a prepositional phrase (Halliday & Matthiessen, 2004). However, there is an Adjunct which does not fall into Residue. It is called a modal Adjunct. The modal Adjuncts “are those which express the speakers’ judgement regarding the relevance of the meaning” (Halliday, 1994, p. 49). The modal Adjuncts are divided into two types - **mood Adjunct** and **comment Adjunct**. These “represent different types of assessment of the proposition or proposals” (Halliday & Matthiessen, 2004, p. 126). The mood Adjuncts are divided into three types: modality, temporality and intensity. Also, the comment Adjuncts are divided into two types: a propositional type and a speech-functional type. The general systems of the modal Adjuncts are shown in Figure 4-1.

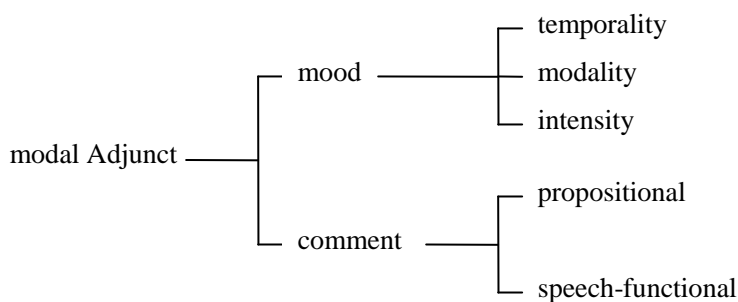


Figure 4-1: System of modal Adjunct

An example of the structure of the Mood and Residue is given in Example 4-1.

Example 4-1: Structure of Mood in English

I	will	order	everything	this afternoon
Subject	Finite	Predicator	Complement	Adjunct
Mood	Residue			

(E-E-10 sent between E (→) within the same organisation in the form of a memo)

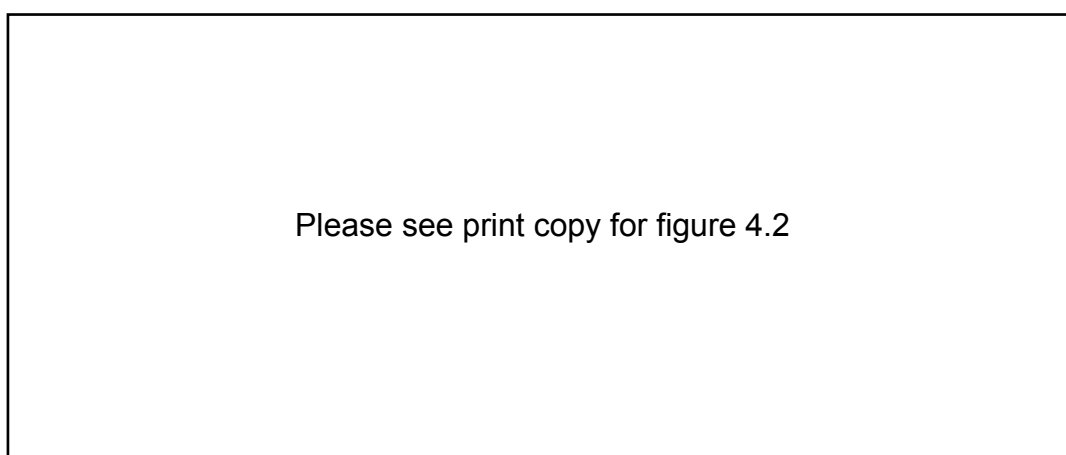
Although the instance of Example 4-1 has Finite and Predicator, in some cases, Finite and Predicator are fused as given in Example 4-2.

Example 4-2: Example of fused Finite and Predicator

We	have		quite a few applications
Subject	Finite	Predicator	Complement
Mood		Residue	

(E-E-1 sent between U (↑) within the same organisation in the form of a letter)

In the text, ‘have’ functions as both the Finite and the Predicator. The structure of both clauses in Example 4-1 and Example 4-2 are Subject followed by Finite, and the position of Subject and Finite decides the Mood type. The Mood type that has the structure Subject followed by Finite decides interrogative. In addition, the imperative has neither Subject nor Finite¹¹. The system of MOOD is indicated in Figure 4-2.



(Halliday & Matthiessen, 2004, p. 23)¹²

Figure 4-2: The system network of MOOD in English

At the most general level, a clause has two options: major or minor depending on its status. While the feature major is realised by a clause having a Predicator, the feature

¹¹ When the imperative intersects with negative in the system of POLARITY, Finite is present.

¹² Matthiessen (1995) mentions that a free clause which is one of the options in a major clause selects for the Mood. The other option of a major clause is a bound clause.

minor does not have Predicator. Furthermore, a major clause has two options: indicative or imperative. The indicative typically construes propositions (giving and demanding information), while the imperative typically construes proposal (giving and demanding goods-&-service). The lexicogrammatical difference between the indicative and the imperative is the presence or the absence of the Mood element, and whereas the indicative has the Mood elements: Subject and Finite, the imperative has Predicator only¹³.

The indicative has a further option: declarative or interrogative. The declarative typically construes the speech function: Statement, whereas the interrogative typically construes the speech function: Question. The lexicogrammatical difference is the position of the Mood elements: in the declarative, Subject is followed by Finite, in the interrogative Finite is followed by Subject. The interrogative has two sub-types: yes/no interrogative and wh-interrogative. Example 4-3 is an example of a clause instance of yes/no interrogative.

Example 4-3: Example of yes/no interrogative

Will	the timber clad building on Lot 2	remain	on the site?
Finite	Subject	Predicator	Adjunct
Mood	Residue		

(E-G-01 sent between D (↓) to a different organisation in the form of a facsimile)

The other option for the interrogative is wh-interrogative. The order of wh-interrogative is Wh-element followed by Finite. An instance of wh-interrogative is given in Example 4-4.

¹³ This applies to the positive imperative. When the imperative is negative, the finite is present. For example, Go [Predicator] is the positive imperative, whereas Don't go [Finite + Predicator] is the negative imperative.

Example 4-4: Example of wh-interrogative

How	can	he	accurately	assess	the possible impact		
Adj/ WH-	Fin	Sub	Mood Adjunct	Pred	Complement		
	Mood			Residue			
Re-							
α							

if	he	does	not	know	the details of the proposal?
	Sub	Fin	Adj	Pred	Complement
	Mood			Residue	
$\times \beta$					

(E-G-05 sent (D ↓) to a different organisation in the form of a letter)

As Example 4-4 represents, a clause can be modified by another clause. There are two types of modification. One is expansion, and the other is projection. In the expanding relation, the secondary clause expands the primary clause by elaborating, extending or enhancing it.

In the projecting relation, the secondary clause is projected through the primary clause in the form of a locution or an idea. When clauses are the projecting relation, the symbols used are; “ for locution and ‘ for idea. Both expansion and projection involve either paratactic or hypotactic relations. Whereas the paratactic relation is given by the signs: 1 and 2, the hypotactic relation is given by the sign: α and β . Table 4-2 indicates examples of these relations and their signs. Although taxis falls within a logical metafunction, the brief explanation has been given because the study uses this notion in order to give examples.

Table 4-2: Basic types of clause complex

Please see print copy for table 4.2

(Halliday, 1994, p. 220)

A system within a certain metafunction is relatively independent from a system within the other two metafunctions. On the other hand, systems within the same metafunction are highly dependent. Halliday (2002, p. 200) mentions that “within the interpersonal component, there is a high degree of interdependence of this kind between systems of mood and modality”. The following section reviews the system of MODALITY.

4.2. Modality

Modality is a system which lies between the polarity of yes and no (Halliday, 1985c, 1994). Modality has two options: **modalisation** and **modulation**. Modalisation refers to some degree of either probability or usuality, whereas Modulation refers to some degree of either obligation or inclination. Figure 4-3 illustrates English modality.

Please see print copy for figure 4.3

(Halliday & Matthiessen, 2004, p. 619)

Figure 4-3: Diagram showing relation of modality to polarity and mood

Modality is shown as a system network in Figure 4-4. Although Figure 4-4 does not cover ‘ability’, according to Halliday (1994, p. 359, italics in original), “a general category of ‘readiness’ [has] ‘inclination’ and ‘ability’ as subcategories at one end of the scale (*can/is able to* as ‘low’-value variants of *will/is willing to*)”.

Please see print copy for figure 4.4

(Halliday, 1994, pp. 357-359)

Figure 4-4: System of types of modality

The system of MODALITY intersects with three other modal systems. They are **VALUE**, **ORIENTATON** and **MANIFESTATION** (Halliday, 1994). ‘The value of the modality is along the scale whose extreme points are defined by Polarity: positive and negative’ (Matthiessen, 1995, p. 506). Along with the scale, there are three types: **VALUE**, **ORIENTATION** and **MANIFESTATION**. Value has three choices: **high**, **low** and **median**. In addition, the concern of orientation and manifestation is related to characterising the different ways of expressing modality. Orientation has two types:

objective and **subjective**, while manifestation has two types: **implicit** and **explicit**.

Table 4-3 indicates modality which intersects with VALUE, ORIENTATION and MANIFESTATION.

Table 4-3: Examples of items at intersections of MODALITY system¹⁴

TYPE		MANI FES TATI ON	VALUE					
			median		low		high	
modalisation	probability	implicit	will/would	probably	can/could may/might	possibly, perhaps,	must, should,	certainly definitely
		explicit	I think, in my opinion,	it's likely, probable	I suppose,	it's possible	I know, I'm sure,	it's certain
	usuality	implicit	will/would	usually	can/could may/might	sometimes occasionally seldom	must, should ought to	always, (n)ever
		explicit		it's usual		it's rare		
modulation	obligation	implicit	should, is/was to	supposed to	can/could may/might	allowed to	must, need has/had to	required to obliged to
		explicit	I want	it's desirable	I'll let	it's permissible	I insist	it's necessary
	inclination	implicit	will/would like to, rather	keen to eager to	will can	willing to able to	must has/had to will	determined to
		explicit						
ORIENTATION			subjective	objective	subjective	objective	subjective	objective

As given in Table 4-3, Modality intersects with the three kinds of systems: VALUE, ORIENTATION and MANIFESTATION.

4.3. Conclusion

This chapter presented a general description of the relevant lexicogrammatical systems in English. Section 4-1 explicates the Mood system in English, introducing the Mood elements and the Mood types, and the mood Adjunct. This section also described the notion of taxis and its examples. Section 4-2 presented Modality in English since the systems within the same metafunction are deeply related to each other as will be seen in chapter 5. Having described the relevant English lexicogrammatical systems, the next

¹⁴ This table is originally listed by Matthiessen (1995). I further elaborated it. This table includes modal Adjunct and clause complex as well as Finite.

chapter will present the analyses and results of the corpus from both the lexicogrammatical and semantic points of view.

Chapter 5 Written administrative Directives in the Australian workplace

5.0. Introduction

The previous chapter presented general descriptions of English interpersonal systems. They are Mood, Modality at the lexicogrammatical stratum and Speech function at the semantic stratum. This chapter will present the specific lexicogrammatical and semantic selections found in the corpus of English Directives.

This chapter consists of five sections. Following this introduction, section 5-1 describes the wording of the English Directives while section 5-2 describes the meaning of the English Directives. Finally, section 5-3 summarises this chapter. Figure 5-1 maps the chapter organisation by using the stratification and metafunction models.

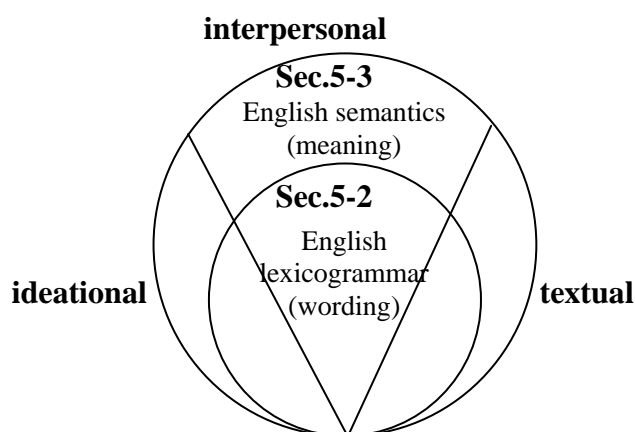


Figure 5-1: Mapping the organisation in chapter 5

5.1. Interpersonal meaning from the lexicogrammatical perspective

This section explores the lexicogrammar or wording of the English Directives by referring to systems of MOOD and MODALITY.

5.1.1. Mood

The Mood analysis of the corpus demonstrates the different frequencies of the different Mood types within the corpus. Figure 5-2 is bar graphs showing the number of the Mood types within the corpus.

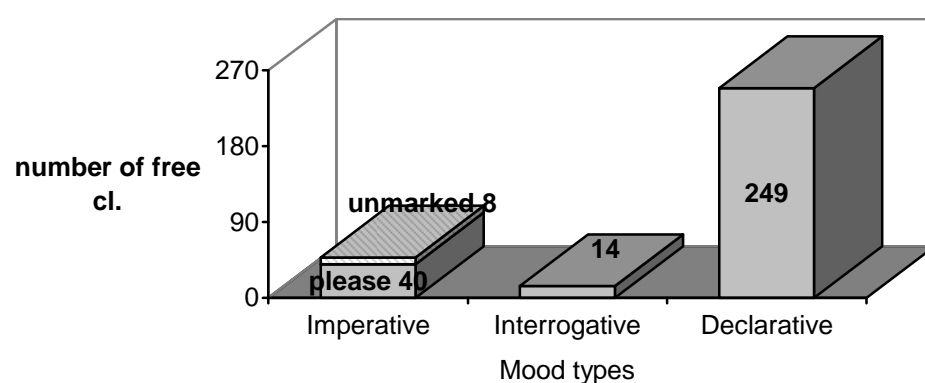


Figure 5-2: Number of Mood types in the Directive texts

In the figure, the vertical axis indicates the number of free clauses and the horizontal axis indicates the Mood types. As the graph illustrates, the declarative is the most frequently used. In contrast, the imperative and interrogative fall way below the declarative. The interrogative is used in only 14 free clauses. The imperative has two types: one is the unmarked imperative, and the other is an imperative in combination with the mood Adjunct of entreaty, ‘please’. Example 5-1 represents an instance of the unmarked imperative, and Example 5-2 indicates an instance of the imperative with ‘please’.

Example 5-1: Example of the unmarked imperative

Make	6 copies	as described below
Predicator	Comp.	Adjunct
Residue		
1		

and	distribute	them	amongst the faculty notice boards.
	Predicator	Comp.	Adjunct
Residue			
+ 2			

(E-E-16 sent between E (→) within the same organisation in the form of a memo)

Example 5-2: Example of the imperative with ‘please’

Please	supply	five (5) copies	of your additional information/amended plans.
Mood Adjunct	Predicator	Complement	Adjunct
Mood	Residue		

(E-G-05 sent between D (↓) to the different organisation in the form of letter)

The presence of the unmarked imperative represented in Example 5-1 is quite low; the unmarked imperative amounts to only eight clauses, while 40 clauses out of 48 imperatives have the mood Adjunct of entreaty; ‘please’ as shown in Example 5-2.

5.1.1.1. Mood choice and tenor relation

These results suggest that tenor relations influence the Mood choice. Depending on the tenor relations, the frequencies of the Mood selections differ. A graph in Figure 5-3 demonstrates how often three types of the tenor relations select for the Mood.

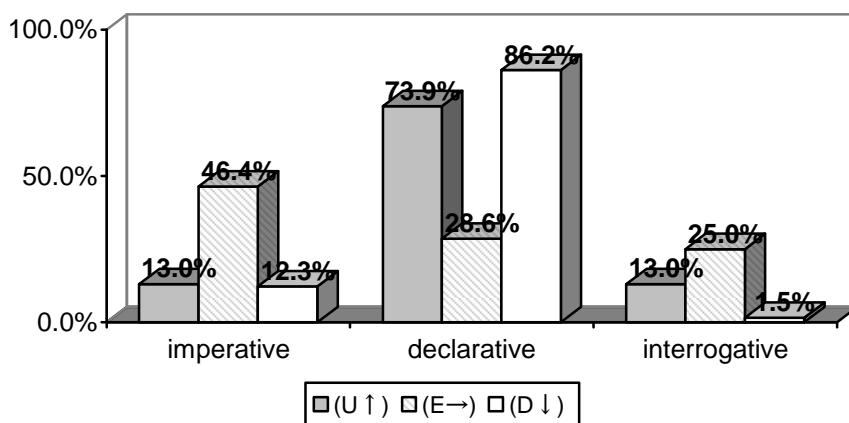


Figure 5-3: Frequency of Mood choice according to tenor

As Figure 5-3 indicates, bar graphs show different features depending on tenor relations. The imperatives are most frequently present in texts sent by Australian equals, whereas the declaratives are often present in texts sent by superiors and subordinates. This suggests that a E (→) relation freely selects the Mood types, while the hierarchical tenor relations limit their choices. In addition, the interrogatives in texts sent by superiors illustrate much lower frequency than other two tenor relations, which suggests that superiors do not necessarily use interrogatives in issuing commands to their subordinates.

The tenor relation also affects the kind of imperative mood type. As mentioned, there are two types of the imperative depending on the presence or the absence of the mood Adjunct, ‘please’. Although the imperative with ‘please’ is present in all tenor relations, the unmarked imperative is not present in the texts of the U (\uparrow) relation. Figure 5-4 represents how often two types of the imperatives are chosen by tenor relations.

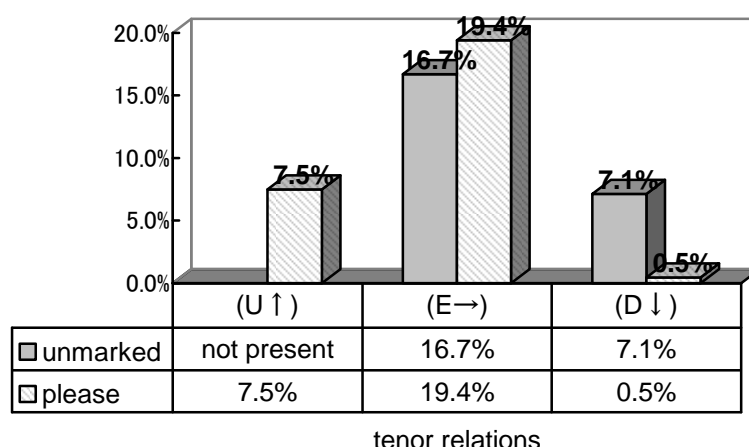


Figure 5-4: Frequency of two types of the imperative according to tenor

In the U (\uparrow) relation, all imperative is accompanied by ‘please’. It could be said that the unmarked imperative is uncomfortable for the writers of a lower status to use. In contrast, the D (\downarrow) relation chooses much more frequently the unmarked imperative than the ‘please’ imperative. In the E (\rightarrow) relations, the frequencies of the two types of imperative are almost the same. It appears that the subordinate prefers not to use the unmarked imperative. If the subordinate uses the imperative mood, the presence of ‘please’ is essential. This suggests that the power difference influences the division of labour in that the difference affects the type of imperative, but also the choice of the lexis.

This section described the Mood selection in the Directive texts. As far as the results are concerned, the Mood choice is clearly influenced by the tenor relations. The

different tenor relations demonstrate the different frequencies of the Mood selection. In addition, the presence of ‘please’ in the imperative mood type is essential when the writers are of lower or equal statuses. The next section addresses modality in the Directive texts.

5.1.2. Modality

The English Directives have a tendency to choose particular types of Modality. These types are 1) obligation in modulation which is related to the semantic proposal and 2) probability in modalisation which is related to the semantic proposition. These modalities are construed by modal Finites and modal Adjunct. I will address the use of modal Finites firstly, and then modal Adjuncts as the components of modulation and modalisation.

5.1.2.1. Modal Finite

The modal Finite is frequently employed in the English directives. The forms of the modal Finite such as ‘should’, ‘would’ or ‘could’ as well as ‘must’ indicate meanings of modality. These past tense forms are used because “past tense forms are used to weaken the force of the modality” (Palmer, 2001, p. 73). Example 5-3 is an instance of the modal Finite.

Example 5-3: Example of the modal Finite ‘should’

Details	should	include	hours and times of the survey.
Subject	modal Finite (modulation) Type: obligation Orientation: subjective Value: median	Predicator	Adjunct
Mood	Residue		

(E-G-5 sent between D (↓) to a different organisation in the form of a letter)

The clauses which use ‘should’ are frequently present in the corpus. The modal Finite; ‘should’ has features of Type: modulation (obligation), Value: medium,

Manifestation: implicit, and Orientation: subjective. Matthiessen (1995, p. 842, italic in original) points out that “*should*” is typically a milder version of a command’.

The modal Finite ‘must’ is also present in the Directive texts as shown in Example 5-4. Palmer (1986) mentions that ‘should’ can morphologically function to modify ‘must’. The difference between ‘should’ and ‘must’ is that a writer admits ‘the possibility that the event may not take place’ (Palmer, 1986, p. 100).

Example 5-4: Example of the modal Finite ‘must’

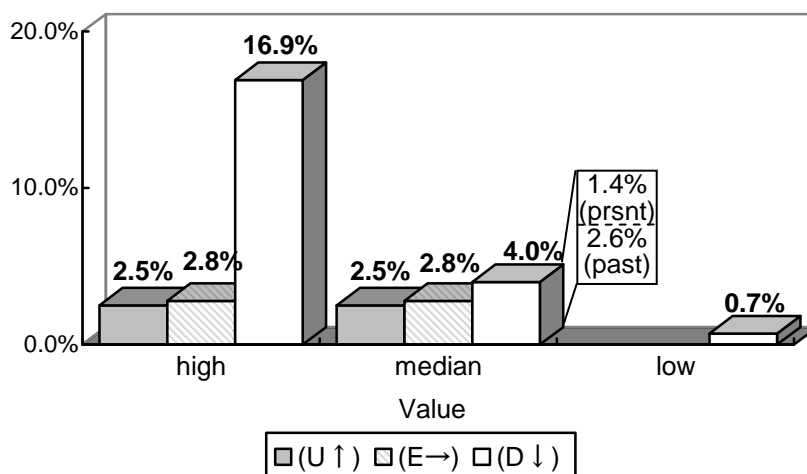
The developer	must	submit	a ‘Soil and Water Management Plan’	for the subdivision
Subject	Modal Finite (modulation) Type: obligation Orientation: Subjective Value: high	Predicator	Complement	Adjunct
Mood		Residue		

(E-G-05 sent between D (↓) to a different organisation in the form of a letter)

The modality in the English Directives is influenced by the tenor relations, and will be discussed in the following section.

5.1.2.2. Modal Finite and tenor relation

Both modulation and modalisation in the Finite are influenced by the tenor relations. The Finite modal selections, particularly in the realm of obligation in modulation are affected by the tenor relation. This means that obligation using high value modals such as ‘must’ ‘require’ or ‘have to’ are selected when the tenor relation is D (↓). Figure 5-5 shows how often Value consisting of high, median and low is employed according to the different tenor relations.



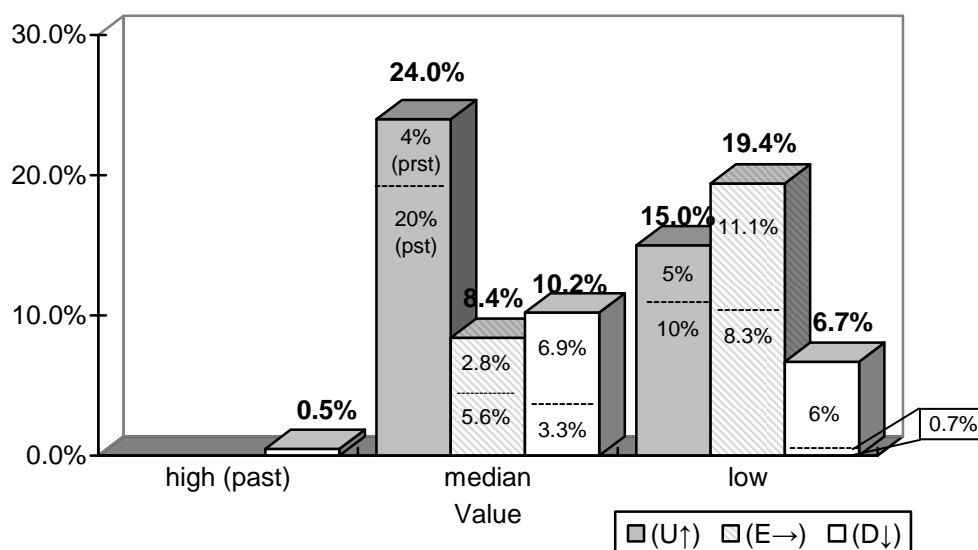
Key: All frequencies of the median value for equal statuses show the past tense.

Figure 5-5: Frequency of Value in obligation according to tenor

Texts sent by superiors most frequently deploy both high and median value, although they employ past tense accounting for 2.6% that functions to weaken the force of modality (Palmer, 2001). In contrast, texts sent by equals or subordinates seldom employ any value of obligation.

Similarly, probability in modalisation is also influenced by tenor relations.

Figure 5-6 indicates how often probability is present according to the tenor relations.



Key: % under the lines show the frequencies of the past tense

Figure 5-6: Frequency of Value in probability according to tenor

In Figure 5-6, probability is more frequently present in texts sent by equals or subordinates than in texts sent by superiors. Also, texts sent by equals or subordinates employ more past tense forms than those sent by superiors. This suggests that superiors in the Australian workplace do not necessarily need probability or past tense in order to construe commands. This is because the past tense functions to weaken the force of the modality, as Palmer (2001) points out.

An excerpt of probability in modalisation is shown in Example 5-5. The modal Finite: ‘can’ indicates Type: probability, Value: low, and Orientation: subjective.

Example 5-5: Example of probability of modalisation

Failure to comply with the policy	can	result	in disciplinary action.
Subject	modal Finite (modalisation) Type: probability Orientation: subjective Value: low	Predicator	Adjunct
Mood	Residue		

(E-E-02 sent between D (↓) within the same organisation in the form of a letter)

In this example, the writer implies the possibility of disciplinary action if the addressees do not comply with the policy. When this is unpacked¹⁵, the example can be expressed as follows.

1) If you do not comply with the policy, you could be disciplined.

Moreover, if modality is deleted from the text, the clause could be

2) Comply with the policy, or you will have disciplinary action

Since “the low modulation of probability reinforces the sense of a mild command or suggestion” (Halliday & Matthiessen, 2004, p. 633), the interpretation seems to give the addressee(s) the possibility of choice, that is, to comply or not to comply with the command. When comparing Figure 5-5 with Figure 5-6, U (↑) and E (→) select

¹⁵ The word ‘unpacked’ here is used to explain the process of re-expressing an incongruent grammatical metaphor back to congruency.

probability in modalisation more frequently than obligation in modulation. In other words, superiors select obligation, while subordinates and equals select probability when issuing commands. There is a clear distinction in the ‘distribution of labour’ (Hasan, 1996c, p. 236) in the sense that superiors uses obligation in modulation, while subordinates and equals use probability in modalisation.

5.1.2.3. *Modal Adjunct and Projection*

Having described the modal Finites, I will now turn to modal assessment. Firstly, the mood Adjunct, and then projection will be addressed. Example 5-6 is an instance of a text instance which has the mood Adjunct. The mood Adjunct intensifies the clause.

Example 5-6: Example of the modulated Finite and the mood Adjunct

This plan	must	clearly ¹⁶	indicate	proposed trees [[to be retained]].
Subject	modal Finite (obligation)	mood Adjunct (intensity)	Predicator	Complement
Mood			Residue	

(E-G-05 sent between D (↓) to the different organisation in the form of a letter)

Comment Adjuncts also add a writer’s comment in the clause. Example 5-7 is an instance of a comment Adjunct. In the text, the writer adds his/her comment to the clause.

Example 5-7: Example of the modulated Finite and the comment Adjunct

This plan	must	generally	be prepared	in accordance with *** publication.
Subject	modal Finite (obligation)	comment Adjunct	Predicator	Adjunct
Mood			Residue	

(E-G-05 sent between D (↓) to a different organisation in the form of a letter)

In addition, the use of modal and comment Adjuncts, interpersonal metaphor (Halliday, 1994) can also be used to realise modality. This is expressed using

¹⁶ As Halliday (1994, p. 83) points out that “there is no very clear line between [the Comment Adjuncts] and the Mood Adjuncts”. Actually, ‘clearly’ is categorised as the comment Adjunct (Halliday & Matthiessen, 2004).

projection. Example 5-8 shows an instance of the projection which realises obligation in modulation.

Example 5-8: Example of the projection as obligation in modulation

This plan	requests	that	a building envelope	be	shown	on proposed Lot 2.
Subject	Finite/ Predicator		Subject	Finite	Predicator	Adjunct
Mood			Mood		Residue	
α			' β			

(E-G-01 sent between D (↓) to a different organisation in the form of a facsimile)

In the text instance, Subject is non-human. The text in Example 5-8 could be expressed as follows without any modality.

1) Show a building envelope on proposed Lot 2.

The fact that Subject is non-human makes the text de-personalised. As a result, the text is objective¹⁷.

5.1.2.4. Modal assessments other than Modal Finite and tenor relations

The mood Adjunct or projection as interpersonal metaphor is influenced by the tenor relations. The comment Adjunct is present only in texts sent by superiors. The mood Adjunct other than ‘please’ is frequently present in tests sent by superiors. Similarly, the projection which realises modality is present only in texts sent by equals or superiors. This suggests that “formal politeness...sometimes directs one to minimize the imposition by coming rapidly to the point, avoiding the further imposition of prolixity and obscurity” (Brown & Levinson, 1987, p. 130).

This section described Modality in the English Directive texts. The Modal choice as well as the selection of the Mood types, is influenced by the tenor relations. The U (↑) relation and E (→) select probability rather than obligation. In contrast the D

¹⁷ In this study, the word objective indicates a condition which considers only facts. In contrast, the word subjective indicates a condition which includes one’s idea rather than the facts.

(↓) relation selects obligation rather than probability. Further, the lexicogrammatical realisation of Modality is different between the tenor relations. While the U (↑) relation selects the modal Finite instead of the modal projection, the Directive texts, the E (→) or D (↓) relations do not have such a limitation.

5.2. Semantics in the English Directive texts

The previous section addressed the wordings of the English Directives. This section addresses the meaning of the English Directives. As previously mentioned, the interpersonal metafunction in the stratum of semantics is analysed via the system of SPEECH FUNCTION.

5.2.1. Speech function

The speech function has four options: Statement, Question, Offer and Command through the combination of the speech role: giving or demanding, and commodity: goods-&-services or information.

5.2.1.1. *Congruent realisation*

The English Directives tend to select for particular speech functions. Statement, Question and Command have corresponding lexicogrammatical realisations such as the declarative, interrogative and imperative. Offer does not have a particular realisation in English. Figure 5-7 clearly demonstrates the differences of the choices in the speech function in free clauses in the Directive texts.

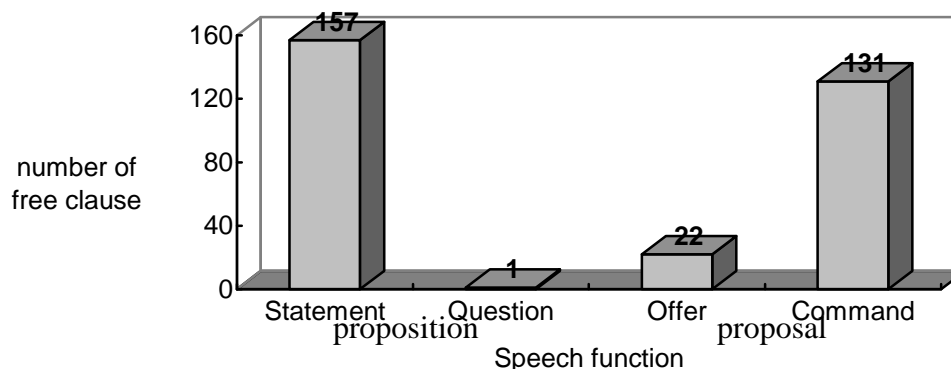


Figure 5-7: Frequency of speech function

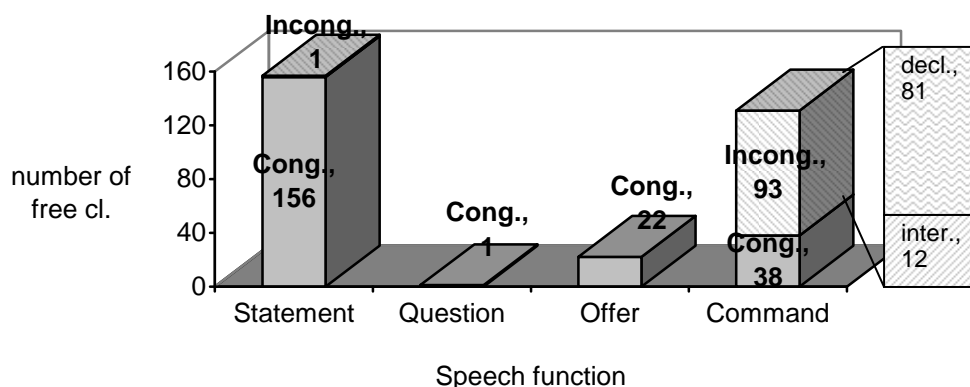
In the graph, there are 311 free clauses in total. Statement and Command clearly dominate Offer and Question. Statement and Command are present in 157 and 131 free clauses respectively. In contrast, there is only one Question and 22 Offers that are present in the free clause. This result supports the nature of the text. Since the texts are a written medium, it is impossible to have “immediate feedback” (Hasan, 1985a, p. 58). For this reason, the number of Questions is very low.

In the texts, these speech functions are not necessarily realised by corresponding congruent Mood types. The following section describes the patterns of incongruent realisations of the speech functions in the English Directives.

5.2.1.2. Incongruent realisations of the speech functions

An incongruent realisation is present in particular speech functions in Directive texts.

Incongruent realisations are present in either Command or Statement. Figure 5-8 shows how often the writers of the English Directive texts employ the in/congruent realisations.



Key: Incong.=Incongruent realisation/Cong.=Congruent realisation
 decl.=declarative/inter.=interrogative

Figure 5-8: Details of in/congruent realisation of the speech function

While there is only one incongruent realisation of Statement, there are 93 incongruent realisations of Command. While the incongruent Statement is realised by the interrogative, the incongruent Command is realised by either the declarative or the interrogative. In the speech function Command, the incongruent realisation surpasses the congruent realisation. Whereas 93 free clauses incongruently construe command, 38 clauses congruently construe command. This suggests that the writers in the Directive texts tend to choose the incongruent realisation in order to make a request or command.

On the other hand, Statement is incongruently realised by the interrogative. Example 5-9 is a text instance of the incongruent realisation of Statement by the interrogative.

Example 5-9: Example of the incongruent realisation of statement

How	can	he	accurately	assess	the possible impact
Adj/ WH-	Fin	Sub	Mood Adjunct	Pred	Complement
Re-		Mood		sidue	
α					

if	he	does	not	know	the details of the proposal?
	Sub	Fin	Adj	Pred	Complement
	Mood			Residue	
$x \beta$					

(E-G-05 sent between D (↓) to a different organisation in the form of a letter)

When it is congruently realised by the declarative, the text instance in Example 5-9 can be

He cannot accurately assess the possible impact as long as he does not know the details of the proposal.

A certain type of interrogative, as Halliday and Matthiessen (2004) point out, increases the sense of rebuke and exasperation, and these are intensified by adding ‘wh-’. In this instance, ‘how’ functions to intensify the writer’s rebuke. As a result, the writer reprimands the addressee for not submitting the required document.

In addition, the incongruent realisation of Command is frequently present. The incongruent realisation of Command by the indicative surpasses the congruent realisation of Command as indicated in Figure 5-8. The writer seems to deploy the incongruent Command because “ ‘indicative’ variants provide a range of more delicate ways of commanding” (Halliday & Matthiessen, 2004, p. 633). Twelve interrogatives incongruently construe Command, and all clauses have the modal Finite whose degree is either low or median. Example 5-10 indicates an instance of the incongruent realisation of Command by the interrogative.

Example 5-10: Example of the incongruent command by the interrogative (1)

Would	you	please	email	me	with your request?
Finite (modal)	Subject	Mood Adjunct	Predicator	Complement	Adjunct
Mood			Residue		

(E-E-04 sent between U (↑) within the same organisation in the form of an email)

In addition to the use of the modal Finite such as ‘would’, as shown in Example 5-10, the interrogative which construes Command is frequently accompanied by ‘please’ (Halliday & Matthiessen, 2004, p. 82). The word, ‘please’ also functions as a marker for request (Palmer, 1986, p. 100). The tense of the Finite is also unique. As previously mentioned, the modal Finite frequently indicates past tense in order to heighten the ‘indirectness’ by increasing the ‘hypotheticalness’ (Iedema, 1995, p. 119)

Further, although the Mood type is the interrogative, some texts do not have a question mark as shown in Example 5-11.

Example 5-11: Example of the incongruent command by the interrogative (2)

Can	you	distribute	these A4 posters	throughout the faculty.
Finite (modal)	Subject	Predicator	Complement	Adjunct
Mood		Residue		

(E-E-16 sent between D (↓) within the same organisation in the form of a memo)

Iedema (1997, p. 76) points out that the absence of the question mark “codes the subtle shade of meaning intermediate between the highly polite realisation of the Command as interrogative and its somewhat less polite realisation as declarative”.

Command is incongruently realised not only by the interrogatives but also by the declarative. In the English Directives, 81 declaratives incongruently construe Command. Example 5-12 is a text instance of the incongruent Command by the declarative.

Example 5-12: Example of the incongruent command by the declarative

I	request		that	you	re-issue		them	to council.
α			β					
Mood		Residue	ϕ^{18}	Mood		Residue		
Subject	Finite	Predicator	Φ	Subject	Finite	Pred.	Comp.	Adjunct

(E-G-03 sent between D (↓) to the different organisation in the form of a facsimile)

Example 5-12 shows a hypotactic clause nexus metaphorically construing Command (Halliday & Matthiessen, 2004). This projected clause indicates a high degree of modulation which is orientated by the explicit ‘subjectiveness’. The Subject in Example 5-12 is ‘I’ in α clause and ‘you’ in β clause, that is, the interactants in the context.

The clause nexus can realise Command even if Subject is a non-interactant by using “some source of authority as Subject” (Halliday & Matthiessen, 2004, p. 629). Subject in Example 5-13 is neither a writer nor an addressee, but the name of an institution which functions as the authority. An explicit objective variant as in Example 5-13 can also realise Command.

Example 5-13: Example of the incongruent command by the projection

** [A name of the institution]	requires		that	all sources of fill [demolition material]		need	to provided be	
α			β					
Mood		Residue	ϕ	Mood			Residue	
Subject	Finite	Predicator	ϕ	Subject		Finite	Predicator	

(E-G-03 sent between D (↓) to the different organisation in the form of a facsimile)

These “are common in the discourse of bureaucracy, where people’s activities are regulated” (Halliday & Matthiessen, 2004, p. 629). This feature of the explicit ‘objectiveness’ has an effect which is “neutralised as facts” (Halliday & Matthiessen, 2004, p. 629). As a result, the text becomes de-personalised, and the feature of Command decreases.

¹⁸ A word: ‘that’ is not regarded as an element in Mood analysis (Halliday & Matthiessen, 2004, p. 617).

Similarly, nominalisation¹⁹ in the declarative also realises Command. Example

5-14 shows an instance of the nominalisation in the declarative.

Example 5-14: Example of the incongruent command by the nominalised modulation (requirement)

Key element of the policy	includes:	
Subject	Finite (temporal)	Predicator
Mood		Residue
α		

• [[That	it	is		a requirement [[that employees do not work under the influence of alcohol or drugs.]]]
	Sub.	Finite (temporal)	Pred.	Complement
	Mood		Residue	
1				

• [[Zero tolerance towards alcohol consumption	is		a requirement in hazardous environments.]]	
Subject	Finite (temporal)	Pred.	Complement	
Mood		Residue		
+2				

(E-E-02 sent between D (↓) within the same organisation in the form of a letter)

The matrix clause in Example 5-14 is not modulated. Instead, the embedded clauses (1+ 2) which were itemised by the bullet point, ● have a ‘nominalised modulation’ (Iedema, 1995, p. 132) ‘requirement’. By using the nominalisation, the writer seems to eliminate ‘subjectiveness’ since one of the effects of the nominalisation is that it “loses its original *raison d’être* and tends to become...a mark of prestige and power” (Halliday & Matthiessen, 2004, p. 657).

Similarly, the noun- ‘responsibility’ in Example 5-15 also construes Command.

¹⁹ Nominalisation is “the single most powerful resource for creating grammatical metaphor” (Halliday & Matthiessen, 2004, p. 656) which is categorised under ideational metaphor. “The general tendency is for interpersonal metaphor to **upgrade** the domain of grammatical realization ... In contrast, the general tendency for ideational metaphor is to **downgrade** the domain of grammatical realization of a semantic sequence’ (Halliday & Matthiessen, 2004, p. 646, emphasis in original).

Example 5-15: Example of the incongruent command by the nominalisation

It	is	the responsibility of all staff	to ensure	that	the tasks and situations identified within this generic risk assessment are applicable.
Mo-		Residue	-od		
Sub-		Fin.	Pred.	Complement	-ject

(E-G-03 sent between D (↓) to the different organisation in the form of a facsimile)

The text in Example 5-15 can be re-expressed as follows

- All staff are responsible to ensure that the tasks and situations identified within this generic risk assessment are applicable

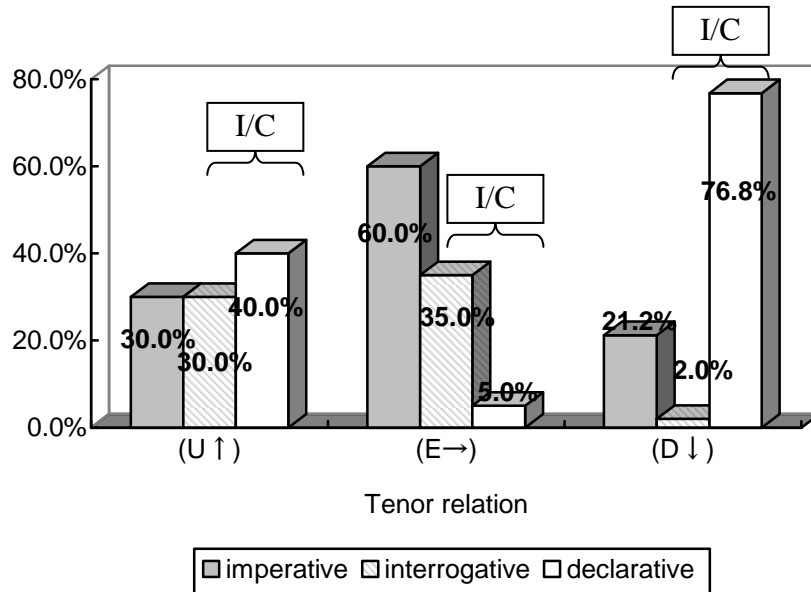
Or, if the text example is not modulated, it would be

- Ensure that the tasks and situations identified within this generic risk assessment are applicable.

The nominalisation is a grammatical metaphor which “enables ‘technicalising’ and ‘rationalising’” (Ravelli, 2003, p. 49, emphasis in original). The nouns, “requirement” in Example 5-14 and ‘responsibility’ in Example 5-15 seem to be used in order to eliminate ‘subjectiveness’ and to intensify “institutionalising administrative need” (Iedema, 1995, p. 115). According to Iedema (1995), clauses such as ‘you are required’, ‘it is required’ and “it is a requirement’ are different in terms of ‘objectiveness’. The clause: ‘you are required’ is less objective than the clause ‘it is a requirement’. For this reason, the text in Example 5-13 is less objective than the text in Example 5-14 and 5-15.

5.2.1.3. In/congruent Command and the tenor relations

The different tenor relations tend to select the different frequencies of the incongruent or congruent realisation of Command. Figure 5-9 represents how often the different tenor relations employ the in/congruent realisations of Command.



Key: I/C means the incongruent realisation of Command

Figure 5-9: Frequency of in/congruent command according to tenor

For the U (↑) or D (↓) relations, the incongruent realisation of Command surpasses the congruent realisation. In contrast, with the E (→) relation, the congruent realisation of Command surpasses the incongruent realisation of Command. This suggests that people of equal status do not necessarily use the incongruent realisations of Command in order to issue commands. In contrast, the hierarchical relation such as U (↑) or D (↓) uses the incongruent realisation of Command rather than the congruent realisation of Command in order to construe Command. Fasold (1990) points out that

most languages have imperative forms that allow speakers to give ‘directives’... it is possible to say ‘Mop the floor’ instead of ‘I command you to mop the floor’ or such like. In English, however, both forms are avoided in favour of attempting to generate an implicature that a directive is intended by indirect means. ... Furthermore, even if one were to try to use the indirect devices commonly used in English, they would not generate the same implicatures (p. 174).

In this sense, indirect variations conflate with the incongruent realisation. This seems to be the reason why the incongruent realisation of Command by the indicative surpasses the congruent realisation of Command in texts sent by superiors or subordinates. Unlike equals since their relations are hierarchical, they need division of labour.

This section illustrated the speech functions in the Directive texts. In sum, the incongruent realisations of Command by the indicative are frequently employed in the English Directives. This feature of the English Directive texts supports the arguments by Halliday and Matthiessen. According to Halliday and Matthiessen (2004), “the ‘indicative’ realization of proposals has the effect of blurring the line between proposals directed to the addressee and proposition about how the world ought to be” (p.633). In order to obscure the nature of a Directive text to facilitate the compliance of a command, the writers make an additional effort using the incongruent realisation of Command. In addition, the tenor relations clearly influence the choice of Mood, Modality and Speech Function.

5.3. Conclusion

This chapter explored the linguistic resources in the English Directive texts in the Australian workplace specifically from the view of the interpersonal metafunction. Section 5-1 and section 5-2 exemplified the wording at the lexicogrammatical stratum and the meaning at the semantic stratum respectively.

Through the linguistic strata, the results demonstrate that the writers adopt various strategies depending on the tenor relation. These are mainly construed by the Mood choice, the choice of the modality and the choice of tense. Further, to avoid conflict, the writers seem to be able to get their addressees to do things by adopting incongruent realisations of the various speech functions.

The Mood analysis revealed that the different tenor relations between the interactants influence the selection of the Mood types. ‘The Mood element determines the arguability status of the clause’ (Matthiessen, 1995, p. 394), For example, the yes/no interrogative is semantically demanding information. Since there are few examples of the interrogative which incongruently construes Command in the tenor relation D (↓),

this suggests that the superior does not need to use the interrogative; texts sent by superiors are less arguable because of the power relation.

From the analysis of the Modality, the tenor has also been shown to influence the Modal choice. The D (\downarrow) relation opts to select for obligation, while the E (\rightarrow) or U (\uparrow) relations opt to select for probability. This suggests that the E (\rightarrow) and U (\uparrow) writers are allowing for the possibility of non-compliance with the Command by the addressee. Moreover, the past tense is frequently used either E (\rightarrow) or U (\uparrow) in order to increase uncertainty. This suggests that the superior can make the subordinate obliged to comply with the command.

Subordinates or equals do not have such power. In contrast, the modality which is realised by the Modal and Comment Adjuncts and/or the interpersonal metaphor as projection indicates the different tenor relations. Whereas the superior uses both comment Adjunct and modal projection, the equal uses only modal projection. The subordinate does not use either. This suggests that modality does not necessarily function to weaken the imposition of a command, so a certain kind of modality works in the opposite way. Thus, the lexicogrammar in the Directive texts is very delicate and social roles are enacted without any conflict.

Section 5-3 exemplified the meaning of the Directive texts at the semantic stratum by using the system of Speech Function. The different tenor relations select for a different incongruent realisation of Command. In order to construe Command, the superior tends to choose the incongruent declarative realisation, and the subordinate tends to choose the incongruent interrogative realisation. In contrast, the equal tends to choose the congruent imperative realisation of Command. This suggests that where there is an unequal power relation extra work on the part of the speaker is needed in

order to construe a command. Thus, the in/congruent realisation of Command is very sensitive to the tenor relations in this situation.

Chapter 6. Text Structure of the English written administrative Directive text

6.0. Introduction

The previous chapter examined the language resources used in the English Directives.

This chapter examines the text structure of the English Directives using generic structure potential analysis. This chapter consists of five parts. Following this introduction, section 6-1 identifies the structure potential of the English written Directive texts. Section 6-2 specifies the obligatory element(s) and meanings. Section 6-3 identifies the optional elements and also meanings. Finally, section 6-4 is the summary, findings and discussion. Figure 6-1 illustrates the location of this chapter in the stratified model.

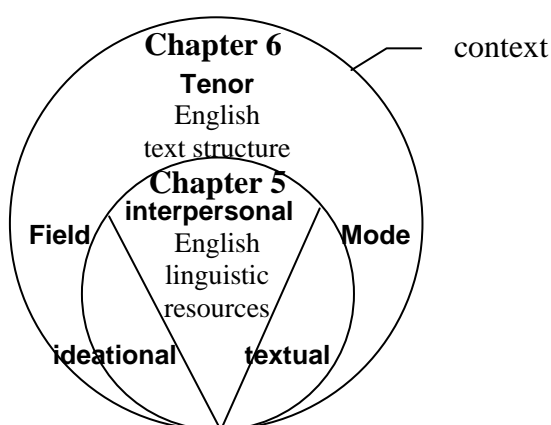


Figure 6-1: Mapping the organisation of Chapter 6

6.1. Structure Potential of the English Directive Texts

This section identifies the structure potential of the English Directives in the Australian workplace. As stated in chapter 3, since the concern of the generic structure analysis is 1) to specify obligatory elements of structure, 2) to enumerate optional elements and 3) to identify the sequence of the elements, the following sections will cover these requirements. Firstly, both obligatory and optional elements will be identified. Then, the ordering of the elements will be identified. Finally, each element of structure and its

crucial semantic attribute(s), and the respective lexicogrammatical pattern(s) will be discussed.

Example 6-1 is a text example that has all elements of structure in the English Directive texts.

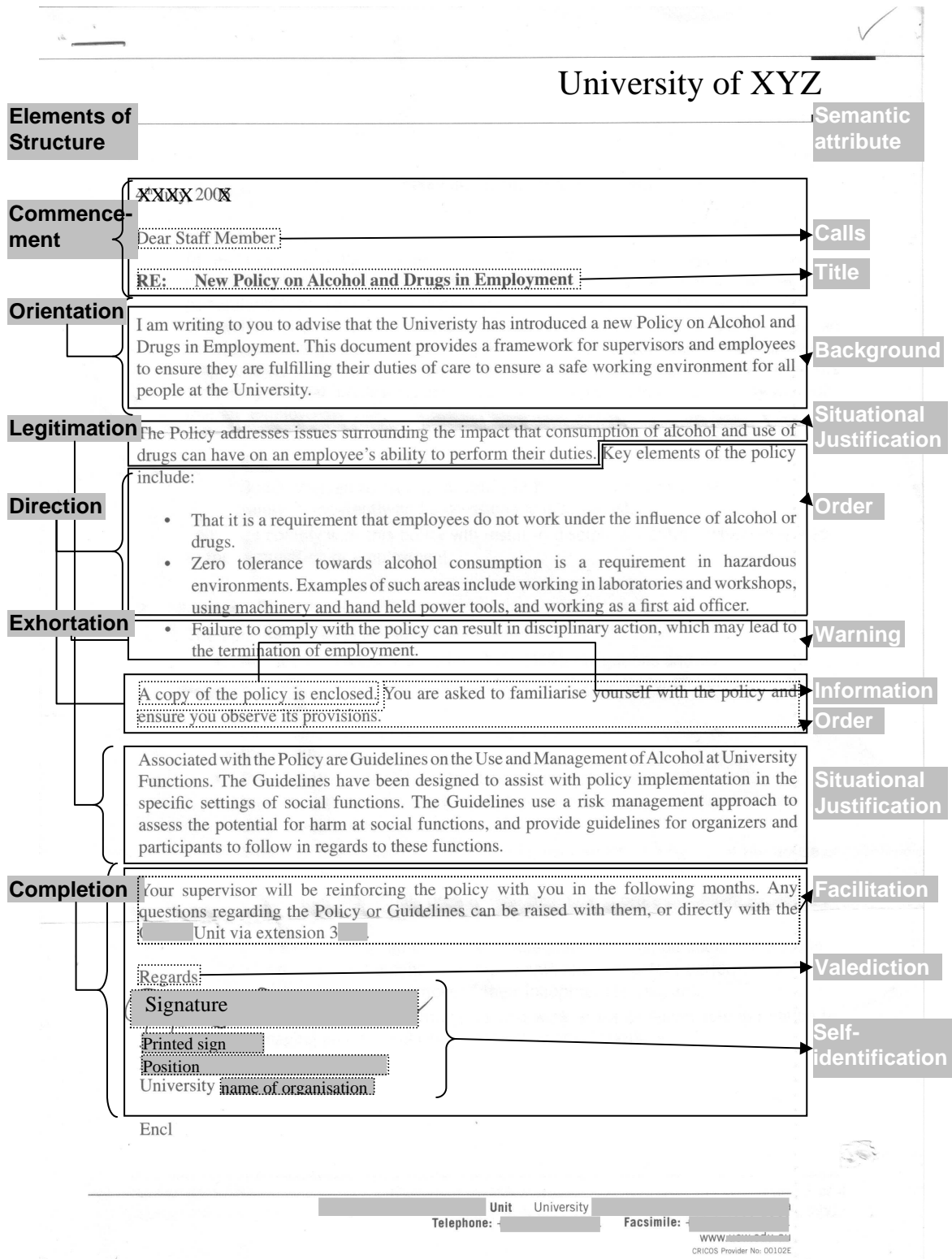
Example 6-1: Example that has all element of structure in the English corpus

Commencement	1 X th July, 200X 2 Dear Staff Member 3 RE: New Policy on Alcohol and Drugs in Employment
Orientation	4 I am writing to you 5 to advise 6 that the University has introduced a new Policy on Alcohol and Drugs in Employment. 7 This document provides a framework for supervisors and employees 8 to ensure [[they are fulfilling their duties of care to ensure a safe working environment for all people at the University]].
Legitimation	9 The policy addresses issues [[surrounding the impact [[that consumption of alcohol and use of drugs can have on an employee's ability [[to perform their duties]]]]]].
Direction	10 Key elements of the policy include: • That it is a requirement [[that employees do not work under the influence of alcohol or drugs]]. 11 • Zero tolerance towards alcohol consumption is a requirement in hazardous environments. 12 Examples of such areas include working in laboratories and workshops, using machinery and hand held power tools, and working as a first aid officer.
Exhortation	13 • Failure [[to comply with the policy]] can result in disciplinary action, 14 which may lead to the termination of employment.
Direction (cont)	15 A copy of the policy is enclosed. 16 You are asked 17 to familiarise yourself with the policy 18 and ensure [[you observe its provisions.]]
Legitimation (cont.)	19 Associated with the Policy are Guidelines on the Use and Management of Alcohol at University Functions. 20 The Guidelines have been designed 21 to assist with policy implementation in the specific settings of social functions. 22 The Guidelines use a risk management approach 23 to assess the potential for harm at social functions, 24 and provide guidelines for organizers and participants [[to follow in regards to these functions]].
Completion	25 Your supervisor will be reinforcing the policy with you in the following months. 26 Any questions [regarding the Policy or guidelines] can be raised with them, or directly with the OH&S Unit via extension XXXX. 27 Regards 28 Sign 29 Printed sign 30 Position 31 Name of university

In Example 6-1, the first three clauses commence the text. We may call it Commencement. It consists of Calls and Title that identifies the addressee and the topic.

Then, in the next five clauses, the writer orients the addressee by giving background, that is, providing the topic of the Directive text. We may call this Orientation. Following the elements Commencement and Orientation, the writer provides legitimation for the English Directive texts by giving justification in the clauses numbered 9 and 19- 24. In the clauses 10-12 and 15-18, the writer directs the addressee by issuing commands as highlighted in Example 6-1. We may call this Direction. Direction is interrupted by two clauses numbered 13 and 14 which exhort the addressee to comply. We may call this element Exhortation. Finally in the last seven clauses, the writer completes the Directive text by giving the writer's identification and farewell. Example 6-2 on the next page represents a copy of the actual text with elements and meanings.

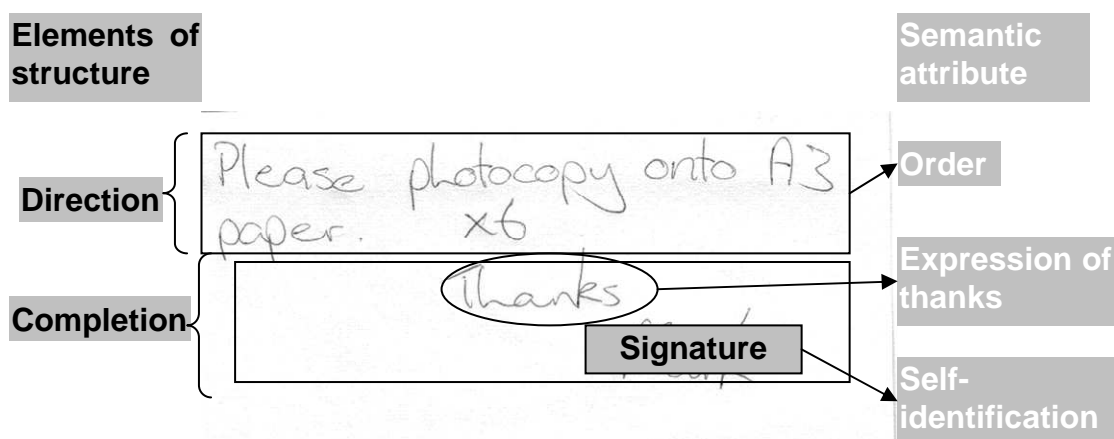
Example 6-2: A copy of the English example texts with elements and meanings



As the text in Example 6-2 shows, the English Directive texts were divided into six elements of structure according to semantic attributes. In this instance, 11 types of

semantic attributes (Calls, Title, Background, Situational Justification, Order, Warning, Information, Facilitation Valediction and Self-identification) are identified. On the other hand, Example 6-3 is an instance that has the fewest elements in the English corpus. This text is composed of two elements and three semantic attributes.

Example 6-3: Example that has the fewest element of structure in the English corpus



The elements of structure in the English Directives are **Commencement**, **Orientation**, **Legitimation**, **Direction**, **Exhortation** and **Completion**²⁰. Of these six elements, Direction is present in all texts, that is, Direction is an obligatory element for the English Directive texts. All other elements are optional elements. Figure 6-2 represents this fact, together with the ordering of the elements.



$(\text{Commencement})^{\wedge} (\text{Orientation})^{\wedge} [(<\text{Legitimation}> \cdot \text{Direction} \cdot (\text{Exhortation})]^{\wedge} (\text{Completion})$

Figure 6-2: Structure potential of the English written Directive texts

Elements which are not enclosed in round brackets are obligatory. In the English Directive texts, the element Direction is the obligatory element. The angled brackets enclose elements whose lexicogrammatical realisation may be included or interspersed

²⁰ Some terminologies are adapted from Iedema's study (1995). They are Orientation and Legitimation. This study calls the obligatory element Direction although it was referred to as command in Iedema's study. This is because the term of command is used as one of the speech function type. In order to avoid confusion, 'Direction' is used in order to refer to the obligatory element in the English Directives.

within the lexicogrammatical realisation of some other element. The carat sign ^ between elements indicates relative fixity. In other words, the right element of the carat ^ sign cannot precede the left element(s) of the carat sign. In contrast, the raised dot • between elements indicates reversibility of the elements on both sides of the raised dot. The square brackets indicate mobility of the elements. The elements which are enclosed by the square bracket are mobile within the limit of the brackets. The curved arrow from right to left indicates the possibility of reiteration within the square brackets (Hasan, 1996a).

In the structure potential of the English Directive texts, the first two elements Commencement and Orientation may occur; they are enclosed in the round brackets in order to indicate this optionality. As these two elements are connected by the carat sign ^, the element Commencement always precedes the element Orientation. The following elements Legitimation, Direction and Exhortation are enclosed by the square brackets, which indicate that the ordering of these elements is mobile within the square brackets. As these three elements are connected by the raised dot •, the elements are reversible. The curved arrow from the element Direction to the element Legitimation indicates the possibility of iteration. The angle brackets which enclose the element Legitimation show that the lexicogrammatical realisation of the element Legitimation may be included or interspersed within the lexicogrammatical realisation of other elements. In this study the lexicogrammatical realisation of Legitimation may be included within that of Direction. Finally, the element Completion occurs at the end of a text.

6.2. The obligatory element

As previously mentioned, the obligatory element in the English Directives is **Direction**.

Direction is the element in which the writers issue commands. The element Direction always contains the nuclear meaning²¹ **Order**. Associated with the nuclear meaning Order, the element Direction may contain **Particulars** and **Information**. That is, Particulars & Information are ELABORATIVE. These meanings are exemplified and discussed in the next section 6.2.1.

6.2.1. NUCLEAR in the element Direction

As previously mentioned, in the element Direction, **Order** is **NUCLEAR**. The nuclear meaning Order is essential to the expression of the genre of the English Directive texts. The crucial semantic attribute relevant to Order is to realise Command. Some specific linguistic features are present in Order, although Command is lexicogrammatically realised by various Mood types. In other words, Command is congruently realised by imperative, and incongruently realised by indicative.

The congruent realisations command will be explained first. Within the congruent realisation of Command, there are two types: one is the unmarked imperative which does not use 'please'; the other is the mood Adjunct, 'please' type. Example 6-4 and 6-5 are examples of them respectively. While Example 6-4 indicates the former type, Example 6-5 indicates the latter type.

²¹ See section 3.3 in chapter 3 Analyses of text structure for the detailed explanation.

Example 6-4: Example of the congruent realisation of Command by the imperative

Make	6 copies	as described below
Predicator	Comp.	Adjunct
Residue		
1		

and	distribute	them	amongst the faculty notice boards.
	Predicator	Comp.	Adjunct
Residue			
+ 2			

(E-E-16 sent between D (↓) within the same organisation in a form of memo)

The text in Example 6-4 shows two imperatives connected by a conjunction: and. The imperative with the mood Adjunct ‘please’ outnumbers the unmarked one.

Example 6-5: Example of the congruent Command by imperative with mood Adjunct: please

Please	supply	five (5) copies	of your additional information/amended plans.
Mood Adjunct	Predicator	Complement	Adjunct
Mood	Residue		

(E-G-05 sent between D (↓) to a different organisation in a form of letter)

On the other hand, the indicative incongruently construe the nuclear meaning Order. As stated before, the indicative has two options; interrogative or declarative. Firstly, Example 6-6 is an instance of the incongruent realisation of Command by the interrogative.

Example 6-6: Example of the incongruent Command by interrogative

Could	I	please	have	the laboratory test certificates	for this material?
Modal Finite	Subject	Mood Adjunct	Predicator	Complement	Adjunct
Mood	Residue				

(E-G-03 sent between D (↓) to a different organisation in the form of a facsimile)

In this instance, the writer uses the modal finite to weaken the degree of modality. On the other hand, Example 6-7 is an instance of the incongruent realisation of Command by the declarative in the nuclear meaning Order.

Example 6-7: Example of the incongruent Command by declarative

I	request		that	you	re-issue	them to council.	
α			β				
Mood		Residue	Φ^{22}	Mood		Residue	
Subject	Finite	Predicator	Φ	Subject	Finite	Predicator	Adjunct

(E-G-03 sent between D (↓) to the different organisation in the form of a facsimile)

Having demonstrating the in/congruent realisation of Command, Figure 6-3 shows the ratios of the in/congruent realisation of Command in the nuclear meaning Order.

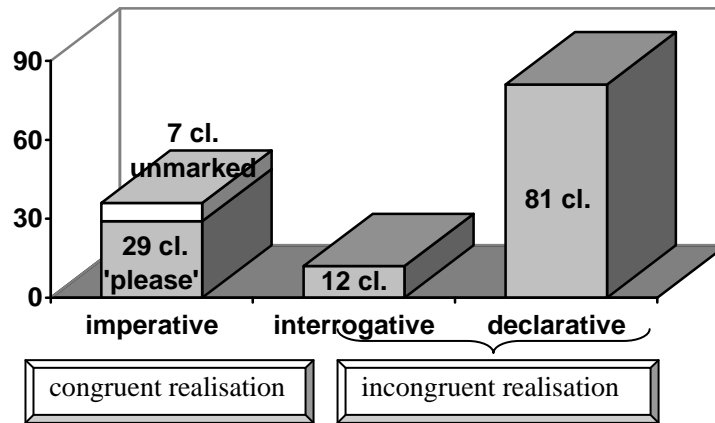


Figure 6-3: Number of in/congruent realisation of Command in Order

In the English corpus, the nuclear meaning Order, the crucial semantic attribute, Command, is expressed in 129 free clauses. In 36 clauses, Command (29 for please and 7 for unmarked) is congruently realised, whereas in 93 clauses, it is incongruently realised by the indicative: 12 using the interrogative and 81 using the declarative.

The in/congruent realisations of Command seem to be influenced by the tenor relations. Figure 6-4 indicates how often in/congruent realisation of Command is present in the English corpus.

²² The word: 'that' is not regarded as an element in Mood analysis (Halliday & Matthiessen, 2004, p. 617).

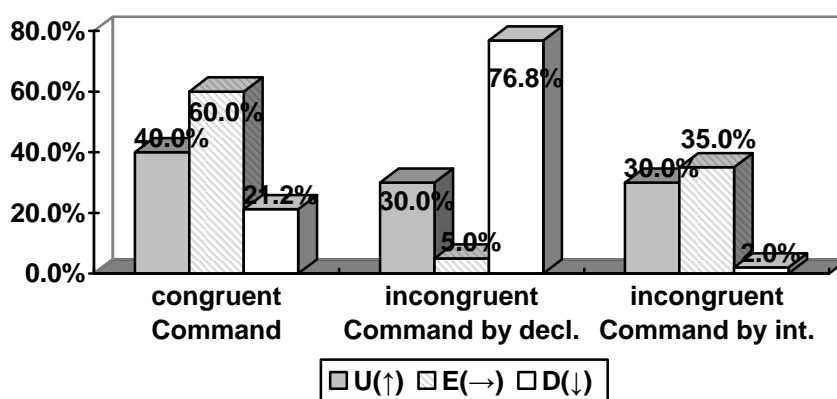


Figure 6-4: Frequency of in/congruent realisation of Command in Order according to tenor

As Figure 6-4 illustrates, in texts sent by equals, the number of the congruent realisations of Command surpasses that of incongruent realisations of Command. In contrast, in texts sent by hierarchical relations, such as U (↑) or D (↓), the number of incongruent realisations of Command significantly outnumbers that of the congruent realisations of Command. Texts sent by subordinates or equals contain the incongruent realisations of Command by an interrogative clause more frequently than those sent by superiors. This suggests that superiors tend to deploy the incongruent realisation of Command by the declarative, equals tend to deploy the congruent realisation of Command, and subordinates tend to deploy the incongruent realisation of Command by the indicative.

Nominalisations also construe Command. In Example 6-8, the noun ‘requirement’ is the nominalisation of ‘required’. If the text is unpacked, it could be re-expressed as ‘Draft DCP 49 requires this’ or ‘Follow the Draft DCP 49’. Iedema (1995, p. 66 italics in original) mentions that nominalisation “de-emphasise[s] the *should-ness* of the text”. In other words, the clause may not be recognised as demanding goods & services by the writers. As a result, the Command in the text can be disguised.

Example 6-8: Example of incongruent command by nominalisation

This	is		also	a requirement of Draft DCP 49
Subject	Finite	Predicator	Modal Adjunct	Complement
		Residue		Residue
Mood				

(E-G-05 sent between D (↓) to the different organisation in the form of a letter)

In this section, I have illustrated the nuclear meaning Order in the obligatory element Direction. The nuclear meaning Order has the in/congruent realisations of Command as a semantic attribute. The writers of the English Directive texts adopt many tactics to issue commands. The incongruent realisations of Command occur more frequently than the congruent realisation of Command, although it is highly influenced by the tenor relations. In addition, by down-ranking from a clause to a noun phrase, the writer depersonalises the command. Table 6-1 summarises the linguistic features of Order.

Table 6-1: Summary of linguistic features of Order

Semantic attribute		Presentation of a request or a command		
Speech function		Command		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Imperative<Indicative	Imperative>Indicative	Imperative<Indicative
Mood element	Subject	Either 1 st , 2 nd or 3 rd person in case of the incongruent realisation	Either 1 st or 2 nd person in case of the incongruent realisation	Either 1 st , 2 nd or 3 rd person in case of the incongruent realisation
	Finite	Frequently modalised		
Modal Adjunct		Frequent presence of please		

Key: ‘<’ means less than, and ‘>’ means more than.

6.2.2. ELABORATIVE in the element Direction

The previous section identified the nuclear meaning Order in the obligatory element Direction. This section explores **ELABORATIVE** meaning in the element Direction. The obligatory element Direction has two elaborative meanings. They are **Particulars** and **Information**. The semantic attribute of Particulars and Information functions to show informative details or procedural information relating to Order. Particulars and Information always follows Order. Particulars and Information are present in four and

eleven texts respectively (Three texts contain both particulars and Information). While Particulars are realised by a noun or noun phrase, Information is realised by a major clause. Example 6-9 and 6-10 are instances of Particulars and Information respectively.

Example 6-9: Example of Particulars (Noun phrase)

- fees of \$124 (plus long service levy fees)

(E-G-11 sent between D (↓) to a different organisation in the form of an email)

Example 6-10: Example of Information (Major clause in the declarative Mood)

A template of a draft agreement can be viewed on the University website: [web address](#)

(E-E-03 sent between D (↓) within the same organisation in the form of a letter)

As Example 6-8 indicates, the Subject of clauses in Information is mostly 3rd person and non-human. In addition, a low probability of Modalisation is frequently present. Tables 6-2 and 6-3 summarise the elaborative meaning Particulars and Information respectively.

Table 6-2: Summary of linguistic features of Particulars

Semantic attribute	Informative details of Order		
Speech function	- (Minor clauses)		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by		Not present Noun phrases	
Location	Presence after Order		

Table 6-3: Summary of linguistic features of Information

Semantic attribute		Informative details or procedural information or Order		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative	Not present	Same as U (↑)
Mood element	Subject	Non-human 3 rd person		
	Finite	Present or frequently modalised (low probability)		
Modal Adjunct		Nil		
Location		Presence after Order		

By specifying the nuclear and elaborative meanings and their lexicogrammatical features, Table 6-4 summarises the linguistic features of the obligatory element Direction in the English Directives.

Table 6-4: Linguistic features of the obligatory element Direction in the English written Directive texts

Linguistic features of the meanings in the <u>OBLIGATORY</u> element: Direction									
linguistic feature meanings		Speech Function	Tenor	Mood Type	Mood element		other than Predicate		
					Subject	Finite	Modal Adjunct	Others	
NUCLEAR	Order	Command	↗	Imperative<Indicative	Either 1 st , 2 nd or 3 rd person in case of incongruent realisation	Frequently modalised, especially in interrogative	Frequently present as 'please' in the case of the imperative Mood.	Located after Orientation before Exhortation	
			→	Imperative>Indicative	Either 1 st or 2 nd person in case of incongruent realisation				
			↘	Imperative<Indicative	Either 1 st , 2 nd or 3 rd person in case of incongruent realisation				
ELABORATIVE	Information	Statement	↗	Declarative	Non-human 3 rd person	Frequently modalised (low degree of probability)	Not present	After Order	
			→	Not present					
			↘	Same as ↗	Same as ↗	Same as ↗	Same as ↗		
	Particulars	N/A	↗	Realised by either noun phrases or minor clauses					After Order
			→	Not present					
			↘	Realised by either noun phrases or minor clauses					

As Table 6-4 clearly shows, the linguistic features of the obligatory element **Direction** differs depending on the status between interactants. The texts sent by subordinates show relatively similar linguistic features to those sent by superiors. In contrast, the texts sent by equals show relatively different linguistic features from those two texts types.

The next section identifies optional elements in the English Directive texts.

6.3. The optional elements

Five optional elements are identified in the English Directive texts. They are **Commencement**, **Orientation**, **Legitimation**, **Exhortation** and **Completion**. The following sections explain each optional element.

6.3.1. Commencement

At the very beginning of the text, the optional element **Commencement** may be present. Commencement has three possible meanings **Title**, **Calls** and **Greetings**. Each meaning has a crucial semantic attribute. The crucial semantic attribute relevant to these three possible meanings are a short description of the text for **Title**, particularisation of the addressee(s) for **Calls**, and opening salutation for **Greetings**.

Twenty four texts contain **Title**, 27 texts contain **Calls** and three texts contain **Greetings**. **Title** is realised by a noun phrase such as ‘RE: New Policy on Alcohol and Drugs in employment’ in Example 6-2 on page 73. Thus, **Title** functions as a short summary of the text. On the other hand, both **Calls** and **Greetings** are lexicogrammatically realised by “minor speech functions”²³ (Halliday, 1994, p. 95) such

²³ “Minor speech functions are exclamations, calls, greetings and alarms. ... Calls are the speaker calling to attention another person... Greetings include salutations, e.g. Hullo!, Good morning!...Hi!, and valedictions, such as Goodbye!, See you!; together with their responses, largely the same set of forms” (Halliday, 1994, p. 95).

as ‘Dear Staff Member’ in Example 6-2 on page 73. Example 6-11 exemplifies instances of Calls and Greetings respectively.

Example 6-11: Examples of Greetings and Calls

Calls	<p>a) Dear XXX, (E-E-03 sent between D (↓) within the same organisation in the form of a letter)</p> <p>b) XXX, [a name of the addressees] (E-E-11 sent between D (↓) within the same organisation in the form of a memo)</p> <p>c) Gentlemen (E-B-01 sent between U (↑) within the same organisation in the form of an email)</p> <p>d) Team Leaders, (E-B-02 sent between D (↓) within the same organisation in the form of an email)</p>
Greetings	<p>e) Good morning all, (E-E-07 sent between E (→) within the same organisation in the form of an email)</p> <p>f) Hi, XXX, (E-E-09 sent between D (↓) within the same organisation in the form of an email)</p>

As Example 6-11 represents, Greetings in the corpus is always co-present with Calls. The tenor relations influence the presence or absence of these meanings. Whereas Title is present in all texts sent by superiors, Calls is present in all texts sent by subordinates. Figure 6-5 shows how often Title is present according to tenor relations.

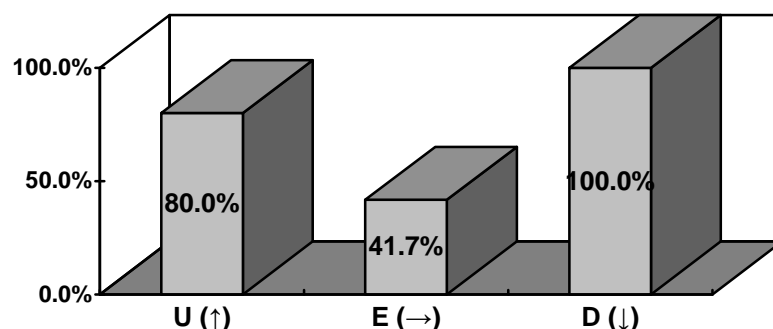


Figure 6-5: Frequency of Title according to tenor

As Figure 6-5 illustrates, in texts sent by subordinates and superiors, Title is frequently employed accounting for 80.0% and 100% respectively. In contrast, the frequency of Title in texts sent by equals is less frequently applied, accounting for 41.7%. This suggests that the hierarchical status needs Title in order to provide the short summary of a text, while Title is not necessarily employed in a text sent between the equal statuses.

On the other hand, all texts sent by subordinates have either Greetings or Calls. However, the other two relations do not necessarily have Greetings or Calls. Figure 6-6 represents how often Calls is present according to tenor relations.

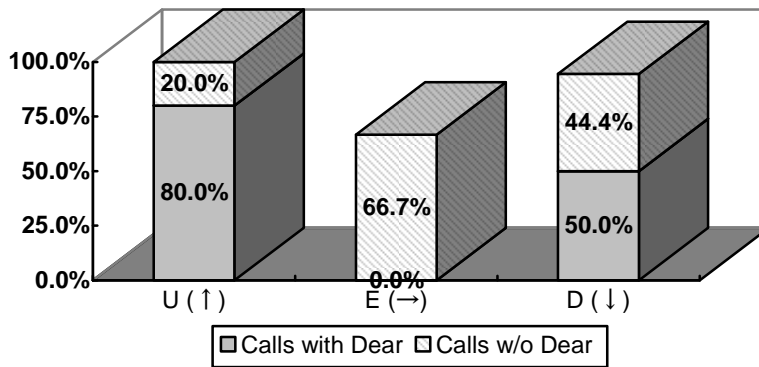


Figure 6-6: Frequency of Calls according to tenor

In Figure 6-6, subordinates frequently employ 'Dear' accounting for 80.0% in the meaning Calls, whereas Calls without 'Dear' account for 20.0% in this tenor relation. This suggests that when the subordinate sends the Directive texts, s/he always employs Calls. In contrast, there are no text instances of Calls with 'Dear' sent by equals: they are always expressed without 'Dear', amounting to 66.7%. The superior frequently employs Calls in his/her texts: Calls with 'Dear' account for 50.0% and Calls without 'Dear' account for 44.4%.

On the other hand, the presence of Greetings indicates an opposite feature. Figure 6-7 shows how often Greetings appear according to tenor relations.

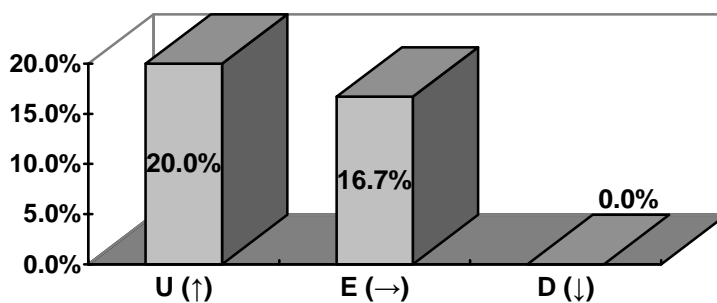


Figure 6-7: Frequency of Greetings according to tenor

The presence of Greetings is lower than that of Calls. There is no instance of Greetings sent by superiors. This suggests that there is no social obligation on the part of the superior to greet a subordinate and that equals do not need to be concerned with 'Dear'. The nature of the relationship appears not to demand such a polite opening.

Finally, Tables 6-5, 6-6 and 6-7 summarise the lexicogrammatical realisation of each meaning in the element Commencement respectively.

Table 6-5: Summary of linguistic features in Title

Semantic attribute	Short description of the text		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrase		
Location	Before the element Orientation		

Table 6-6: Summary of linguistic features in Calls

Semantic attribute	Particularisation of an addressee(s)		
Speech function	Minor speech function		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrase with frequent presence of Dear	A noun phrase	A noun phrase with frequent presence of Dear
Location	At the very beginning of a text after Greetings (if present)		

Table 6-7: Summary of linguistic features in Greetings

Semantic attribute	Opening salutation		
Speech function	Minor speech function		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrases		Not present
Location	At the very beginning of a text before Calls (if present)		

6.3.2. Orientation

Orientation is an optional element for the English Directive. Orientation has the meaning **Background**. The crucial semantic attribute of Background invites the addressee into the main issue. Eight texts contain the element Orientation with Background activating some lexicogrammatical features. Background is

lexicogrammatically realised by a declarative clause in which the writer construes a statement directly without using modality. The Subject is either ‘I’ or ‘the name of the institution’. Example 6-12 is an example whose Subject is ‘I’.

Example 6-12: Example of Background – Subject (I)

I refer to your development application as described below.
(E-G-04 sent between D (↓) to a different organisation in the form of letter)

On the other hand, Example 6-13 is an instance whose subject is ‘the name of the institution’.

Example 6-13: Example of Background – Subject (the name of the institution)

** [A name of the institution] wrote to you on April 2003 (letter attached).
(E-G-01 sent between D (↓) to the different organisation in the form of letter)

Broadly speaking ‘the name of the institution’ in Example 6-12 can be expressed as the first person since the writers belong to the institution. The writer seems to use the name of the institution in order to decrease subjectivity.

An important function of the meaning Background is to lead the addressees to the purpose of the text, or to the main issue. Background is present in only one tenor relation in texts sent by superiors. Figure 6-8 indicates how often Background is present according to the tenor relations.

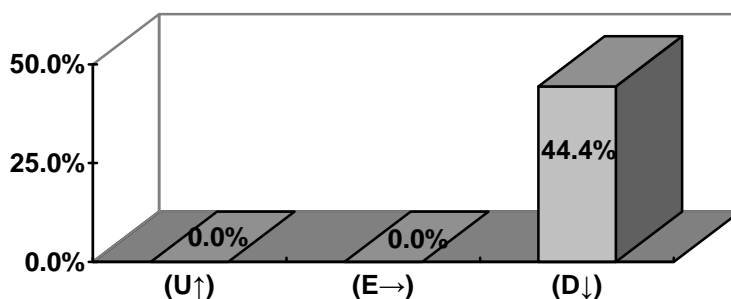


Figure 6-8: Frequency of Background according to tenor

As Figure 6-8 shows, the element Background is present only in texts sent by superiors. It is not present in those sent by subordinates or equals. This suggests that texts sent by subordinates or equals are not expected to express invitation to the main issue.

Finally, Table 6-8 summarises the linguistic features of Background.

Table 6-8: Summary of linguistic features of Background

Semantic attribute		Invitation to the main issue		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Not present		Declarative
Mood element	Subject			1 st person
	Finite			No modal Finite, the tense is present or past
				Nil
Modal Adjunct				
Location		After Commencement and before Legitimation or Order		

6.3.3. Legitimation

Legitimation is the third of the five optional elements for the English Directives. Legitimation has the meaning **Justification**. The crucial semantic attribute of Justification is to present the reason why the writers issue commands to the addressee(s). Strictly speaking, Justification can be divided into **Authoritative Justification** and **Situational Justification** depending on its function. Whereas Authoritative Justification refers to authority via a policy, legislation, regulation or via a directive from a more superior worker than the writer, Situational Justification shows some other general reasons the writers have to issue commands to the addressees. Eighteen texts contain the meaning Authoritative Justification, whereas 19 texts contain the meaning Situational Justification (among them, nine texts contain both Authoritative and Situational Justification). Example 6-14 indicates an instance of Authoritative Justification.

Example 6-14: Example of Authoritative Justification and following Order

As a result of new legislation ,	[a name of a workplace]	is	required	to offer all employees a choice .	on the type of agreement [[covering their employment conditions]].
Adjunct (1)	Subject	Fin	Pred.	Adjunct (2)	Adjunct (3)
Resi-	Mood	due			
Authoritative Justification	Order				

(E-E-03 sent between D (↓) within the same organisation in the form of a letter)

In Example 6-14, the writer refers to new legislation as Authoritative Justification which is lexicogrammatically realised by the Adjunct. Once the Adjunct (1) in Example 6-14 is unpacked, it can be expressed by a clause as represented in Table 6-9.

Table 6-9: Unpacking of Adjunct in Authoritative Justification

As a result of new legislation , Adjunct	→	Because new legislation is in force clause
---	---	--

(E-E-03 sent between D (↓) within the same organisation in the form of a letter)

As mentioned in chapter 5, nominalisation has certain functions. In this example, the writer employs nominalisation so as to eliminate the subjectivity of the text in order to eliminate personalisation.

On the other hand, in Situational Justification, a writer refers to a general reason in order to justify the nuclear meaning Order in the obligatory element Direction. Example 6-15 is a text instance of Situational Justification.

Example 6-15: Example of Situational Justification

Please check what we need for stationery and leave the list on my desk.	→	Order
I will order everything this afternoon	→	Situational Justification

(E-E-10 sent between E (→) in the form of a memo within the same organisation)

Finally, Table 6-10 and 6-11 summarise the linguistic features in Authoritative and Situational Justification respectively.

Table 6-10: Summary of linguistic features in Authoritative Justification

Semantic attribute		Presentation of reason for issuing commands especially by referring to authority		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative	Not present	Declarative or Adjunct
Mood element	Subject	3 rd person		Either 1 st or 3 rd person
	Finite	No modal Finite, the tense is present or past		No modal Finite, the tense is present or past
	Modal Adjunct	Nil		Nil
Location		After Commencement and before Exhortation		

Table 6-11: Summary of linguistic features in Situational Justification

Semantic attribute		Presentation of reason for issuing commands		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative or Adjunct		
Mood element	Subject	3 rd person	Either 1 st , 2 nd or 3 rd person	Either 1 st or 3 rd person
	Finite	No modal Finite, the tense is present or past		
Modal Adjunct		Nil		
Location		After Commencement and before Exhortation		

6.3.4. Exhortation

The fourth optional element is **Exhortation**. The crucial semantic attribute relevant to the realisation of the element Exhortation is the presentation of goods or services in accordance with the compliance of Command in the nuclear meaning Order. Exhortation has two associated types, **Conciliation** and **Warning**. There is a difference between them in that, whereas Conciliation is a good service, in other words, a reward which an addressee(s) will have when s/he complies with the nuclear meaning Order in the obligatory element Direction, Warning is a bad service, in other words, a penalty which addressee(s) will receive when s/he does not comply with Order. Conciliation is present in two texts, and Warning is present in five texts.

Example 6-16 is an instance of Conciliation in which the addressees will receive a reduction in residential fees as a reward if they comply with Command.

Example 6-16: Example of Conciliation

If we get a replacement resident,	you will only need to pay residential fees to the date of replacement.
$x \beta$ (bound clause)	α (free clause)

(E-B-06 sent between D (↓) within the same organisation in the form of a letter)

On the other hand, Example 6-17 is an instance of Warning in which the enrolment of the addressees will be withdrawn if they do not submit a document.

Example 6-17: Example of Warning

If this is not done,	the student will not be enrolled for 2006.
$x \beta$ (bound clause)	α (free clause)

(E-B-05 sent between D (↓) within the same organisation in the form of an email)

In each case, a reward or a penalty is connected to a conditional ‘if’. A condition of the element Conciliation can be realised by nominalisation. In Example 6-2 which is indicated at the very beginning of this chapter, a condition is realised by a nominal phrase. An extract from Example 6-2 is shown in Example 6-18.

Example 6-18: Example of Warning by nominalisation

- Failure to comply with the policy can result in disciplinary action, which may lead to the termination of employment.



Failure to comply with the policy	can	result	in disciplinary action,
Subject	Fin.	Pred.	Adjunct
Mood		Residue	
α (free clause)			
which	may.	lead	to the termination of employment
	Fin.	Pred.	Adjunct
	Mood	Residue	
$x \beta$ (bound clause)			

(E-E-02 sent D (↓) within the same organisation in the form of a letter)

In the example above, the Subject in the free clause functions as a condition. As a result, Warning is expressed. In this instance, nominalisation functions to de-personalise the clause.

A condition is essential in Conciliation whether it is realised by either a clause (Cf. Example 6-16/17) or a nominalisation (Cf. Example 6-18). In each case, all free clauses have a modalised Finite of probability such as ‘will’ or ‘can’. Thus, the element Exhortation always contains the lexicogrammatical features of a condition and a modal Finite which shows it is either low or median probability and implicit in MANIFESTATION.

The presence of Conciliation and Warning seems to be influenced by tenor relations. There is no text instance of Conciliation or Warning in texts sent by equals. While Conciliation is more frequently present in the relations of U (\uparrow), Warning is present only in the relation of D (\downarrow). Figure 6-9 indicates how often Conciliation and Warning are present in the English Directives according to the tenor relations.

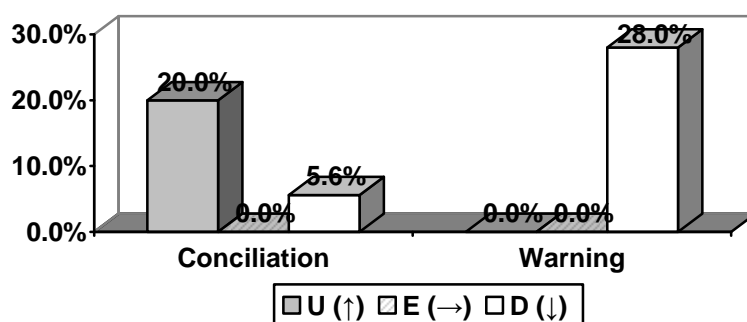


Figure 6-9: Frequency of Conciliation and Warning according to tenor

While Conciliation is most frequently present in texts sent by subordinates (20.0%), Warning is present only in texts sent by superiors. This suggests that it is socially acceptable for a superior to invoke a threat, while a subordinate can only offer an incentive. Further, neither is required between equals.

Finally, Table 6-12 and Table 6-13 summarise Conciliation and Warning respectively.

Table 6-12: Summary of linguistic features in Conciliation

Semantic attribute		Presentation of a reward		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative	Not present	Declarative
Mood element	Subject	2 nd person		2 nd person
	Finite	Modalised Finite of probability (median)		Modalised Finite of probability (low)
Modal Adjunct		Nil		Nil
Location		After Order before Completion		

Table 6-13: Summary of linguistic features in Warning

Semantic attribute		Threat of a penalty		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Not present		Declarative
Mood element	Subject			2 nd or 3 rd person
	Finite			Modalised Finite of probability (low or median)
Modal Adjunct				Nil
Location		After Order before completion		

6.3.5. Completion

The last optional element is **Completion**. The crucial semantic attribute relevant to Completion is that of the finalisation of the Directive texts. The element Completion is always located at the end of the texts. The element Completion is further divided into 1) **Facilitation**, 2) **Expression of thanks**, 3) **Valediction** and 4) **Self-identification**. Each meaning will be identified in the discussion of the English Directives.

The crucial semantic attribute relevant to **Facilitation** is that of an open invitation to any questions which may arise relating to the compliance of a command. In Facilitation, the writers always present their contacts in order to receive any question which the addressee may have. Facilitation is present in 12 texts. One text was sent by an equal, whereas the other 11 texts were sent by superiors. Example 6-19 and Example 6-20 indicate the instances of Facilitation.

Example 6-19: Example of Facilitation by a clause complex

Please call	if I can provide clarification in regard to above.
α (free clause)	x β (bound clause)

(E-G-01 sent between D (↓) to a different organisation in the form of an email)

While Example 6-19 above is an instance which is realised by a clause complex, Example 6-20 is an instance which is realised by a clause simplex.

Example 6-20: Example of Facilitation by a clause simplex

For any further information	please	contact	me	on the telephone number below.
Adjunct	Mood Adjunct	Fin.	Co	Adjunct

(E-G-05 sent between D (↓) to a different organisation in the form of a letter)

Facilitation contains a condition which is lexicogrammatically realised by either a bound clause (Example 6-19) or Adjunct (Example 6-20). Other specific lexicogrammatical features of Facilitation are 1) the presence of the imperative in most free clauses and 2) the presence of an inversion in a bound clause as shown in Example 6-21.

Example 6-21: Example of Facilitation by inversion

Should you have any enquiries about this material	please contact me.
x β (bound clause)	α (free clause)

(E-B-07 sent between D (↓) in the form of letter within the same organisation)

Most free clauses in Facilitation end in the imperative as shown in Examples 6-19, 6-20 and 6-21. However, in this case, the speech function is Offer rather than Command because a speech function in Facilitation gives services instead of demanding services. The tenor appears to influence the presence of Facilitation. Figure 6-10 indicates how often Facilitation is present according to the tenor relations.

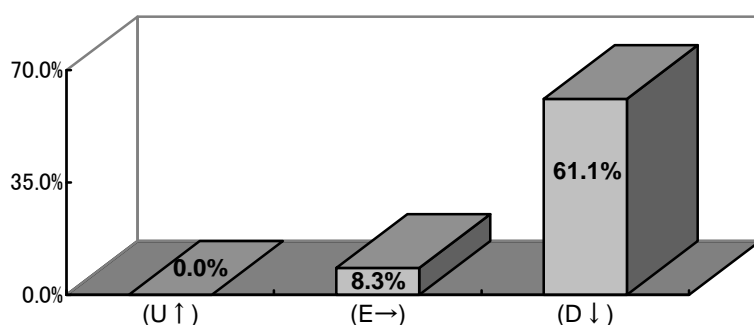


Figure 6-10: Frequency of Facilitation according to tenor

In Figure 6-10, the higher the writer's status, the more frequent Facilitation is present. The ratios of Facilitation in texts sent by superiors and equals amount to 61.1% and 8.3% respectively. No Facilitation is present in texts sent by subordinates. This suggests that a subordinate or those of equal status should not assume that the superior will need to question the request or command, while superiors offer subordinates the opportunity for clarification. Finally, Table 6-14 summarises the linguistic features of Facilitation.

Table 6-14: Summary of linguistic features of Facilitation

Semantic attribute		Open invitation to questions about Order		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Not present	Imperative	Mostly imperative
Mood element	Subject		-	-
	Finite		-	-
Modal Adjunct			N/A	Frequent presence of ‘please’
Others			Presence of condition	
Location		At the very beginning in the element Completion (if present)		

Expression of thanks is one of the four meanings in the element Completion. The semantic attribute of Expression of thanks is the presentation of the writer's gratitude. Lexicogrammatically, Expression of thanks is realised by a noun phrase which construes 'a minor speech function' (Halliday & Matthiessen, 2004, p.153). Example 6-22 shows instances of Expression of thanks.

Example 6-22: Examples of Expression of thanks

- **Thank you for your assistance**

(E-E-01 sent between U (↑) within the same organisation in the form of a letter)

- **Many thanks**

(E-E-06 sent between U (↑) within the same organisation in the form of an email)

- **Thanks**

(E-E-11 sent between D (↓) within the same organisation in the form of a memo)

Fourteen texts contain the meaning Expression of thanks. There are three types of Expression of thanks: ‘thanks’, ‘thank you (for)’ and ‘many thanks’. The former type is present in all tenor relations. In contrast, the latter two types are not present in all tenor relations. While ‘thank you (for)’ is present in the tenor relation of U (↑) and E (→), ‘many thanks’ is present in only the tenor relation, U (↑). Figure 6-11 indicates how often Expression of thanks is present according to tenor.

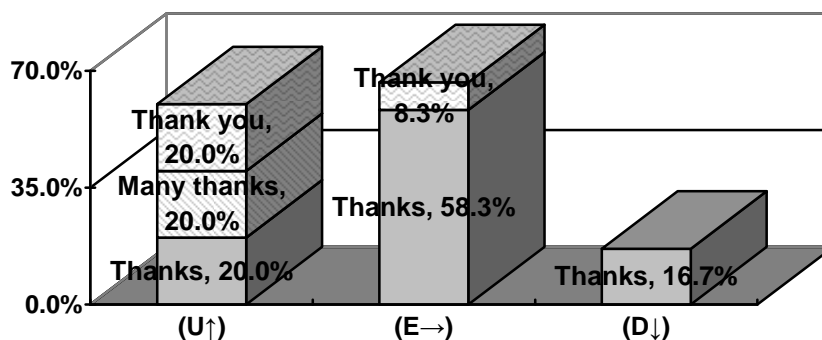


Figure 6-11: Frequency of Expression of thanks according to tenor

As Figure 6-11 demonstrates, tenor relation, U (↑) has three types with equal frequency. In contrast, tenor relation, D (↓) has only one type. Tenor relation, E (→) has two types, but ‘thank you’ is much less frequent than ‘thanks’. According to Peters (1995), these three types are different in terms of formality.

Thank you is the standard and neutral way of expressing one’s gratitude. ...
Thanks is more informal, and works...as a friendly acknowledgement. ... The expression *many thanks* gets the best of both worlds. It embodies warmer feeling than **thank you**, while avoiding the informality of **thanks** (p. 791, bold and italics in original).

Thus, depending on tenor relations, the writer subtly uses different types. Moreover, regardless of these three types, the presence of Expression of thanks is much less when the texts were sent from D (↓). Again, the tenor relations influence the presence of the meaning. Finally, Table 6-15 summarises the linguistic features of Expression of thanks.

Table 6-15: Summary of linguistic features of Expression of thanks

Semantic attribute	Presentation of the writers' gratitude		
Speech function	Minor speech function		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	Formulaic noun phrases		
	The presence of various types of formulaic words such as 'thank you', 'many thanks' or 'thanks', which are affected according to the tenor	'Thanks' is more frequent than 'thank you'	Only 'thanks' is present
Location	At the very end of a text and may co-exist with Valediction		

In Table 6-15, the location of Expression of thanks is at the very end of the element Completion. However, if the element Completion includes the meaning Valediction or Self-identification, then Expression of thanks precedes them. These are introduced in the following paragraphs.

Valediction is one of the four meanings in the element Completion. The crucial semantic attribute relevant to Valediction is the presentation of *adieu*. Valediction is present in 16 texts across all tenor relations. Example 6-23 shows the text instances of Valediction.

Example 6-23: Examples of Valediction

- **Yours sincerely,**
(E-E-03 sent between D (↓) within the same organisation in the form of a letter)
- **Yours faithfully,**
(E-G-04 sent between D (↓) to a different organisation in the form of a letter)
- **Regards**
(E-E-02 sent between D (↓) within the same organisation in the form of a letter)
- **Cheers,**
(E-E-07 sent between E (→) within the same organisation in the form of an email)

In Example 6-23, Valediction is lexicogrammatically realised by formulaic noun phrases which construe ‘a minor speech function’ (Halliday & Matthiessen, 2004, p.153).

The presence of Valediction seems to be influenced by the tenor relations. Figure 6-12 represents how often Valediction is employed in the English Directives.

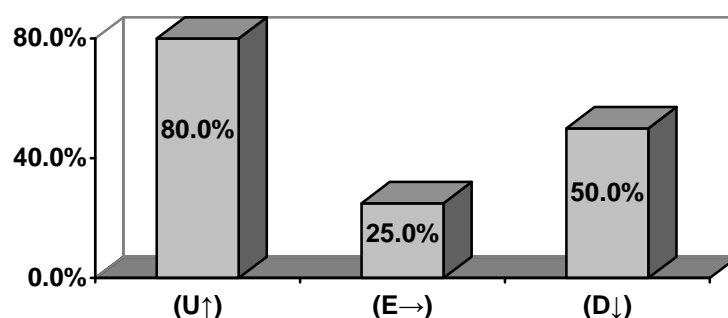


Figure 6-12: Frequency of Valediction according to tenor

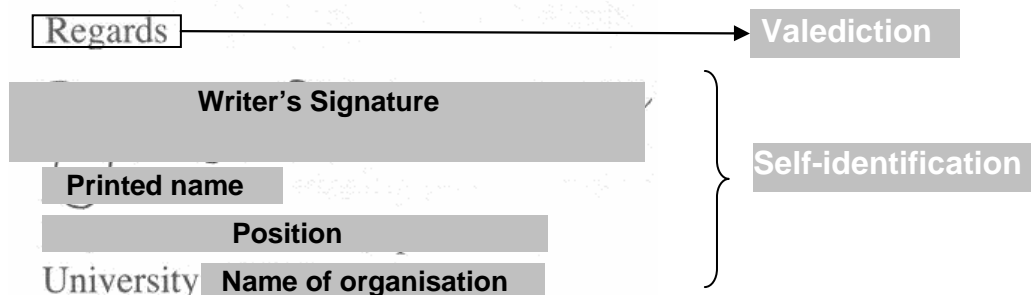
In the graph, texts sent by subordinates have the highest percentage (80.0%) amongst the three tenor relations. The second highest percentage (50.0%) is the texts sent by the superior, while in the texts sent between the equal statuses, the percentages amounts to 25.0%. This suggests that Valediction is an important meaning in texts sent by subordinates. Finally, Table 6-16 summarises the linguistic features of Valediction

Table 6-16: Summary of linguistic features of Valediction

Semantic attribute	Valedictory announcement		
Speech function	Minor speech function		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
Realised by	Formulaic noun phrases		
Location	At the end of a text and may co-exist with Expression of thanks		

The last meaning in the element Completion is **Self-identification**. The crucial semantic attribute relevant to Self-identification is to identify who the writer is. If present, Self-identification occurs at the very end of the English Directive texts. Self-identification is present in 16 texts across all tenor relations. Example 6-24 shows the text instances of Self-identification which is extracted from Example 6-2 on page 73.

Example 6-24: Example of Self-identification



(E-E-02 sent between D (↓) within the same organisation in the form of a letter)

Self-identification includes information identifying not only a name of but also his/her affiliation. Example 6-24 includes the writer's signature, the printed name, the position of the writer in the organisation, and the name of the organisation. The presence of Self-identification is also influenced by tenor relations. Figure 6-13 indicates how often Signature, Printed name, Position and Name of organisation are present in the meaning Self-identification.

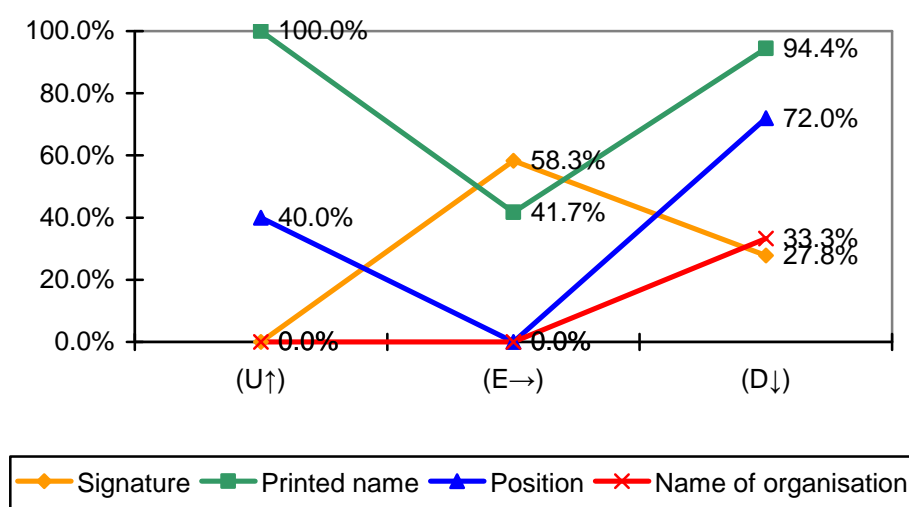


Figure 6-13: Frequency of Self-identification according to tenor

In Figure 6-13, the importance of the information in Self-identification varies according to the tenor relations. In texts sent by superiors, four types of the information are identified (Signature: 94.4%, Position: 72.0%, Name of organisation: 33.3% and Signature 27.8%). However, in texts sent by subordinates and equals, two types of information are identified respectively. These are Printed Name (100.0%) and Position (40.0%) in texts sent by subordinates, and Signature (58.3%) and Printed name (41.7%) in texts sent by equals. This result suggests that either Name of organisation or Position is less important for texts sent between equals than those sent by superiors or subordinates. For subordinates, the Printed Name is the most important identification, while for superiors, some form of identification is important. In other words, in texts sent by subordinates, the presentation of his/her positions functions as a plea for the compliance of command, while in texts sent by superiors, they can exert his/her position to issue commands. However, when the interactants are of equal statuses, the presentation of his/her position was not required.

Finally, Table 6-17 summarises the linguistic features of Self-identification.

Table 6-17: Summary of linguistic features of Self-identification

Semantic attribute	Writer identification		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun group		
	Printed name 100% Position 40.0%	Signature: 58.3% Printed name: 41.7%	Signature: 94.4%, Position: 72.0%, Name of Organisation: 33.3% Signature: 27.8%
Location	At the very end of a text		

Table 6-18 on the next page shows the occurrence of the elements of structure and their semantic attributes in the English Directive texts. The following sections will identify each element by providing the semantic attribute and lexicogrammatical features.

Table 6-18: Presence of the elements and the semantic attributes in the English Directive texts

		B1	B2	B3	B4	B5	B6	B7	B8	E1	E2	E3	E4	E5	E6	E7	E8	E9	E10	E11	E12	E13	E14	E15	E16	G1	G2	G3	G4	G5	G6	G7	G8	G9	G10	G11
Tenor		↖	↗	↖	↗	↖	↗	↗	↗	↖	↗	↗	↖	↗	↗	↗	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖	↖
Text type		E	E	E	E	F	L	L	M	L	L	L	E	E	E	E	E	E	M	M	M	M	M	M	M	F	F	F	L	L	L	M	M	M	E	E
Direction	Order	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
	Information	-	-	-	-	-	-	✓	✓	✓	✓	✓	-	-	✓	✓	-	-	-	-	-	-	-	-	-	-	-	✓	-	-	-	-	✓	✓	-	
	Particulars	-	-	-	-	-	-	-	-	-	-	✓	-	-	-	-	✓	-	-	-	-	-	-	-	-	✓	-	-	-	-	-	-	-	✓	-	
Commence.	Calls	✓	✓	✓	✓	-	✓	✓	✓	✓	✓	✓	✓	✓	✓	-	✓	-	-	✓	✓	✓	-	-	✓	✓	-	✓	✓	✓	✓	✓	✓	✓	✓	
	Greetings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	✓	✓	✓	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	Title	✓	✓	✓	✓	✓	✓	✓	✓	✓	-	✓	-	✓	✓	✓	✓	✓	✓	-	-	-	-	-	-	-	✓	✓	✓	✓	✓	✓	✓	✓	✓	-
Ori.	Background	-	-	-	-	-	✓	-	-	-	✓	-	-	-	-	-	-	-	-	-	-	-	-	-	-	✓	-	-	✓	✓	✓	✓	-	✓	-	
Leg.	Authoritative Justification	-	-	-	-	-	✓	✓	✓	-	-	✓	-	-	-	✓	-	✓	-	✓	-	-	-	-	-	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
	Situational Justification	-	✓	-	-	-	-	✓	✓	✓	✓	✓	✓	✓	-	-	-	✓	✓	✓	-	-	-	-	-	✓	✓	✓	✓	✓	✓	✓	✓	✓	-	
Exho.	Conciliation	-	-	-	-	-	-	-	-	-	-	✓	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	Warning	-	-	-	-	-	-	-	-	-	✓	-	-	✓	-	-	-	-	-	-	-	-	-	-	-	-	-	-	✓	✓	✓	-	-	-	-	
Completion	Facilitation	-	-	-	-	-	-	✓	-	-	✓	✓	-	✓	-	-	-	-	-	-	-	-	-	-	✓	✓	-	✓	✓	✓	✓	✓	✓	-		
	Expression of thanks	-	-	-	✓	-	-	-	-	✓	-	-	-	✓	✓	✓	✓	-	✓	✓	✓	✓	✓	✓	✓	-	-	-	-	-	-	-	-	✓		
	Valediction	✓	✓	✓	-	-	✓	-	-	✓	✓	✓	✓	✓	-	-	✓	-	✓	-	-	-	-	-	-	-	✓	✓	✓	✓	✓	-	-	-		
	Self-identification	✓	✓	✓	✓	-	✓	✓	-	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	

Key: Left side column shows the elements of structure, whereas a column next to it shows the semantic attributes.

B, E and G in the first row express **B**usiness, **E**ducational and **G**overnmental organisation. →, ↘ and ↗ in the second row means **E** (→), **D** (↘), and **U** (↗).

E, L, M and F in the third row stand for **E**mail, **L**etter, **M**emo and **F**acsimile.

Abbreviation (A-Z order): **Commence.:** Commencement, **Exho.:** Exhortation, **Leg.:** Legitimation and **Ori:** Orientation

6.4. Conclusion

This chapter identified the generic structure potential of the English Directives by specifying the obligatory and optional meanings and their semantic attributes. For the identification of semantic attributes, specific lexicogrammatical features are identified.

Figure 6-14 summarises the meanings in each element.

element	nuclear	elaborative	
Direction	Order	Particulars	Information
Commencem		Calls	Greetings
Orientation	Background		
Legitimation		Authoritative Justification	Causative Justification
Exhortation		Conciliation	Warning
Completion		Facilitation	Expression of thanks
		Self-identification	Valediction

Figure 6-14: Summary of each meaning in each element

The obligatory element Direction has both nuclear and elaborative meanings, while the optional elements have only either nuclear or elaborative meanings. Specific linguistic features are identified through meanings. Firstly, minor speech functions such as formulaic noun phrases are consistently present at the beginnings and endings of the texts in the corpus. For example, Calls and Greetings in the element Commencement, and Expression of thanks and Valediction in the element Completion are realised by formulaic noun phrases. These formulaic noun phrases realise the minor speech function. In contrast, the semantic attributes which are realised by a major clause are present in the 'body' of the texts. Among them, the speech functions differ depending on the elements. For example, Order in the element Direction is realised by the speech function,

Command. Information in the element Direction, Background in the element Orientation and both Situational and Authoritative Justifications in the element Legitimation are realised by the speech function Statement. Conciliation and Warning in the element Exhortation and Facilitation in the element Completion are realised by the speech function, Offer.

The presence or absence of some nuclear and elaborative meanings seems to be dictated by tenor. Table 6-19 summarises how often the meanings are present according to tenor relations. In the table, cells shaded by grey are the meanings which are not present in certain tenor relations.

Table 6-19: Frequencies of the presence or the absence of the meanings according to the tenor

Element	Meaning		(U↑)	(E→)	(D↓)
Direction	Order		100.0%	100.0%	100.0%
	Particulars		20.0%	0.0%	22.2%
	Infromation		60.0%	0.0%	44.4%
Commence- ment	Calls		60.0%	50.0%	94.4%
	Greetings		40.0%	8.3%	0.0%
	Title		80.0%	41.7%	100.0%
Orientation	Background		0.0%	0.0%	44.4%
Legitima- tion	Authoritative Justification		20.0%	0.0%	55.6%
	Situational Justification		60.0%	33.3%	83.3%
Exhortation	Conciliation		20.0%	0.0%	5.6%
	Warning		0.0%	0.0%	27.8%
Completion	Facilitation		0.0%	8.3%	61.1%
	Expression of thanks		60.0%	66.7%	16.7%
	Valediction		80.0%	25.0%	50.0%
	Self- identification	Signature	0.0%	58.3%	27.8%
		Printed name	100.0%	41.7%	94.4%
		Position	40.0%	0.0%	72.0%
		Name of organisation	0.0%	0.0%	33.0%
Total: 6 elements/15 meanings			6 elements	6 elements	6 elements
Total according to the tenor			13 meanings	10 meanigns	14 meanings

As Table 6-19 indicates, six elements and fifteen meanings are identified. The meanings shaded in grey are not present. The tenor relation of D (↓) has the most meanings - 14 in

number. The meaning not utilised by this group is that of Greeting. This assumes that Greeting is not required in texts sent by a superior.

Subordinates uses 13 meanings which is the second most frequent. However, some meanings are not employed: Background, Warning, Facilitation and parts of Self-identification (Signature and Name of organisation). This suggests that subordinates 1) assume that the addressee (superiors) is familiar with the background to the issue, 2) understand that they cannot invoke a threat as a means of enabling the command and 3) assume that they are fully capable and does not need an opportunity to clarify the command.

Interactants of equal status deploy the least number of meanings. For example, equals do not employ Particulars, Information, Background, Authoritative Justification, Conciliation, Warning and parts of Self-identification (Position and Name of organisation). This is indicative of the nature of equality and social closeness between interactants. They do not need to provide Background, suggesting that the addressee already knows what is involved; nor do they need to invoke a higher authority by identifying the position, or threaten or supply an incentive, suggesting that this would unsettle the balance in the relationship. In other words, the results suggest that the wider the statuses between the interactants, the more effort the writers make to be explicit.

Broadly speaking, the meanings can be divided into two types: ideationally-oriented elements and interpersonally-oriented elements according to their functions. While ideationally-oriented meanings function to directly help to comply with the command, interpersonally-oriented meanings mediate the compliance of the commands. For example, while Particulars and Information in the element Direction, Title in the element Commencement, Background in the element Orientation, Authoritative Justification and Situational Justification in the element Legitimation are categorised

into the ideationally-oriented elements, Calls and Greetings in the element Commencement, Conciliation and Warning in the element Exhortation and Facilitation, Expression of thanks and Self-identification in the element Completion are categorised into the interpersonally-oriented elements. The presence of these meanings in particular elements is influenced by tenor relations. Figure 6-15 demonstrates how often the meanings are present according to tenor relations.

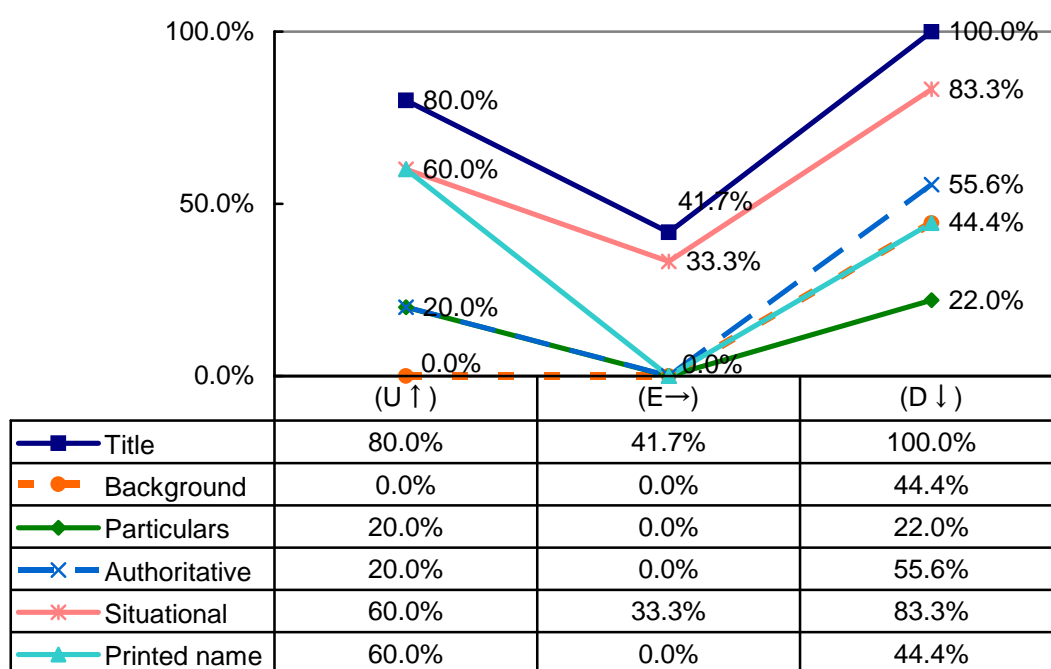


Figure 6-15: Frequency of ideationally-oriented meanings according to tenor

As Figure 6-15 shows, every ideationally-oriented meaning shows similar features. The ideationally-oriented meanings are often present in texts sent by superiors, but are not often present in texts sent by equals. This suggests that for superiors, the more important purpose in the English Directive texts is to convey information.

In contrast, some of the interpersonally-oriented meanings represent different features from that of the ideationally-oriented meanings. Figure 6-16 illustrates this.

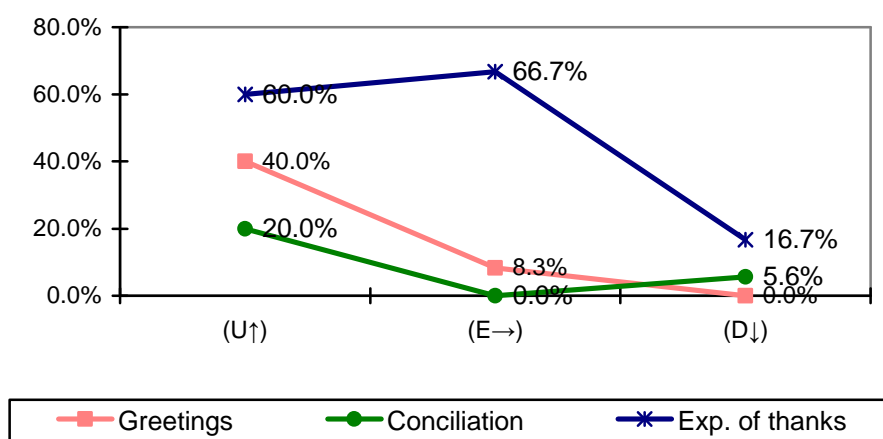


Figure 6-16: Frequency of some interpersonally-oriented meanings according to tenor

Among the interpersonally-oriented meanings, the shape of the line graph for the meanings Greetings, Conciliation and Expression of thanks demonstrates different features from those in Figure 6-15. The interpersonally-oriented meanings do not appear as often in texts sent by superiors as in texts sent by the other two tenor relations. Expression of thanks in texts by equals appears the most frequently. For these reasons, Expression of thanks is an important meaning for texts sent by subordinates or equals. The other two meanings Greetings and Conciliation are also essential for texts sent by subordinates. This suggests that these three meanings are strongly interpersonally oriented.

Lexical choices as well as the presence of particular meanings also appear to be affected according to tenor relations. Different lexical choices such as ‘thank you’ or ‘thanks’; the presence of ‘Dear’ etc. clearly depend on tenor relations. This is because the presence of ‘please’ or ‘thank you’ after an interaction, functions as an honourific marker in English, although English, however, is not rich in honourifics (Bernard & Delbridge, 1980). Since texts sent by superiors contain more meanings than the other two tenor relations, it can be said that the English Directives are relatively ideationally-oriented.

For these reasons, the lower the status the writers occupy, the more meanings such as Greetings, Expression of thanks or Valediction, which are interpersonally-oriented, are required. In contrast, the higher the status the writers occupy, the more meanings such as Background, Justifications or Facilitation which is practical or ideationally-oriented rather than interpersonally-oriented, are required.

Australian society is “less overtly stratified” than other societies (Bernard & Delbridge, 1980, p.251). Yeung (2003) mentions that a democratic tradition and lower power distance are a characteristic of Australian workplaces. “Power is a phenomenon that both Australian superiors and subordinates are uncomfortable with” (Yeung, 2003, p. 61). However, with regards to the corpus, power differences affect the English Directive texts. When the writers are the superiors, more meanings appear in texts. However, there are particular meanings, such as Greetings or Expression of thanks, which appear less often than other tenor relations.

Finally, Table 6-20 summarises the contextual Configuration and Generic Structure Potential of the English Directive with the elements and meanings.

Table 6-20: Contextual Configuration and Generic Structure in the English written Directive texts

Context Configuration	Field Getting things done by addressees	Tenor Hierarchical (↗) (→) (↘)	Mode Graphic, written, rhetorical purpose of Directive	
Generic Structure Potential	<div>(Commencement) ^ (Orientation) ^ [\leftarrowLegitimation>] • Direction] ^ (Exhortation) ^ (Completion)</div>			
Elements		Tenor relation		
Meanings [semantic attribute]				
Direction (ideationally-oriented)		↗	→	↘
Order [presentation of a request or a command]		✓	✓	✓
Particulars & Information [informative details or procedural information of Order]		✓	-	✓
Commencement (interpersonally-oriented)				
Calls [particularisation of an addressee(s)]		✓	✓	✓
Greetings [commencement salutation]		✓	✓	-
Title [short description of the text]		✓	✓	✓
Orientation (ideationally-oriented)				
Background [invitation to the main issue]		-	-	✓
Legitimation (ideationally-oriented)				
Authoritative Justification [presentation of a reason for issuing commands especially by referring to authority]		✓	-	✓
Situational Justification [presentation of a reason for issuing commands]		✓	✓	✓
Exhortation (interpersonally-oriented)				
Conciliation [presentation of a reward]		✓	-	✓
Warning [presentation of a penalty]		-	-	✓
Completion (interpersonally-oriented)				
Facilitation [open invitation to questions on Order]		-	✓	✓
Expression of thanks [statement of writer's gratitude]		✓	✓	-
Valediction [valedictory announcement]		✓	✓	✓
Self-identification [identification of the writer]		✓	✓	✓

Key: Underlined element is the obligatory element in the English Directive texts
Meanings which are enclosed by a square are nuclear meanings.

Chapter 7. General description of the Japanese lexicogrammatical resources

7.0. Introduction

This chapter addresses a general lexicogrammatical description of Japanese and demonstrates how the Japanese corpus is analysed utilising the principles of SF theory already discussed. Following this introduction, section 7-1 describes the system of MOOD in Japanese. Section 7-2 illustrates the Japanese system of MODALITY and section 7-3 presents the system of HONOURIFICATION. Finally, Section 7-4 summarises and concludes this chapter.

7.1. Mood

Japanese clauses select for Mood (Fukui, in press; Teruya, 2007). However, a system in one particular language does not necessarily replicate the same realisation in another language. In other words, the Japanese language needs to have its own realisations specified. In order to investigate the differences between the English and Japanese Mood systems, a Japanese translation of the English dialogue in Table 4-1 in Chapter 4 is shown in Table 7-1. The Japanese dialogue is retrieved from Hori (1995), representing a casual conversation which is a variety of gossip between close friends.

Table 7-1: Japanese translated version of the Duke and the teapot

Please see print copy for table 7.1	
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(Hori, 1995, p. 164)²⁴

As seen in Table 7-1, constituents which were tossed back and forth are not the same as the Mood elements in English. The following section explains this in details.

²⁴ The dialogue is a casual conversation which is a variety of gossip between close friends. Hori points out there is a difficulty in translating from English to Japanese because there are at least 12 versions depending on a situation type. Hori uses FP (Final Particles) in the original version instead of NM (Negotiaotry Marker).

7.1.1. Mood element

The constituents which were tossed back and forth in Japanese are **Predicate**²⁵ and **Negotiator** (Fukui, in press; Teruya, 2004, 2007). The following section illustrates the Predicate and the Negotiator.

7.1.1.1. Predicate

The Predicate is realised by a verbal group²⁶. The experiential structure of the verbal group consists of an Event which conjugates and inflectional morphemes which functioning to realise the various modal means such as polarity and/or modality etc. Table 7-2 shows the complex interpersonal resources function as the Predicate.

Table 7-2: Experiential structure of the Predicate

Please see print copy for table 7.2

(Teruya, 2007, p. 48)

The text in Table 7-2 consists of only the Predicate. Despite the extensive interpersonal resources of the Predicate, the ordering is fixed. Event comes first followed by the inflections with some particles if needed, for modulation, polarity, tense and modalisation if any.

²⁵ Two researchers propose two different terms. Whereas Teruya (1998; 2004; 2007) calls it Predicator, Fukui (1998; in press) calls it Predicate. This study adopts the latter in order to avoid confusion. The reason comes from its function. According to Halliday & Matthiessen (2004, p. 121), Predicator in English 'is realised by a verbal group minus the temporal or modal operator'. On the other hand, Predicate in Japanese functions as Finite + Predicator in English (Fukui, 1998, in press; Teruya, 1998, 2004, 2007).

²⁶ The verbal group is the constituent that functions as Predicate.

Basically, the verbal group consists of three types. They are a verbal type, an adjectival type or a nominal type + copula ‘*da*’. Figure 7-1 shows the choices of the verbal group in the Predicate.

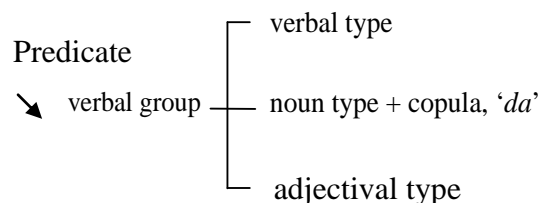


Figure 7-1: Three choices of the verbal group in Predicate

The **verbal type** realises the Predicate. Among the three options of the Predicate, the verbal type has the most variable forms. The verbal type is further divided into three kinds: **vowel-stem verbs**, **consonant-stem verbs** and **irregular verbs**. All verbs end with *u*²⁷ when they are present in a dictionary. The vowel-stem verbs have two options: *IRU* verb (*kami ichidan katsuyoo* 上一段活用) and *-ERU* verb (*shimo ichidan katsuyoo* 下一段活用). Also, the irregular verbs mainly have three options: *KA* irregular verbs, such as *kuru* (to come), *SA* irregular verbs, such as *suru* (to do) and *RA* irregular verbs, such as *ari* (to be). Figure 7-2 summarises these verbal types.

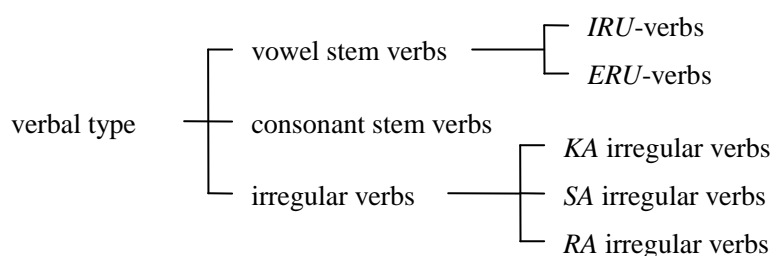


Figure 7-2: Further options of the verbal type in Predicate

Example 7-1 is a text instance which has the Predicate realised by the verbal type.

²⁷ This form is equivalent to the conclusive base of the verb conjugation in Table 7-3.

Example 7-1: Example of the verbal type as Predicate

PC から <i>piishii kara</i> PC from	LAN ケーブル を <i>lan keeburu O</i> LAN cable	抜く。 <i>nuku</i> pull out
Adjunct	Complement	Predicate
Residue		Mood

(You) pull out a LAN cable from a PC.

(J-B-08 sent between (E→) within the same organisation in the form of an email)

The verbal types conjugate depending on suffixes. The conjugation of the verb types has six bases (Shimamura, 1991).

- 1) Negative base (*mizzen-kei* 未然形),
- 2) Continuative base (*renyoo-kei* 連用形),
- 3) Conclusive base (*shuushi-kei* 終止形),
- 4) Adnominal base (*rengai-kei* 連体形),
- 5) Conditional base (*katei-kei* 仮定形) and
- 6) Imperative base (*meirei-kei* 命令形).

For example, each conjugation of the verb *iku* (to go) is described in Table 7-3.

Table 7-3: Conjugation of *iku* (to go)

Conjugation type	stem	conjugation	suffix	translation
1) Negative (<i>mizzen-kei</i> 未然形)	<i>ik</i> <i>ik</i>	<i>a</i>	<i>nai</i> <i>oo</i>	do not go will go
2) Continuative (<i>renyoo-kei</i> 連用形)	<i>ik</i>	<i>i</i>	<i>masu</i>	go-formal
3) Conclusive (<i>shuushi-kei</i> 終止形)	<i>ik</i>	<i>u</i>	-	go
4) adnominal base (<i>rengai-kei</i> 連体形)	<i>ik</i>	<i>u</i>	<i>koto</i>	to go
5) conditional (<i>katei-kei</i> 仮定形)	<i>ik</i>	<i>e</i>	<i>ba</i>	if go
6) imperative (<i>meirei-kei</i> 命令形)	<i>ik</i>	<i>e</i>	-	Go!

These forms in Table 7-3 are:

- 1) the negative base conjugates
nai and indicates negative (the upper row), or
oo and indicates volition (the lower row),
- 2) the continuative base is the form used in creating compound verb forms such as a formal form²⁸ *ikimasu*,

²⁸ A formal form will be discussed in the section of 5.4.1 HONOURIFICATION.

- 3) the conclusive base is the dictionary form of all verb types, and also conjugates *daroo* (will) that indicates future and this form conjugates noun as an adnominal base,
- 4) the adnominal form conjugates – *koto* (thing) and indicates noun,
- 5) the conditional base conjugates –*ba* (if) and indicates condition, and
- 6) the imperative base is an imperative form which realises the imperative Mood.

These conjugation patterns are slightly different depending on the verb types. Table 7-4 shows conjugations of all verbal types.

Table 7-4: Conjugations list of the verbal types²⁹

<div>kinds of verbs</div> <div>types of conjugation</div>	vowel stem verbs				consonant verbs		irregular verbs						Suffix
	IRU-verbs		ERU-verbs				KA irregular		SA irregular		RA irregular		
	miru (to see)		kangaeru (to think)		iku (to go)		kuru (to come)		suru (to do)		ari (to exist)		
1 negative (mizzen-kei 未然形)	-	mi	kanga	e	ik ik	a o	-	ko	-	se shi sa	ar	a	-nai (not), -yoo (will) etc.
2 continuative (renyoo-kei 連用形)	-	mi	kanga	e	ik	i	-	ki	-	shi	ar	i	-tai (want to), -masu (formal form) etc.
3 conclusive (shuushi-kei 終止形)	-	miru	kanga	eru	ik	u	-	kuru	-	suru	ar	i	dictionary form, -daroo (will)
4 adnominal (rentai-kei 連体形)	-	miru	kanga	eru	ik	u	-	kuru	-	suru	ar	i	+noun (ex. -toki (when))
5 conditional (katei-kei 仮定形)	-	mire	kanga	ere	ik	e	-	kure	-	sure	ar	e	-ba (if)
6 imperative (meirei-kei 命令形)	-	miro miyo	kanga	eyo ero	ik	e	-	koi	-	shiro seyo	ar	e	

Key: words on a left hand side of a broken line indicate stem of the verbs.

²⁹ This conjugation list of the verbal types is referred to *Koojien* (Shimamura, 1991, pp. 2782-2783) which is one of the prestigious Japanese dictionary.

A noun type + copula ‘*da*’ (to be) also realises the Predicate. Example 7-2 is an instance of a noun type + *da*. The copula in the text instance is not ‘*da*’ but ‘*desu*’ which is a formal form of ‘*da*’.

Example 7-2: Example of the nominal group + copula in Predicate

総務部	の	XX	です。
<i>soomu bu</i>	NO	XX	<i>desu.</i>
administrative section	NO	XX (a family name)	<i>da</i> -FOR.
Predicate			
Mood			

(I) am XX (a family name of the writer) in the administrative section.
(J-B-17 sent between (U ↑) within the same organisation in the form of an email)

Copulas, *da* (to be) and *desu* (a formal form of *da*) also conjugate like the verbal type, but have fewer bases. For example, the copula does not have an imperative base. Conjugations of *da* and *desu* are listed in Table 7-5.

Table 7-5: Conjugations list of copulas, *da*

kinds of verbs types of conjugation	Copulas		suffix
	<i>da</i>	<i>desu</i> *	
1 negative (<i>mizzen-kei</i> 未然形)	<i>de</i> <i>daro</i>	n/a <i>desho</i>	- <i>nai</i> - <i>o</i> (will)
2 continuative (<i>renyoo-kei</i> 連用形)	<i>de</i> <i>ni</i>	n/a	、
	<i>dat</i>	<i>deshi</i>	- <i>te</i> - <i>ta</i> (past)
3 conclusive (<i>shuushi-kei</i> 終止形)	<i>da</i>	<i>desu</i>	dictionary form
4 adnominal (<i>rentaii-kei</i> 連体形)	n/a	n/a	
5 conditional (<i>katei-kei</i> 假定形)	<i>nara</i>	n/a	- <i>ba</i> (if)
6 imperative (<i>meirei-kei</i> 命令形)	n/a	n/a	

Key: words on a left hand side of a broken line indicate stem of the verbs

* *desu* is a formal form of *da*

As Table 7-5 shows, the adnominal type (4 in Table 7-5) and the imperative (6 in Table 7-5) does not exist.

The **adjectival type** also realises the Predicate. Japanese has two types of adjectives which can instantiate the adjectival type. They are called ‘*i*’ adjective and ‘*na*’ adjective. The difference is clear when the two types of adjectives modify a noun. Example 7-3 is a text example of each adjective. When an *i*-adjective modifies a noun, it ends with ‘*i*’ (marked in a bold font). On the other hand, when a *na*-adjective modifies a noun, it ends with ‘*na*’ (marked in a bold font). This is the reason why the adjectives are called *i*-adjective and *na*-adjective.

Example 7-3: Example of *i*-adjective and *na*-adjective which modifies a noun

<i>i</i> -adjective + noun	<i>na</i> -adjective + noun
短 い 時間	幸せ な 時間
<i>mijika i jikan</i>	<i>shiawase na jikan</i>
short time	Happy time

When these two types of adjectives enact the Predicate, a difference also arises. When *na*-adjective enacts the Predicate, copula, ‘*da*’ is necessary. In contrast to this, when *i*-adjective enacts the Predicate, copula, ‘*da*’ is not necessary. The conjugation of these is also different. While *na*-adjective conjugates the same as the noun types as shown in Table 7-5, *i*-adjective conjugates as shown in Table 7-6.

Table 7-6: Conjugations list of *i*-adjective

kinds of verbs types of conjugation	<i>i</i> -adjective		suffix
		<i>takai</i> (high)	
1 negative (<i>mizzen-kei</i> 未然形)	<i>taka</i>	<i>karo</i>	-o (will)
2 continuative (<i>renyoo-kei</i> 連用形)	<i>taka</i>	<i>ku</i>	-te
		<i>ka</i>	-ta (past)
3 conclusive (<i>shuushi-kei</i> 終止形)	<i>taka</i>	<i>i</i>	dictionary form
4 adnominal (<i>rentai-kei</i> 連体形)	<i>taka</i>	<i>i</i>	<i>koto</i>
5 conditional (<i>katei-kei</i> 仮定形)	<i>taka</i>	<i>kere</i>	-ba (if)
6 imperative (<i>meirei-kei</i> 命令形)		n/a	

Key: words on a left hand side of a broken line indicate stem of the verbs

As table 7-6 represents, *i*-adjective type also does not have an imperative base. Example 7-4 shows *i*-adjective and *na*-adjective as the Predicate.

Example 7-4: Examples of *i*-adjective and *na*-adjective as the Predicate

<i>i</i> -adjective as Predicate	<i>na</i> -adjective as Predicate
時間は短い <i>jikan WA mijikai</i> Time is short. a clause without copula ‘ <i>da</i> ’	生活は幸せ+だ <i>seikatsu WA shiawase + da</i> Life is happy. a clause with copula ‘ <i>da</i> ’

In addition to the Predicate, the Japanese has the other Mood element called Negotiator. The following section describes it.

7.1.1.2. Negotiator

The Negotiator adds various negotiatory values by expressing the writer’s attitudinal stance (Teruya, 2007). The Negotiator is realised by interpersonal particles such as *ne*, *yo* or *ka*. Broadly speaking, the Negotiator can be divided into two types. One function is to indicate the speaker/writer’s attitudinal stance, and the other function is to express the Mood type of the interrogative. That is, when the Negotiator such as *ka*, *kai* or *no* is present at the very end of the clause, the Mood type is interrogative. For a clear distinction, this study will adopt the **Interrogator** for the Negotiator which is selected for the interrogative. Example 7-5 is an instance of the Negotiator, whereas Example 7-6 shows an instance of the Interrogator (highlighted in a grey colour).

Example 7-5: Example of Negotiator

**さんの 説明です ** <i>san NO setsumei desu</i> ** Mrs. NO explanation <i>da</i> -FOR	と、 <i>to</i> , TO	売限度 ということ <i>urigendo to iukoto</i> is a selling limitation that	になります <i>ni narimasu</i> become	ね。 <i>ne</i> .
Predicate noun type		Complement	Predicate verbal type	Negotiator
Mood		Residue	Mood	
x β		α		

According to your explanation, (it) is a selling limitation, isn’t it?
(J-B-01 sent between E (→) within the same organisation in the form of an email)

Example 7-6: Example of Interrogator

国法に <i>kokuhoo ni</i> on the national law	基づくもの <i>motozuku mono</i> based	か。 <i>ka.</i>
Adjunct	Predicate noun type	Interrogator
Residue	Mood	

Is (it) based on the national law?

(J-G-01 sent between S (↓) to a different organisation in the form of a letter)

Although the Mood elements in Japanese are Predicate, Interrogator and Negotiator, Subject plays an important role in a clause. The next section describes the role of Subject in Japanese.

7.1.1.3. Subject

Subject is not a Mood element in Japanese but modally responsible (Teruya, 2007).

Because of the honoufic system, especially in the Predicate, it is easy to infer the Subject. In other words, the Subject affects the choice of the honoufics in the Predicate.

Up to now, many Japanese grammarians have pointed out that the Subject in Japanese is elided. However, according to Halliday and Hasan (1976),

where there is ellipsis, there is a presupposition, in the structure, that something is to be supplied, or ‘understood. ..[T]he essential characteristic of ellipsis is that something which is present in the selection of underlying (‘systemic’) options is omitted in the structure – whether or not the resulting structure is in itself ‘**incomplete**’ (p. 144, emphasis is added).

In Japanese, a clause is not incomplete even though Subject is not recovered. This is not surprising because many researchers (Kanetani, 2002; Kusano, 1897, 1899; Mikami, 1955, 1960, 1963) have doubted the existence of Subject in Japanese. For example, it is difficult to recover Subject in a text instance in Example 7-7. In the example, the Subject is not elided but does not exist at all in the clauses.

Example 7-7: Example of the Subject which is difficult to be recovered

Please see print copy for example 7.7

(Kanetani, 2002, p. 65)

Even if there is no Subject, the clause is not incomplete. Considering these facts, it is difficult to apply the notion of ellipsis by Halliday and Hasan to Subject in some Japanese clauses. Instead, this study suggests another notion, **nought** for this linguistic phenomenon. The Japanese has nought in addition to ellipsis.

From the SF theoretical perspective, Subject is elided when the modal responsibility is clear from the co-text and/or context (Teruya, 2007). Teruya presented the system of SUBJECT PERSON and SUBJECT PRESUMPTION as the most general systems of indicative type as given in Figure 7-3.

Please see print copy for figure 7.3

(Teruya, 2007, p. 171)

Figure 7-3: Systems of SUBJECT PERSON and SUBJECT PRESUMPTION

In the system of SUBJECT PERSON, non-interactant does not have further delicacy. Moreover, it is difficult to explain the clause which does not have any Subject by using the system of SUBJECT PRESUMPTION. For these two reasons, this study suggests the systems in Figure 7-4.

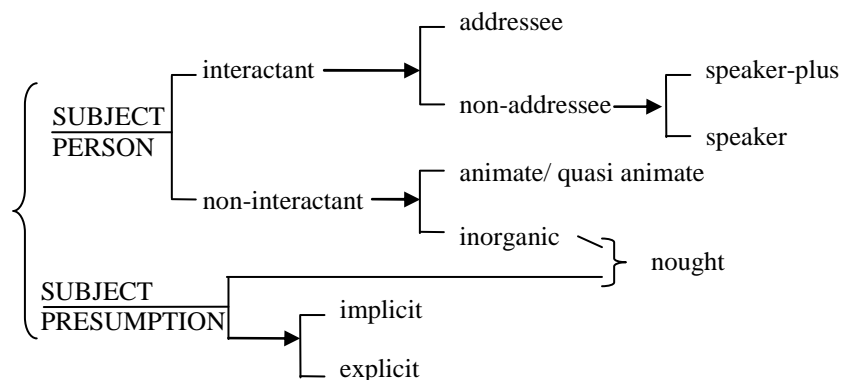


Figure 7-4: Systems of SUBJECT PERSON and SUBJECT PRESUMPTION in this study

The differences between Figure 7-3 and Figure 7-4 are 1) the delicacy of non-interactant in the system of SUBJECT PERSON and the options of the system of SUBJECT PRESUMPTION at the most general level. Whereas this study has further options of non-interactant: animate/quasi animate or inorganic, Teruya's model does not have further option. In addition, while the Teruya's model has two options in the system of SUBJECT PRESUMPTION, this study has two options before implicit and explicit. The other option in the system of SUBJECT PRESUMPTION intersects with inorganic in the system of SUBJECT PERSON, and nought occurs. As Teruya (2007) mentions, these systems co-exists with the indicative Mood.

7.1.2. Mood types

The system of MOOD in Japanese has begun to be described (Fukui, in press; Teruya, 2007). Before going into a detailed explanation, I want to firstly explain how the system network in this study differs from the previous models by Teruya (2007) and Fukui (in press) in order to make the differences clear. After the system of MOOD used in this study is presented, Teruya's and Fukui's models will then be introduced. Figure 7-5 indicates the system of MOOD in this study.

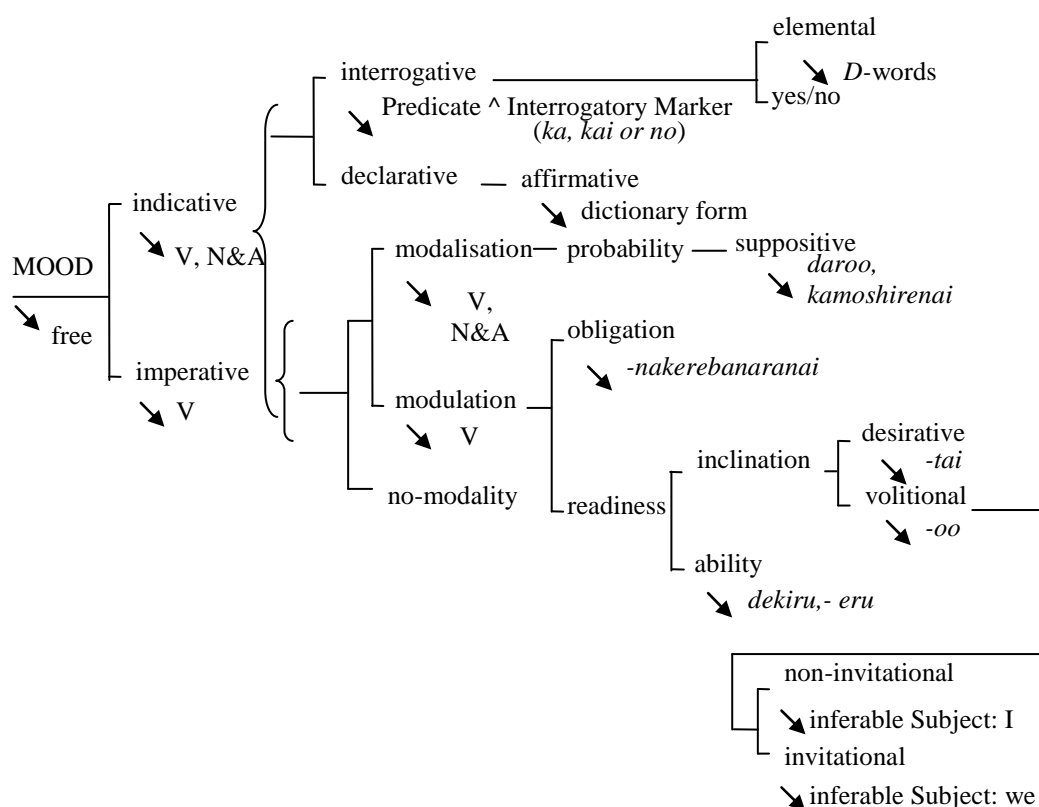
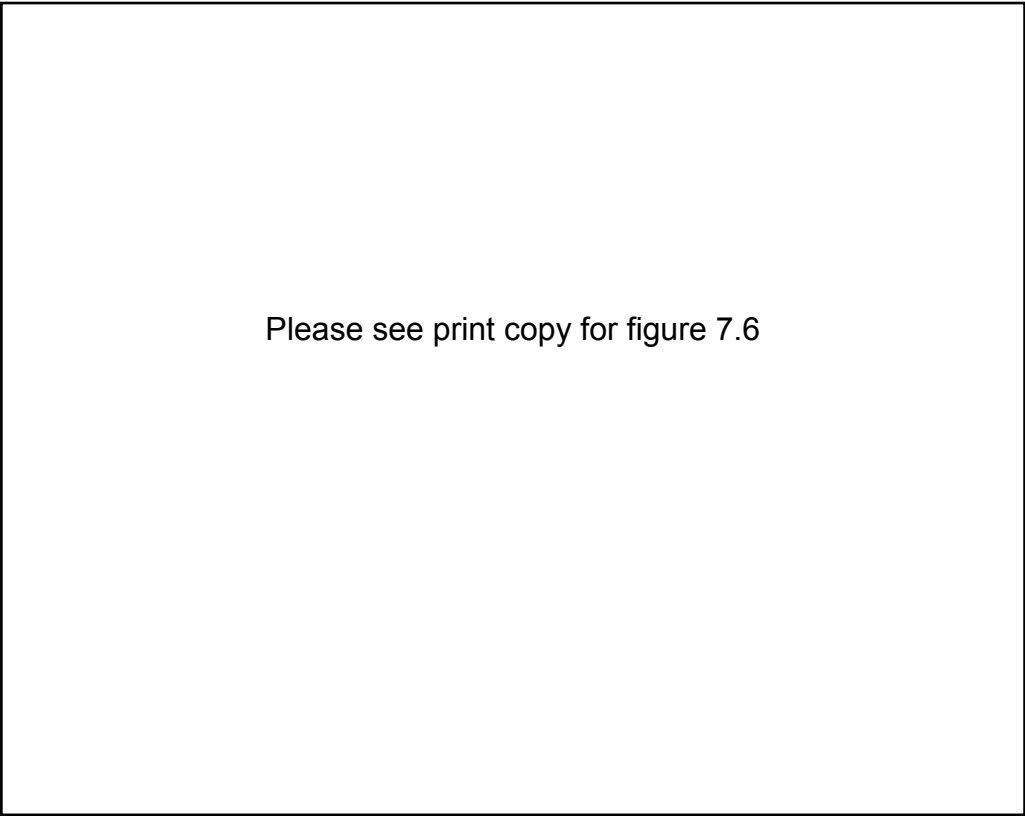


Figure 7-5: System of MOOD in this study

At the most general level, the selection of MOOD in this study is either **indicative** or **imperative** depending on the choices of the verbal group in the Predicate. As already mentioned in the previous section, the indicative is realised by all types in the verbal groups, while the imperative is realised only by the verbal type. That is, the adjectival type and the noun type cannot realise the imperative.

On the other hand, Teruya and Fukui indicate different Mood types at the most general level. Broadly speaking, the difference between the systems by Teruya and Fukui lies in the mood types at the most general level³⁰. Figure 7-6 represents Teruya's model.

³⁰ While in Fukui's model, the Mood type at the most general level is either non-oblativ or oblativ, Teruya's model has two options: indicative or non-indicative. This will be referred to later.



Please see print copy for figure 7.6

(Teruya, 2007)

Figure 7-6: System network of MOOD in Japanese (Teruya's model)

Teruya's model has two options: indicative and non-indicative at the most general level. The indicative has two options: interrogative or declarative. While the interrogative has two further options: elemental or yes/no, the declarative has two further options: conclusive or suppositive. The non-indicative has further two options: imperative optative, and then the imperative has further options such as jussive, suggestive, prohibitive, requestive and optative (Teruya, 2007, p. 195). According to his model, the Mood types such as suppositive, suggestive and optative need the suffixes after the conjugated inflections. These types have features of modality (cf. Yamaoka, 2000). For these reasons, this study treats these types as modality.

On the other hand, Fukui's model has two options: non-oblativ or oblativ at the most general level as shown in Figure 7-7.

Please see print copy for figure 7.7

(Fukui, in press)

Figure 7-7: System network of MOOD in Japanese (Fukui's model)

While the non-oblique can intersect with the system of POLARITY, the oblique cannot (Fukui, in press). However, according to *Koojien* (Shimamura, 1991, p. 2784), the oblique can also intersect with the system of polarity in the form of *~mai*. Further, Fukui's model was limited to particular casual spoken texts. For this reason, this study adopts the system of MOOD in Figure 7-5.

There is yet to be consensus in relation to the system networks of MOOD in Japanese due to the fact that studies of Japanese Mood are new and in response to specific corpora. As studies increase and various kinds corpora are used, the network will no doubt be extended and stabilised.

Having explained the three variations of the system of MOOD, the following section presents each Mood type.

7.1.2.1. Indicative

The indicative has two options: **interrogative** and **declarative**. The difference lies in the presence or the absence of an Interrogatory Marker such as *ka*, *no* or *kai*. While the interrogative has the interrogative marker, the declarative does not. Figure 7-8 shows further choices of the indicative.

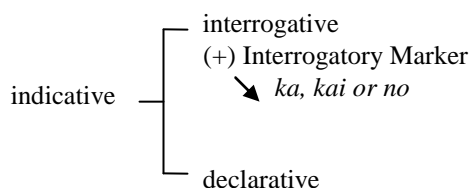


Figure 7-8: Further options of the indicative

The **interrogative** expresses a demand for information and is realised by an Interrogatory marker at the end of the clause. The interrogative has two options: **elemental** and **yes/no** as shown in Figure 7-9. “The former is concerned with the polarity of the proposition” (Teruya, 2007, p. 170), which means demanding yes/no information. The latter, on the other hand, is concerned with “missing or unknown information in the transitivity structure of the clause” (Teruya, 2007, p. 170), which means demanding particular information.

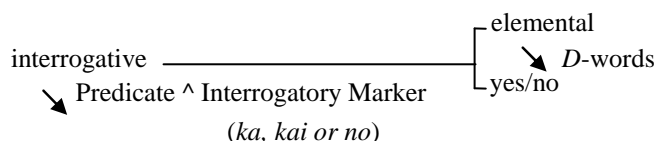


Figure 7-9: Further options of the interrogative

The **elemental interrogative** is realised by the presence of D-words such as *dare* (who), *doko* (where), *doushite* (why), *docchi* (which) or *itsu* (when) which is usually located at the beginning of the clause. In contrast, the Interrogatory marker is present at the end of the clause. Example 7-8 is a text instance of the elemental interrogative in the corpus.

Example 7-8: Example of the elemental interrogative Mood

<div style="border: 1px dashed black; padding: 2px; display: inline-block;"> どの 週 が <i>dono shuu GA</i> which week </div>	良いでしょう <i>onaji deshoo</i> same SUP-daroo FOR	<div style="border: 1px dashed black; padding: 2px; display: inline-block;"> か。 <i>ka</i> INT </div>
Subject	Predicate (Adjective type)	Interrogator
Mood		

Which week is good ?

(J-G-08 sent between (E→) to a different organisation in the form of a facsimile)

In Example 7-8, both features are enclosed by squares with a broken line.

The other option of the interrogative is the **yes/no interrogative**. Example 7-8 is a text instance of yes/no interrogative in the corpus. Unlike the elemental interrogative, the yes/no interrogative has only the Interrogative marker which is enclosed by a square with a broken line in Example 7-9.

Example 7-9: Example of the yes/no interrogative Mood

名簿の <i>meibo</i> NO a list on	緊急連絡先の <i>kinkyuurenrakusaki</i> NO emergency contact NO 住所は <i>juusho</i> WA address WA	現住所と <i>genjuush</i> to current address as	同じでしょう <i>onaji deshoo</i> same SUP - <i>daroo</i> -FOR	か。 <i>ka</i> INT.
Adjunct	Subject	Adjunct	Predicate (Noun type)	Int.
Residue			Mood	

Does the address of the emergency contact noted on the list remain unchanged?
(J-G-13 sent between (E→) to a different organisation in the form of a facsimile)

The other option of the indicative opposing the interrogative is the **declarative**. The declarative in this study has a further choice: **affirmative** which is realised by the dictionary form. In the affirmative, there is no room for any modality. Example 7-10 exemplifies an instance of the affirmative.

Example 7-10: Example of the affirmative in the declarative Mood

廊下は <i>rooka</i> WA corridors	唯一の避難通路です。 <i>yuuitsu NO hinan tuuro desu</i> only evacuating passage <i>da</i> -FOR
Subject	Predicate (Noun type)
Residue	Mood

Corridors are the only evacuating passages.
(J-E-10 sent between (D↓) within the same organisation in the form of a letter)

This section has described the indicative. The following section will explain the imperative.

7.1.2.2. Imperative

In contrast to the indicative, the other option is **imperative**. The imperative is realised by the conjugation of the imperative base in Table 7-4. The imperative has two options:

jussive or **prohibitive** by intersecting with the system of POLARITY³¹. Figure 7-10 shows the two systems of MOOD and POLARITY at the most general level.

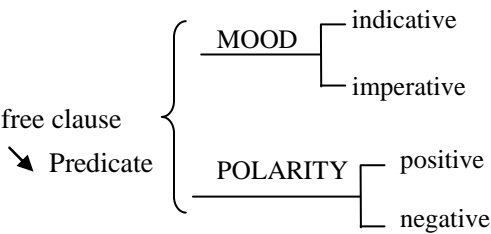


Figure 7-10: Systems of MOOD and POLARITY

Example 7-11 is a text instance of the imperative.

Example 7-11: Example of imperative Mood

連絡しろ。 <i>renrakushiro</i> Make a contact.
Predicate
Mood

In fact, the imperative represented in Example 7-11 is seldom used because it is very assertive. There is no instance in the Japanese Directives. Instead, the imperative is frequently used with ‘~ (*te*) *kudasai*’. Example 7-12 shows a formal form of the imperative.

Example 7-12: Example of the formal form of the imperative

連絡し て ください <i>renrakush ite kudasai</i> make a contact imperative POL
Predicate
Mood

Please make a contact.
(J-G-08 sent between (E→) to a different organisation in the form of a facsimile)

The formal form of the imperative which intersects with the negative is shown in Example 7-13.

³¹ The Japanese system of POLARITY has two options: positive and negative. The negative polarity is realised by the negative suffix: *nai*. The word can inflect when it intersects with other interpersonal systems such as MOOD or HONOURIFICATION. For example, when the negative polarity intersects with the system of FORMALITY, it will be ‘-*masen*’.

Example 7-13: Example of negative of the formal form of the imperative

せめて <i>semete</i> at least	片側は <i>katagawa WA</i> one side on	絶対に <i>zettaini</i> never	物を <i>mono O</i> things	置か ない で ください。 <i>oka nai de kudasai</i> place NOT please
Adjunct	Adjunct	Adjunct	Complement	Predicate
Residue				Mood

Please, only place items on one side of the corridors.

(J-E-10 sent between (D↓) within the same organisation in the form of a letter)

As Example 7-13 shows, the negative: *nai* is placed before *dekudasai* which is the formal form of the imperative.

Having described the Japanese mood system, the next section will now explain modality in Japanese. As Halliday (2002) points out, “within the interpersonal component, there is a high degree of interdependence between systems of mood and modality” (p. 200). The following section refers to modality.

7.2. Modality

Japanese has a system of MODALITY (Teruya, 2007). Modality has two options: MODALISATION and MODULATION. While MODALISATION refers to the range between yes and no which is related to a proposition, MODULATION refers to the range between yes and no which is related to a proposal. A system of MODALITY is re-presented in Figure 7-11.

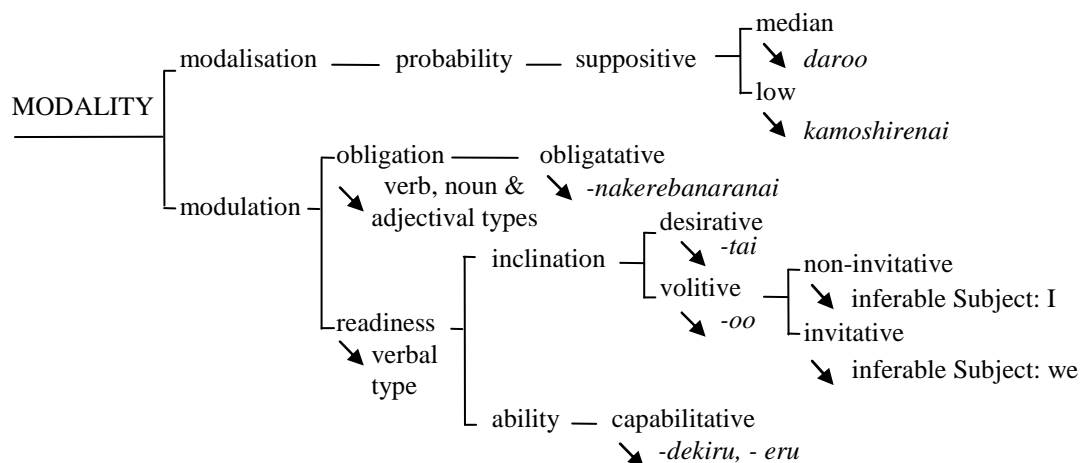


Figure 7-11: System of MODALITY in this study

As stated in the previous section, the several types which Teruya and Fukui treat as the Mood types are categorised and mentioned under Modality. In this study, the system of MODALITY simultaneously occurs with the indicative in the system of MOOD.

7.2.1. Modalisation

Modalisation has one option: **probability**. Unlike modality in English (Cf. Chapter 4) usuality is not realised by the Predicate in Japanese. The option of probability is the **suppositive**. The suppositive indicates a writer/speaker's supposition. The suppositive is realised by the conclusive base + an auxiliary verb: *daroo* or *kamoshirenai*. These are different in Value: while *~daroo* (will) is more probable than *~kamoshirenai* (may). The suppositive, *~daroo* can be categorised as median, whereas the suppositive, *~kamoshirenai* can be categorised as low. Example 7-14 is a text instance of the suppositive.

Example 7-14: Example of the suppositive (median)

ご 都合 は <i>go- tsugoo wa</i> BEA-go convenience	いかが でしょう <i>ikaga de shoo</i> how <i>daroo-FOR</i>	か。 <i>ka</i> INT
Adjunct	Predicate	Interrogator
Residue	Mood	

How is (your) schedule?

(J-G-05 sent between U (↑) to a different organisation in the form of an email)

In the instance in Example 7-14, a formal form of the suppositive, *daroo* is employed in the interrogative Mood. Whereas the value of the suppositive in Example 7-13 represents median, Example 7-15 shows the low value of the suppositive.

Example 7-15: Example of the suppositive (low)

時間も <i>jikan mo</i> time too	短い <i>mijikai</i> how	かもしれません <i>kamoshiremasen</i> may-formal	が、 <i>ga</i> but
Complement	Predicate		φ
Residue	Mood		
1			
特別に <i>tokubetsuni</i> especially	シャワーは <i>shawaa wa</i> shower for	朝 6 時 から <i>asa rokuji kara</i> a.m. 6:00 from	使用できる ように <i>shiyoo dekiru yooni</i> use be able to to
Adjunct	Adjunct	Adjunct	Predicate
Residue		Mood	
‘α			
お願いしてあります。 <i>onegai shite arimasu</i> have asked-HUM/FOR			
Predicate			
Mood			
+2			

Time may also be short, but (I) have asked to be able to have a shower from the 6a.m.
(J-G-10 sent between E (→) to a different organisation in the form of a facsimile)

The text example in Example 7-15 has low suppositive value in modalisation, *kamoshiremasen* (highlighted in bold). The writer supposes that time may be short.

7.2.2. Modulation

The other choice of modality is modulation. Modulation includes a choice between **obligation** and **readiness** (Halliday, 1985c, 1994). An instance of the obligation is shown in Example 7-16.

Example 7-16: Example of the obligation

注意 事項を <i>chuui jikoo O</i> items that need attention	提示し <i>teiji</i> show	なければなりません。 <i>shinakerebanarimasen</i> must-FOR
Complement	Predicate	
Residue	Mood	

(You) must indicate the items that need attention.
(J-E-10 sent between D (↓) within the same organisation in the form of a letter)

Further readiness is divided into **inclination** and **ability**. While inclination is “related to an offer; in other words, some degree of obligation or of inclination” (Halliday, 1994, p. 356), ability has further two options: inclination or ability (Halliday, 1994, p. 359).

Inclination has two options: **desiderative** or **volitional**. The **desiderative** is realised by the continuative base + an auxiliary verb: *tai* (want to) which indicates a writer/speaker's desire. This is not surprising because, as Halliday (1994, p. 356) points out, 'wants to' (which equates to '~*tai*') is related to some degree of inclination. Example 7-17 is an instance of desiderative. The suffix of the desiderative is enclosed by a square in Example 7-17.

Example 7-17: Example of the desiderative in a projected clause

この日程 で <i>kono nittei de</i> this schedule at	お 願 い し たい BEA/PREo-negaish itai students to	と <i>to</i> that	思います。 <i>omoimasu.</i> think-FOR.
Adjunct	Predicate		Predicate
Residue	Mood		Mood
'β			α

(I) hope this schedule is good for (you).

(J-G-11 sent between (E→) to a different organisation in the form of an email)

The **volitional** is realised by the tentative base + "modality suffix: *yoo*" (Yamaoka, 2000, p. 91). "The suffix: *yoo* changes its meaning depending on Subject" (Yamaoka, 2000, p. 90). Depending on the Subject which is usually elided, the volitional has two options. One is **non-invitational**, and the other is **invitational**. While the suffix: *yoo* (will) is non-invitational when an inferable Subject is 'I', the suffix: *yoo* (let's) is invitational when an inferable Subject is 'we'. Figure 7-12 shows these options.

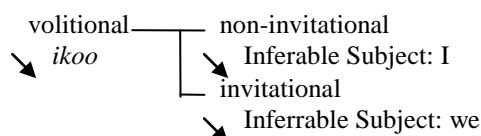


Figure 7-12: Further options of the volitive

Example 7-18 is an instance of the non-invitational. In this instance, an inferable Subject is 'I'.

Example 7-18: Example of the non-invitational (inferable Subject: I)

お	教えし	ましょう。
<i>o</i>	<i>oshieshi</i>	<i>mashoo</i>
BEA/PRE-o	teach	will-FOR
Predicate		
Mood		

(I) will teach (you).

In contrast to Example 7-18, Example 7-19 represents an instance of the invitational. In this instance, an inferable Subject is ‘we’.

Example 7-19: Example of the invitational (inferable Subject: we)

習慣づけ	ましょう。
<i>shuukan zuke</i>	<i>mashoo</i>
make a habit	let’s-FOR
Predicate	
Mood	

Let’s make (it) a habit

(J-E-10 sent (D↓) within the same organisation in the form of a letter)

As Example 7-18 and 7-19 indicate, the same suffix has two different functions depending on context.

Ability is the other choice of readiness. The ability is realised by the abnominal base + suffix: *eru*³². Example 7-20 is an instance of the ability.

Example 7-20: Example of ability in the declarative

少なくとも	11 (火) には	青山 に	行け ます。
<i>sukunakutomo</i>	<i>juuichinichi (ka) niwa</i>	<i>Aoyama ni</i>	<i>ik e masu</i>
at least	11 (Tue.) on	Aoyama to	go can -FOR
Adjunct	Adjunct	Complement	Predicate
Residue			Mood

At least, (I) can go to Aoyama on 11(Tue.).

(J-B-16 sent (D↓) within the same organisation in the form of an email)

On the other hand, the negative ability is realised by the negative base + *raremasen* (*rare* for ability and *masen* for formal negative: *nai*) as Example 7-21 exemplifies.

³² Ability is also realised by other forms such as ‘*dekiru*’ (can). It is realised by the conclusive base + ‘*koto GA dekiru*’ such as *yomukoto GA dekiru* (can read), or by etc..

Example 7-21: Example of the negative ability in the declarative

旅行代理店発行の領収書 は <i>ryokoo dairiten NO ryooshuusho WA</i> travel agency issue NO receipt WA	還付 資料 として <i>kanpu shiryoo toshite</i> refund material as	認められません。 <i>mitomeraremasen</i> be recognisedcannot-FOR
Subject	Adjunct	Predicate
Residue		Mood

A receipt which is issued by a travel agency cannot be recognised as a refund document.
(J-B-16 sent between (E→) within the same organisation in the form of a letter)

This section has described the modality which is realised by the Predicate in Japanese. The lexicogrammatical realisation of the modal Predicate is different from that in English. Further, this study has presented a different system of MODALITY from Teruya or Fukui's models. The next section will describe the modality which is realised by Adjunct.

7.2.3. Modal Adjunct

The Japanese modal Adjunct, according to Teruya (2007), 'play[s] an important role in the interpersonal exchange' (pp. 146-147). The modal Adjunct has two options: mood Adjunct or comment Adjunct. Table 7-7 represents the modal Adjuncts using Teruya's (2007) classification.

Table 7-7: List of the modal Adjunct

Please see print copy for table 7.7

(based on Teruya, 2007)

While the mood Adjunct, such as *amari*, *zenzen*, *kesshite* or *osoraku* forms an interpersonal prosody (*kakarimusubi*) with the Predicate, the comment Adjunct expresses the speaker/writer's attitudinal stance toward the message such as *saiwaini* さ

いよいよ (fortunately) or *hontooni* ほんとうに (truly) etc.. Example 7-22 shows an instance of the mood Adjunct in the corpus.

Example 7-22: Example of the mood Adjunct

現在の 試薬類 の 管理は <i>genzai NO shiyakurui NO kanri wa</i> current reagent materials management	決して <i>kesshite</i> ever	十分とは <i>juubuntowa</i> enough	申し上げられません。 <i>mooshiageraremasen.</i> say-HUM cannot-FOR
Adjunct	Mood Adjunct	Comple- ment	Predicate
Resi-		due	
	Mo-		od

(I) cannot say that the current management of the reagent materials are ever enough.

(J-E-10 sent between D (↓) within the same organisation in the form of a letter)

The mood Adjunct: *kesshite* (ever) in Example 7-21 forms the interpersonal prosody with the Predicate: *masen*.

On the other hand, Example 7-23 is an instance of the comment Adjunct which expresses the speaker/writer's attitudinal stance toward the message.

Example 7-23: Example of the comment Adjunct

ご 多忙 中 <i>go taboo chuu</i> PRE/RES go very busy while	誠に <i>makotoni</i> truly	申し訳 ありません <i>mooshiwake arimasen</i> excuse there is no	が、 <i>ga</i> but
Adjunct	comment Adjunct	Predicate	
Residue	Mood		

(I) truly feel sorry (for you) because (you) are very busy, but

(J-E-14sent between U (↑) within the same organisation in the form of a letter)

In Example 7-23, the comment Adjunct: *makotoni* (truly) intensifies the writer's apologetic feeling.

So far, the Japanese modal system has been described. In addition, Japanese has important interpersonal systems which are called *keigo* (honourific expressions). The following section explains these systems relating to *keigo* (honourific expressions).

7.3. HONOURIFICATION

Japanese has an important interpersonal system which enacts the social roles. The system is called *keigo* (honorific expressions). The role of the honorific expressions is

to show a speaker/writer's humbleness or respect towards an addressee(s)' (side) (A Japanese Cultural Inquiry Commission, 2007). The use of the Japanese honourific system is affected by the relationship which is involved via a dialogue. For example, an expression used for addressee(s) who is inside his/her own workplace is not necessarily the same of that used for addressee(s) who is outside his/her own workplace. Similarly, when addressing his/her superior, a Japanese worker would use the respectful form, but if the same worker mentioned his/her superior to someone from another workplace, s/he would use the humble form to describe the superior.

The cultural counsel (*Bunka shingikai*) produced a guideline for honourifics (A Japanese Cultural Inquiry Commission, 2007). In the guideline, the Japanese honourific expressions are classified into five categories. These are respectful words, humble words, formal words, and beautifying words. While the respectful and humble words exist in the noun group and the verbal group, the beautifying words exist in the noun group only.

The system of HONOURIFICATION within the Predicate has two choices, one is FORMALITY and the other is HIERARCHY. These primary options are shown in Figure 7-13.

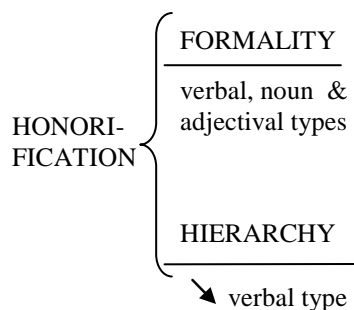


Figure 7-13: System of HONOURIFICATION: primary options

While HIERARCHY tends to vary depending on an interpersonal relationship between interlocutors, FORMALITY tends to vary depending on the *ba* (a situation) (Makino, 1996).

The ‘*keigo*’ itself does not convey any experiential information, but expresses a speaker’s attitude towards an addressee(s). Table 7-8 represents the paradigm of FORMALITY and HIERARCHY and its inferable Subject.

Table 7-8: A paradigm of HIERARCHY and FORMALITY for *iku* (go)

			FORMALITY	
			plain	formal
neutral			ik-u go	ik-i-masu go-FOR
			inferable Subject: depending on a context	
manifest	humble	courteous	mairu go-COU	mairi-masu go-HUM/FOR
			inferable Subject: a writer or a writer's side	
	differential	ukagau go-DIF	ukagai-masu go-DIF/FOR	
		inferable Subject: a writer or a writer's side		
	respectful	irassylaru go-RES	irassyai-masu go-RES/FOR	
		inferable Subject: an address or a third person		
HIERARCHY				

As Table 7-8 indicates, Japanese words: *iku* (to go) has eight forms in the systems of FORMALITY and HIERARCHY. Although the experiential meaning is the same, the interpersonal meaning is different for each. In the following sections, FORMALITY and HIERARCHY are described.

7.3.1. Formality

The system of FORMALITY has two choices at the most general level. They are either **plain** or **formal**. A formal form (*teineigo*) expresses the writer’s formal feeling towards an addressee(s) (A Japanese Cultural Inquiry Commission, 2007). Further, the formal has two options: **copular** or **verbal**. While the copular is realised by *desu*, the verbal is realised by *masu*. Whereas *desu* is a formal form of the copula *da*, *masu* is the formal

form of a verbal type, which is added after the continuative base of the conjugation. The copular has the more formal form which is realised by *~ (de) gozaimasu*. The system of FORMALITY is shown in Figure 7-14.

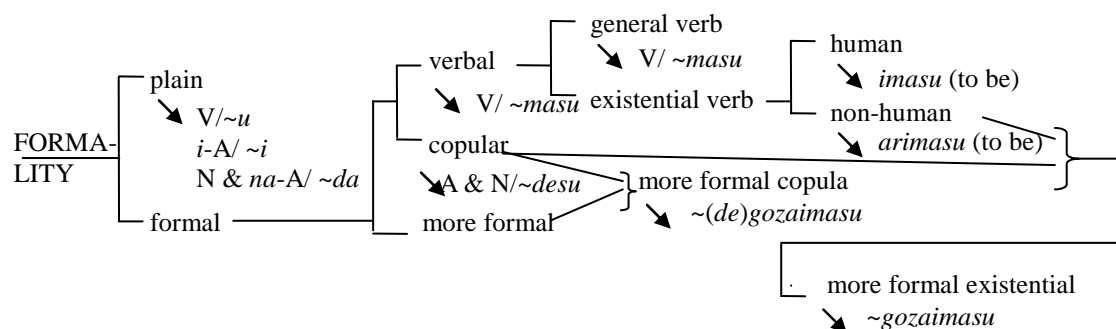


Figure 7-14: System of FORMALITY

Instances of the plain and formal form are indicated in Example 7-24. The first text example in Example 7-24 is an instance of the plain form, and the second text example is an instance of the formal form.

Example 7-24: Examples of the plain and formal forms

plain declarative	
hisshuu gogaku kamuku WA 必修 語学 科目 は compulsory language subject	nozoku 除く excludes
Subject	Predicate
Residue	Mood
(I) exclude a compulsory subject (J-E-14 sent between (U ↑) within the same organisation in the form of a letter)	
re-written version of the formal declarative	
The above remains unchanged.	nozokimasu 除きます excludes-FOR
Subject	Predicate
Residue	Mood

In the upper example, the Predicate: *nozoku* (to exclude) is a plain form.

There exists a more formal form which is realised '*~ (de) gozaimasu*'. However, the verbal groups to which the more formal form: *gozaimasu* attaches, are limited. They are the copular '*da*' or '*aru*' (to be). Example 7-25 is an instance of the more formal

existential: *gozaimasu*. In Example 7-25, a clause in the first example shows the more formal existential, and a clause in the second example shows the formal form.

Example 7-25: Examples of the formal existential and more formal existential

more formal existential			
教室・ <i>kyooshitsu</i> ・ classroom・ 補講 日 <i>hokoo bi</i> makeup class date に関しては、 <i>nikanshitewa</i> with regard to	他の 補講、 <i>hoka NO koogi</i> ・ other makeup class, 集中 講義等 の <i>shuuchuu koogi NO</i> intensive lectures of 関係上 <i>kankeijoo</i> in relation to	ご 希望 に <i>go kiboo NI</i> go-PRE/BEA request NI 添え ない場合 が <i>soe nai baai GA</i> can meet not case GA	ございます。 <i>gozaimasu</i> be-More Formal
Adjunct	Adjunct	Subject (non-human)	Predicate existential verb (non-human)
Residue			Mood
With regard to your makeup class room and date request, in this case, (we) cannot meet (your) request due to other makeup classes or intensive lectures (which have priority). (J-E-19 sent between (U ↑) within the same organisation in the form of letter)			
re-written version with a <u>formal form</u> of the above clause			
The above remains unchanged.			あります。 <i>arimasu</i> be-Formal
Adjunct	Adjunct	Subject (non-human)	Predicate existential verb (non-human)
Residue			Mood

FORMALITY contains choices as the system goes to the specific level. The following section presents the system of HIERARCHY.

7.3.2. Hierarchy

The choice of HIERARCHY depends on social hierarchy, and it is shown in Figure 7-15.

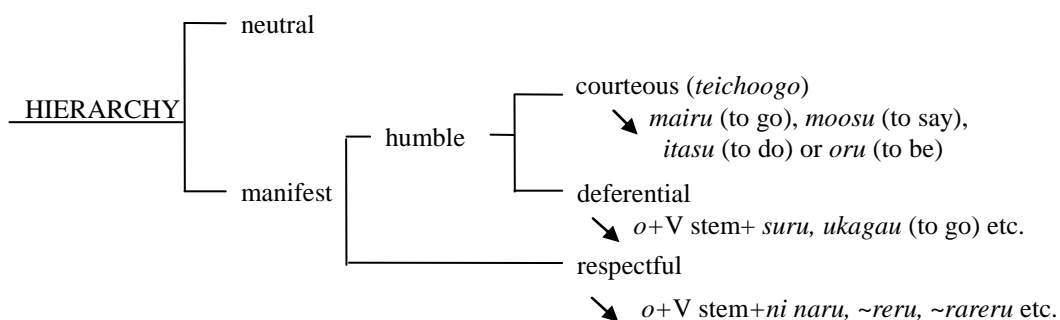


Figure 7-15: System of HIERARCHY

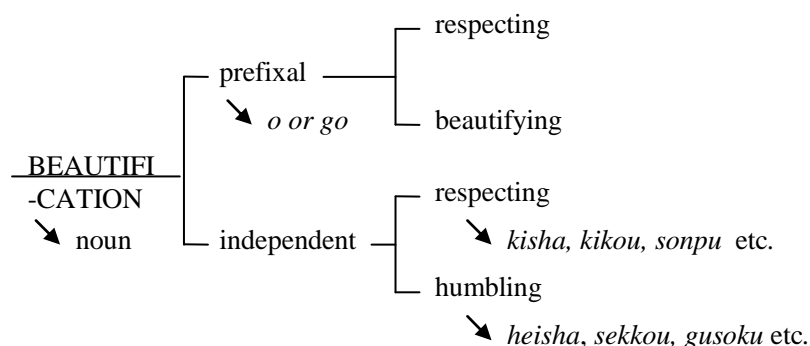
The system of HIERARCHY has two options: **neutral** or **manifest** at the most general level. Manifest has two further options: a **respectful form** (*sonkeigo*) or a **humble form** (*kenjoogo*). The respectful form expresses a writer's courtesy by elevating an addressee's action such as *irassharu* (go/come) and *ossharu* (say). The Subject, which is elided, is a person who is elevated. The humble form has two further choices: a **differential form** or a **courteous form** (= *teichoogo*)³³. The differential form is used when a writer refers to either a thing or an action which relates to the addressee/a third person. This elevates the addressee or a third person that needs to be elevated. For example, *ukagau* (I go), *moushiageru* (I say) as a lexical verb. The Subject, which is elided, is the writer/speaker. The courteous form expresses a writer's conduct courteously towards an addressee/a third person. For example, *mairu* (I go/come), *moosu* (I say) or *itasu* (I do) as a lexical verb.

7.3.3. Beautifying words

Keigo exists not only in the verbal group in the Predicate, but is also expressed in the noun group. The fifth type of *keigo*: a **beautifying word** (*bikago*) falls into the latter group. Usually a prefix: *o* or *go* realises the beautifying words. A prefix: **go** is added in order to express courtesy. This prefix is mostly attached to *kango* 漢語, lexis which

³³ Originally, a courteous form is referred to as humble form (II) and a differential form is referred to as a humble form (I) (2007). However, this study adopts the differential for humble (I) and the courteous for humble (II) because the words capture the features of the humble forms precisely.

originates from Chinese. Some exceptions occur when *go* attaches to *wago* 和語 (native Japanese words) such as *yukkkuri* or *mottomo* (Tsujimura, Kuwayama, Hosokawa, Kawagishi & Kikuchi, 1991, p. 214). For *wago*, *o* instead of *go* is added as a prefix for courtesy. However, some words such as *shoogatsu*, *jikan*, *tenki*, *kyaku* have prefix *o* instead of *go* even though they are examples of *kango*. Although borrowed foreign words do not have beautifying prefixes, *obiiru* (beer) or *onyuu* (new) can be seen as exceptional (Tsujimura, Kuwayama, Hosokawa, Kawagishi & Kikuchi, 1991, p. 49). Both *go* and *o* functions not only as beautifying but also respecting. In addition, nouns such as *heisha* 弊社 (my company), *sekkou* 拙稿 (my writing), *gusoku* 愚息 (my son) are humble types, while *kisha* 貴社 (your company), *kikoo* 貴校 (your school) or *sonpu* 尊父 (your father) are respectful types. Figure 7-16 indicates the system of BEAUTIFICATION.



Key:

o is attached to *Wago* (Japanese originated words)
go is attached to *Kango* (Chinese originated words)

Figure 7-16: System of BEAUTIFICATION

The favoured structure of the interpersonal metafunction is ‘**prosodic**’ (Halliday, 1994, p. 36). This feature applies to the system of HONOURIFICATION (Sano, 2006). “The system of HONOURIFICATION ... is realised in a prosodic type of the realisation. ... The prosody of honourific saturates the boundaries of the segments that compose the clause” (Sano, 2006, p. 42). These are clearly indicated in Example 7-25.

Example 7-26: Prosodic feature of the honourific expressions

Please see print copy for example 7.26

(based on Sano, 2006)

Having described the Japanese interpersonal system networks, by way of concluding, interpersonal systems are indicated in Figure 7-17³⁴.

³⁴ In Figure 7-17, the system of BEAUTIFICATION is excluded because an entry condition of the system is not predicate but noun.

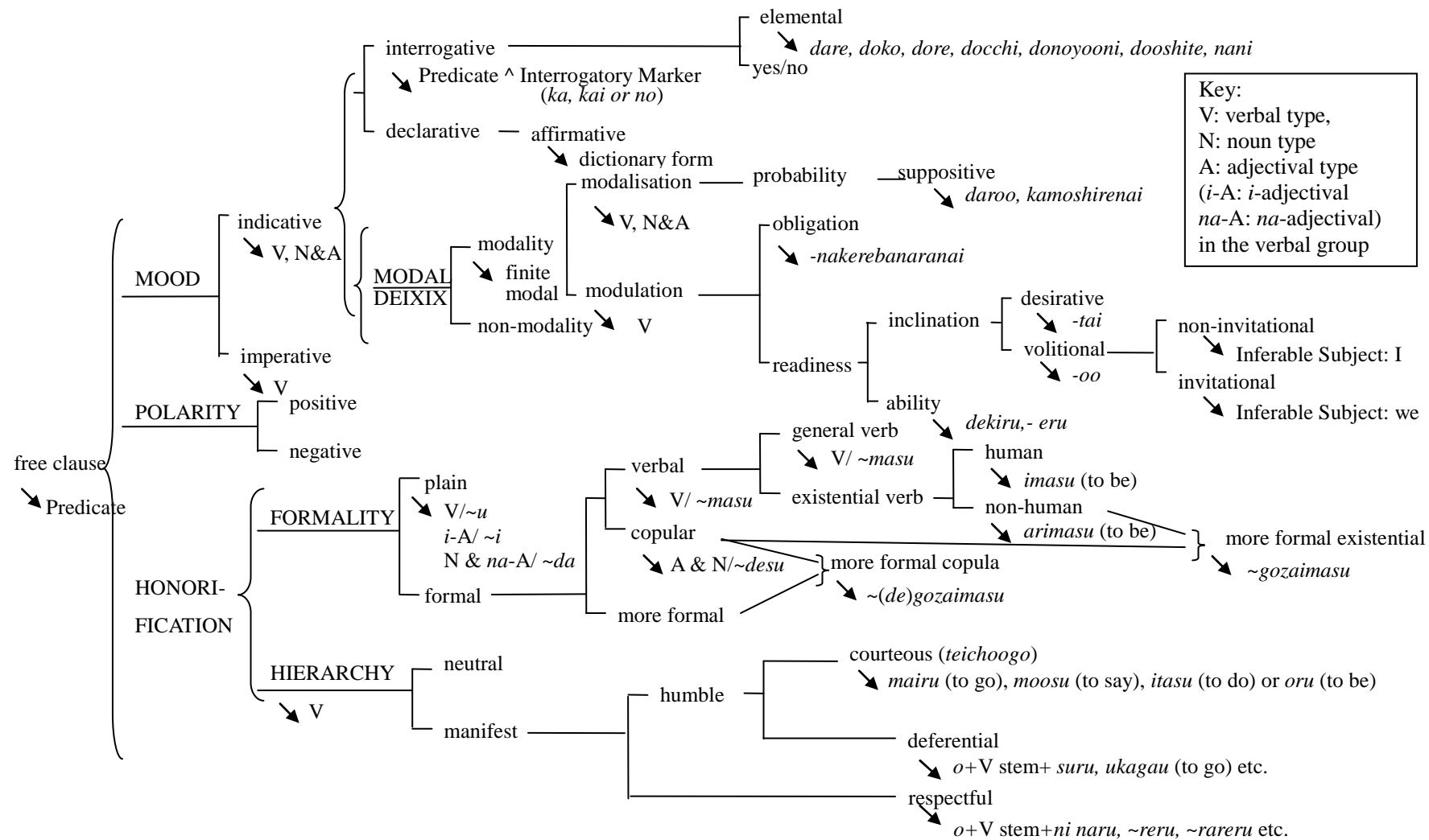


Figure 7-17: Japanese interpersonal systems

7.4. Conclusion

This chapter presented a general description of Japanese. Section 7-1 illustrated Japanese Mood. One is the system of MOOD, and the other is the separation of Negotiator. Although other researchers (Fukui, in press; Teruya, 2007) present the different systems of MOOD depending on their corpora, this study presented the system of MOOD in order to be appropriate to this study by referring to counter-evidence from a new perspective. The Mood elements are the Predicate, the Interrogator and the Negotiator. The Predicate is realised by the verbal group which consists of three types: verbal, noun + copular ‘*da*’ and adjectival types. This study divided the Negotiator into the Negotiator and the Interrogator.

Section 7-2 illustrated Modality. This study includes the Mood types under which the researchers categorised the system of MODALITY. For example, Teruya’s model sees the desiderative, the volitional and the suppositive as the Mood types. Fukui’s model also treats the volitional as a Mood type. However this study categorised these Mood types under the system of MODALITY.

Section 7-3 described the system of HONOURIFICATION. By referring to the updated guideline by the cultural counsel (*Bunka shingikai*) in 2007, this study presented the system of HONORIFICATION and FORMALITY, and further delicacy has been included via the presentation of the system of BEAUTIFICATION.

The next chapter will describe the linguistic resources of the Japanese Directives based on the analytical tools presented in this chapter.

Chapter 8. Language resources of the Japanese Directive texts

8.0. Introduction

The previous chapter presented a general description of the Japanese linguistic resources for analysing Directive texts from a SF perspective. This chapter explores Japanese Directives by using these analytical tools. This chapter consists of four sections. Following this introduction, section 8-1 examines the wording, and section 8-2 examines the meaning of the Japanese Directives. Finally, section 8-3 summarises this chapter. Figure 8-1 maps the organisation of this chapter by using the stratification and metafunction models.

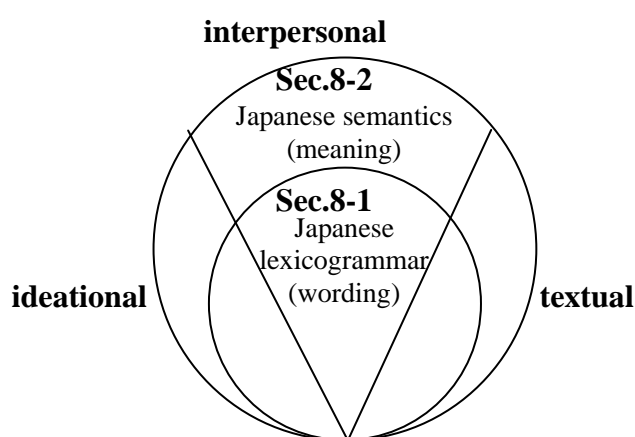


Figure 8-1: Mapping the organisation of Chapter 8

8.1. Interpersonal meaning from the lexicogrammatical perspective

This section explores the lexicogrammar or wording of the Directive texts by referring to the system of MOOD, MODALITY, HONOURIFICATION and BEUTIFICATION.

8.1.1. Mood

This section focuses especially results of the analysis using the system of MOOD. Firstly, the results that relates to mood types are indicated. Secondly, the results that relates to mood elements are described. Finally, mood choices in accordance with tenor relations are examined.

8.1.1.1. Mood types

In the corpus, different Mood types have different frequencies. Figure 8-2 represents the number of the Mood types used in the Japanese Directive texts.

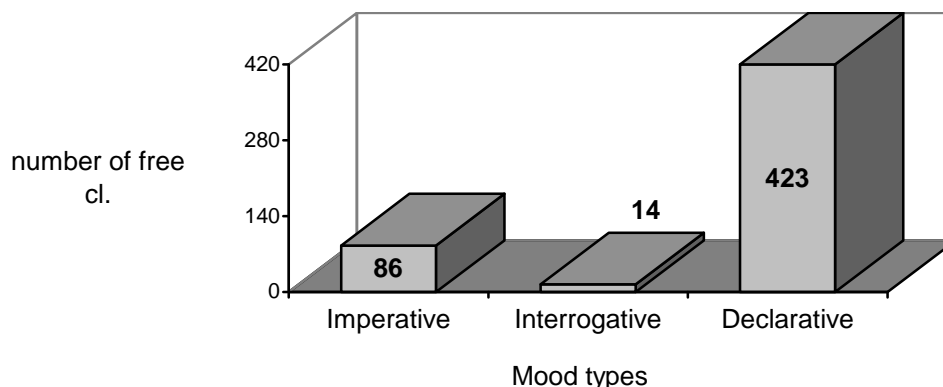


Figure 8-2: Number of the Mood types in the Directive texts

There are 523 free clauses in the corpus. As Figure 8-2 shows, the declarative is used most frequently and the imperative is the second, while the interrogative is the lowest. Thus, the declarative plays an important role in Japanese Directives.

8.1.1.2. Mood elements

In this section, each Mood element in Japanese Directives will be examined. The Japanese Mood elements are the Predicate, the Interrogator and the Negotiator, and the Predicate is one of the Mood elements in Japanese which is realised by the verbal group. The verbal group of the Directive texts tend to choose a particular type. Figure 8-3 illustrates the frequencies of the three types of the verbal group in 523 free clauses.

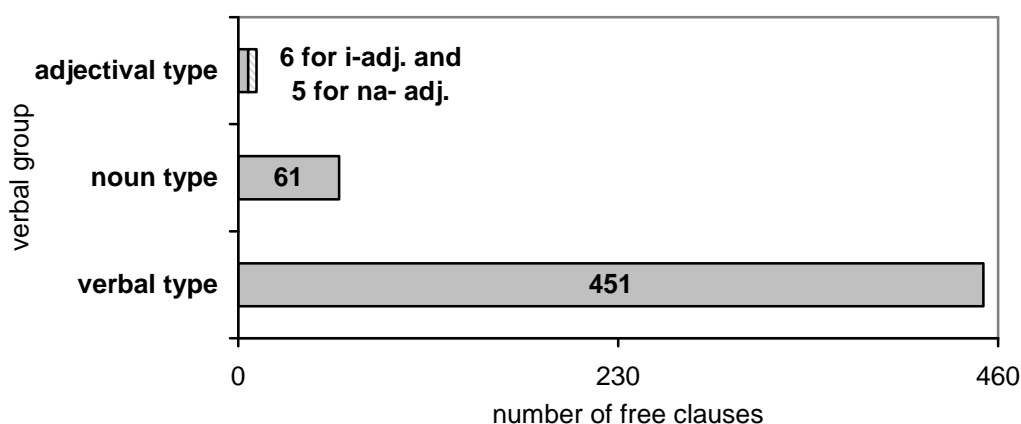


Figure 8-3: Frequency of three types of the verbal group in Predicate

As Figure 8-3 demonstrates, the verbal type is the most frequent. The noun type is the second, and the adjectival type is the lowest. This fact arises from two supporting reasons; 1) only the verbal type selects for the imperative, and 2) the verbal type is related to doing something, whereas the adjectival type and the noun type are related to describing a condition.

The **Negotiator** and the **Interrogator** which are also the Mood elements in Japanese are not so frequent. One Negotiator and 14 Interrogators are present. These results indicate that the Negotiator, which adds attitudinal values to the clause, is not important for the Japanese Directives. This suggests that the writer cannot receive an immediate reply from the addressee because of the written medium. In addition, the texts are used in a business rather than a private context. As Teruya (2007) states, “the function of Negotiator is to add various negotiatory values to the clause, by expressing the speaker’s attitudinal stance towards the proposition...that is put forward” (p. 162). His argument would support the above two statements. In the Japanese Directive texts, the writers do not necessarily add negotiatory values to the clause because the texts are used in a business context.

While **Subject** is not a Mood element in Japanese, it is, however, modally responsible. In the corpus, there are 430 free clauses³⁵ that do not have Subject. Table 8-1 represents the details.

Table 8-1: Number of elided and foregrounded Subject in the free clause

	1 st person		2 nd person	3 rd person	unable to infer	Total
	I	We	you			
elided Subject	254 a)	7 b)	134 c)	22 d)	12 f)	429
explicit Subject	0	0	0	90 e)	-	90
Total	254	7	134	112	12	519

³⁵ Mood is selected by a free clause (Matthiessen, 1995).

As stated before, there are 519 free clauses in the corpus. While Subject in 429 clauses is elided, that in 90 clauses is explicit. Subject in the free clauses is divided into six types. These six types are a) elided Subject for 1st person singular (254 clauses), b) elided Subject for 1st person plural (7 clauses), c) elided Subject for 2nd person (134 clauses), d) elided Subject for 3rd person (22 clauses), e) explicit Subject for 3rd person (90 clauses) and f) Subject which is difficult to infer (12 clauses).

In the case that Subject is 1st and 2nd person, they are always elided. This result supports Kindaichi (1995) argument that the Japanese language seldom expresses personal pronouns because Japanese prefer to distance the addressee. Example 8-1 shows instances which have the elided Subject. The alphabet letters from a) to d) in Table 8-2 corresponds to those in Example 8-1.

Example 8-1: Example of the elided Subject

Text examples which have the backgrounded Subject						elided Subject
a) Example text						‘I’
表題 の 件 提出いたします。 <i>hyoodai NO ken teishutsu itashimasu</i> title about submit-HUM/FOR						
Adjunct		Predicate				
Residue		Mood				
(I) submit a document about a title (J-B-03 sent between U (↑) within the same organisation in the form of an email)						
b) Example text						‘we’
そこに は 絶対 ものを 置かないよう 習慣 づけ ましょう。 <i>sokoni WA zettai mono O oka nai yoo shuukan zuke mashoo.</i> there ever things place not to habit acquire let’s-FOR						
Adjunct	Adj	Comp.	Predicate		Predicate	
Residue			Mood		Mood	
x β				A		
Let’s acquire a habit not to place things there. (J-E-10 sent between D (↓) within the same organisation in the form of a letter)						
c) Example text						‘you’
[[人体 への 作用についての]]注意事項を 提示しなければなりません。 [[<i>jintai eno sayoo nituite NO</i>]]chuui jikoo O <i>teiji shinakerebanarimsen</i> human body to effect about notice put up must-FOR						
Complement				Predicate		
Residue				Mood		
(You) must put up a notice about the effects on the human body. (J-E-03 sent between D (↓) within the same organisation in the form of a letter)						
d) Example text						‘it’
シラバス に 対応する 為 でございます。 <i>shirbasu NI taioo suru tame de gozaimasu.</i> syllabus to corresponds for is-FOR						
Predicate						
Mood						
(It) is for adjusting to the syllabus. (J-E-03 sent between U (↑) within the same organisation in the form of a letter)						

On the other hand, when the Subject is 3rd person, the number of explicit Subjects surpasses that of the elided Subject. There are 112 free clauses whose Subject is 3rd person as Table 8-1 represents. Whereas the explicit Subject is present in 90 clauses, accounting for 80.4%, the backgrounded Subject is present in 22 clauses, accounting for 19.6%. Example 8-2 is an instance of the explicit Subject.

Example 8-2: Example of the explicit Subject

Text example which has the explicit Subject			
e) Example text			
漏洩情報 の <i>rooei joohoo NO</i> leakage infomation	[[当社ならびに <i>[[toosha narabini</i> this company and	莫大な もの <i>bakudainamono</i> huge amounts	になり かねません。 <i>ninari kanemasen.</i> become could
内容 によっては、 <i>naiyoo niyotte WA</i> contents by	個人に与える]] <i>kojin NI ataeru]]</i> individulals give		
by the contents of the leakage information	<u>損害は</u> <i>songai WA</i> damage		
Adjunct	Subject	Complement	Predicate
Residue			Mood
By the leaking of the information and the contents within, great damage would be caused to the company and individuals. (J-B-12 sent between E (→) within the same organisation in the from of a letter)			

In addition to the above five types, type: f), that is, Subjects which are difficult to infer are present in 17 free clauses. Some of these clauses are listed in Example 8-3. In other words, this type can be categorised under zero.

Example 8-3: Examples of the elided Subject which is difficult to infer

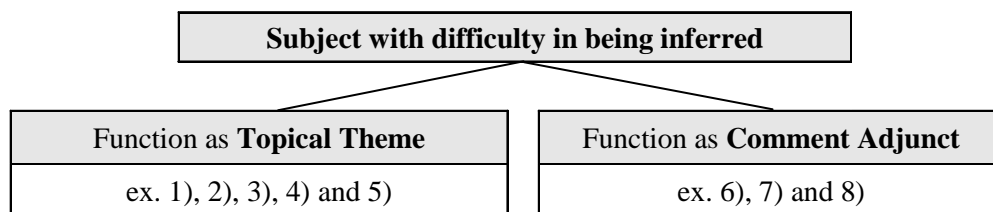
f) Text examples	
1) 来週 です が、 <i>raishii desu GA</i> , next week <i>da-FOR</i> and	
With regard to the next week, and (J-B-16 sent between D (↓) within the same organisation in the form of an email)	
2) [[ご 依頼 いただきました]]標準 P C です が <i>go irai itadakimashita hyoujun piisii desu GA</i> PRE/BEA-go request had-HUM/FOR standard PC <i>da-FOR</i> and	
With regard to a standard PC which (I) had a request (from you), and (J-B-17 sent between U (↑) within the same organization in the form of an email)	
3) [[先日の 教授会 でお話させていただきました]] 室内プレート です が、 [[<i>senjitsu NO kyoojukai de ohanashisasete itadakimashita</i>]] <i>shitsunai pureeto desu GA</i> [[the other day of academic meeting at talked-HUM/FOR]] door plate <i>da-FOR</i> and	
With regard to the door plate which I mentioned in the academic meeting the other day, and (J-E-09 sent between U (↑) within the same organisation in the form of a memo)	
4) 早速、 [[ご 質問 にありました]] 件 です が、 <i>sassoku, [[go shitsumon NI arimashita]] ken desu GA</i> come straight to the point, [[PRE/BEA-go question NI there was]] matter <i>da-FOR</i> and	
(I'll) come straight to the point, this message is about a matter that (you asked before), and (J-G-07 sent between U (↑) to a different organisation in the form of a facsimile)	
5) 日程 について です が、 <i>nittei nitsuite desu GA</i> schedule with regard to <i>da-FOR</i> and	
With regard to the schedule, and (J-G-11 sent between E (→) to a different organisation in the form of an email)	
6) さっそく で 恐縮 です が、 <i>sassoku de kyooshuku desu GA</i> come to the straight to the point, and orry <i>da-FOR</i> but	
I'll come straight to the point, and I feel indebted, but (J-G-06 sent between U (↑) to a different organisation in the form of an email)	
7) お 手数 です が <i>o tesuu desu GA</i> PRE/BEA-o trouble <i>da-FOR</i> but	
I am sorry to trouble you, but (J-B-18 sent between U (↑) within the same organisation in the form of an email)	
8) なお、 ご 承諾 の上は、お 手数 です が <i>nao go shoodaku noue WA o tesuu desu GA</i> in the meanwhile, PRE/BEA-go consent after PRE/BEA-o trouble <i>da-COP</i> but	
In the meanwhile, after your consent, I am sorry trouble you, but (J-G-14 sent between E (→) to a different organisation in the form of a letter)	

There are common features among these types. The first common feature is that the Predicate is always realised by a noun type in the verbal group. The second common feature is that the Predicate ends up with a formal form in the system of FORMALITY.

The third and last common feature is that the clauses are connected with the following clauses by a conjunction ‘*~ga* (and~)’.

Furthermore, these clauses are divided into two types depending on their functions. One functions as Topical Theme, and the other functions as Comment Adjunct. This is because the former type introduces the topic which the writer talks about, and the latter type expresses the feeling of the writer. In addition, although both types are connected to the following clauses by the same conjunction ‘*~ga*’, the functions differ from each other. The conjunction, ‘*~ga*’ in the former type functions as an additive conjunction (and), ‘*~ga*’ in the latter type functions as an adversative conjunction (but). Table 8-2 graphically classifies these two types.

Table 8-2: Two types of the backgrounded Subject which is difficult to be inferred



So far, the Subject in the corpus has been described. In some examples, Subject is easy to infer from co-text or context. This is especially clear when an honourific is present in the Predicate. On the other hand, in some clauses, the Subject is unable to be inferred. These results suggest that the Subject is not obligatory for the Mood element, but that Subject is a modally responsible in some cases. Based on the above result, Figure 8-4 maps Subject in Japanese in accordance with the trinocular perspective.

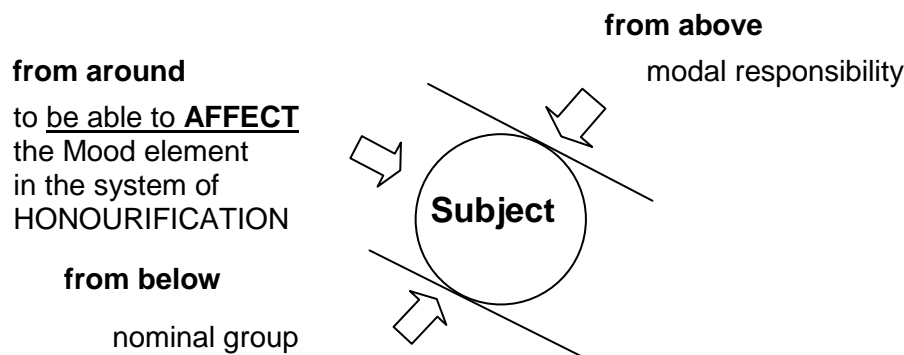


Figure 8-4: Subject in Japanese from a trinocular perspective

As Figure 8-4 indicates, from above, (that is, semantics), the Subject is modally responsible. From around, (that is, lexicogrammar), the Subject is able to affect the Mood element: the Predicate by intersecting with the system of HONOURIFICATION. From below, which means the expression, the Subject is realised by a nominal group.

8.1.1.3. Mood choice and tenor relation

This section describes a relation between the Mood choice and the tenor relations.

The result of the Mood analysis and the tenor relations suggests that the tenor relations influence the Mood choice. Figure 8-5 represents how often the different Mood types are employed according to the tenor relations.

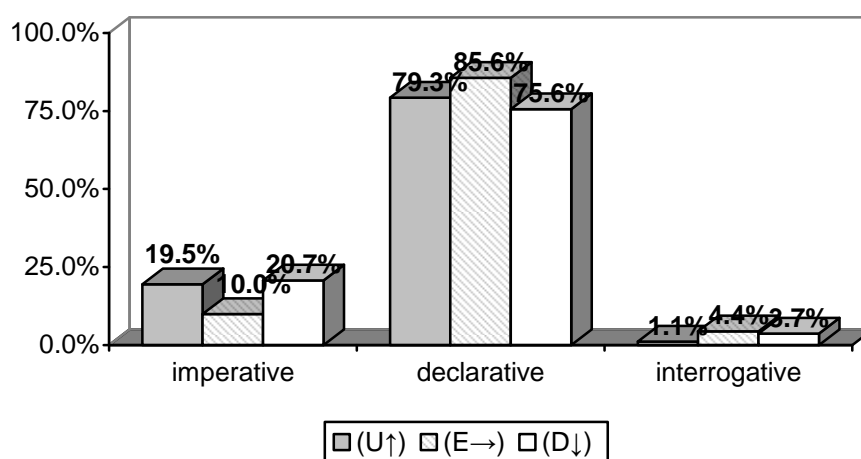


Figure 8-5: Frequency of Mood choice according to tenor

Broadly speaking, all tenor relations opt for the declarative most frequently. Regarding the imperative, this choice occurs most frequently when the tenor relation is (D ↓).

Among all tenor relations, texts sent by equals most frequently deploy the declarative accounting for 85.6%. In contrast, texts sent by equals employ the imperative the least often. This suggests that the frequency of Mood choice by equals is slightly different from those by the hierarchical tenor relations. In other words, the frequencies of the hierarchical relations, such as U (↑) or D (↓) display similar features, while those of the equal relation differ. The equal relation tends to choose the declarative as opposed to the imperative.

8.1.2. Modality

The Directive texts have a tendency to choose particular types of Modality. These modalities are construed by the Predicate and the Adjuncts. I will address the modal Predicate firstly, and then modal Adjuncts as the components of modulation and modalisation.

8.1.2.1. Modal Predicate

Both modalisation and modulation are displayed in the corpus. Table 8-3 shows the number of clauses for each category in the modality.

Table 8-3: Number of the clauses which have modal Predicate

Modality (62 cl.)-a					
modalisation (10cl.)-b	modulation (52cl.)-d				
probability	obligation (3 cl.)-e ↳~nakerebanaranai	readiness (49 cl.)-f			
suppositive ↳daroo (10 cl.)-c		inclination (17 cl.)-g			ability (32 cl.)-l ↳ ~eru, dekiru
		desirative (15 cl.)-h ↳ ~tai	volitional (2 cl.)-i		
			invitation ↳ ~oo (1cl.)-j	non- invitation ↳ ~oo (1cl.)-k	

There are 62 free clauses that have a modal Predicate-(a) in Table 8-3. Details are as follows.

- 10 clauses contain modalisation-(b) and these 10 clauses contain suppositive in probability-(c),
- 52 clauses contain modulation-(d),
 - 3 of these 52 (d) clauses contain obligation-(e),
 - 49 of these 52 (d) clauses contain readiness-(f),
 - 17 of these 49 (f) clauses contain inclination-(g),
 - 15 of these 17 (g) clauses contain desirative-(h),
 - 2 of these 17 (g) clauses contain volitional-(i),
 - 1 of these 2 (i) clauses contains invitation-(j),
 - 1 of these 2 (i) clauses contains non-invitation-(k) and
 - 32 of the 49 (f) clauses contain ability (l),

As the number demonstrates, in the Japanese Directive texts, modulation is more frequently present than modalisation.

8.1.2.2. Modality and tenor relation

The tenor relation influences the choice of the modal Predicate. Figure 8-6 illustrates frequencies of the modality according to the tenor relations.

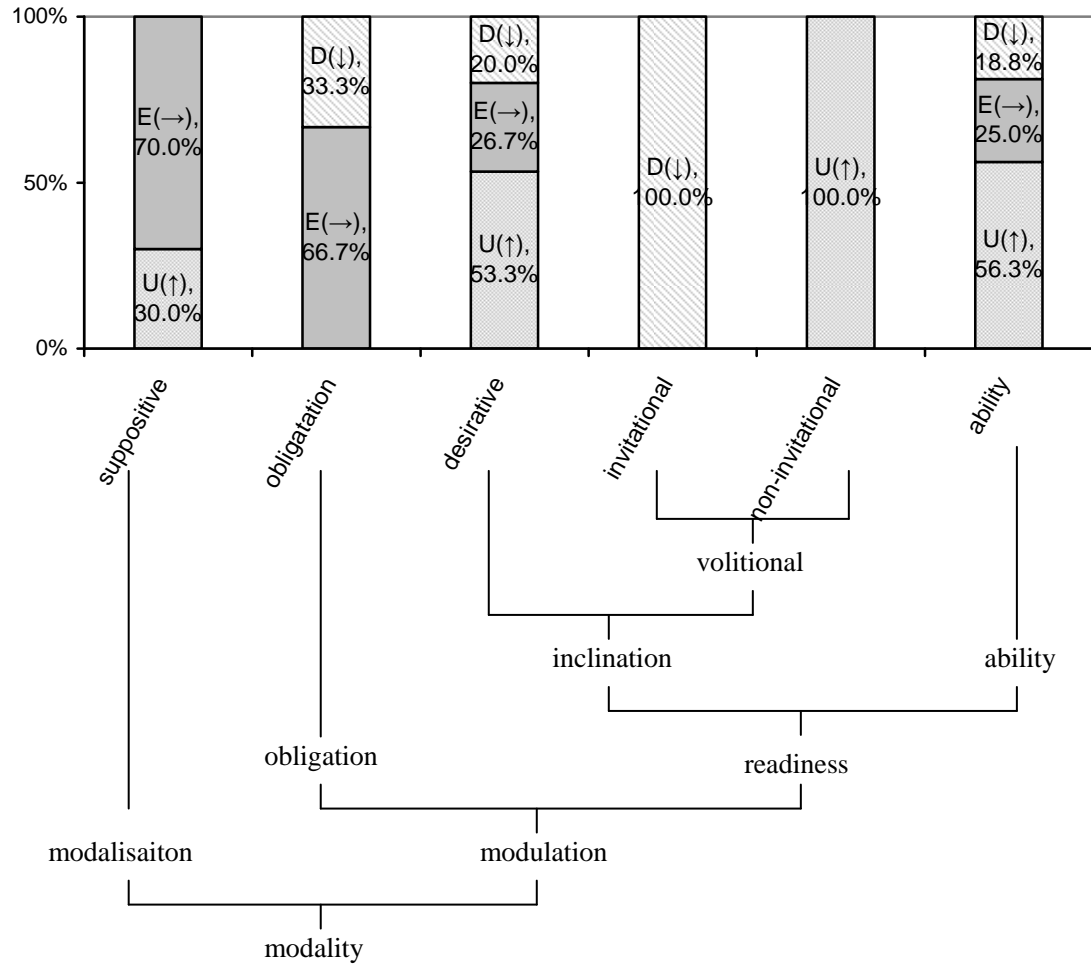


Figure 8-6: Frequency of modality according to the tenor relation

The suppositive in the modalisation is displayed in either U (↑) accounting for 30.0% or E (→) accounting for 70.0%. In contrast, the obligation in modulation is displayed in either D (↓) accounting for 33.3% or E (→) accounting for 66.7%. This suggests that for subordinates and equals, suppositive is important in the Japanese Directive texts, whereas for superiors and equals obligation is important. In other words, in order to issue commands, subordinates do not necessarily need the obligation, while superiors do not necessarily need the suppositive because of their power over the addressee.

The volitional is only displayed either in D (↓) or U (↑). In the volitional, invitational is displayed only in D (↓) relation, and non-invitational is displayed only in relation U (↑). The ability is displayed in all tenor relations. Frequencies of the ability amount to 18.8% for D (↓), 25.0% for E (→) and 56.3% for U (↑) respectively.

8.1.2.3. *Modal Adjunct and Projection*

This section addresses the modality realised by the Adjuncts and projection. I will now turn to the modal Adjunct, and then projection will be addressed. The modal Adjunct has two options: mood Adjunct or comment Adjunct. The mood Adjunct in Japanese functions to forms the interpersonal prosody (*kakarimusubi*). In the corpus, 14 clauses employ the mood Adjunct. Table 8-4 is instances of the mood Adjunct in the Directive texts.

Table 8-4: List of the mood Adjunct in the Directive texts

Mood Adjunct	<i>musubi</i> (closing word)	Tenor relation
<i>kesshite</i> (ever)	<i>nai</i> (not)	D (↓)
<i>zettaini</i> (ever)	<i>nai</i> (not)	D (↓)
<i>amari</i> (too)	<i>nai</i> (not)	U (↑)
<i>yoroshiku</i> (entreatingly)	<i>onagai(ita)</i> ³⁶ <i>shimasu</i> (appeal the addressee for the support)	U (↑) and E (→)

As Table 8-4 represents, there are two types of mood Adjunct in the corpus. One is the mood Adjunct which is related to negation, and the other is the mood Adjunct which is not related to negation. While the former type is employed in texts by the superior or the subordinate, the latter type is employed in texts by the subordinate or the equal. Only superiors can use the Mood Adjunct which intensifies the negation. Both subordinates and equals are not allowed to intensify the negation by employing the Mood Adjunct.

In the case of the mood Adjunct which is related to negation, *kesshite* or *zettaini* is strong negation, while *amari* is weak negation. Even if the writer employs the mood

³⁶ The word enclosed by (), *ita* is a humble form of *shimasu*.

Adjunct which is related to the negative, the writer employs *amari* for the mood Adjunct when the writer is the subordinate. In contrast, the superior employs *kesshite* or *zettaini* for the mood Adjunct.

The other mood Adjunct is *yoroshiku* whose closing word is *onegai(ita)shimasu*. This functions to add force to the appeal for the addressee's support. The mood Adjunct, *yoroshiku* is present in texts by either the subordinate or the equal. This fact suggests that the U (↑) or E (→) relations would need to appeal to the addressee for the support.

On the other hand, the comment Adjunct is present in eight clauses. The comment Adjunct in Japanese functions to express the writer's stance towards the message (Teruya, 2007). The comment Adjuncts are employed in texts by the subordinate (five clauses) or the equal (three clauses). Table 8-5 indicates all instances of the comment Adjunct in the Directive texts and tenor relations.

Table 8-5: List of the comment Adjunct in the Directive texts

Comment Adjunct	Tenor relation
<i>kokoroyori</i> (cordially)	U (↑)
<i>makotoni</i> (truly)	U (↑) and E (→)
<i>taihen</i> (truly)	U (↑) and E (→)

As Table 8-5 shows, the comment Adjunct in the Directive texts are limited, and both examples function to conciliate the addressees' feeling. As previously stated regarding the part of Subject in Section 8.1.1 Mood, the free clauses which function as the comment Adjunct are also employed in texts by either the subordinate or the equal. This can be a reason why the superior does not employ the comment Adjunct because they do not need to conciliate the subordinates.

In addition to the mood assessment by a modal Adjunct, a certain kind of semantic relationship of projection can realise modality as interpersonal metaphor

(Halliday, 1994). Example 8-4 is an instance of the projection which realises obligation in modulation.

Example 8-4: Example of the incongruent realisation of Command by declarative (conditional)

先生の 授業形態 に <i>sensei NO jugyoo keitai NI</i> lecturers of class style to 一番 即した 方法 で <i>ichiban sokushita hoofoo de</i> the most fit way by	お 願いでけれ <i>o- negai dekire</i> PRE/BEA-o ask can	ばと <i>bato</i> if	願っております。 <i>negattteorimasu.</i> hope-HUM/FOR
Adjunct	Predicate		Predicate
Residue	Mood		Mood
x β			α

(I would appreciate) if I could ask (you to do it) in a way which fits most to your class style.

(J-E-23 sent between U (↑) within the same organisation in the form of a letter)

Both α and β clauses in the text instance are connected by two conjunctions.

One is *ba* (if), and the other is *to*. For this reason, we can infer a clause which is missing.

This would be a clause such as *arigatai* (I appreciate) or *tasukaru* (it is helpful) etc..

This feature is frequently present in the corpus.

Whenever a conditional clause is present in the incongruent realisations of Command, *ba* (if) is always used. In Japanese, there are four types of conjunctions which indicate a condition (if). They are *ba*, *to*, *nara* and *tara* (Masuoka, 1993). They are slightly different in their functions. A conjunction, *ba* indicates a general cause and result, *to* indicates a continuous matter which is actually observed, *nara* indicates a condition which presents a supposition that a phenomena is true, and *tara* indicates individual phenomena which realises in time and space. Thus, by the use of *tara*, the writers show a general cause and result in order to express a condition in Japanese Directive texts.

8.1.2.4. Modal assessments other than Modal Predicate and tenor relation

The modal Adjunct and interpersonal metaphorical expressions are influenced by the tenor relations. The mood Adjunct related to the negative is only present in the D (↓)

relation. Instead, the U (↑) or E (→) relation frequently has the mood Adjunct which intensifies the writer's feeling such as *taihen mooshiwakearimaen* (I'm **terribly** sorry.) or *dooka yoroshikuonegaishimasu* (I **truly** hope for your cooperation). The superior does not use this kind of the mood Adjunct.

The comment Adjunct is present only in texts sent by subordinates or equals. There is no example which is sent by superiors. Instead, projection is present in all tenor relations. However, the degree of the honourification in α clause differs according to the tenor relations. Whereas the superiors use the formal form only, the subordinates frequently use the combination of the humble and formal form. Thus, the honourific expressions play an important role in the Japanese Directives although their formality differs depending on interactants' tenor relations. In the next section, honorific expressions will be focus on it.

8.1.3. Honourification

Honorific expressions permeate the clauses in Japanese Directives. This feature of honorific expressions supports the prosodic feature of the interpersonal meaning. As previously mentioned, an honorific expression is realised not only by a noun group but also by a verbal group. In a verbal group, there are two choices in the system of HONOURIFICATION. One is the system of FORMALITY, and the other is the system of HIERARCHY.

In the corpus, particular choices tend to be made. Figure 8-7 shows the probabilities of the choice of HONOURIFICATION in Predicates according to tenor. Most free clauses³⁷ end with a formal form³⁸ in the system of FORMALITY while there

³⁷ A bound clause is not counted because honorific expressions are not necessarily present in a bound clause.

³⁸ Both 'gozaimasu' and 'desu/masu' forms are counted as a formal form because *Gozaimasu* is more courteous than *desu/masu* (A Japanese Cultural Inquiry Commission, 2007, p. 20). The details are 8 free clauses for *gozaimasu*, and 467 free clauses for *desu/masu*.

are 48 free clauses which do not have any honourifics³⁹. A combination of a humble form in the system of HIERARCHY and a formal form is the second most frequent.

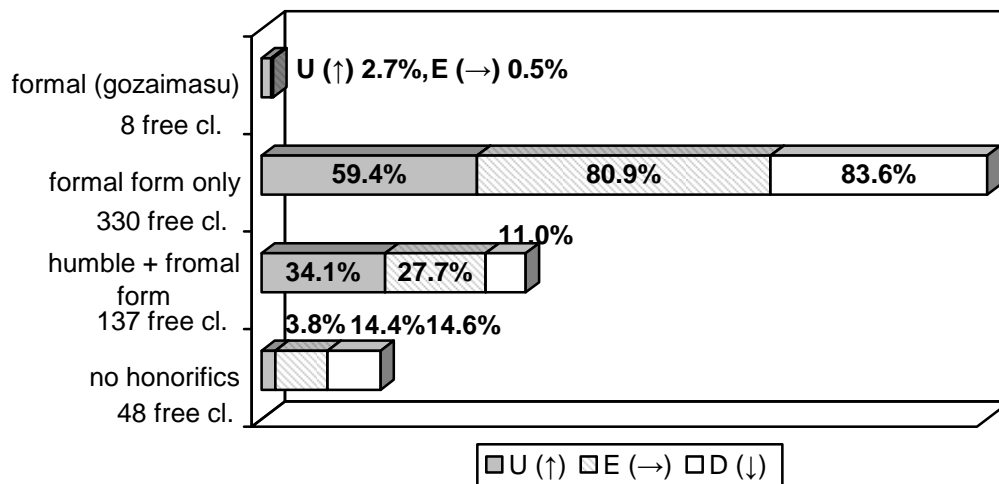


Figure 8-7: Frequency of choice of HONOURIFICATION in Predicate

In Figure 8-7, formal forms are employed most often in 330 free clauses. A humble form is not present by itself. Instead, a humble form is always followed by a formal form in 137 free clauses. This combination appears the second most. Clauses that do not have any choice of HONOURIFICATION are 48.

Respectful forms show an interesting feature. No respectful form is present in a free clause. Instead, a respectful form is always present in five bound clauses. Example 8-5 is an instance of the respectful form in a bound clause (highlighted in thick letters).

³⁹ The clauses without any honorifics are present in the limited text structure. I will discuss it in chapter 9.

Example 8-5: Example of the respectful form

車で <i>kuruma de</i> by car	通勤される <i>tsuukin sareru</i> commute-RES	場合 も <i>baai mo</i> when	[[公共交通機関を利用した]] <i>kookyoo kootsuu kikan o riyoo shita</i> public transportation using 経路 で <i>keiro de</i> a route by	申請してください。 <i>shinseishi tekudasai</i> please-FOR apply
Adjunct	Predicate		Adjunct	Predicate
Residue	Mood		Residue	Mood
x β			α	

Even though (you) commute by car, please use the route that is used by public transportation.
(J-E-17 sent between U (↑) within the same organisation in the form of an email)

These results suggest that a formal form in the system of FORMALITY is of central importance for the Japanese Directive texts. Moreover, the choice of the system of HIERARCHY is mainly enacted not by the respectful form but the humble form. This may derive from the fact of the channel of the corpus. Since the channel is in a written medium, the direction is one way from the writer to the addressee(s). For that reason, the writers opt to choose the humble form which functions to elevate an addressee(s) indirectly by lowering a writer him/herself rather than by elevating an addressee(s) directly.

When referring to the relationship between the choice and the tenor relations, a different tenor chooses a different choice of HONOURIFICATION. Texts sent by superiors most frequently chose formal forms accounting for 83.6%. In contrast, texts sent by subordinates most frequently chose a combination of the humble and formal forms accounting for 34.1%. A *gozaimasu* form is only employed in texts sent by subordinates or equals. The frequency of no honourifics in the Predicate is the least in texts sent by subordinates. This suggests, the higher the writer's status is, the lower degree of the choice of HONOURIFICATION is employed.

This section has described the wording of the Directive texts. The Modal choice as well as the selection of the Mood types, is affected by the tenor relations. The degree of honourification differs according to the tenor relation. Further, the lexicogrammatical

realisation of Modality is different among the tenor relations. Even if the same feature is present among all tenor relations, the degree of honourification is different.

8.2. Semantics

The previous section addressed the wordings of the Japanese Directive texts. This section addresses the meaning of the Japanese Directive texts.

8.2.1. Speech function

The speech function has four options: Statement, Question, Offer and Command via the combination of the speech role: giving or demanding, and commodity: goods-&-services or information. Figure 8-8 represents the frequencies of the speech function in the Directive texts.

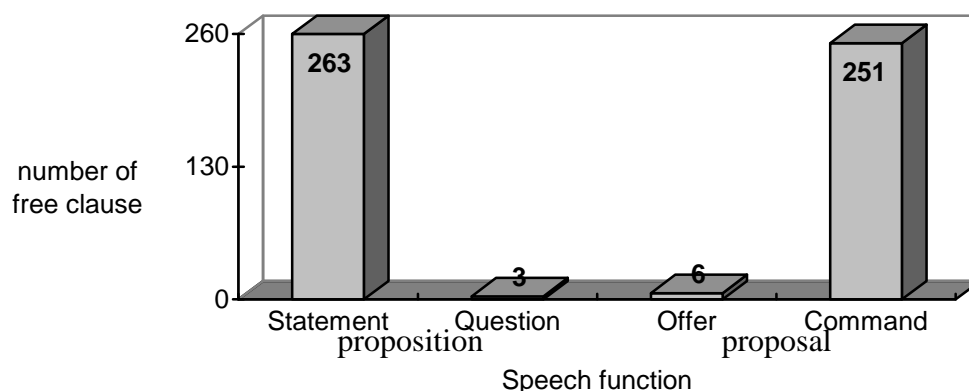
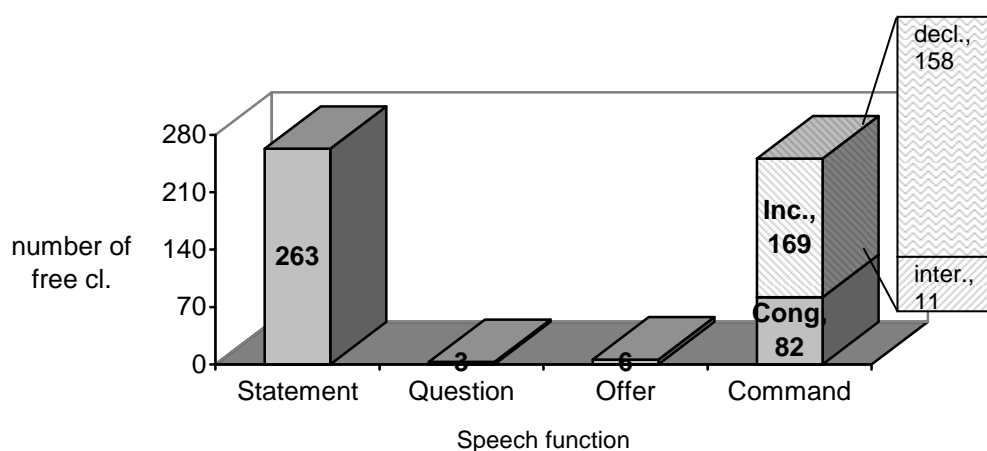


Figure 8-8: Frequency of speech function

The number of clauses expressing Statement and Command is almost the same. The number of the free clauses for Offer and Question is much fewer than Statement and Command. Question is the lowest in number. The low number of Questions suggests that the nature of the texts has the effect of a written medium, in that it is impossible to have “immediate feedback” (Hasan, 1985a, p. 58). For this reason, the number of Question seems to be very low.

8.2.1.1. Congruent and incongruent realisation

Command is incongruently realised more frequently than congruently. The following section describes the incongruent realisation in the Directive texts. While 82 clauses congruently realise Command, 169 clauses incongruently realise Command. The incongruent realisation of Command is construed by either the declarative or the interrogative. Whereas 158 declarative clauses incongruently construe Command, 11 interrogatives construe Command. Figure 8-9 indicates the frequencies in detail.



Key: Inc.=Incongruent realisation, Cong.=Congruent realisation, decl.=declarative, and inter.=interrogative

Figure 8-9: Detail of in/congruent realisation of the speech function

The incongruent realisations of Command by the declarative are most frequently present. Example 8-6 exemplifies Command which is realised by the declarative.

Example 8-6: Example of the incongruent realisation of Command by the declarative

勝手に <i>katteni</i> without permission	依頼する事を <i>iraisuru koto o</i> order matter	禁じます。 <i>kinjimasu</i> prohibit-FOR
Adjunct	Complement	Predicate
Residue		Mood

(I) forbid (you) to request (a letter of credit) without my permission.

(J-E-10 sent between D (↓) within the same organisation in the form of a letter)

In Example 8-6 although the writer uses the declarative, the clause construes negative Command which functions as the prohibitive mood.

A particular expression is frequently present in the incongruent realisation of Command by declarative is *onegaiitashimasu*. When it is projected, a conjunction is always *yoo(ni)*. Example 8-7 is a text instance which incongruently realises Command by declarative in a projected clause.

Example 8-7: Example of the incongruent realisation of Command by declarative (projection)

また、 <i>mata</i> moreover,	ウィルスソフトの <i>uirusu sofuto NO</i> virus software of 導入 も <i>doonyuu mo</i> install also	併せて <i>awasete</i> together	徹底して <i>tettei shite</i> through- くださいます <i>kudasaimasu</i> RES/FOR	よう <i>yoo</i> to	お願いいたします。 <i>onegaiitashimasu</i> ask-HUM/FOR
Adjunct	Complement	Adjunct	Predicate		Predicate
Residue					Mood
x β					α

Also, (I) ask that you ensure the installation of a virus software is done.
(J-E-07 sent between U (↑) within the same organisation in the form of a letter)

As Masuoka & Takubo (1992) point out, *yooni* is used as a conjunction when a text construes Command in a projected clause. As seen in α clause, the incongruent realisation; *onegaiitashimasu* is frequently present in the corpus. It functions not only to introduce a projected clause, but also to construe Command by itself as Example 8-6 represents. The degree of the honourification in Example 8-7 and 8-8 differs. The Predicate in Example 8-8 is the formal form only, whereas the Predicate in Example 8-7 is a combination of the humble and formal form.

Example 8-8: Example of the incongruent realisation of Command by declarative

回答を <i>kaitoo O</i> answer	お願いします。 <i>onegaishimasu</i> ask-FOR
Complement	Predicate
Residue	Mood

(I) ask for an answer.
(J-B-05 sent between U (↑) within the same organisation in the form of an email)

In addition to the incongruent realisation of Command by the declarative, 5 interrogatives also incongruently construe Command in the Japanese Directives. All clauses intersect with the system of MODALITY in the form of the modal Predicate *~deshoo* which is categorised under suppositive. Example 8-9 is a text instance of the incongruent realisation of Command by the interrogative.

Example 8-9: Example of the incongruent realisation of Command by interrogative

こちらへ <i>kochira e</i> here-FOR	お 送り 頂 <u>け</u> ます でしょう <i>o- PRE/BEA okuri itada<u>ke</u>masu deshoo</i> PRE-o <u>can</u> send-HUM/FOR COP da-FOR	か。 <i>Ka</i>
Adjunct	Predicate	Negotiator
Residue	Mood	

Could (you) make the original and send (it) to me?

(J-B-01 sent between E (→) within the same organisation in the form of an email)

So far, the incongruent realisations of Command by the indicative are explained. In the corpus, a noun phrase as well as a clause also may construe Command as Example 8-10 represents.

Example 8-10: Example of Command by a noun phrase

実験室内 での 飲食 ・ 喫煙 の 禁止 <i>jikken shitsunai deno inshoku ・ kitsuen NO kinshi</i> laboratory in eating drinking ・ smoking NO prohibition
Noun phrase

A prohibition of eating/drinking ・ smoking in a laboratory

(J-E-10 sent between D (↓) within the same organisation in the form of a letter)

The above example in the corpus supports Minami's argument (1993, p. 218) that a noun phrase actually realises command or request in some cases. Command which is realised by a noun phrase is present in 38 minor clauses.

By the word; *koto* (thing), a noun phrase also realises Command. The text in Example 8-11 is an instance of the noun phrase which construes Command.

Example 8-11: Example of Command by the noun phrase

[[見通しを良くしておく]]	こと
<i>mitooshi o yoku shiteoku</i>	koto
Qualifier	Head/Thing
noun group	

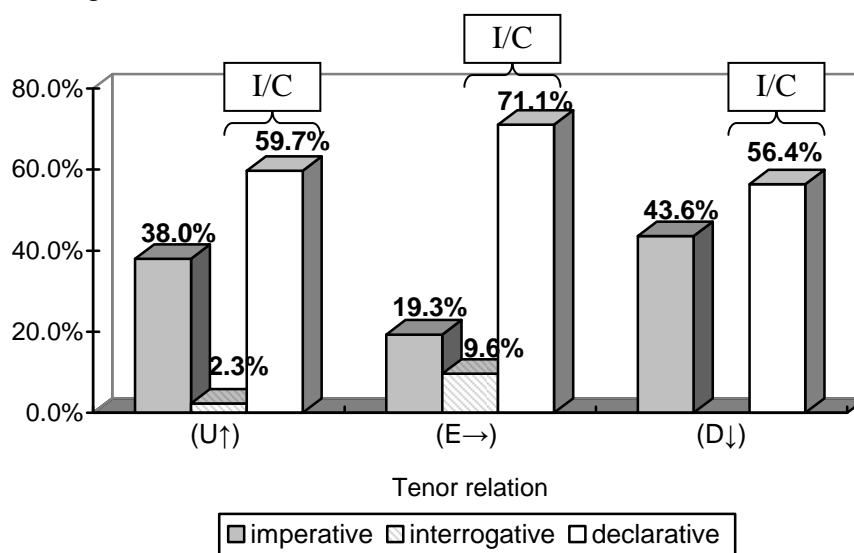
The necessity for keeping (it) clear.

(J-B-10 sent between E (→) within the same organisation in the form of an email)

Command in the Japanese Directives is in/congruently realised. These features are influenced by the tenor relations. The following section refers to the relation between the in/congruent realisations of Command and the tenor relations.

8.2.1.2. Congruent and incongruent realisation and the tenor relations

The presence of the in/congruent Command appears to be affected by the tenor relations as shown in Figure 8-10.



Key: I/C means the incongruent realisation of Command

Figure 8-10: Frequency of in/congruent Command according to tenor

Among all tenor relations, the incongruent realisations of Command by the declarative are most frequently employed. Superiors do not select the interrogative. Equals select the incongruent realisations of Command by the declarative most often. In contrast, equals employ the congruent realisations of Command the least. Subordinates select the incongruent realisations of Command by the declarative most often. However,

its percentage is lower than that of equals'. This result indicates that the interrogative is not necessary in order to construe Command incongruently.

This section examined the speech function in Japanese Directives. The incongruent realisations of Command surpass the congruent realisations of Command when the writer construes Command. As stated in chapter 5 (the language resources in English), the writer employs the effect of the indicative because the incongruent realisation of Command blurs the line between proposition and proposal (Halliday & Matthiessen, 2004). The writers make an extra effort to construe Command in order to avoid conflict with the addressees.

8.3. Conclusion

This chapter explored the linguistic resources in the Japanese Directive texts in the Japanese workplace specifically from the perspective of the interpersonal metafunction. Section 8-1 exemplified the wording of the Directive texts by using the systems of MOOD, MODALITY and HONOURIFICATION.

Through the linguistic strata, the results demonstrate that the writers adopt various strategies to make a request or command while being affected by the tenor relations. These are mainly construed by the Mood choice, the choice of modality, the choice of tense, and the incongruent realisation of the speech function strategies adopted by the writers. These strategies seem to be used to realise command while avoiding conflict with the addressees.

The Mood analysis reveals three major results of the verbal type, the Subject, the relation between the Mood choice, and the tenor relations. The verbal type is most frequently present. Although the Subject is not a mood element, it functions as the modally responsible element in relation to the system of HONOURIFICATION. In addition, the different tenor relations between the writer and the addressees have

different preferences of Mood types. Throughout the corpus, the declarative is the most frequently used.

The analysis relating to Modality also revealed the impacts on the choice in accordance with the tenor relations. The different tenor relations chose different modality. This suggests that superiors and equals can oblige the addressee to comply with a command. In contrast, subordinates employ other modality such as the suppositive or ability in order for the subordinate to construe Command. The mood Adjunct is frequently used by the subordinate or the equal in order to intensify the writer's feeling of gratitude or apology. The mood Adjunct which connects to the negative is present in texts sent by superiors only.

The comment Adjunct is present in the relation either U (↑) or E (→). This suggests that the modal Adjunct helps to conciliate the addressee for the compliance of the command without any conflict. The projection indicates a different feature. The degree of the honourification in the Predicate is different according to the tenor. Thus, the lexicogrammar in the Japanese Directives is very delicate in order to enact social roles without any confrontation.

Section 8-3 exemplified the meaning of the Japanese Directives using the system of SPEECH FUNCTION. The different tenor relations opt to choose the different incongruent realisation of Command. In order to construe Command, all tenor relations tend to choose the incongruent realisation by the declarative. The hierarchical tenor relation opts to choose the imperative as the second most frequent. This suggests that the delicate degree of the honourification helps the construal of Command in addition to the incongruent realisation of Command.

The next chapter will illustrate the text structure of the Japanese Directives.

Chapter 9. Text Structure of the Japanese written administrative Directive text

9.0. Introduction

The previous chapter investigated the lexicogrammatical and semantic language resources in the Japanese Directives. This chapter explores the text structure of the Japanese written administrative Directive texts by employing generic structure potential analysis.

The following sections will meet the requirements of GSP analysis which are to 1) specify elements of structure whose presence is obligatory; 2) enumerate elements whose presence is optional and 3) to specify the sequence of the elements. Following this introduction, section 9-1 identifies the structure potential of the Japanese Directives: that is, it identifies both obligatory and optional elements, and specifies the ordering of the elements. Section 9-2 specifies the obligatory element and its associated meanings, while section 9-3 identifies optional elements and meanings. Finally, section 9-4 summarises the findings and provides some discussion. Figure 9-1 illustrates the location of this chapter in the stratification model.

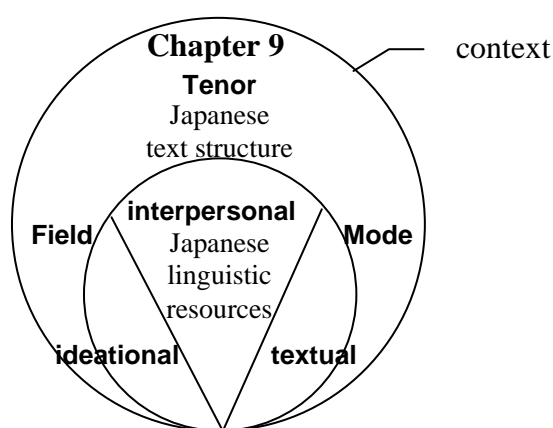


Figure 9-1: Mapping the organisation of Chapter 9

9.1. Structure Potential of the Japanese Directive texts

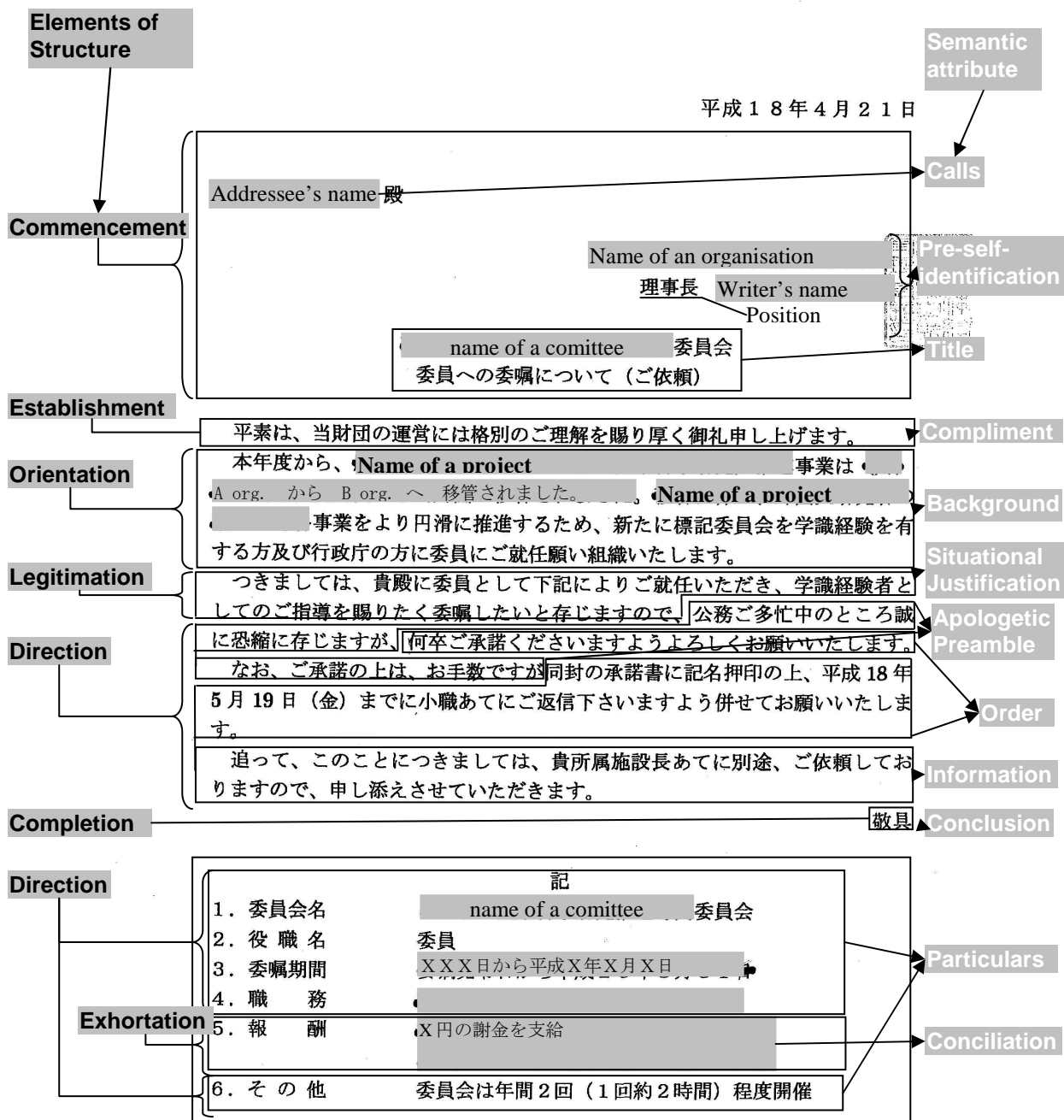
This section specifies the structure potential of Japanese Directive texts in the Japanese workplace. Example 9-1 is a text instance that has all elements of structure in the Japanese Directive texts.

Example 9-1: Example that has all elements of structure in the Japanese corpus

Commencement	<p>1 Heisei (Japanese traditional calendar) ** nen ** gatsu *nichi 2 XX dono 3 **zaidan 4 Rijichou XXXXXX (Writer's full name) 5 ***suishinsemmon'iinkai 6 iinhenoshokunitsuite(goirai)</p>
Establishment	<p>7 heisowa, toozaidan no un'ei niwa kakubetsu no gorikai o tamawari 8 atsukuoreimoushiagemasu.</p>
Orientation	<p>9 honnendokara, xxxxxxxxjigyoo wa, xxxxxx ni ikansaremashita. 10 Ikannitomonai, kakujigyoo o yori enkatsu ni suishinsuru tame 11 aratanihyoukiiinkaio<< >>soshikiitashimasu. 12 <<gakushiki keiken o yuusurukata oyobi gyooseichoo no hooni iin ni goshuunin negai >></p>
Legitimation	<p>13 tsukimashite wa. Kiden ni iin toshite kakini yori goshuunin itadaki 14 gakushiki keikensha toshiteno goshidoo o tamawaritaku 15 ishokushitai to 16 zonzimasu node,</p>
Direction	<p>17 koomu gotaboochuu no tokoro makotoni kyooshuku ni zonzimasu ga 18 nanitozo goshoodaku kudasaimasu yoo 19 yoroshiku onegai itashimasu. 20 nao, goshoodaku noue wa, otesuudesu ga 21 doofuu no shoodakusho ni kimei ouin noue, heisei juuhachi nen go gatsu juuku nichi(kin) madeni shooshoku ateni gohenshin kudasaimasu yoo 22 awasete onegaiitashimasu. 23 otte, konokoto ni tsukimashite wa. Kishozokushisetsuchoo ate ni betto, goiraishite orimasu node 24 mooshizoe sasete itadakimasu.</p>
Completion	<p>25 keigo</p>
Direction (cont)	<p>26 ki 27 1.iinkaimei:xxxxiinkai 28 2.yakushokumei:iin 29 3.ishokukikan:ishokuhatsureibikaraheiseixxdoshixzukixnichi 30 4.shokumu:xxxxx</p>
Exhortation	<p>31 5.houshuu:xxxxx yen</p>
Direction (cont)	<p>32 6.sonota:iinkaihanenkan2kai(1kaiyaku2jikan)teidokaisai</p>

Example 9-1 is an instance of a Japanese Directive text that has all elements of structure present. It is similar in structure to the English text represented in Example 6-1 in chapter 6. However, Japanese Directive texts have one additional element: in this element, the writer established a social relationship between the writer him/herself and the addressees. In example 9-1, this is seen in clause 7 and 8. We many call this Establishment. In this example, the element Establishment occurs after Commencement (clause 1-6). After Establishment, the same elements that occur in English Directive texts are present: immediately following Establishment, the element Orientation occurs (clause 9-12) and the writer offers Legitimation (clause 13-16) in anticipation of Direction (clause 17-32). Direction is interrupted by the elements Completion (clause 25) and Exhortation (clause 31). Example 9-2 (next page) is a copy of the actual text with elements and meanings labelled. Following Example 9-2 and Figure 9-3 shows a translation of the text.

Example 9-2: Japanese text example with elements and meanings



Heisei (Japanese traditional calendar) ** year ** month * day

Mr. XXX

Name of organisation
Chair person Name of the writer

Name of committee
Re: Request to become a member (A request)

I sincerely thank you for your special understanding of our organisation.

This year, Y project has been transferred from Z organisation to V organisation. In order to propel Y project more smoothly, I am organising the above mentioned new committee by inviting people with academic or government experience to participate.

For this reason, I invite you to join the committee because I would like to have your academic experience and guidance. I apologise for making such a request because you are busy, but I ask that you consider accepting the invitation.

In the meantime, if you accept the request, -and I am sorry to be a burden- can you, if you accept, please sign and put your stamp on an enclosed acceptance form, and return it to me by May 19 (Fri.).

I will send a letter mentioning this matter to your senior soon.

Keigu

	Description
1. Name of committee	XXXXXXXX
2. Title	A committee member
3. Duration	XXX day ~ <i>Heisei</i> XX year X month X day
4. Job	XXXX
5. Reward	Payment of X yen as a gratitude money
6. Others	Committee meeting is held twice a year (2 hours duration per meeting)

Figure 9-2: Translation of Example 9-1 and 2

The texts in the Japanese corpus can be divided into seven elements of structure. These are **Commencement**, **Establishment**, **Orientation**, **Legitimation**, **Direction**, **Exhortation** and **Completion**. Of these seven elements, Direction appears in all texts, that is, the element of Direction is obligatory in the Japanese written administrative

Directives. The rest of the elements are optional. The sequence of the elements is represented in Figure 9-3.

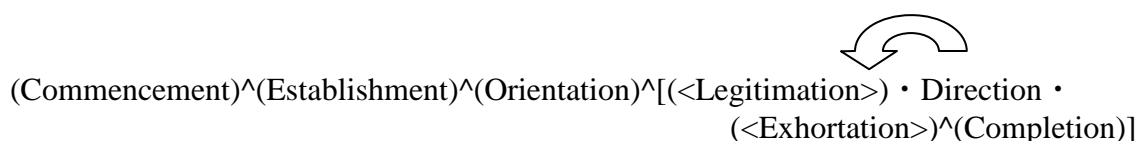


Figure 9-3: Structure Potential of the Japanese administrative Directive texts

In the structure potential of the Japanese Directives, the first three elements, Commencement, Establishment and Orientation may occur; they are enclosed in the round brackets in order to indicate this optionality. Establishment is present only in the Japanese Directive texts. Since these three elements are connected by the carat sign, the sequence of these elements is fixed. The next elements, Legitimation, Direction, Exhortation and Completion, which are enclosed in the square brackets, are mobile. Among these elements, Legitimation and Direction may be reiterative. Whereas Direction is obligatory - Legitimation is optional. In addition, since the elements Legitimation and Exhortation are enclosed in angle brackets, its lexicogrammatical realisation may be included or interspersed within the element of Direction. These seven elements have their own semantic attributes realised by certain lexicogrammatical features. The following sections will identify each element by providing detailed explanations of the semantic attributes and the lexicogrammatical features of the element.

9.2. The obligatory element

The obligatory element of the structure potential of the Japanese Directives is **Direction**.

Since the element Direction is obligatory, it is present in all texts in the Japanese corpus.

Direction is the element in which the writers demand goods & services, in other words,

it is realised by the speech function Command. The element Direction always contains

the nuclear meaning **Order** (See chapter 3 for discussion). Order refers to those

semantic attributes that express commands. On the other hand, the element Direction may contain elaborative meanings. They are **Concession**, **Apologetic Preamble** and **Particulars & Information**. These meanings are exemplified in the texts in the Japanese corpus.

9.2.1 NUCLEAR in the element Direction

This section exemplifies a nuclear meaning Order in the element of Direction. Firstly, texts from the Japanese corpus are referred to. Secondly, in/congruent realisations of Command in Order are identified. Lastly, the relationship between the in/congruent realisations of Command and tenor relations is examined.

9.2.1.1. Order

As previously mentioned, in the element Direction, **Order** is **NUCLEAR**. That is, the nuclear meaning Order is essential to the expression of the genre of the Japanese Directive texts. The crucial semantic attribute relevant to Order is that of demanding goods & services. Some specific linguistic features are found in Order, although the selection of the Mood type is variable, that is, the Mood type of declarative, interrogative and imperative are present in the corpus. All of these Mood types construe the speech function Command. Example 9-3 shows the instances of Order. All text instances in Example 9-3 realise Command. However, each Mood type varies in the text examples.

Example 9-3: Examples of Order

Congruent realisation of Command by imperative	
<p>正規の 科目名 の 他 に、サブタイトルを必ず 書い て下さい <i>seiki NO kamokumei NO hoka NI subutaitoru O kanarazu kai tekudasai</i> regular subject name besides subtitle make sure write please</p> <p>Please make sure to write a subtitle besides a regular subject name (J-E-14 sent between U (↑) within the same organisation in the form of a letter)</p>	
Incongruent realisation of Command by declarative	
<p>「授業 概要」 「授業 目標」 「授業 方法」 は、 「jugyoo gaiyoo」 「jugyoo mokuhyoo」 「jugyoo hoohoo」 WA ‘class outline’ ‘class target’ ‘class plan’ about 簡潔 かつ 学生 が 理解しやすい 叙述 を お 願い致します。 <i>kanketsu katsu gakusei GA rikai shiyasui jojutsu O onegaiitashimasu.</i> simple and student GA understand easy description O-PRE hope-HUM/POL</p> <p>(I) hope (you) will write a simple description which students will understand easily. (J-E-14 sent between U (↑) within the same organisation in the form of a letter)</p>	
Incongruent realisation of Command by interrogative	
<p>その原簿を作成頂き、 sono genbo O sakusei itadaki, the original O make-HUM こちらへ お 送り 頂<u>け</u>ます でしょう か。 <i>kochira e o- PRE/BEA okuri itadake<u>masu</u> deshoo ka</i> here PRE-o <u>can</u> send-HUM/FOR COP da-FOR Negot’ry marker of question</p> <p>Could (you) make the original and send (it) to me? (J-B-01 sent between E (→) within the same organisation in the form of an email)</p>	

While Command in the first example text is congruently realised by an imperative, Command in the second and third example texts are incongruently realised by the declarative and interrogative respectively. Through the nuclear meaning Order, the incongruent realisation of Command appears more frequently than the congruent realisation of Command. Figure 9-4 indicates the ratios of the in/congruent realisation of Command in the nuclear meaning Order.

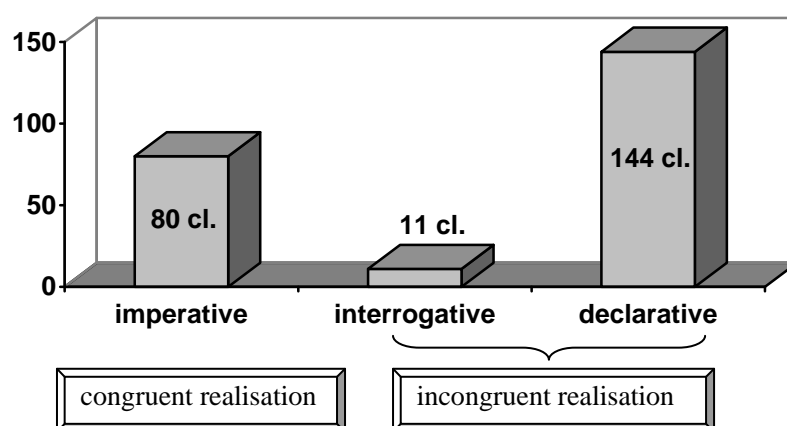


Figure 9-4: Number of in/congruent realisation of Command in Order

In the corpus, the nuclear meaning Order, the crucial semantic attribute Command, is expressed in 235 free clauses. In 80 clauses, Command is congruently realised by imperative, but in 155 clauses it is incongruently realised: 11 using interrogative and 144 using declarative. Whenever imperative clauses are deployed, the formal form, *~(te) kudasai*, is present. Similarly, the interrogative clauses incongruently construe Command. The Predicate in the interrogative clauses is mostly in the formal form. In addition, the Predicate in the interrogative clauses is frequently modalised, which indicates possibility (highlighted in bold face in the third text instance in Example 9-3). In contrast, 29 declarative clauses do not have either the formal form or a combination of the humble and formal form. Example 9-4 is a text without any honourifics.

Example 9-4: Example of the incongruent declarative without any honourifics

領収書	に	会社名	と	住所	を	英文	表記する
<i>ryooshuusho</i>	<i>NI</i>	<i>kaishamei</i>	<i>to</i>	<i>juusho</i>	<i>O</i>	<i>eibun</i>	<i>hookisuru</i>
receipt	on	company name and address		English	describe		
Describe the company name and an address on a receipt							
(J-B-06 sent between E (→) within the same organisation in the form of an email)							

All 29 declarative clauses end with the inflection *shuushikeii* (conclusive form). Note that despite the English form, these clauses are not imperative but declarative in Japanese.

The tenor relation influences the choice of in/congruency of Command. The graph in Figure 9-5 represents the frequency of the in/congruent realisations of Command according to tenor relations.

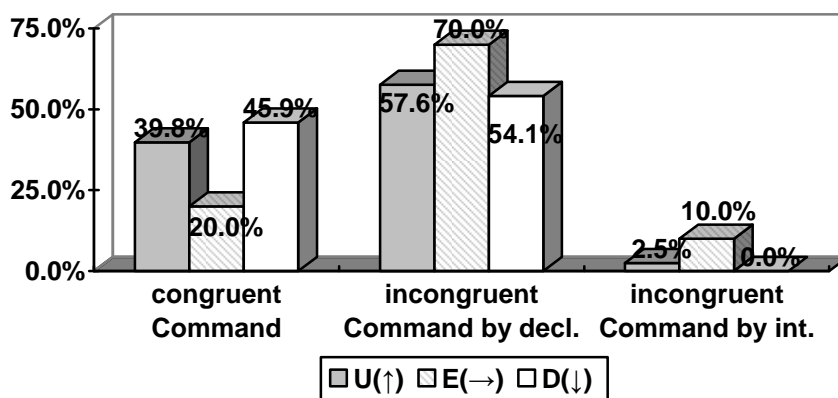


Figure 9-5: Frequency of in/congruent realisation of Command according to tenor

The in/congruent realisations of Command in texts sent by superiors occur at a similar rate (45.9% for the congruent Command and 54.1% for incongruent Command). However, texts sent by either equals or subordinates are not. The number of incongruent Commands surpasses that of the congruent Commands in both relations. The lowest congruent realisation of Command occurs in texts sent by equals. Instead, texts sent by equals have the highest incongruent realisation of Command by declarative.

In addition to the presence of the variable Mood types for Command, other lexicogrammatical features are present. The choice of HONOURIFICATION in the Predicate of declaratives and interrogatives is frequently a combination of the humble and formal form. The Subject is variable as well. 1st, 2nd and 3rd person are present as Subject. All 1st and 2nd person Subjects are implicit. On the other hand, most 3rd person Subjects are explicit.

Mood Adjuncts such as *yoroshiku*, *dooka*, *nanitozo* are often present in tenor relations between equals or from a subordinate to superior(s). This feature is especially

present in the case of the incongruent declarative. Example 9-5 is an instance of Mood Adjunct.

Example 9-5: Example of Mood Adjunct

理工学	部	の	教育向上	のため、
<i>rikooogaku</i>	<i>bu</i>	NO	<i>kyooikukoojoo</i>	<i>notame,</i>
science	faculty	of	educational improvement	for
どうか	よろしく	ご	協力	を お
<i>dooka</i>	<i>yoroshiku</i>	PRE/BEA	<i>go-kyooryoku</i>	<i>O PRE/BEA o-negai itashimsu</i>
sincerely			cooperation	PRE/HUM o-hope HUM/FOR
I sincerely hope for your cooperation in the educational improvement in the faculty of science.				
(J-E-22 sent between U (↑) within the same organisation in the form of a letter)				

In Example 9-5, *dooka* (enclosed by a rectangle) is the Mood Adjunct which intensifies the Predicate *onegaiitashimasu*. These Mood Adjuncts contribute to the construal of humble meanings.

The tenor relations also influence the choice of HONOURIFICATION in the nuclear meaning Order. The texts between those of equal status or from a subordinate to a superior(s) frequently have a combination of the humble and formal form as illustrated in Example 9-5. In contrast, texts sent by superiors rarely have a combination of the humble and formal form in their Predicates. Example 9-6 shows a text sent by a superior ending with the Predicate in the formal form only.

Example 9-6: Example of a text from a superior to a subordinate which ends in the formal form

下記の書類	を	6月1日	(火)までに	人事課	福祉係	へ
<i>kaki NO shorui</i>		<i>O 6gatsu ichinichi</i>	<i>(ka)madeni</i>	<i>jinjika</i>	<i>hukushigakari</i>	<i>E</i>
below document		June 1 st	(Tue) by	human resource division	welfare section	to
提出		願います。				
<i>teishutsu</i>		<i>negaimasu</i>				
submission		hope-FOR				
(I) ask that you submit the following documents to the Human Resource Division Welfare Section by 1June (Tue.)						
(J-E-08 sent between D (↓) within the same organisation in the form of a letter)						

This section has illustrated the nuclear meaning Order in the obligatory element Direction. Order has both congruent and incongruent realisations of Command. The tenor relations influence the choices from the language resources such as the presence of Mood Adjuncts, the system of HONOURIFICATION, the presence of Modality and in/congruent realisation of Command. Table 9-1 summarises the features of Order.

Table 9-1: Summary of linguistic features of Order

Semantic attribute		Presentation of speech function, Command		
Speech function		Command		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Congruent Command by imp. is less present than incongruent Command by declarative or modalised interrogative.		Congruent Cmd by imp. ⇔ Cmd by decl. or inter.
Predicate	Verbal group	Verbal type which is related to something to do		
	HONOURIFIC.	Frequently a combination of the humble and formal form		Mostly formal form
Negotiator		Nil		
Subject		Implicit and recoverable 'I' or 'you', or explicit 3 rd person		
Modal Adjunct		<i>dooka</i> , <i>kokoroyori</i> in the incongruent declarative	<i>yoroshiku</i> , <i>nanitozo</i> in the incongruent declarative	Nil
Location		After Orientation and before Exhortation		

9.2.2 ELABORATIVE meanings in the element Direction

In the previous sections, the nuclear meaning Order in the obligatory element Direction was identified. This section explores elaborative meanings in the obligatory element Direction. **Concession**, **Preamble** and **Particulars and Information** are the three elaborative meanings of the element Direction. Even if these three meanings are not present in a text, the text can be regarded as an instance of a Japanese Directive text

since these three meanings are elaborative. Broadly speaking, each meaning ensures the addressee's compliance with Command in the nuclear meaning Order. However, strictly speaking, they differ in their meanings. Further, even though their meanings are different, Concession and Preamble do not co-exist in a text. The following paragraphs identify these elaborative meanings by specifying their semantic attributes and lexicogrammatical realisations.

9.2.2.1. Concession

Concession is the first of the elaborative meaning in Order. Concession has the crucial semantic attribute that presents action on the writer's part. In other words, the writer gives a service to the addressees. The writer performs an action that encourages the compliance of Command by the addressee(s) in return. Five texts in the Japanese corpus have the elaborative meaning Concession, and Example 9-7 is an instance illustrating the use of Concession and the following Order.

Example 9-7: Example of Concession and following Order

Concession from the writer to the address						
検査	前	に	当部	にて	巡回	点検
<i>Kensa</i>	<i>mae</i>	<i>NI</i>	<i>toobu</i>	<i>nite</i>	<i>junkai</i>	<i>tenken</i>
inspection	before	this	section	by	patrol	check-FOR
						します
						<i>shimasu</i>
						が、
						<i>ga</i>
						but
Order following Concession						
各部	に	おかれて	も	下記事項	につき	ご
<i>Kakubu</i>	<i>NI</i>	<i>okarete</i>	<i>mo</i>	<i>kakijikoo</i>	<i>nitsuki</i>	<i>GO</i>
each	section	in	also	the undermentioned items	about	PRE-BEA
						pay
						attention
						願います。
						<i>negaimasu</i>
						hope-FOR
(This section) will patrol and check before an inspection, but (I) hope each section also pays attention to the following items.						
(J-B-10sent between E (→) to a different organisation in the form of an email)						

In the above example, as a demonstration of the writer's action, the writer mentions that s/he will patrol and check the building before the inspection. In return, the writer demands a service of the addressees by the following nuclear meaning Order.

Certain lexicogrammatical features characterise Concession. Concession always precedes the nuclear meaning Order by being connected by an adversative conjunction ‘~*ga*’ (but~). In addition to the presence of the adversative conjunction ‘~*ga*’ (but) after Concession and before Order, the Predicate which construes Concession is always a verbal type in the verbal group. Furthermore, Honourifics in the Predicates are significant. A combination of the humble and respectful forms is rarely used. Instead, the Predicate is mostly in the formal form. All clauses in Concession are declarative, which construes the speech function Statement.

The tenor relation seems to influence the presence of Concession. Concession is deployed in texts sent by subordinates or equals. No text example sent by a superior with Concession was retrieved from the Japanese corpus. This suggests that within the social hierarchy of the workplaces in this study, superiors are not under any obligation to engage in Concessions. Table 9-2 summarises Concession.

Table 9-2: Summary of linguistic features of Concession

Semantic attribute		Demonstration of the action on the writer’s side		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate		Not present
Predicate	Verbal group	Verbal type which is related to something to do		
	HONOURIFIC.	The formal form		
Negotiator		Nil		
Subject		Implicit and recoverable ‘I’ or ‘we’, or explicit third person		
Modal Adjunct		Nil		
Conjunction		An adversative conjunctions, ‘ga’ (but) is present between Concession and Order		
Location		Preceding Order, but not co-exist Apologetic Preamble		

9.2.2.2. *Apologetic Preamble*

The second elaborative meaning in the element Direction is **Apologetic Preamble**. The semantic attribute of Apologetic Preamble shows the writer’s apologetic feeling for construing Command in the following Order. Fifteen texts in the Japanese corpus have

the elaborative meaning, and Example 9-8 shows several instances which construe Apologetic Preamble.

Example 9-8: Examples of Apologetic Preamble

<p>a) お 手数です が <i>o- tesuu desu ga</i> PRE/RES trouble-FOR but</p> <p>(I) troubled (you), but (J-E-10 sent between D (↓) within the same organisation in the form of a letter)</p>
<p>b) 大変 申し訳ありません が <i>taihen mooshiwake arimasen ga</i> <u>very</u> be sorry-FOR but</p> <p>(I) am so sorry, but (J-E-15 sent between U (↑) within the same organisation in the form of a letter)</p>
<p>c) お 手数 を お 掛けします が <i>o- tesuu O o- kakeshimsu ga</i> PRE/RES trouble O PRE/BEA give-FOR but</p> <p>(I) am troubling you, but (J-B-14 sent between U (↑) within the same organisation in the form of an email)</p>
<p>d) ご 多忙 中、 誠に 申し訳ありません が、 <i>go- taboo chuu makotoni mooshiwake arimasen ga</i> PRE-RES busy in sincerely be sorry-FOR but</p> <p>(I) am sincerely sorry as you are so busy, but (J-E-14 sent between E (→) to a different organisation)</p>

As well as Concession, Apologetic Preamble always precedes the nuclear meaning Order and these two meanings are connected by an adversative conjunction ‘~ga’ (~but) enclosed by a square in Example 9-8. For this reason, both Apologetic Preamble and Concession cannot co-exist. However, the difference between Concession and Apologetic Preamble lies in the speech function. While Concession provides the writer’s service, that is, the speech function offer, to the addressees, Apologetic Preamble gives information, that is, the speech function statement. Apologetic Preamble lexicogrammatically has some distinguishing features. Modal Adjuncts are frequently expressed in this meaning. In addition, the Subject in Apologetic Preamble is always implicit as indicated in Example 9-8. Furthermore, the Subject in some clauses is difficult to recover. As stated in chapter 7, these major clauses function as a comment

Adjunct. The verbal group of the Predicate is either a verbal type or a noun type + *da* in the verbal group. Apologetic Preamble is construed by Statement which is congruently realised by a declarative.

The tenor relation seems to influence the presence of Apologetic Preamble, especially in the choice of HONOURIFICATION. Although Apologetic Preamble is present in texts sent by all tenor relations, the choice of HONOURIFICATION differs in each tenor relation. The higher the writer's status is, the lower degree of HONOURIFICATION the writer employs. For instance, when texts are sent from a superior to a subordinate ((a) in Example 9-8), the writer uses a clause, *Otesuu desu ga*. This clause has two honourifics. One is a respectful prefix 'o' before the noun 'tesuu' (trouble), the other is a formal form: 'desu'. On the other hand, the rest of the examples in Example 9-8 have the Predicate in a combination of the humble and formal form. In addition, the presence of a mood Adjunct⁴⁰, such as 'taihen' (really) or 'makoto ni' (sincerely), which serves to intensify, is frequently present. These mood Adjuncts function to emphasise the writer's apologetic feeling for demanding goods & services via Order, which is present just after Apologetic Preamble. In sum, the elaborative meaning Apologetic Preamble is more honourific when used by a person with a lower status toward those who have a higher status. Table 9-3 summarises Apologetic Preamble.

⁴⁰ Halliday and Matthiessen (2004, p. 129) argue that 'an adverb serves as mood Adjunct of intensity' in English; it seems to be a similar in Japanese.

Table 9-3: Summary of linguistic features of Apologetic Preamble

Semantic attribute	Expression of the writer's apologetic feeling for construing Command		
Speech function	Statement		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
Mood type	Declarative without modality in Predicate		
Predicate	Verbal group	Either a noun type or a verbal type	
	HONOURIFIC.	Frequently a combination of the humble and formal form	Formal form
Negotiator	Nil		
Subject	Implicit and recoverable 'I' or 'we', or unrecoverable Subject such as ' <i>otesuu desuga</i> '		
Modal Adjunct	Frequent presence of <i>taihen</i> (really), <i>makotoni</i> (sincerely)		Nil
Conjunction	An adversative conjunctions, ' <i>ga</i> ' (but) is present between Apologetic Preamble and Order		
Location	Preceding Order, but does not co-exist with Concession		

9.2.2.3. Particulars & Information

The third and last elaborative meaning in the obligatory element Direction is **Particulars & Information**. The semantic attribute of Particulars & Information functions to give necessary details and information to addressees for the smooth compliance of Order. In other words, Particulars & Information contains informative and procedural aspects. Whereas 35 texts contain Particulars, 17 texts contain Information. Unlike Concession or Apologetic Preamble, Particulars & Information always follows Order. There are lexicogrammatical differences between Particulars & Information. While Particulars are realised by minor clauses or noun groups only in many clauses, Information is realised by major clauses. Example 9-9 below and 9-10 on the next page provides Particulars & Information respectively.

Example 9-9: Example of Particulars

<p style="text-align: center;">記</p> <p>1. 日時：X月X日(木)13:30～16:00 2. 検査官：XXX 消防署 査察官 4 名 3. 検査範囲：当ビル本館及び別館 4. 検査項目： ①消防設備全般 ②小量危険物等</p>	<p style="text-align: center;">Notice</p> <p>1. date/time: date (Thu) 13:30～16:00 2. inspector: XXX fire station 4 people 3. inspection area: main bldg. and annex 4. inspection items: ①whole fire facilities ②small dangerous object etc.</p>
(J-B-10sent between E (→) in the form of an email within the same organisation)	

Example 9-10: Example of Information

(各	事務室	への	非常	サイレン(放送)	検査	は	ありません)
(<i>kaku jimushitsu eno hijoo</i>		<i>sairen</i>	<i>(hoosoo)</i>	<i>kensa</i>	<i>WA</i>	<i>arimasen</i>)
(each	office	to	emergency	siren	(announcement)	inspection	WA is not-FOR
Each office does not have its own emergency siren (annoucement).							
(J-B-10sent between E (→) in the form of an email within the same organisation)							

Whereas Particulars in Example 9-9 are realised by noun phrases, Information in Example 9-10 is realised by a major clause. Both examples are retrieved from the same text and this illustrates that Particulars & Information can co-exist in a text. In addition, Information has some distinguishing lexicogrammatical features. Whenever Subject is a third person, it is always present. On the other hand, when Subject is a first or a second person, it is always elided. Moreover, an elliptical Subject for a second person rarely occurs. Furthermore, the Predicate in Information is variable in that all verbal types are present. In addition, no modal Adjunct is present, and there are conjunctions. Some clauses in Information have modal Predicates which realise probability, although there is no modal Predicate in the other two elaborative meanings.

The tenor relations do not influence the choice of HONOURIFICATION. It is mostly realised by the formal form only. Because of the informative nature of the meaning, there seems to be no need to show writer's respect.

The tenor relations in the meaning Particulars & Information have different features from those in the previous two meanings Concession and Apologetic Preamble. Figure 9-6 indicates the frequency of the presence of elaborative meanings depending on tenor relation.

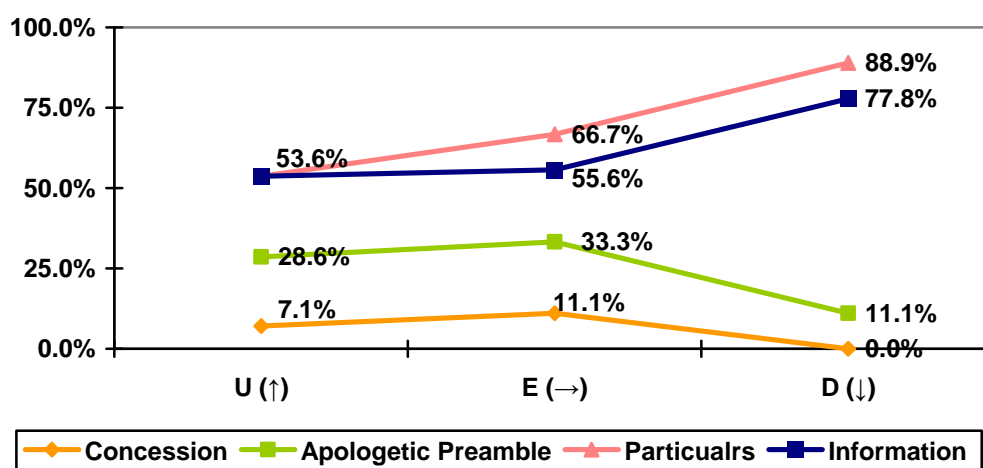


Figure 9-6: Frequency of elaborative meanings in the element Direction according to tenor

In Figure 9-6, two solid lines and two broken lines show relatively similar shapes respectively. The solid lines (a thinner line for Particulars and a thicker line for Information) represent a high frequency in texts sent by superiors. In contrast, the broken lines (a broken line for Concession and a dotted line for Apologetic Preamble) represent a higher frequency in texts sent by subordinates or equals.

This suggests that the higher the status, the more informative the texts, and by contrast, the lower the status, the less informative the texts. Instead, lower or equal status deploys Concession or Apologetic Preamble more frequently than higher status in order to appease addressees. That is, subordinates or equals tend to foreground the social distance, so it can be said that subordinates and equals have a different ‘distribution of labour’ (Hasan, 1996c, p. 236) from superiors. It would seem that, while Particulars & Information is ideationally-oriented in that these meanings are directly related to the nuclear meaning Order, Concession and Apologetic Preamble are interpersonally-oriented in that they are less related to the nuclear meaning Order. In sum, subordinates tend to put much more emphasis on the interpersonally-oriented meanings, while superiors tend to put much more emphasis on the ideationally-oriented meanings. On the other hand, equals tend to emphasise both interpersonally-oriented

and ideationally-oriented meanings. Table 9-4 and 9-5 summarise Particulars & Information respectively.

Table 9-4: Summary of linguistic features of Particulars

Semantic attribute	Informative details of Order		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	Either noun phrases or minor clauses		
Location	Presence after Order		

Table 9-5: Summary of linguistic features of Information

Semantic attribute		Informative details or procedural information of Order		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate or with modalised Predicate such as <i>dekiru</i> (can)		
Predicate	Verbal group	Noun type + COP ‘ <i>da</i> ’, verbal type or adverbial type		
	HONOURIFIC.	Mostly realised by the formal form		
Negotiator		Nil		
Subject		Explicit third person, or implicit recoverable 1 st or 2 nd person		
Modal Adjunct		Nil		
Location		Presence after Order		

This section has identified the obligatory element Direction by specifying the nuclear meaning Order and elaborative meanings Concession, Apologetic Preamble and Particulars & Information. Finally, Table 9-6 summarises the nuclear and elaborative meaning in the obligatory element Direction.

Table 9-6: Summary of semantic attribute of the NUCLEAR and ELABORATIVE meanings in Direction

Element of Direction	NUCLEAR	Order	the semantic attribute that states any request or command
	ELABORATIVE	Concession	the semantic attribute that presents the action which the writer has done or will do.
		Apologetic preamble	the semantic attribute that mentions the writer's apologetic feeling for the addressees.
		Particulars & Info.	the semantic attribute that refers to the information or the detailed explanation of the nuclear meaning Order.

The lexicogrammatical features construing these meanings vary in several points. With regard to the Mood, these differences are 1) the kind of the verbal types in the

Predicate, 2) the different degree of honourifics, that is, the different choices of HONOURIFICATION, 3) the presence or absence of modality in the Predicate, 4) the presence or absence of mood Adjuncts and conjunctions, 5) the presence or absence of a particular conjunction, 6) the presence or absence of Subject and 7) the type of Subject such as 1st, 2nd or 3rd person, and human or non-human.

As far as the texts in the Japanese corpus are concerned, all elaborative meanings in Direction, such as Concession, Apologetic Preamble or Particulars & Information seem to be influenced by tenor relations. The presence or absence of these three meanings is also influenced by tenor relations. While the semantic attribute of Particulars & Information is informative, those of Concession and Apologetic Preamble are to mollify the addressees' feelings to some extent. As mentioned, this suggests that Particulars & Information has an ideational property, whereas Concession and Apologetic Preamble have an interpersonal property. In other words, while Particulars & Information is ideationally oriented, Concession and Apologetic Preamble are interpersonally oriented. In texts sent by superiors, Particulars & Information appear more often than those of Concession and Apologetic Preamble. In contrast, in texts sent by subordinates, Concession and Apologetic Preamble appear more often than Particulars & Information. Finally, Table 9-7 summarises the obligatory element Direction providing the meanings, the speech function, the linguistic features and the tenor relations

Table 9-7: Linguistic features of the obligatory element Direction in the Japanese written Directive text

Linguistic features of the meanings in the <u>OBLIGATORY</u> element Direction									
linguistic feature meanings		Speech Function	Tenor	Mood Type	Predicate		other than Predicate		
					verbal group	HONOURIFICATION	Modal Adjunct	Subject	Others
NUCLEAR	Order	Command	↗	Incongruent Command by Imperative > Congruent Command by Declarative or modulated Interrogative	Verb	Mostly realised by a combination of the humble and formal form	✓	Implicit but recoverable 1 st and 2 nd person or explicit 3 rd person	Located after Orientation before Exhortation
			→				✓		
			↘			Mostly realised by formal form	Not present		
ELABORATIVE	Concession	Offer	↗	Declarative without modality in Predicate	Verb	Formal form	Not present	Implicit but recoverable 1 st person or explicit 3 rd person	Preceding Order with adversative conj. ‘ga’
			→						
	Apologetic Preamble	Statement	↗	Declarative without modality in Predicate	Noun or verb	Mostly realised by a combination of the humble and formal form	✓	Implicit but recoverable ‘I’ or ‘we’, unrecoverable Subject	Preceding Order with adversative conj. ‘ga’
			→				✓		
			↘			Formal form	Not present		
	Information	Statement	↗	Declarative with or without modalised Predicate	Noun, verb or adjective.	Frequently realised by a combination of the humble and formal form	Not present	Explicit 3 rd person or implicit but recoverable 1 st or 2 nd person	After Order
			→			Mostly realised by formal form			
			↘						
	Particulars	N/A	↗	Realised by either noun phrases or minor clauses					
			→						
			↘						

Having described the obligatory element **Direction**, the following section will identify the optional elements in the Japanese written administrative Directives.

9.3. The optional elements

As stated in section 9.1, there are six kinds of optional elements of the Japanese written administrative Directives. They are **Commencement**, **Establishment**, **Orientation**, **Legitimation**, **Exhortation** and **Completion**. The following sections explain each optional element.

9.3.1 Commencement

At the beginning of the text, the optional element **Commencement** may be present. The crucial semantic attribute relevant to Commencement is to particularise what a text is about, to whom a text is addressed and who the writer is. Commencement is further divided into three meanings 1) **Title**, 2) **Calls** and 3) **Pre-self-identification** corresponding to the kinds of the particularisations. These three meanings are explained in the following paragraphs.

9.3.1.1. Title

Title is the first of the three possible meanings in the element Commencement. The semantic attribute crucial to Title is the particularisation of a text. Forty seven texts contain the meaning Title, and Example 9-11 is an extract of the meaning Title in Example 9-2.

Example 9-11: Example of Title

name of comittee	委員会
xxxxxxxxxxxxxxxxxxxxxx	<i>iinkai</i>
xxxxxxxxxxxxxxxxxxxxxx	committee
委員への委嘱について (ご依頼)	
<i>iin eno ishoku nitsuite</i>	(go-PRE/RES irai)
member to request about	(request)
Request to a member	(a request)

As Example 9-11 indicates, Title is lexicogrammatically realised by a noun phrase. A post positional, *~nitsuite* (about ~) often accompanies it. This feature is enclosed by a

rectangle in Example 9-11. Title is frequently present among all tenor relations. Figure 9-7 represents how often Title appears according to tenor.

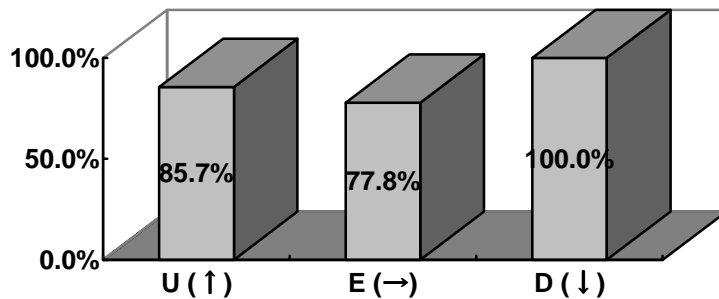


Figure 9-7: Frequency of Title according to tenor

In Figure 9-7, Title is always present in texts sent by superiors. In texts sent by subordinates or equals, Title is also highly employed appearing in 85.7% and 77.8% of texts sent by respective cohorts. This suggests that those occupying higher status need Title in the Directive texts in order to show a short summary of the text. Table 9-8 summarises the linguistic features of the meaning Title.

Table 9-8: Summary of linguistic features in Title

Semantic attribute	Short description of the text		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrase which is often followed by <i>~nitsuite</i>		
Location	Before the element Establishment		

9.3.1.2. Calls

Calls is the second of the three possible meanings in the element Concession. The crucial semantic attribute relevant to Calls is the particularisation of the addressee. Forty four texts contain Calls. Example 9-12 exemplifies several instances of it.

Example 9-12: Examples of Calls

a). XXX 様 (<i>sama</i>) Mr. or Ms. (J-E-02 sent between U (↑) within the same organisation in the form of an email)
b). XXX 殿 (<i>dono</i>) Mr. or Ms. (J-G-14 sent between E (→) to a different org. in the form of a letter)
c). XXX さん (<i>san</i>) Mr. or Ms. (J-B-02 sent between D (↓) within the same organisation in the form of an email)
d). XXX 先生 (<i>sensei</i>) Teacher (J-E-04 sent between U (↑) within the same organisation in the form of a memo)
e). 各位 (<i>kakui</i>) Mr. and Ms (J-B-06 sent between E (→) within the same organisation in the form of a letter)
f). 御中 (<i>onchuu</i>) Messrs (E-B-10 sent between E (→) within the same organisation in the form of an email)

All instances in Example 9-12 function to demonstrate the writer's respect to the addressee. However, their usage varies according to situational types and social distance. A courtesy title, a) 様 (*sama*) (Mr. or Ms.) is more respectful than b) 殿 (*dono*) (Mr. or Ms.) which is used in official documents (Shimamura, 1991). In contrast, c) さん (*san*) (Mr. or Ms.) is more casual than the other two. Also, d) 先生 (*sensei*) (Teacher) functions as a courtesy title for people engaged in a teaching job. While e) 各位 (*kakui*) (Mr. and Mrs.) is used in official documents to multiple addressees, f) 御中 (*onchuu*) is used in official documents whose addressee is not a person but an organisation.

Tenor relations influence the choice of these variations in the meaning Calls.

Figure 9-8 represents how often Calls appears according to tenor relations.

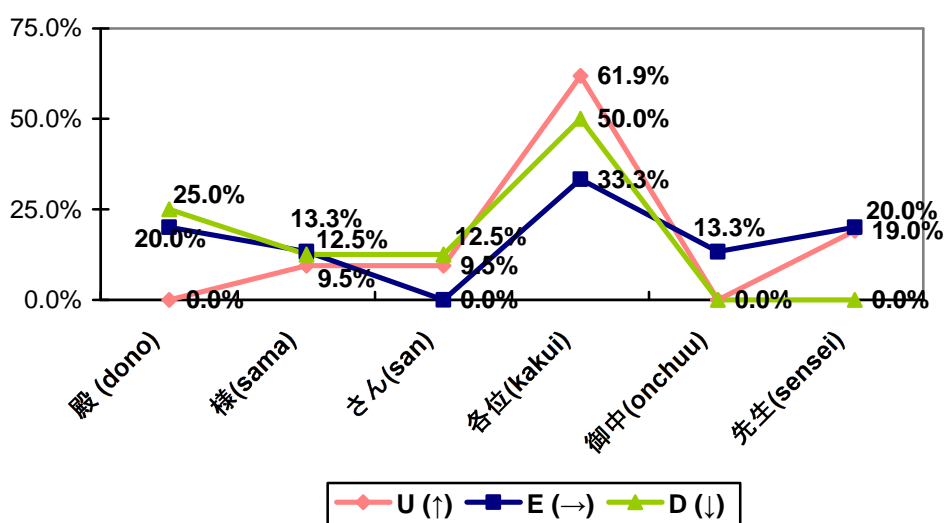


Figure 9-8: Frequency of Calls according to tenor

As Figure 9-8 represents, 各位 (*kakui*) is the most frequently employed in the Japanese Directive texts among all tenor relations. 各位 (*kakui*) is therefore important for the Japanese Directive texts. Other than 各位 (*kakui*), the choices vary according to tenor relations. While equals use four Calls such as 殿 (*dono*), 様 (*sama*), 御中 (*onchuu*) and 先生 (*sensei*), subordinates and superiors employ three each. Calls such as 様 (*sama*) and さん (*san*) are deployed by superiors and subordinates. Whereas 先生 (*sensei*) is employed by subordinates, 殿 (*dono*) is employed by superiors. Equals have the most choices among the three tenor relations. Those in hierarchical relations seem to be limited in their choice of Calls compared to those in equal relations. Subordinates are not entitled to use 殿 (*dono*), equals are not entitled to use さん (*san*), and it is not common for superiors to use 先生 (*sensei*). Table 9-9 summarises the linguistic features of Calls.

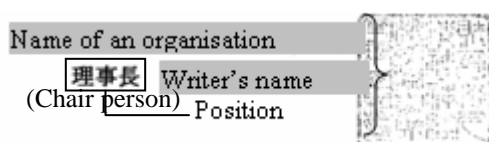
Table 9-9: Summary of linguistic features of Calls

Semantic attribute	Particularisation of the addressee(s)		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrase accompanied by suffixes or a courtesy title such as <i>kakui</i>		
Location	At the beginning of a text		

9.3.1.3. Pre-self-identification

Pre-self-identification is the third of the three possible meanings in the element Commencement. Twenty seven texts contain the meaning Pre-self-identification. Example 9-13 is an extract from Example 9-2 which contains the meaning Pre-self-identification.

Example 9-13: Example of Pre-self-identification



This example text includes the organisation name, the writer's position and name. Some texts include section name or only section and position instead of stating the writer's name. Table 9-10 summarises the meaning Pre-self-identification.

Table 9-10: Summary of linguistic features of Pre-self-identification

Semantic attribute	Particularisation the writer		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
Realised by	A noun phrases		
Location	At the beginning of a text before Calls if present		

9.3.2 Establishment

The element **Establishment** may be present following the optional element Commencement. The crucial semantic attribute relevant to the realisation of the element

Establishment is the measurement of social distance⁴¹ between writer and addressee(s). Once a personal and/or social distance is set up via the element Establishment, the distance remains unchanged throughout a text.

Establishment can be further divided into five types depending on precise meanings. They are 1) **Opening**, 2) *Sasshi* (consideration), 3) **Complement**, 4) *Negirai* (appreciation of a person's effort) and 5) **Self-introduction**. All functions to set up and maintain a personal and social relation between writer and addressee(s). These five meanings are identified in the following paragraphs.

9.3.2.1. Opening

The crucial semantic attribute **Opening** is to start a text. Three texts contain Opening, and it is lexicogrammatically realised by formulaic words such as *haikei* 拝啓 (Respect) or *zenryaku* 前略 (Omission of preliminaries). Both words are present at the beginning of a text. However, their functions and their degree of respect differ. While *haikei* (拝啓) dispenses formal preliminaries to a text, *zenryaku* (前略) is a word which states the omission of such formal preliminaries. These two types of Openings are employed by different tenor relations. The formulaic word, *haikei* (拝啓) is present in two texts sent by subordinates, whereas *zenryaku* (前略) is present in one text sent by equals. Table 9-11 summarises the meaning Opening.

Table 9-11: Summary of linguistic features of Opening

Semantic attribute	Statement of formality		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
Realised by	A formulaic word		
Location	At the beginning in Establishment if present		

⁴¹ There are two types of the social distance. One is vertical, and the other is horizontal. Whereas a vertical axis is responsible for hierarchy, a horizontal axis is responsible for familiarity (Nakane, 1970; Teruya, 2007).

9.3.2.2. *Sasshi*

Sasshi (Consideration) is a Japanese word which can be translated as ‘consideration’.

The crucial semantic attribute relevant to *Sasshi* is that of expressing a writer’s careful thought about an addressee. Three texts (all letters) have *Sasshi*. Example 9-14 illustrates an instance which contains the meaning *Sasshi*.

Example 9-14: Example of *Sasshi* (Consideration)

時下	<u>ますます</u>	<u>ご</u>	清祥 のこと
<i>jika,</i>	<i>masumasu</i>	<i>go-PRE/RES</i>	<i>seishoo no koto</i>
recently	more than ever	in good health	NO condition
と お慶び		申し上げます。	
<i>to haisatsu</i>		<i>mooshiagemasu.</i>	
that happy		<i>iu-HUM/FOR</i>	
I humbly hope that you are in good health these days.			
(J-E-17 sent U (↑) within the same organisation in the form of a letter)			

In the example text, the writer wishes the addressee well. *Sasshi* has its distinguishing lexicogrammatical features. *Sasshi* is lexicogrammatically realised by a declarative that construes statement. The Predicate is consistently a verbal type related to ‘saying’. The choice of HONOURIFICATION is always a combination of the humble and formal form. The mood Adjunct, such as *masumasu* (more than ever), is always present in order to intensify the Predicate in a bound clause (underlined in Example 9-14). A respectful prefix: *o/go* is frequently present. For instance, in Example 9-11, a noun such as *seishoo* (good health) has a respectful prefix *go* (enclosed by rectangles). Table 9-12 summarises *Sasshi*.

Table 9-12: Summary of linguistic features of *Sasshi*

Semantic attribute		A writer's consideration for an addressee(s)		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative w/o modality in Predicate	Not present	
Predicate	Verbal group	Verbal type		
	HONOURIFC.	A combination of the humble and formal form		
Negotiator		Nil		
Subject		Implicit and recoverable 1 st person		
Modal Adjunct		Nil		
Conjunction		Nil		
Location		At the very beginning of a text		

9.3.2.3. *Compliment*

Compliment is the third of the five possible meanings in the element Establishment.

The crucial semantic attribute relevant to Compliment is that of the expression of gratitude towards an addressee(s) by a writer. Twelve texts contain Compliment, and Example 9-15 is a text instance of Compliment.

Example 9-15: Example of Compliment

いつも	お	世話	に	なっております。
<i>itsumo</i>	o-	<i>sewa</i>	NI	<i>natteorimasu.</i>
always	PRE-RES	assistance	NI	have-HUM/FOR
Thank you for your constant assistance.				
(J-E-06 sent U (↑) within the same organisation in the form of a memo)				

Compliment is semantically realised by Statement. Lexicogrammatical features make Compliment different from other meanings. The Predicate is always a verbal group in which a combination of the humble and formal form is frequently present. Combined with the presence of the humble and formal form in the Predicate, a respectful prefix, *o/go* is frequently present. In the text in Example 9-15, nouns such as *sewa* (assistance) have prefix *o* (enclosed by squares). Moreover, unlike the other three meanings in Establishment, Mood Adjuncts such as *itsumo* (always), *atsuku* (cordially) or *kokoroyori* (sincerely) are often present. The Subject is always implicit. When the Subject is recovered, it always refers to the writer 'I' (1st person singular).

Tenor relations seem to influence the presence of Compliment. In the corpus, it was never present in texts sent by superiors. Table 9-13 summarises Compliment.

Table 9-13: Summary of linguistic features in Compliment

Semantic attribute		Expressions of a writer's gratitude for an addressee(s)		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate		
Predicate	Verbal group	Verbal type		
	HONOURIFIC.	A combination of the humble and formal form		
Negotiator		Nil		
Subject		Implicit 1 st person but recoverable		
Modal Adjunct		<i>itsumo</i> (always), <i>atsuku</i> (cordially) or <i>kokoroyori</i> (sincerely)		
Location		At the very beginning of text but following <i>Sasshi</i> if present.		
		Not present		

9.3.2.4. *Negirai*

Negirai is the fourth of the five possible meaning in the element Establishment. *Negirai* means ‘appreciation of a person’s effort’ (Collick, Dutcher, Tanabe & Kaneko, 2003). The crucial semantic attribute relevant to *Negirai* is that of showing the writer’s sympathetic understanding of the addressee’s work. Four texts contain the meaning, *Negirai*. Example 9-16 illustrates an instance of *Negirai*.

Example 9-16: Example of *Negirai*

お	疲れ	様	です。
<i>o-</i>	<i>tsukare</i>	<i>sama</i>	<i>desu.</i>
<i>o</i> -PRE-BEA fatigue		SUF-FOR	COP- <i>da</i> – FOR
I appreciate your effort in the work.			
(J-B-15 sent U (↑) within the same organisation in the form of an email)			

Negirai is semantically realised by Statement. This meaning is always realised by a formulaic expression as shown in Example 9-16. Predicates of clauses in *Negirai* always end in the form of noun group + ‘*desu*’, which is a formal form of copula ‘*da*’. Nouns in clauses always have the respectful prefix, *o*.

Again, the tenor relation seems to influence the presence of *Negirai*. All occurrences of *Negirai* were in texts sent by subordinates or equals. Table 9-14 summarises *Negirai*.

Table 9-14: Summary of linguistic features of *Negirai*

Semantic attribute		Sympathetic understanding of addressee's work		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate		
Predicate	Verbal group	A noun type + COP 'da'		
	HONOURIFC.	Formal form		
Negotiator		Nil		
Subject		Implicit 1 st person but recoverable		
Modal Adjunct		itsumo (always)		
Location		At the very beginning of text but before Self-introduction if present		

9.3.2.5. Self-introduction

Self-introduction is the fifth of the five possible meanings in the element Establishment. The crucial semantic attribute relevant to Self-introduction is that of the particularisation of the writer. Unlike Pre-self-identification, Self-introduction is always realised by a major clause. Eight texts contain Self-introduction. Example 9-17 illustrates instances of Self-introduction.

Example 9-17: Example of Self-introduction

<p> ** と 申します。 ** to <i>mooshimasu</i> ** to <i>iu</i>-HUM/FOR (I) am **. (J-G-06 sent U (↑) to a different organisation in the form of an email) </p>
<p> ** です。 ** <i>desu</i> ** COP-da-FOR (I) am **. (J-B-15 sent E (→) to a different organisation in the form of an email) </p>

Both example texts in Example 9-17 introduce the writer. However, the degree of honourific expression differs. In the first text in Example 9-17, a combination of the humble and formal form is deployed. The Predicate in the first example is *mooshimasu*.

This can be separated into *mooshi* + *masu*, which is a combination of the humble and formal form. The humble form functions to show the writer's respect by lowering the writer themselves. On the other hand, the second example uses only the formal form of copula, *desu*. The formal form, '*desu*' does not have the function of lowering the speaker (the humble form) or elevating an addressee (a respectful form). Instead, formal forms such as *desu* or *masu* add courtesy to a text or an interactant (see A Japanese cultural inquiry commission, 2007 for more details).

In addition to the use of honourifics, some lexicogrammatical features are notable. The Predicate in Self-introduction is typically a noun type in the verbal group. The Predicate always ends in the formal form. The Subject is always elided, and when it is recovered, the Subject can be translated into either 'I' or 'my name'. Modal Predicates or modal Adjuncts are not present in Self-introduction. Table 9-15 summarises the features of the meaning Self-introduction

Table 9-15: Summary of linguistic features of Self-introduction

Semantic attribute		Particularisation of writer		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative w/o modality in Predicate	Not present	Same as Sub. →Sup.
Predicate	Verbal group	Verbal type		Same as Sub. →Sup.
	HONOURIFC.	Mostly realised by the formal form		Formal form
Negotiator		Nil		Nil
Subject		Implicit but recoverable 1 st person		Same as Sub. →Sup.
Modal Adjunct		Nil		Nil
Location		Follows <i>Negirai</i> , <i>Compliment</i> or <i>Sasshi</i> if present		

9.3.2.6. Similarities of the meanings in the element Establishment

The meanings in the element Establishment has some lexicogrammatical similarities. Subject is always elided, however, it is consistently 'I' or one relevant to 'I' such as 'my name' (in Self-introduction) if the Subject is recovered. The texts construing

Establishment always give information, that is, construe the speech function statement. On the other hand, the choice of HONOURIFICATION and verbal group in Predicate fall into two types. The Predicates of clauses in *Negirai* and Self-introduction are mostly realised by noun type + 'da'. In contrast, Predicates of clauses in *Sasshi* and Compliments are always realised by a verbal group. The choice of HONOURIFICATION corresponds to these categories. *Negirai* and Self-introduction have a Predicate in which a combination of the humble and formal form is present. On the other hand, *Sasshi* and Compliment have Predicates which end in the formal form. This arises from the fact that 'da' following a noun does not have any humble form.

The tenor relations influence the presence of elaborative meanings in the element Establishment. The element Establishment tends to be present when the relation is between equals or from a subordinate to a superior(s). Figure 9-9 indicates how often the meanings in the element Establishment are present according to tenor relations.

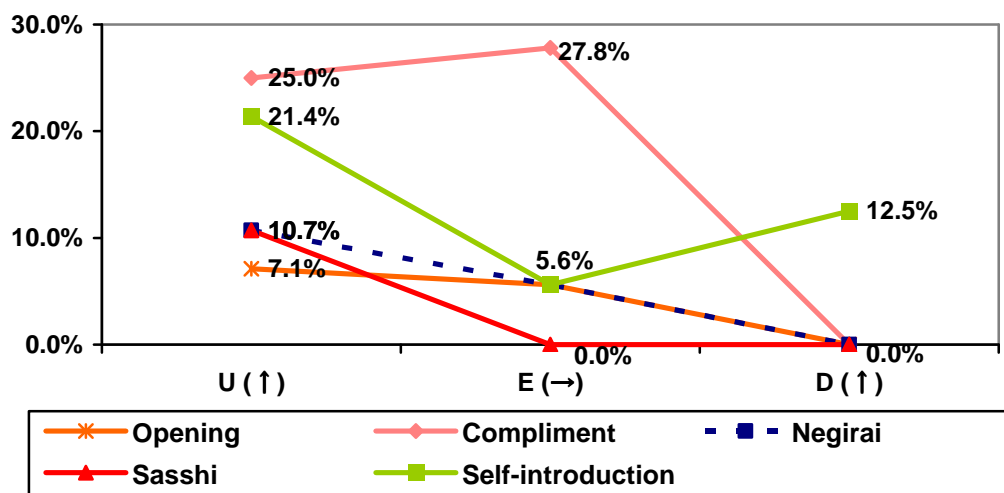


Figure 9-9: Frequency of elaborative meanings in the element Establishment according to tenor

Texts sent by subordinates have all meanings, while texts sent by equals or superiors have some of the five possible meanings. While equals employ all meanings except *Sasshi*, superiors employ Self-introduction only. It can be said that the meanings in the element Establishment is interpersonally-oriented. Since the semantic attribute of the

element Establishment is to measure social distance between interactants, subordinates appears to need more distribution of labour than other two tenor relations. The next section will identify the optional element Orientation.

9.3.3 Orientation

Orientation is an optional element for the Japanese Directive texts. Orientation has the nuclear meaning Background. The crucial semantic attribute relevant to the realisation of Background is that of guiding the addressee(s) to the main issue. Twenty seven texts contain the meaning of Background. Example 9-18 on the next page is an instance of Background.

Example 9-18: Example of Background

さて、	副教材	の 使用方法	について、
<i>sate,</i>	<i>hukukyoozai</i>	<i>NO shiyoo</i>	<i>hoohoo nitsuite,</i>
By the way, subtext	NO procedure	about	
改めて、ご	案内	申し上げます。	
<i>aratamete go</i>	<i>an'nai</i>	<i>mooshiagemasu</i>	
again, PRE/BEA-go	guidance	say-HUM/FOR	
By the way, (I) will give (you) guidance about the sub-text again.			
(J-E-23 sent between U (↑) in the form of the letter within the same organisation)			

Some lexicogrammatical features of Background are notable. All clauses are realised by a declarative clause which construes statement. The Predicate is a noun group + ‘*desu*’ (a formal form of copula ‘*da*’) or a verbal group. A combination of the humble and formal form of a verbal group is frequently present. No modality is deployed in the part of the Predicate or Adjunct. Unlike Establishment, tense⁴² in the Predicate is frequently past.

Background is present in all tenor relations. However, the rate at which they appear differs according to tenor relations. Figure 9-10 represents how often the meaning Background in the element Orientation appears according to tenor relations.

⁴² Tense in the Japanese grammar is controversial (Kudoh, 1995). Since matters which are related to tense are not the purpose of this thesis, I will follow the two divisions, past and non-past which Okuda (1978), Suzuki (1974) and National Japanese language Institute (1985) made.

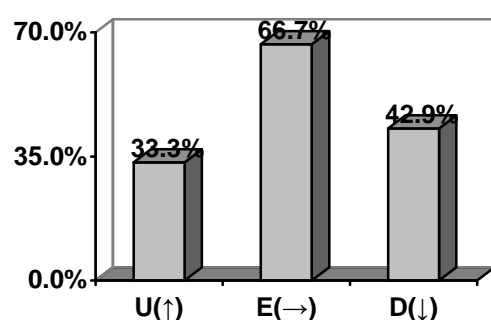


Figure 9-10: Frequency of Background according to tenor

Texts sent by equals have the meaning Background the most. This suggests that the meaning Background is important for texts sent by equals. Table 9-16 shows the summary of Background in the element Orientation.

Table 9-16: Summary of linguistic features in Background

Semantic attribute		Invitation to the main issue		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate		
Predicate	Verbal group	Either noun type + COP ‘ <i>desu</i> ’ or verbal type		
	HONOURIFIC.	Frequently realised by a combination of the humble and formal form		Mostly realised by the formal form
Negotiator		Nil		
Subject		Implicit 1 st person or explicit 3 rd person		
Modal Adjunct		Nil		
Location		After Establishment and before either Legitimation or Order		

9.3.4 Legitimation

Legitimation is an optional element for the Japanese Directive texts. The element Legitimation is mobile, occurring either before or after Order. However, if it occurs, Legitimation is always after Commencement, Establishment and Orientation, and precedes the elements Exhortation and Completion.

Legitimation has the meaning **Justification**. The crucial semantic attribute relevant to Justification is the presentation of the reason the writer issues a command to the addressee(s). Strictly speaking, Justification can be divided into **Authoritative Justification** and **Situational Justification**. Authoritative Justification refers to

Authority such as an official organisation (police etc.) or a person superior to the writer, although it is still causative. On the other hand, Situational Justification does not appeal to authorities. While Authoritative Justification is present in five texts, Situational Justification is present in 38 texts. Example 9-19 indicates an instance of Authoritative Justification.

Example 9-19: Example of Authoritative Justification

本日	**警察署	より	各	事業主	に対して、
<i>honjitsu</i>	<i>**keisatsusho</i>	<i>yor</i>	<i>kaku</i>	<i>jigyoo</i>	<i>nushi nitaishite</i>
Today	** Police station	from	each	business owner	for
飲酒運転	根絶	の	依頼が	ありました	ので
<i>inshuunten</i>	<i>konzetsu</i>	<i>NO</i>	<i>irai GA</i>	<i>arimashita</i>	<i>node,</i>
drink-driving	eradication	of	request	GA there was-FOR	because
					inform-HUM/FOR
I inform you of the requirement made to all business owners for the eradication of the drinking of alcohol by police as from today.					
(J-B-04 sent between D (↓) within the same organisation in the form of an email)					

In this example, the writer refers to the police station as an authority. On the other hand, Example 9-20 indicates a general reason for Situational Justification.

Example 9-20: Example of Situational Justification and following Order

Example text	Element
ウィルスに 感染した PC が 持ち込まれ、 <i>uirusu ni kansen shita piishii GA mochikomare</i> virus NI infected PC GA is brought in ネットワークに 接続される と <i>nettowaaku NI setsuzoku sareru to</i> network NI is connected when 学内 に ある 他 の PC に被害を 及ぼす <i>gakunai ni aru hoka no piishii NI higai O oyobosu</i> inside the Uni there is other PC NI damage give 可能性 が あります ので <i>kanoosei GA arimasu node</i> possibility GA there is because	Legitimation
ご 注意 下さい。 <i>go chuui kudasai</i> PRE/BEA-go attention give-FOR Please beware of the possibility of damage to university PCs connected to the network when infected computers are brought in. (J-E-02 sent between U (↑) within the same organisation in the form of an email)	Direction

Certain lexicogrammatical features characterise the element Legitimation. The Predicate is variable. An adjective type as well as a verbal type and a noun type are present. In

addition, modalisation of possibility is often present (shaded in grey in Example 9-20). The clauses in Legitimation frequently contain a conjunction, *~node* (because~) (enclosed by a square in Example 9-19). All clauses are declarative which congruently construes statement. Few Adjuncts are present, and only one instance of the Negotiator is present in Situational Justification. Example 9-21 shows the text which has the Negotiator, *ne*.

Example 9-21: Example of Negotiator in Situational Justification

**さんの 説明です	と、売限度	ということに なります	<u>ね。</u>
** <i>san</i> NO <i>setsumei</i> <i>desu</i>	<i>to</i> , <i>urigendo</i>	<i>to iukoto</i> <i>ni narimasu</i>	<u>NE.</u>
** Mrs. NO explanation	<i>da-COP/FOR TO</i> selling limitation to that	NI is	<u>NEG</u>
According to your explanation, (it) is selling limitation, isn't it?			
(J-B-01 sent between equals in the form of an email within the same organisation)			

In the example text, Negotiator, *ne* (enclosed by squares) is present at the very end of the clause. Teruya (2007) points out that a Negotiator expresses the speaker's attitudinal stance towards the proposition. According to Teruya, Negotiator *ne* adds a negotiatory value of a confirmation to a clause. In this excerpt, the writer confirms the reason s/he issues a command in a later part of the text by using Negotiator *ne*. However, the negotiator is present only in this example in the Japanese Directives.

All tenor relations are present in Legitimation. In addition, the choice of HONOURIFICATION does not have any particular characteristics dependent on tenor relations. Table 9-17 summarises Justification in the element Legitimation.

Table 9-17: Summary of linguistic features of Authoritative and Situational Justification

Semantic attribute	Authoritative	Presentation of the reason why a writer makes a request or a command by referring to an authority		
	Situational	Presentation of the reason why a writer makes a request or a command		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative with frequent presence of modalisation (possibility) in Predicate		
Predicate	Verbal group	Noun type + COP ' <i>desu</i> ', verbal group, or adjective group		
	HONOURIFIC.	Frequently realised by a combination of the humble and formal form		Mostly realised by the formal form
Negotiator		Nil	One	Nil
Subject		Implicit and recoverable 'I' or 'you', or explicit third person		
Modal Adjunct		<i>itsumo</i>	Nil	Nil
Conjunction		The frequent presence of <i>node</i> (because), and precedes Order		
Location		Between Orientation and Completion		

9.3.5 Exhortation

The fourth optional element of structure is **Exhortation**. Exhortation has the meaning **Conciliation**. The crucial semantic attribute relevant to the realisation of the meaning Conciliation is the presentation of a goods or a service in accordance with the compliance of the speech function Command in the nuclear meaning Order in the obligatory element Direction.

Three texts contain the meaning Conciliation. Example 9-22 illustrates two instances of Conciliation which is lexicogrammatically realised by the declarative. In both instances, the writers offer goods (a voucher in the first instance and cash in the second).

Example 9-22: Example of Conciliation

[[**祭 期間中 使用 できる]]金券 を お 渡しします。 [[**sai kikanchuu shiyoo dekiru]] kinken O o- watashishimasu. [[**festival in a period use can]] voucher O PRE/BEA-o give-FOR			
(I) will give (you) a voucher which (you) can use during the **festival. (J-E-16 sent between U (↑) in the form of a letter within the same organisation)			
なお、 nao, in the meanwhile	些少 sashoo little-HUM	です desu COP-da-FOR	が、 GA but
応募者 一人当たり 3000 円 の 謝金 oobosha hitori atari 3000en NO shakin applicant one per 3000en NO a gift of money in token of my gratitude	を O お 支払いいたします。 o- shiharai itashimsu. PRE/BEA-o pay-HUM/FOR		
In the meanwhile, it is very little, but (I) will pay (you) a gift of money as a token of my gratitude. (J-G-06 sent between U (↑) in the form of an email to a different organisation)			

As Example 9-22 exemplifies, Conciliation is realised by notable lexicogrammatical features. Clauses realising Conciliation are declarative. The Predicate in the clause is either a verbal group or a noun group. The formal form of the Predicate is always present. A combination of the humble and formal form is also present. In the second example, the writer uses the word, *sashoo* (very little) in order to indicate the amount of money the writer's side will provide. The clauses in the second example are realised, being linked logically by a structural paratactic connective *~ga* (but~) of the type extension: adversative. As a result, the writer expresses her feeling that the amount of money is small.

In addition, Conciliation may be also realised by a nominal phrase as exemplifies in Example 9-23. This is an extract from Example 9-1.

Example 9-23: Example of Conciliation realised by a nominal phrase.

5. 報 酬	X 円の謝金を支給
5. <i>hooshuu</i>	<i>X en no shakin o shikyuu</i>
5. remuneration	an allowance of a gift of money of X yen

(J-G-14 sent between E (→) to different organisation in the form of a letter)

Tenor relation influences the presence of Conciliation. Figure 9-11 indicates how often Conciliation is present according to tenor.

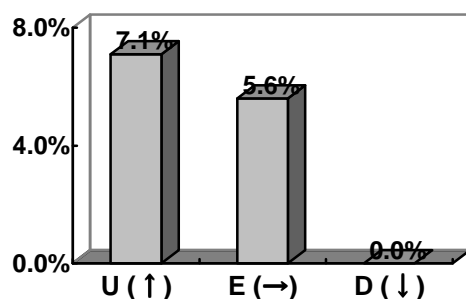


Figure 9-11: Frequency of Conciliation according to tenor

The texts containing Conciliation were sent either by a subordinate or between those of equal status. No superiors employ the meaning Conciliation. This suggests that texts sent by superiors do not need to appeal addressees via a reward because of the hierarchical power. Table 9-18 below summarises Conciliation.

Table 9-18: Summary of linguistic features of Conciliation

Semantic attribute		Presentation of a reward		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative w/o modality in Predicate either verbal type or a noun type + copula ‘da’ The formal form or a combination of the humble and formal form Nil Implicit and recoverable 1 st person or explicit 3 rd person Nil Nil	A noun phrase	Not present
Predicate	Verbal group			
	HONOURIFIC.			
Negotiator				
Subject				
Modal Adjunct				
Conjunction				
Location		Before Completion if present. It may be included in Particulars		

9.3.6 Completion

Completion is the fifth of the six optional elements of structure. The crucial semantic attribute relevant to Completion is that of finalisation of the Directive texts. The element Completion is further divided into 1) **Facilitation**, 2) **Solicitude**, 3) **Valediction**, 4)

Closing and 5) **Post-self-identification** depending on their precise meanings. I will identify each meaning by referring to the texts in the Japanese corpus.

9.3.6.1. Facilitation

The crucial semantic attribute relevant to **Facilitation** is that of an open invitation to ask questions. The writer offers contact details such as a writer's email address or telephone number in order for an addressee(s) to ask questions. Seven texts contain the meaning Facilitation. Example 9-24 shows texts which have the meaning Facilitation.

Example 9-24: Examples of Facilitation

<p>なお、 <i>nao</i> in the meanwhile, が ございまし <i>GA gozaimshi</i> there is-FOR 幸い です <i>saiwai desu</i> happy <i>da</i>-FOR</p>	<p>見学に当たっての条件 <i>kengaku niatatte NO joken</i> visit for of condition or <i>tara, o-</i> if PRE/BEA-o 電話 及び メールを頂け <i>denwa oyobi meeru O itadake</i> call or mail have-HUM</p>	<p>や ご <i>ya go-</i> PRE/BEA-go 質問等 <i>shitsumon</i> question れば。 <i>reba</i> if</p>
<p>In the meantime, (I) am happy to receive a call or an email (from you) if you have any preferences of visiting or any questions. (J-E-03 sent between U (↑) to a different organisation in the form of a letter)</p>		
<p>照会 ・相談 <i>shookai • soodan</i> inquiry • consultation ご 連絡 下さい。 <i>go- renraku kudasai.</i> PRE/BEA go- contact please give</p>	<p>など は、**** (内線:****) まで <i>nado WA **** [name] (naisen:****) made</i> etc. about ****[name] (extension:****) to With regards to an inquiry/consultation, please contact (me). (J-B-12 sent between E(→) within the same organisation in the form of a letter)</p>	

Some features are peculiar to Facilitation. In both texts, the writers are willing to invite addressee's questions. The difference between the two examples is the lexicogrammatical realisations. Whereas the clause in the first example is declarative, the clause in the second example is imperative. Both clauses realise the speech function, Offer. The first text in Example 9-24 is a clause complex whose bound clauses are conditional. There is a conditional marker, *tara* which can be translated into 'if'. On the other hand, the second text example in Example 9-24 does not have a conditional clause.

Instead, the instance has an Adjunct. Once an Adjunct is unpacked, the Adjunct can be expressed in a conditional clause by using other lexes as Table 9-19 represents.

Table 9-19: Unpacking of Adjunct in Facilitation

照会 ・相談 など は、 shookai ・ soodan nado WA inquiry ・ consultation etc. about Adjunct With regards to an inquiry/consultation, (J-B-12 sent between E (→) in the form of a letter within the same organisation)	➡	照会 ・相談 が あれ ば shookai ・ soodan GA ar- eba inquiry ・ consultation GA. there is if clause if there is any inquiry/consultation,
---	---	---

Thus, the semantic feature which is peculiar to Facilitation is the presence of what might be called a conditional Offer.

The tenor relations influence the presence of Facilitation. Facilitation does not appear in any text sent by superiors. This suggests that Facilitation is not important for texts sent by superiors. In other words, superiors do not need to appease an addressee(s) whose status is lower than or equal to the writer. The lexicogrammatical choices which seem to affect Facilitation are choice of HONOURIFICATION and clause simplicity/complexity. While the first example text was sent from a subordinate to a superior, the second example was sent between those of equal status. The first instance in Example 9-24 has three honourific expressions: 1) a humble form, 2) the frequent presence of the respectful prefix *o/go*, and 3) the presence of *gozaimasu*. In addition, the clauses in Facilitation which were sent from a subordinate to a superior(s) are mostly a clause complex as seen in Example 9-24. The clause simplex such as the second instance in Example 9-24 was present in texts sent between those of equal statues. Table 9-20 summarises Facilitation.

Table 9-20: Summary of linguistic features of Facilitation

Semantic attribute		Open invitation to questions on Order		
Speech function		Offer		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Either congruently realised by imperative or incongruently realised by declarative		Not present
Predicate	Verbal group	Verbal type		
	HONORIFC.	Mostly realised by the formal form		
Negotiator		Nil		
Subject		Implicit but recoverable 1 st person or explicit 3 rd person		
Modal Adjunct		Frequent presence of <i>kudasai</i> (please)		
Location		At the very beginning of Completion		

9.3.6.2. *Solicitude*

Solicitude is the second of the five possible meanings in the element Completion. The semantic attribute relevant to Solicitude is that of an apology for issuing a command in the nuclear meaning Order in the element Direction. Three texts contain Solicitude. Example 9-25 is a text instance of Solicitude.

Example 9-25: Example of Solicitude

敏速には対応できなかった	こと	を	反省し、お詫び申し上げます。
<i>binsokuniwa taioo dekinakatta</i>	<i>koto o</i>	<i>hansei shi</i>	<i>owabi mooshiagemasu.</i>
quickly	was unable to correspond	that reflect on my past conduct	say-HUM/FOR an apology
(I) reflect my past conduct that (I) was unable to correspond (it) quickly, and (I) give an apology.			
(J-E-07 sent between U (↑) within the same organisation in the form of a letter)			

In Example 9-25, the writer apologises to the addressee for his late reaction that might be a reason for causing the nuclear meaning Order in the obligatory element Direction. Some lexicogrammatical features characterise Solicitude. The Mood choice is declarative which construes statement. The choice of HONOURIFICATION is either a combination of the humble and formal form or the formal form. Modality is not present.

The tenor relation seems to affect the presence of Solicitude. No texts sent from superiors to a subordinate(s) contained Solicitude. This suggests that Solicitude is not important for texts sent by superiors because an expression of the writer's apologetic

feeling helps construe Command by consoling an addressee's feeling. Table 9-21 summarises Solicitude.

Table 9-21: Summary of linguistic features of Solicitude

Semantic attribute		An apology for the writer’s underlying fault which might cause Order		
Speech function		Statement		
Lexicogrammatical feature		Tenor relation		
		U (↑)	E (→)	D (↓)
Mood type		Declarative without modality in Predicate		Not present
Predicate	Verbal group	Noun type + copula, ‘ <i>da</i> ’		
	HONOURIFIC.	Realised by either a combination of the humble and formal form or the formal form		
Negotiator		Nil		
Subject		Implicit but recoverable 1 st person		
Modal Adjunct		Nil		
Location		Before Valediction		

9.3.6.3. Valediction

Valediction is the third of the five possible meanings in the element Completion. The semantic attribute relevant to Valediction is that of valedictory statement. Fifteen texts contain the meaning Valediction. Example 9-26 illustrates two text excerpts which have different choices of HONOURIFICATION.

Example 9-26: Examples of Valediction according to different tenor relations

Adjunct	an idiomatic expression of Valediction
以上 <i>ijoo</i> above	よろしく お ねがいします。 <i>yoroshiku o- negaishimasu</i> appropriately PRE/BEA-o hope-FOR The above, (I) hope that (you) appropriately mange (it). (J-B-16 internally sent between D (↓) within the same organisation in the form of an email)
今後ともどうぞ <i>kongo tomo doozo</i> from now on sincerely	よろしく お ねがい申し上げます。 <i>yoroshiku o- negai mooshiagemasu</i> appropriately PRE/BEA-o hope say-HUM/FOR (I) hope that (you) will let me ask (a favor of you) again some time. (J-G-07 externally sent between U (↑) to a different organisation in the form of a facsimile)

Both text examples are in the form of declarative clauses which incongruently construe Command. A similar kind of incongruent realisation by the declarative *yoroshiku onegaishimasu* is present in the nuclear Order in the obligatory element Direction. For

easy reference, Example 9-27 presents extracts from Valediction and Order. (1) in Example 9-27 is an instance of Valediction, and (2) is one of Order.

Example 9-27: Similar incongruent realisation in Completion and Order

(1) Extract from Valediction in the element Completion

よろしく お願いいたします
yoroshiku *o-negaiitashimasu*
 appropriately PRE/BEA-o hope-HUM/FOR

Mood Adjunct	Predicate
Mood	

(I) hope for your cooperation.

(J-E-07 sent between U (↑) within the same organisation in the form of a letter)

(2) Extract from Order in the element Direction

皆様 の ご協力 を よろしく お願いいたします
minasama NO *go-kyooryoku* O *yoroshiku* *o-negaiitashimasu*
 everyone's PRE/BEA-go cooperation appropriately PRE/POL-o hope-HUM/FOR

Complement	Mood Adjunct	Predicate
Residue	Mood	

(I) hope for your cooperation.

(J-E-02 sent between U (↑) within the same organisation in the form of an email)

The difference between the two clauses is the presence of Complement which is Residue in the Mood analysis. Whereas the example texts of Valediction do not have a Complement, the example of Order does have a Complement. Thus, although both meanings have a similar realisation statement, the presence or the absence of a Complement in Residue seems to decide the meanings. Further, the location of these two clauses differs - the text example without Complement always comes last.

The clauses always contain the idiomatic expression, *yoroshiku oengaishimasu* ((I) hope for your cooperation). According to Haga, Sasaki and Kadokura (1997), the word, '*yoroshiku* よろしく' is originated from 'suitable'. The word '*yoroshiku* よろしく' has an ambiguity that a speaker/writer leaves 'suitableness' to an address, and demands goods and service. The ambiguity by '*yoroshiku* よろしく' is essential in order to enact a social role without a conflict.

Depending on the tenor relation, the choice of HONOURIFICATION in the Predicate differs. In the first text instance in Example 9-27, the choice of HONOURIFICATION in the Predicate is the formal form. In contrast, in the second text instance, it is a combination of the humble and formal form. The former is present in all tenor relations, and the latter is present only in texts sent by subordinates. Figure 9-11 indicates the ratio of the choices of HONOURIFICATION depending on tenor relations in Valediction.

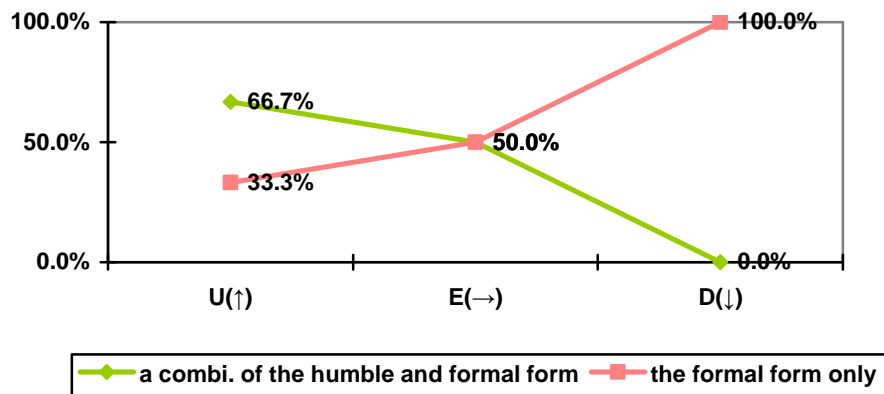


Figure 9-12: Choice of HONOURIFICATION in Valediction according to tenor

As Figure 9-12 shows, no clause in which the Predicate is a combination of the humble and formal form is present in texts sent by superiors. In contrast, in texts sent by equals, both ratios are the same, and in texts sent by subordinates, a combination of the humble and formal form surpasses the formal form. This demonstrates that the tenor relation influences the choice of HONOURIFICATION within the Valediction. The presence of mood Adjuncts also seems to be affected by tenor relations. Only texts sent by subordinates contain the mood Adjunct *doozo*, which intensifies the Predicate. Table 9-22 summarises Valediction.

Table 9-22: Summary of linguistic features of Valediction

Semantic attribute	Valedictory announcement		
Speech function	Statement		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
Mood type	Incongruently realised by declarative without modality in Predicate		
Predicate	Verbal group	Verbal group	
	HONOURIFC.	Frequently realised by a combination of the humble and formal form	Formal form
Negotiator	Nil		
Subject	Implicit and recoverable 1 st person, 'I', or explicit 3 rd person		
Modal Adjunct	<i>doozo</i> or <i>nanitozo</i> (no word which equates to these word in English) to intensify Predicate		Nil
Location	At the very end of the texts		

9.3.6.4. Closing

Closing is the fourth of the five possible meanings in the element Completion. The semantic attribute relevant to Closing is that of ending the text. Fifteen texts contain the meaning Closing. Closing is lexicogrammatically realised by formulaic words such as *keigu* 敬具 (Respectfully concluded) or *ijoo* 以上 (Concluded). The formulaic word *keigu* 敬具 (Respectfully concluded) corresponds to *haikei* 拝啓 (Respect) in the meaning Opening in the element Establishment. The meaning Closing is rarely employed in texts sent by superiors. Table 9-23 summarises the meaning Closing.

Table 9-23: Summary of linguistic features of Closing

Semantic attribute	Conclusion of a text		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A formulaic word		
Location	At the end of a text before Post-self-identification if present		

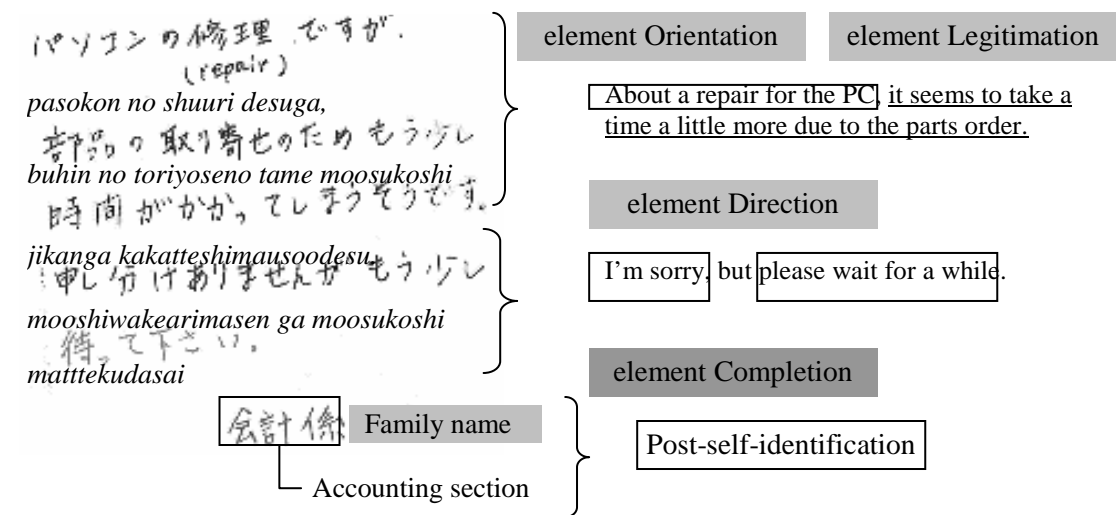
9.3.6.5. Post-self-identification

Post-self-identification is the last of the five possible meanings in the element Completion. Eighteen texts contain the meaning Post-self-identification. The Japanese Directive texts contain a similar meaning in the element Establishment called Pre-self-identification. That is, the writer can identify who s/he is either in the beginning or at

the end of a text. Since these two meanings-Pre-self-identification and Post-self-identification are similar, they do not co-exist in a text. While Pre-self-identification is present in 27 texts, Post-self-identification is present in 19 texts. The text type appears to influence the choice of Pre-self-identification or Post-self-identification. Whereas all letters contain the meaning Pre-self-identification, most emails contain the meaning Post-self-identification.

Example 9-28 is a text instance which includes the meaning Post-self-identification.

Example 9-28: Example of Post-self-identification



The example text in Example 9-28 includes the section and the writer's name as the meaning Post-self-identification.

As Example 9-28 shows, both Post-self-identification and Pre-self-identification includes the writer's signature, the position or the section of the writer in the organisation, and the name of the organisation. These frequencies are influenced by the tenor relations. Figure 9-1 shows how often these are present in both Pre/Post-self-identifications.

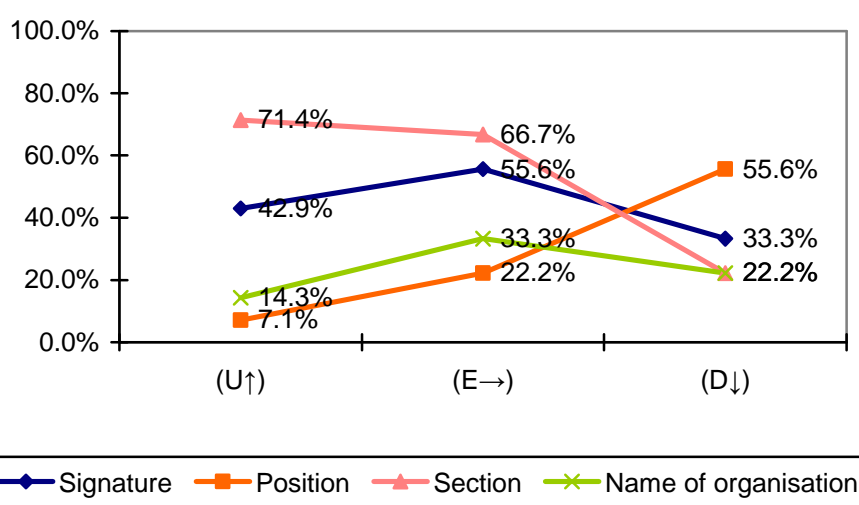


Figure 9-13: Frequency of Pre/Post self-identification according to the tenor relations

In the graph, the presentation of Position in an organisation is most frequently employed in texts sent by superiors. On the other hand, the presentation of Position is the least in texts sent by subordinates. This suggests that superiors exert their positions on addressees (subordinates) to comply with the command. Table 9-24 summarises the meaning Post-self-identification.

Table 9-24: Summary of linguistic features of Pre-self-identification

Semantic attribute	Particularisation of the writer		
Lexicogrammatical feature	Tenor relation		
	U (↑)	E (→)	D (↓)
realised by	A noun phrase		
Location	At the end of a text		

The presence of the meanings in the element Completion seems to be influenced by tenor relations. Figure 9-14 indicates how often the meanings in the element Completion are present according to tenor.

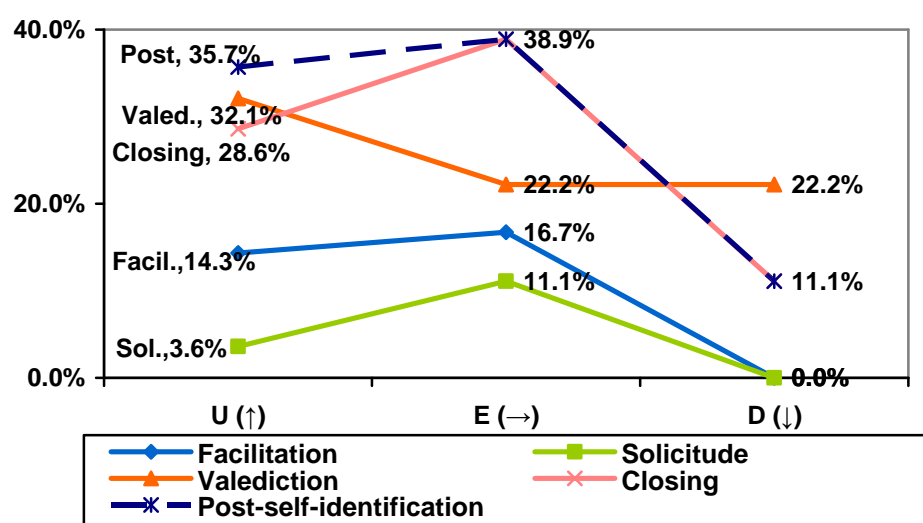


Figure 9-14: Frequency of meanings in the element Completion according to the tenor relations

Texts sent by subordinates or equals contain all meanings, while texts sent by superiors contain three meanings. Thus, Facilitation and Solicitude do not seem to be essential for superiors.

Table 9-25 following summarises the presence of the elements and their semantic attributes in the Japanese Directive texts.

Table 9-25: Presence of the elements and the semantic attributes in the Japanese corpus

		B1	B2	B3	B4	B5	B6	B7	B8	B9	B10	B11	B12	B13	B14	B15	B16	B17	B18	E1	E2	E3	E4	E5	E6	E7	E8	E9	E10	E11	E12	E13	E14	E15	E16	E17	E18	E19	E20	E21	E22	E23	G1	G2	G3	G4	G5	G6	G7	G8	G9	G10	G11	G12	G13	G14																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																	
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Key: Left side column shows the elements of structure, whereas a column next to it shows the semantic attributes.
 B, E and G in the first row express **Business**, **Educational** and **Governmental organisation**, →, ↘ and ↗ means E (→), D (↓), and U (↑) respectively.
 E, L, M and F in the third row stand for **Email**, **Letter**, **Memo** and **Facsimile**. Abbreviation (A-Z order): A.P.: **Apologetic Preamble**, Auth. J.: **Authoritative Justification**, Ba: **Background**, Comme.: **Commencement**, Comp: **Compliment**, Concil.: **Conciliation**, Conces.: **Concession**, Ex: **Exhortation**, Facilit.: **Facilitation**, Infor: **Information**, Leg: **Legitimation**, Orien: **Orientation**, Particu.: **Particulars**, Po/S-iden: **Post-Self-identification**, Pr/S-iden: **Pre-Self-identification**, S-intro: **Self-introduction**, Situ. J.: **Situational Justification**, Solicit.: **Solicitation** and Valed.: **Valediction**

9.4. Conclusion

This section identifies the generic structure of the Japanese written administrative Directives. Figure 9-15 summarises the meanings in each element.

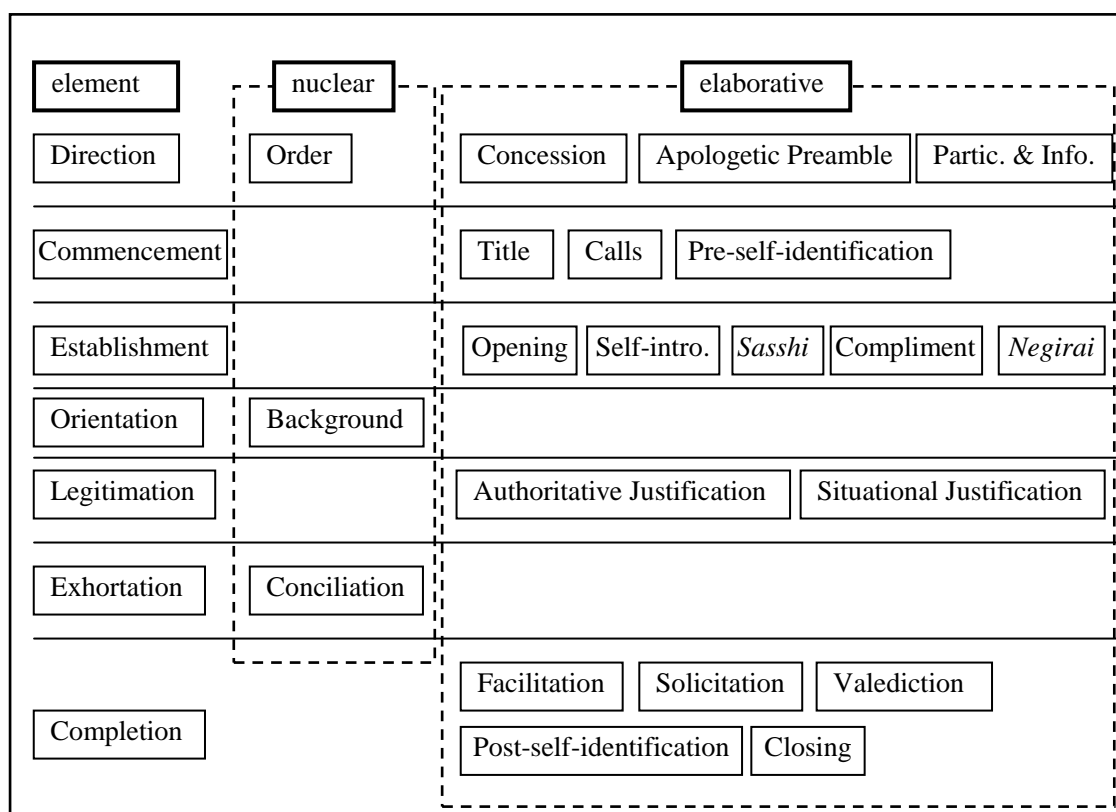


Figure 9-15: Summary of each meaning in each element

Whereas the elements Direction, Orientation and Exhortation contain nuclear meanings, the elements Establishment, Legitimation and Completion contain only elaborative meanings.

Most clauses in the Japanese written Directives texts are declarative, and they clearly play an important role as a result. The tenor relation between the writer and the addressee(s) affects not only the presence of these elements and their meanings, but also the choice of HONOURIFICATION. The combination of the humble and formal form is frequently present in texts sent by subordinates. In contrast, in texts sent by superiors, often only the formal form is present. For this reason, the hierarchical relation between the writer and the addressee(s) greatly influences the choice of HONOURIFICATION.

Moreover, the tenor relations between the writer and the addressee(s) greatly affect whether or not nuclear and elaborative meanings are present. Table 9-26 summarises the presence or absence of the meanings depending on tenor relations.

Table 9-26: Presence or absence of meanings according to tenor

Element	Meaning	U (↑)	E (→)	D (↓)
Direction	Order	100.0%	100.0%	100.0%
	Concession	7.1%	11.1%	0.0%
	Apologetic Preamble	28.6%	33.3%	11.1%
	Particulars	53.6%	66.7%	88.9%
	Information	53.6%	55.6%	77.8%
Commence- ment	Title	85.7%	77.8%	100.0%
	Calls	75.0%	83.3%	88.9%
	Pre-self-identification	42.9%	50.0%	66.7%
Establish- ment	Opening	7.1%	5.6%	0.0%
	<i>Sashi</i>	10.7%	0.0%	0.0%
	Compliment	25.0%	27.8%	0.0%
	<i>Negirai</i>	10.7%	5.6%	0.0%
	Self-introduction	21.4%	5.6%	11.1%
Orientation	Background	42.9%	66.7%	33.3%
Legitimation	Authoritative Justification	10.7%	5.6%	12.5%
	Situational Justification	67.8%	72.2%	66.7%
Exhortation	Conciliation	7.1%	5.6%	0.0%
Completion	Facilitation	14.3%	16.7%	0.0%
	Solicitude	3.6%	11.1%	0.0%
	Valediction	32.1%	22.2%	22.2%
	Closing	25.0%	38.9%	11.1%
	Post-self-identification	35.7%	38.9%	11.1%
Total 7 elements & 22 meanings		22 meanings	20 meanings	13 meanings
total meanings according to tenor		are present	are present	are present

The highlighted cells identify meanings which are not present in the texts. As Table 9-26 indicates, the higher the writer's status, the fewer meanings are present. Texts sent by subordinates contain all 22 meanings, texts sent by equals contain 20 meanings, while texts sent by superiors contain only 13 meanings. Thus, the presence of particular meanings is affected by the tenor relations.

Apart from the nuclear meaning Order in the obligatory element Direction, the optional element Commencement is frequently employed in texts sent by participants

across all tenor relations. In addition, superiors frequently employ the meaning Particulars & Information in the element Direction, the colleague frequently employs the meaning Background in the optional element Orientation, and the subordinate frequently employs the meaning Situational Justification in the element Legitimation. Figure 9-16 shows these frequencies.

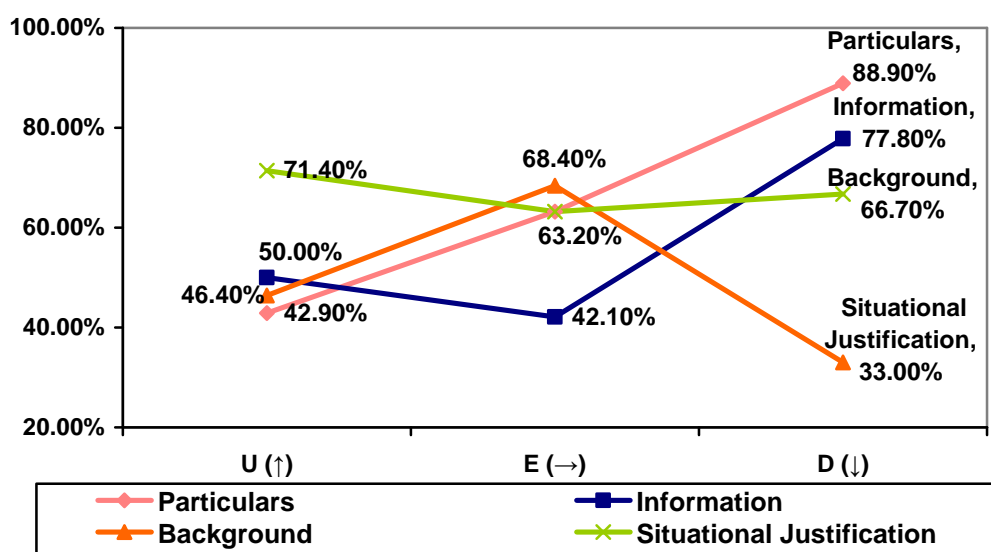


Figure 9-16: Frequency of important meanings for each tenor relation

This suggests that the subordinate needs to express a reason the nuclear meaning Order should be complied with, the colleague needs to provide a background and the superior needs to express informative details or procedural information in the Order

Table 9-27 summarises the Contextual Configuration, the structure potential of the Japanese Directives, and all its elements and meanings.

Table 9-27: Contextual Configuration and Structure potential in the Japanese written Directives

Context Configuration	Field getting things done by addressees	Tenor hierarchical (↗) (→) (↘)	Mode graphic, written, rhetorical purpose of Directive
Generic Structure Potential			
<div>(Commencement) ^ (Establishment) ^ (Orientation) ^ [(<u><Legitimation></u>) • Direction ^ (Exhortation) ^ (Completion)]</div>			
Elements			Tenor relation
Meanings [semantic attribute]			
<u>Direction</u>			↗→↘
<u>Order</u> [presentation of a request or a command]			✓✓✓
Concession [demonstration of the action on the writer's side]			✓✓n/a
Apologetic Preamble [expression of the writer's apologetic feeling for Order]			✓✓✓
Particulars & Information [informative details or procedural information of Order]			✓✓✓
Commencement			
Title [particularisation of a topic]			✓✓✓
Calls [particularisation of an addressee(s)]			✓✓✓
Pre-Self-identification [particularisation of a writer]			✓✓✓
Establishment			
Opening [a formulaic word to start a text especially used in a letter]			✓n/an/a
Sasshi [the writer's consideration for the addressee(s)]			✓n/an/a
Compliment [expression of the writer's gratitude towards the addressee(s)]			✓✓n/a
Negirai [sympathetic understanding of the addressee's work]			✓✓n/a
Self-introduction [particularisation of the writer]			✓n/a✓
Orientation			
<u>Background</u> [invitation to the main issue]			✓✓✓
Legitimation			
Authoritative/Situational Justification [presentation of a reason for Order]			✓✓✓
Exhortation			
<u>Conciliation</u> [presentation of a reward]			✓n/an/a
Completion			
Facilitation [open invitation to questions on Order]			✓✓n/a
Solicitude [statement of apology for issuing commands]			✓✓n/a
Valediction [valedictory announcement]			✓✓✓
Closing [a formulaic word to start a text especially used in a letter]			✓✓✓
Post-Self-identification [particularisation of the writer]			✓✓✓

Key: The underlined element is an obligatory element in the Japanese Directive texts. Meanings enclosed by a square are nuclear meanings.

Chapter 10. Linguistic and Text structure comparison of the Directive texts

10.0. Introduction

The purpose of this chapter is to compare the Directive texts from the Japanese workplaces with the Directive texts from Australian workplaces in terms of their linguistic features and generic text structures. Figure 10-1 below graphically maps the outline of this chapter.

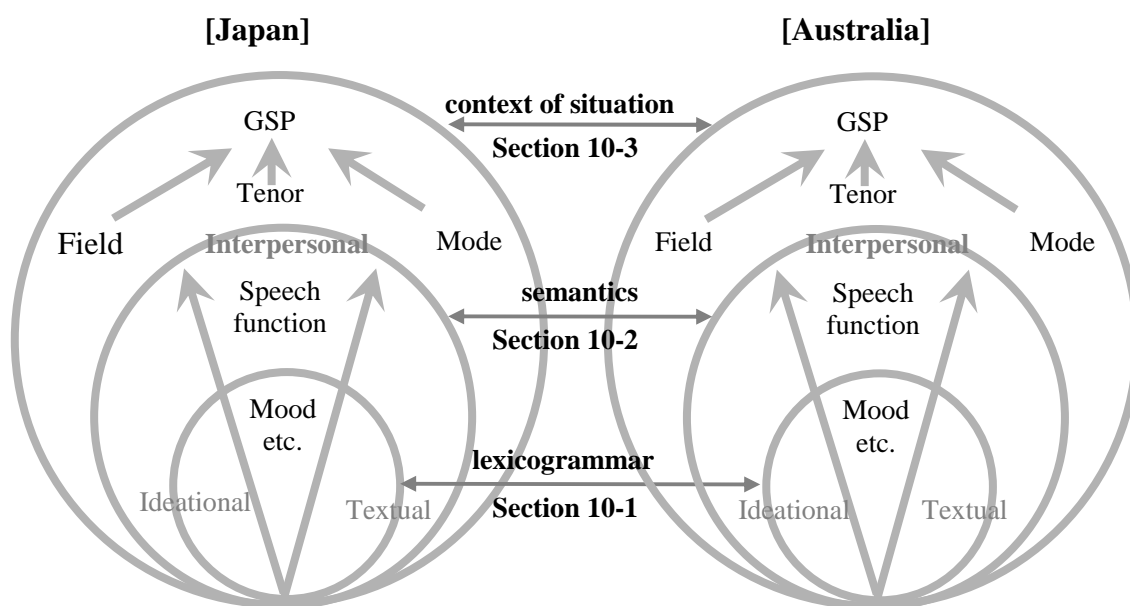


Figure 10-1: Outline of this chapter

As illustrated in Figure 10-1, the chapter progresses through the strata from lexicogrammar to context. Following this section, section 10-1 outlines a comparison of the Japanese and English Directive texts at the lexicogrammatical stratum. Section 10-2 outlines a comparison of the Japanese and English Directive texts at the semantic stratum. Section 10-3 compares the structure potentials of the Japanese and English Directive texts. Finally, section 10-4 summarises and concludes this chapter.

10.1. Lexicogrammar in the Japanese and English Directive texts

There are both similarities and differences between the Japanese Directive texts and English Directive texts. As Lyons (1977, p. 249) states, “languages will tend to differ

one from another in their grammatical and lexical structure”. This is applicable to both Japanese and English Directives. The features will be exemplified for both similarities and differences, with the similarities discussed first, followed by the differences, beginning with Mood choice.

10.1.1. Similarities

There is one similarity between the English and Japanese Directives. Figure 10-2 illustrates how often Japanese and Australian writers of the Directive texts select certain Mood types.

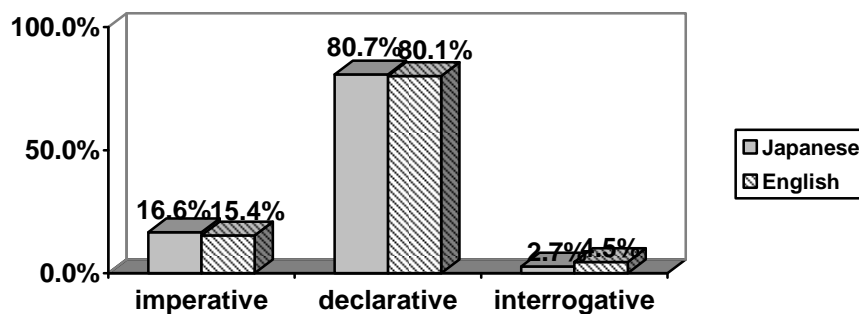


Figure 10-2: Frequency of certain Mood choice in the Japanese and English Directive texts

The results demonstrate that both Japanese and Australian writers of the Directive texts select declaratives far more often than any other Mood type. The imperatives are the second most common choice, however, their frequency is significantly below the declaratives. The interrogatives are the least common choice. The declarative seems therefore to be an important Mood type selection for both English and Japanese Directive texts.

10.1.2. Differences

There are two differences between the English Directives and the Japanese Directives. One is related to the Mood choice according to tenor relations, and the other is related to the Mood structure and elements extant in both languages.

10.1.2.1. Mood choice according to tenor

The first difference between the English and Japanese Directives is in Mood choice in both corpora depending on the relative status of the interactants. Figure 10-3 shows how often the writers from different statuses select Mood. As Figure 10-3 represents, the Mood choices in texts sent by Australian equals are different from texts sent by Australian superiors and subordinates. While Australian superiors and subordinates tend to select the declarative frequently, as do all Japanese writers in all tenor relations, Australian equals select the imperative the most. This suggests that in Directives the declarative is important for the Japanese Directive texts regardless of tenor relations. On the other hand, the English Directive texts do not have such limitations. This suggests that Australian writers, especially equals, are able to make a relatively free choice of Mood types.

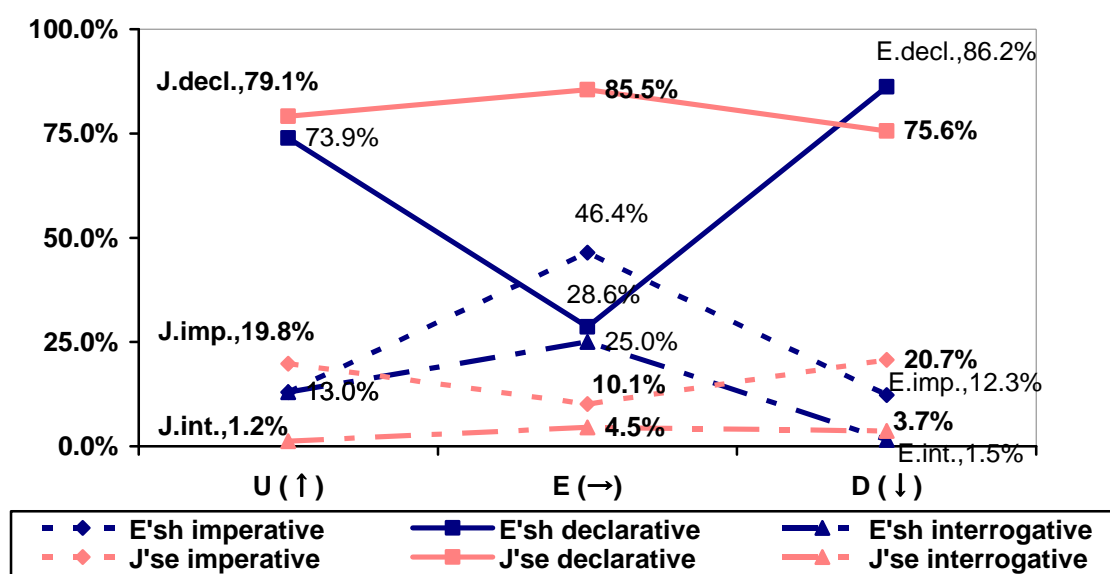


Figure 10-3: Frequency of certain Mood choice according to tenor in the Japanese and English Directive texts

In Figure 10-3, the thicker solid lines represent the frequency of Mood type in the Japanese corpus, whereas the thinner solid lines represent the frequency of Mood type in the English corpus. The vertical axis indicates the frequency of the Mood choice, and

the horizontal axis indicates tenor relations. In the graph, diamond shapes indicate the imperative, squares indicate the declarative, and triangles represent the interrogative.

Australian workers, especially equals, make relatively free choice of Mood types whereas Japanese workers do not select imperatives. This suggests that the Japanese workers are restricted in the use of imperative even though interactants are equal.

10.1.2.2. Mood element and their structure

In addition to Mood choice, there are significant lexicogrammatical differences between the two languages in the areas of

- 1) the Mood elements;
- 2) their location;
- 3) the function of the Subject.

This is due to the fact that the Mood structure and elements of the clause in English is different from those in Japanese. Figure 10-4 graphically shows the differences of the English and Japanese Mood structure and their Mood elements.

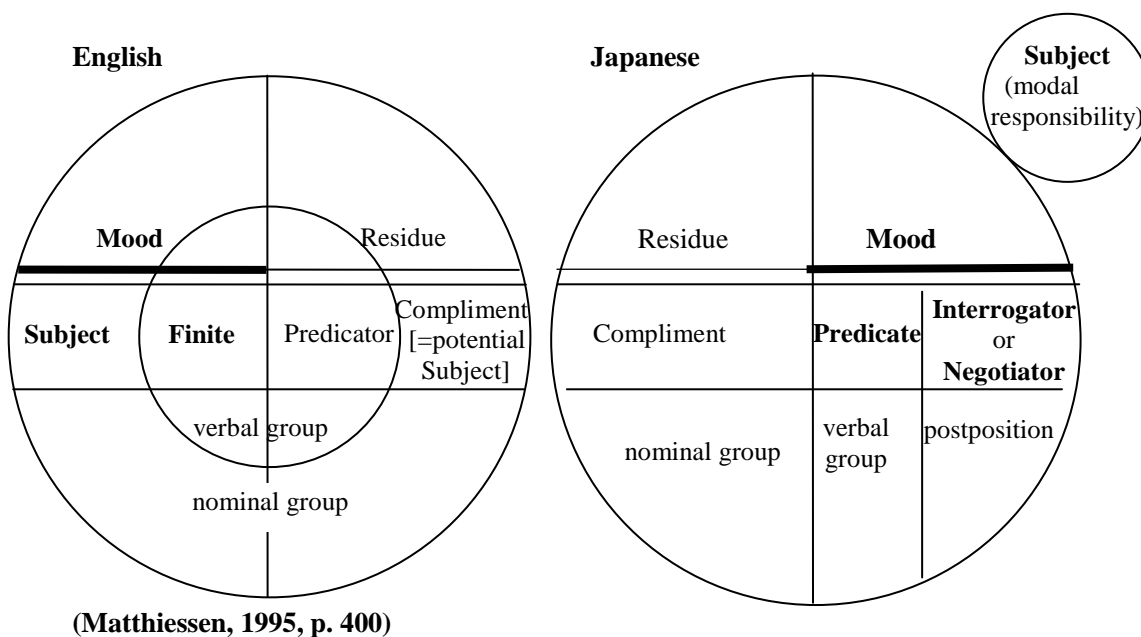


Figure 10-4: Modal structure of the English and Japanese clause

Figure 10-4 is based on Matthiessen's (1995, p. 400) depiction of English modal structure, whereas the diagram on the right is the Japanese modal structure drawn from this study. While the English Mood elements are Subject and Finite and are typically located at the front of a clause, the Japanese Mood elements are Predicate, Interrogator and Negotiator and are located at the end of a clause. The Subject in Japanese is modally responsible, and often elided when it is inferable from context or co-text (Teruya, 2007). Example 10-1 and 10-2 are clause instances of the English and Japanese declaratives respectively.

Example 10-1: Example of English declarative clause

We	have	quite a few applications	
Subject	Finite	Predicator	Complement
Mood		Residue	

(E-E-1 sent between U (↑) within the same organisation in the form of a letter)

Example 10-2: Example of Japanese declarative clause

売限度 ということ urigendo to iukoto selling limitation that	になります ni narimasu become	ね。 NE.
Complement	Predicate	Negotiator
Residue	Mood	

According to your explanation, (it) is selling limitation, isn't it?

(J-B-01 sent between E (→) within the same organisation in the form of an email)

In Example 10.1 of the English clause, the Mood elements Subject and Finite are located at the beginning of the clause, while in the Japanese clause example, the Mood elements Predicate and Negotiator are located at the end of the clause. It is these differences in structure that account for some of the lexicogrammatical differences in English and Japanese Directives.

10.1.2.3. A way of showing respect

A second reason for lexicogrammatical differences in the two corpora is the necessity of showing respect. Japanese has highly complex resources in the lexicogrammatical systems called HONOURIFICATION and BEAUTIFICATION, which are particular

resources for showing respect. While a way of showing respect is realised at the lexicogrammatical stratum in both languages, their realisations differ, with the Japanese resources being much more complex than the English resources because they do not only consist of politeness markers but whole systems. Nevertheless, there are words in English with an honourific function (Bernard & Delbridge, 1980, p.180). For example, the presence of ‘please’ before the imperative is an honourific marker. Lakoff (1972) points out the difference of being polite between English and other languages as follows.

There are uses of the modals that reflect politeness, in terms of relative status of speaker and hearer, and implicit desirability of the act in question. In this respect these modal uses are parallel to the use of honorifics in other languages (p. 914).

As Lakoff explains, the expression of politeness in English is realised at the word level, such as by the presence of ‘please’ or modal auxiliaries such as ‘can’. In addition, as Iedema (1995) indicates, the past tense of the modality can also function as politeness by suggesting hypotheticality.

A comparison of politeness markers in the two corpora reveals that in the English Directive texts, subordinates and equals frequently employ low or median value of probability in modality. In contrast, superiors employ high value of obligation in modality as shown in Example 10-3, which is an excerpt from a Directive of a superior to a subordinate.

Example 10-3: Example of a text sent by a superior with the modal Finite ‘must’

The developer	must	submit	a ‘Soil and Water Management Plan’	for the subdivision
Subject	Modal Finite (modulation) Type: obligation Orientation: subjective Value: high	Predicator	Complement	Adjunct
Mood		Residue		

(E-G-05 sent between D (↓) to the different organisation in the form of a letter)

In Example 10-3, the Finite is modulated. The Finite “must” has a high value in obligation. On the other hand, in Example 10-4 a clause from the Directive of a subordinate to a superior contains a median value of possibility in modalisation.

Example 10-4: Example of a text sent by a subordinate with the modal Finite ‘would’

Would	you	please	email	me	with your request?
Modal Finite (modalisation) Type: possibility Orientation: subjective Value: median	Subject	Mood Adjunct	Predicator	Complement	Adjunct
Mood			Residue		

(E-E-04 sent between U (↑) within the same organisation in the form of an email)

The Finite in Example 10-4 is modalised and in the past tense.

On the other hand, Japanese subordinates employ more humble forms than the other two tenor relations as shown in Example 10-5.

Example 10-5: Example of a Japanese text sent by a subordinate

理工学部 の <i>Rikoogakubu NO</i> Faculty of science in 教育向上のため、 <i>kyooiku koojoo NO tame</i> educational improvement for	どうか <i>dooka</i> sincerely	よろしく <i>yoroshiku</i> suitably	ご 協力を <i>BEA/PRE-go kyooryoku</i> Cooperation	お願いいたします。 <i>BEA/PRE o-negai itashimasu</i> hope- HUM/FOR
Adjunct	Adj.	Adj.	Complement	Predicate
	Mo-			od
Resi-			due	

I sincerely hope for your cooperation in the educational improvement in the faculty of science.

(J-E-22 sent between U (↑) within the same organisation in the form of a letter)

In this example, the writer has five politeness markers. They are 1) a humble form and 2) a formal form in the Predicate, two mood Adjuncts -3) *dooka*, 4) *yoroshiku* to intensify the Predicate and 5) the beautifying prefix *go*. In contrast to this, Example 10-6, a text by a superior, has only one politeness marker.

Example 10-6: Example of a text sent by a superior

下記の書類 を <i>kaki NO shorui O</i> below document	6月1日(火)までに <i>roku gatsu tuitachi(ka)madeni</i> June 1 st (Tue) by	人事課 福祉係 へ <i>jinjika hukushigakari E</i> human resource division welfare section to	提出 願います。 <i>teishutsu negaimasu</i> submission hope-FOR
Complement	Adjunct	Adjunct	Predicate
Residue			MOOD

(I) ask that you submit the following documents to the Human Resource Division Welfare Section by 1 June (Tue.)

(J-E-08 sent between D (↓) within the same organisation in the form of a letter)

The Predicate in the text intersects only the system of FORMALITY. Neither mood Adjunct nor a choice of BEAUTIFICATION is deployed.

This suggests that different systems such as the system of HONOURIFICATION and/or BEAUTIFICATION for Japanese and the system of MODALITY and/or tense for English function to show respect. In addition, the Japanese honourific system can elevate someone other than an addressee, whereas this does not happen in English. This suggests that showing respect is more important in the Japanese workplace. This is played out in the language choices. For example, Japanese subordinates employ more humble forms.

This analysis demonstrates that while there are some similarities in Mood choice in the two corpora, there are also differences. The differences stem from different tenor relations in the two cultures which also give rise to differing resources for expressing respect.

The next section will illustrate the similarities and differences at the stratum of semantics.

10.2. Semantics of the Japanese and English Directive texts

At the stratum of semantics, there are two similarities relating to speech function and the in/congruent realisations of command, and one difference relating to the incongruent realisations according to tenor relations.

10.2.1. Similarities

The first similarity relates to the frequency of the speech function choice, which is similar in both English and Japanese Directives. Figure 10-5 represents how often both Directives employ the variety of speech functions.

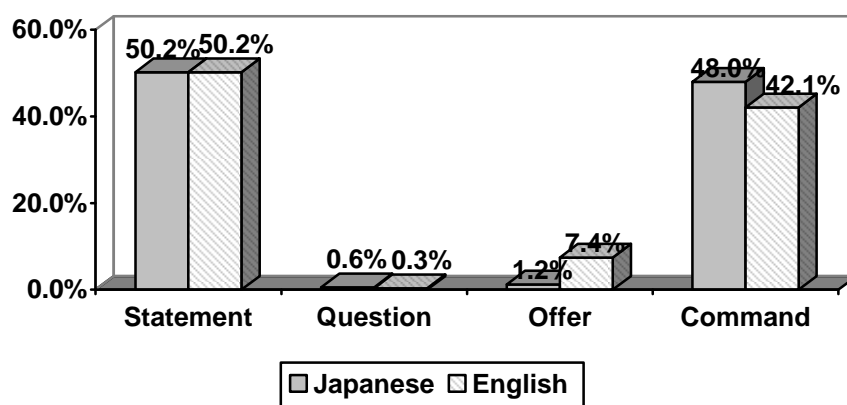


Figure 10-5: Frequency of speech function in the Japanese and English Directive texts

Both English and Japanese Directive texts make similar use of the speech functions. Statement is most frequently employed at the same ratio. Command is the second most frequent in both English and Japanese Directives. However, Command in the English texts appears 6 % less often than in the Japanese texts. On the other hand, Offer in the English texts appears 6.2 % more often than in the Japanese texts. Question appears the least often in both texts.

The second similarity relates to the frequency of in/congruent realisations of Command, which also shows similar features between the Japanese and English Directives. Incongruent realisations of command occurred frequently in both English

and Japanese. Figure 10-6 indicates the frequency of in/congruent realisations of command in both English and Japanese Directives.

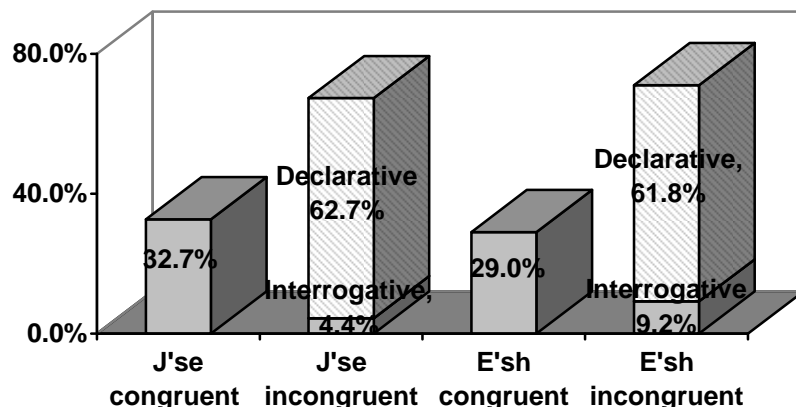


Figure 10-6: Frequency of in/congruent realisations of Command in the Japanese and English Directive texts

In both English and Japanese Directives, the incongruent realisations of Command surpass the congruent realisations of Command using two types of the indicative: declarative and interrogative. The declarative incongruently realises Command the most. The imperative is the second most frequent. The interrogative incongruently realises command the least.

Yasui (1983) demonstrates that, generally speaking, in Japanese the congruent realisation of command is a risky expression which may disrupt the possibility of harmonious relations. Instead, the incongruent realisations of command are preferred in order to avoid conflict with other people, and offer addressees a choice of whether to comply with it or not. Leech (1983, p. 108) also argues that “indirectness” is related to politeness in English. The incongruent realisations of command tend to be more polite because (a) it increases the degree of optionality, and (b) the more indirect an expression is, the more diminished and tentative its force tends to be (Leech, 1983). Thus, indirectness via the incongruent realisations of Command is a strategy used by the writers of the Directive texts to avoid conflict with the addressees.

10.2.2.Differences

There is one difference between the English and the Japanese Directives, which is influenced by the tenor relations.

In the English Directive texts, the congruent realisations of Command are most frequently present in texts sent by equals. In contrast, in the Japanese Directive texts, the congruent realisations of Command are most frequently present in texts sent by superiors. Japanese equals tend to choose frequently the incongruent realisations of Command by the declarative. Figure 10-7 below shows how often command is in/congruently realised by different tenor relations.

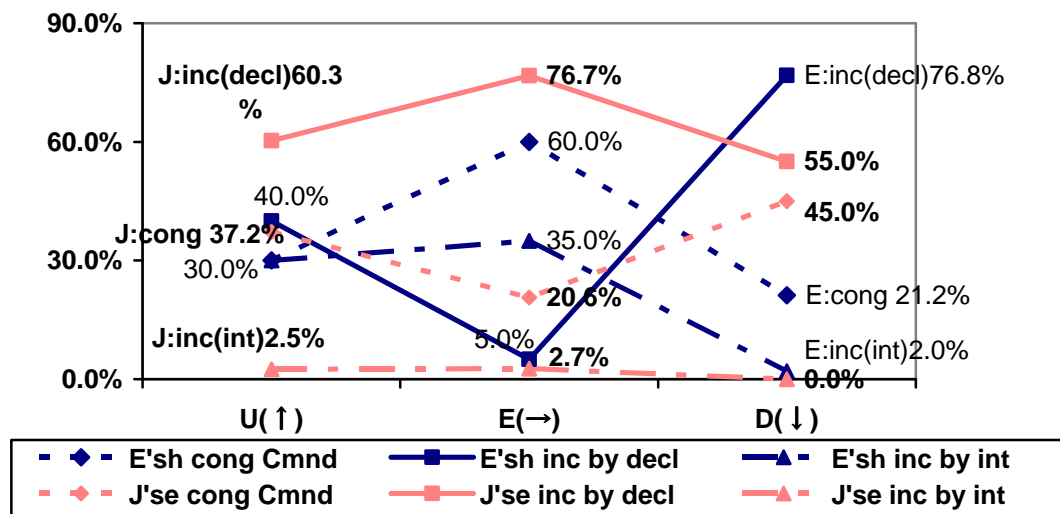


Figure 10-7: Frequency of in/congruent realisations of Command according to tenor

The vertical axis indicates how often command in the English and Japanese Directives is in/congruently realised, whereas the horizontal axis indicates tenor relations between the interactants. Thinner solid lines stand for the frequency of the in/congruent realisations of command in the English Directives, whereas thicker solid lines stand for the frequency of the in/congruent realisations of command in the Japanese Directives. Diamond shapes on both lines represent how often command is realised by the imperatives, whereas squares on both lines indicate how often command is

incongruently realised by the declaratives, and triangles on both lines show how often command is incongruently realised by the interrogatives.

The incongruent realisations of Command by the interrogative are more frequently employed in the English Directive texts than in the Japanese Directive texts. Australian subordinates and equals tend to select the interrogative more than Japanese writers in all tenor relations. Since the English language does not have such complex resources to show respect, Australian subordinates and equals appear to adopt the incongruent realisations of Command by the interrogative to show their respect. Australian superiors tend to select the incongruent realisations of Command by the declarative the most among all tenor relations. This contradicts Iedema's claim (1995) that those from the lower status employ the incongruent realisations of Command.

Both Australian and Japanese workplaces need smooth work relationships. However, the Japanese superiors relatively freely employ the imperative, while the Australian equals freely employ the imperative. This suggests that the Japanese workplace context exerts invisible social distancing resources to limit the use of the imperative even between interactants who are equal.

This section described that there are more similarities than differences in the Directives. The similarities relate to the choices of SPEECH FUNCTION and the in/congruent realisations of command, while the differences lie in the use of the different form to express commands according to tenor relations. The next section will compare the text structure of the Japanese Directives with that of the English Directives.

10.3. Text structure of the Japanese and English Directive texts

One similarity and two differences occur in the text structure of the English and Japanese Directives, found using the GSP analysis. The similarity relates to the

elements of structure, whereas the differences relate to the meanings in the elements of structure.

10.3.1.Similarities

The structure potential of both sets of Directives is almost the same, except the Japanese Directives have one more element called Establishment. For easy reference, Figure 10-8 is the same figure as in the previous chapters.

Japanese

(Commencement) ^



(Establishment) ^ (Orientation) ^ [(<Legitimation>) • Direction ^ (Exhortation) ^ (Completion)]

English



(Commencement) ^ (Orientation) ^ [(<Legitimation>) • Direction • (Exhortation)] ^ (Completion)

Figure 10-8: Structure potential of the written administrative Directives in the Japanese and Australian workplace

As Figure 10-8 represents, other than the optional element Establishment that is only present in the Japanese Directives, both English and Japanese Directives have the same elements. These elements are depicted in Table 10-1

Table 10-1: List of the structure potential of the written administrative Directives

Elements	Meanings	Japanese	English
Direction	Order	✓	✓
	Concession	✓	n/a
	Preamble	✓	n/a
	Particulars	✓	✓
	Information	✓	✓
Commence- ment	Title	✓	✓
	Calls	✓	✓
	Greetings	n/a	✓
	Pre-self-identification	✓	n/a
Establishment	Opening	✓	n/a
	<i>Sasshi</i>	✓	n/a
	Self-introduction	✓	n/a
	Compliment	✓	n/a
	<i>Negirai</i>	✓	n/a
Orientation	Background	✓	✓
Legitimation	Authoritative Justification	✓	✓
	Situational Justification	✓	✓
Exhortation	Conciliation	✓	✓
	Warning	n/a	✓
Completion	Facilitation	✓	✓
	Solicitude	✓	n/a
	Expression of thanks	n/a	✓
	Valediction	✓	✓
	Closing	✓	n/a
	Post-self-identification	✓	✓
Total number of the meanings		22	16

Table 10-1 provides a list of all meanings in each element in the Japanese and English Directives. Although both corpora have similar elements, their meanings differ. The following section describes these differences.

10.3.2. Differences

There are two differences in the English and Japanese Directives. The first is the additional element Establishment in the Japanese Directives. Establishment has five possible meanings Opening, *Sasshi*, Self-introduction, Compliment and *Negirai* which cannot be present in the English Directives.

The second difference is that in each of the Directives there are additional meanings. While the structure potential of the Japanese Directive texts has 22 meanings, the structure potential of the English Directive texts has 16 meanings. In Japanese Directive texts, the lower the writer's status, the more meanings s/he employs. In contrast, in English Directive texts, the higher the writer's status, the more meanings s/he employs.

In addition to the five possible meanings in the additional element Establishment, five possible meanings are expressed only in the Japanese Directives. They are 1) Apologetic Preamble and 2) Concession in the element Direction, 3) Pre-self-identification in the element of Commencement, and 4) Solicitude and 5) Closing in the element Completion.

In contrast, there are three possible meanings that are expressed only the English Directive texts. They are 1) Greetings in the element Commencement, 2) Warning in the element Exhortation, and 3) Expression of thanks in the element Completion. Warning is always present in texts sent by Australian superiors, although Expression of thanks is present regardless of tenor relations.

There are two elaborative meanings that are not common to both Directive texts and have opposite semantic attributes. They are Solicitude in the Japanese Directives and Expression of thanks in the English Directives. Although an apology such as '*otesuu o okakeshite mooshiwakearimasen* お手数をおかけして申し訳ありません' (I'm sorry for troubling you) is expressed in the meaning Solicitude, an appreciation such as 'thank you' or 'thanks' is expressed in the meaning Expression of thanks. Within the set of possible meanings, the Japanese Directive texts frequently have one that is related to an apology, such as Apologetic Preamble and Solicitude. An apology is not present in the English Directive texts. Moreover, the semantic attributes which exist

in both Japanese and English Directive texts, such as Order, Particulars, Information, Background, Authoritative and Situational Justifications, and Facilitation can be said to be ideationally-oriented. The semantic attributes which do not co-exist in both Japanese and English Directives, such as Calls, Greetings and Expression of thanks for the English Directive texts or *Sasshi*, Self-introduction, Compliment, *Negirai*, and Solicitude for the Japanese Directive texts can be said to be interpersonally-oriented in that these semantic attributes function to propitiate the addressees' smooth compliance with Order. The fact that the English Directives have only three meanings for propitiating addressees, whereas the Japanese Directives have five meanings suggests that the Japanese Directive texts are more interpersonally-oriented than the English Directive texts.

Considering these differences, the Japanese writers of the Japanese Directives seem to make more effort in interpersonally-oriented meanings, whereas the Australian writers of the English Directive texts seem to make efforts in ideationally oriented meanings. These differences suggest that hierarchies in the Japanese workplace context highly influence the presence of the interpersonally-oriented meanings. Instead, the social diversity of the Australian society and therefore workplace seems to need clearly stated meanings such as Warning or Expression of thanks. Thus, the presence or the absence of the meanings is strongly influenced by the respective workplace contexts.

10.4. Conclusion

From a comparative perspective, this chapter has discussed the Japanese and English Directive texts through stratification. The chapter demonstrates that while there are similarities between the two sets of Directives, it is the differences that are more pronounced. What is significant is that tenor relations impact heavily on the language choices at all strata in both corpora. However, given that the culture of respect is more

pronounced in Japanese culture, tenor relations impact more heavily on Japanese Directives. In terms of strata, at the lexicogrammatical stratum, both corpora represent similar Mood choices. The differences are present in Mood selection according to tenor. In addition, the Mood elements and their locations differ, and honourific expressions in Japanese and polite expressions in English vary. Whereas the Japanese honourific expressions are realised at a morpheme, word, group and clause level, the English polite expressions are realised at word and group level.

The semantic choices in the Japanese and English Directive texts demonstrate similar features. In order to construe Command, both Japanese and Australian writers employ incongruent realisations rather than congruent realisations. However, when the speech function is investigated by different tenor relations, the speech function varies between them.

A comparative perspective of the text structure demonstrates similarities and differences. Although both texts contain the same six elements, the Japanese Directives contain one additional element. Furthermore, the Japanese Directives have more meanings that are more interpersonally-oriented than the English Directives. This assumes that the Japanese Directives emphasise the social enactment, while the English Directives emphasise the experiential construal. In summary, similarities and differences are visible across stratification.

The next chapter will describe cultural differences between Japan and Australia reflected in the use of language in the Japanese and Australian workplaces.

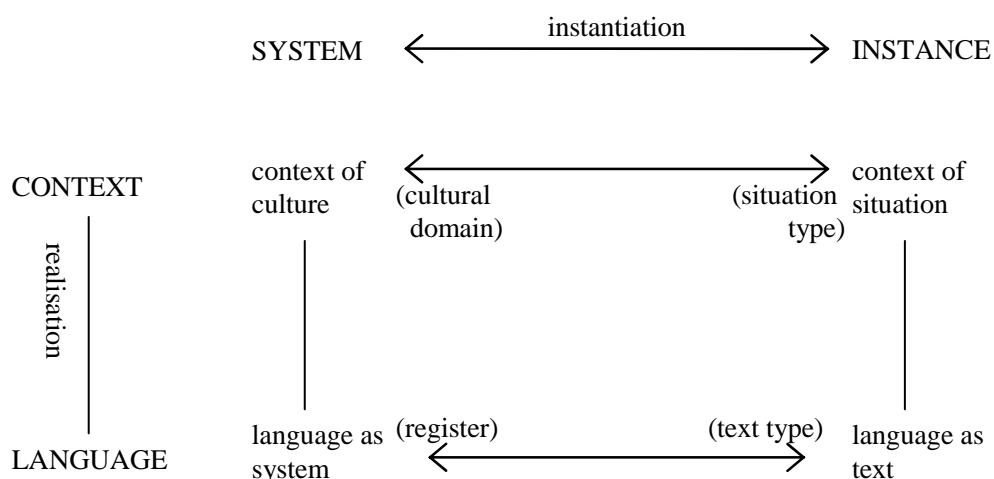
Chapter 11 Coda to the administrative Directives

11.0. Introduction

Having described the English and Japanese Directives in terms of lexicogrammar, semantics and context, this last chapter will discuss the cultural perspectives and summarise the study. This chapter consists of 4 sections. Following this section, section 11-1 elucidates what makes the Japanese and English Directives different. Section 11-2 discusses what makes both English and Japanese Directives similar. Section 11-3 concludes the chapter and the thesis.

11.1. Culture instantiated in the Directive texts

“A culture is construed by systems of language choice; the situation is construed by patterns of language use” (Halliday, 1999, p. 15). As stated in Chapter 2, a text type is instantiated in language. Similarly, culture is instantiated in situation as system is instantiated in text. Figure 11-1 shows Figure 2-5 introduced in chapter 2 again for easy reference.



(Halliday, 1991/2007, p.275)

Figure 11-1: Language and context, system and instance

As Figure 11-1 illustrates, a context, that is, a situational type, instantiates culture. When the concept of instantiation applies to the Directive texts, features in the Japanese Directive texts in the Japanese workplace realise the context of situation which, in turn,

instantiates aspects of Japanese culture. The same applies to the English Directive texts in the Australian workplace.

Over approximately the last 70 years or so, various sociologists (Befu, 2001; Benedict, 1946; Brown & Levinson, 1987; Coulmas, 1981; Doi, 1974; Ikegami, 1991; Kindaichi, 1995; Nakane, 1970) have described Japanese speaking and English speaking cultures using a range of characteristics, many of which are supporting evidence for the language patterns found in the corpora. I will attempt to justify their claims by illustrating linguistic resources from the corpora. As Hasan (1996c) argues,

in comparing two languages we are ... concerned with two questions: one, how do the overall systems differ from each other; and secondly, what resources of the system are characteristically deployed (p. 193).

Based on Hasan's notion of the comparative perspectives of English and Japanese, and in order to shed light on the cultural differences, the following sections compare 1) linguistic resources of the English Directives with those of the Japanese Directives and 2) text structures of the English Directives with those of the Japanese Directives.

11.1.1. Culture instantiated in the linguistic resources

This section interpretes the cultural differences reflected on the linguistic resources in the English and Japanese Directives from two perspectives, namely, the perspectives of implicitness and politeness.

11.1.1.1. Implicitness or explicitness

The following discussion on implicitness and explicitness relates to Ikegami's notion of selflessness. Ikegami (1991, p. 16) points out that, "the general tendency characteristic of the Japanese behavioural pattern has been ... to follow and conform to the group, even at the sacrifice of his own will". For the Japanese culture, the system of HIERARCHY is a very convenient linguistic system because people can recognise who

is talking to whom clearly while refraining from manifesting selfness. In contrast, the English-speaking culture has to manifest selfness in order to enact the social relation.

Both languages have the system of MOOD. However, the Mood elements and their locations in the clause differ from each other as stated in chapter 10. While the Japanese Mood elements are Predicate, Interrogator and Negotiator, which are located at the end of a clause, English Mood elements are Subject and Finite, which are relatively near the front of a clause. For this reason, a Japanese clause can be tossed back and forth without manifesting Subject. Since MOOD is an interpersonal system, the Japanese social enactment does not need to manifest ‘who’ in a clause in some cases. In contrast, the English social enactment does need to manifest ‘who’ in order to exchange meanings. These features are deeply related to the Japanese trait of selflessness.

In addition, Mood structures are also related to the respective cultures. The locations of Mood elements in both languages are opposite. While the location of Japanese Mood elements is located at the very end of a clause, the English Mood elements are located at the front part of a clause. For this reason, Japanese addressees are unable to distinguish the Mood type until they read or hear a whole clause. As a consequence, it may be that Japanese people can change what s/he says while watching the addressee’s reaction, although this is more likely to be applicable to a spoken text. This feature also makes the Japanese refrain from manifesting selfness. Thus, the two opposite cultural traits ‘selflessness’ in the Japanese and ‘selfness’ in the Australian, are reflected in the Mood in both languages.

11.1.2.2. Being polite in Japanese and English

The Directive texts in both languages adopt many strategies in order for the addressees to construe Command. These include the incongruent realisation of Command by the

indicative and/or the choice of MODALITY for both languages and the choice of HONOURIFICATION for the Japanese language. From the perspective of politeness, Nakane (1970) points out,

In everyday affairs a man who has no awareness of relative rank is not able to speak or even sit and eat. When speaking, he is expected always to be ready with differentiated, delicate degrees of honorific expressions appropriate to rank order between himself and the person be addressees. The expressions and the manner appropriate to a superior are never to be used to an inferior (p. 31).

In other words, being polite is primary concern in Japanese culture. Japanese honourific systems such as the system of HONOURIFICATION for Predicate and the system of BEAUTIFICATION for a noun group exist in order only to be polite or to show courtesy. There is no function other than that. Thus, the complex lexicogrammatical resources of the Japanese honourifics can represent the Japanese culture.

The intricate rank order needs linguistic systems that can show differences between interactants. This cultural trait is reflected in the rich resources of the honourific systems in Japanese.

In contrast, possibility in the system of MODALITY and the use of the past tense can function to show politeness (Lakoff, 1972) in English. This is despite the fact that the function of the system of MODALITY is to show the polarity between yes and no (Halliday, 1985c, 1994). The presence of fewer systems to be polite in English may affect the Mood choice in the Directive texts. In texts sent by an Australian subordinate or equal, the incongruent realisation of Command by the interrogative is more frequently present than in those sent by Japanese subordinates or equals. Since the English language does not have a linguistic resource through which to express politeness compared with the systems of HONOURIFICATION or BEAUTIFICATION in Japanese, Australian subordinates and equals cannot help relying on the system of

MODALITY and/or the incongruent realisation. The Japanese subordinate or equal has more choices than the Australian because of the complex resources available. This may affect the different frequencies of the Mood choices between the Japanese and English Directive texts.

11.1.2.Culture instantiated in the structure potential

The previous section examined the cultural differences in terms of lexicogrammar. This section will examine the cultural differences in terms of context. In this section, the results of the GSP analysis will be reflected on.

11.1.2.1.Interpersonally-oriented or ideationally-oriented

The fact that politeness is more of a primary concern in Japanese suggests that greater attention is paid to interpersonal meanings in Japanese than in English. For the Japanese, disturbing the harmony of the group order is considered as a form of misbehaviour (Nakane, 1970). To construe Command is “a face threatening act” (Brown & Levinson, 1987, p.65). Face here “is something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to in interaction” (Brown & Levinson, 1987, p.61). It can be said that the most important thing for the Japanese subordinates is to maintain harmony in the workplace. This social practice impacts on the Japanese Directive texts in the form of the additional element Establishment and its meanings.

This concern with interpersonal meaning is evident in the elements of structure in the GSP of the Japanese corpus. The element Establishment is found only in the Japanese Directive texts. The meanings such as Opening, *Sasshi*, Compliment, *Negirai* and Self-introduction in the element Establishment function as conciliation. In other words, these meanings are interpersonally-oriented. This may be why the element Establishment is frequently deployed in texts sent by Japanese subordinates.

In contrast, the English Directives are more informative than the Japanese Directives. While the Japanese subordinate employs the largest number of interpersonally-oriented meanings in the Japanese Directives, the Australian superior employs the largest number of ideationally-oriented meanings in the English Directives. The meanings which the Australian superior deploys are informative, that is, ideationally-oriented, such as Particulars, Information, Background or Warning. Warning is only present in texts sent by Australian superiors. Also Particulars & Information are often present in texts sent by Australian superiors.

In addition, the English Directive texts do not have interpersonally-oriented meanings such as Concession, or Apologetic Preamble in the element Direction or Solicitude in the element Completion that Japanese writers frequently employ. This feature that the English Directive texts have more ideationally-oriented meanings, while the Japanese Directive texts have more interpersonally-oriented meanings supports Ikegami's (1991) argument that western languages focus on the ideational function, whereas the Japanese language relatively focuses on the interpersonal function. This suggests that the Japanese Directive texts place more emphasis on the enactment of the social relations, whereas the English directive texts place more emphasis on the job that is to be done. Hasan (1996a) argues that,

a text is perceived as complete if it realizes all the obligatory elements. ... The greater the proportion of such elements realized (verbally), the easier it is to judge correctly the text's generic status (in displacement) (p. 54).

With regard to the texts and context investigated here, the more meanings a writer employs that are irrelevant to the Directives, the more difficult it may be to perceive a text as a Directives text. In other words, the more irrelevant/optional meanings in a Directive a writer employs, the more difficult it is to classify the text as a Directive. More ideationally-oriented meanings make the Directives obvious, whereas more

interpersonally-oriented meanings may make the Directives seem vague. The inclusion of more meanings in the Japanese Directive texts by subordinates seems to be a strategy to soften the directive function of the text.

11.1.1.2. Reward or penalty

As stated, there are some meanings that are not shared in the Japanese and English Directive texts. Warning is the one that only the English Directive texts contain. The semantic attribute of Warning presents a penalty to the addressee should s/he not comply with Order (the nuclear meaning in the obligatory element Direction). In contrast, the meaning Conciliation, whose semantic attribute is the presentation of a reward is employed in both Japanese and English Directive texts.

The presence of Warning appears to be related to the nature of Australian society. Since Australia is a multi-cultural society (Frayar, 1982) made up of a diverse number of cultural, linguistic and religious traditions, it is perhaps clearly necessary to include a penalty in order to regulate people. In contrast, since Japanese society is relatively culturally homogeneous, there is perhaps little necessity to include a penalty in the Directive texts. Instead, for Japanese people, *haji* (shame) is the mechanism by which Japanese culture is regulated (Benedict, 1946). Benedict (1946, p. 157) says that “true shame cultures rely on external sanctions for good behaviour, not as true guilt cultures do, on an internalised conviction of sin”. People in cultures regulated by *haji* (shame) are most fearful of other people’s criticism. On the other hand, in guilt cultures, external criticism is not effective.

In addition, Japanese workplaces embody the concept of *ie* (family system). Nakane (1970, p. 7) points out that “the principles of Japanese social group structure can be seen clearly portrayed in the household structure”. It is important for the *ie* system to maintain group harmony rather than focus on the individual. Because of the

strong ties between a workplace and an employee, to receive *haji* (shame) will stigmatise not only the employee her/himself but also the workplace s/he belongs to. Accordingly, Japanese employees try not to receive *haji* (shame). Thus, *haji* (shame) will function as a tacit penalty for Japanese employees. This seems to be a reason the Japanese Directive texts do not have the meaning, Warning in the element, Exhortation.

11.1.1.3.Ambiguity or certainty

In a Japanese text, there is room for interpretation by a reader/listener (Ikegami, 1991). This is a kind of built-in ambiguity. This ambiguity is present in the meaning Valediction in the element Completion. An expression *yoroshikuonegai (ita) shimasu* (*ita* enclosed by round brackets is a humble form) contains ambiguity. As stated in chapter 10, the word ‘*yoroshiku*’ originates from *yoroshii* (suitable). The word *yoroshiku* is open to interpretation by the addressee – whether there is the need for any further action, that is, to comply with command. That is, the addressee can respond in different ways according to what s/he thinks is suitable.

To add to this deliberate ambiguity is another characteristic of Japanese which is reflected by the term *ishin denshin* (tacit understanding). Since a tacit understanding is preferred in communications between Japanese, there is a lot of information that does not have to be stated. A person of few words is reliable. For the Japanese culture, reticence is a virtue (Kindaichi, 1995). The combination of reticence and ambiguity is reflected in this word, *yoroshikuonegai (ita) shimasu*.

Based on the cultural practices so far outlined, Figure 11-2 graphically explains the differences between two cultures.

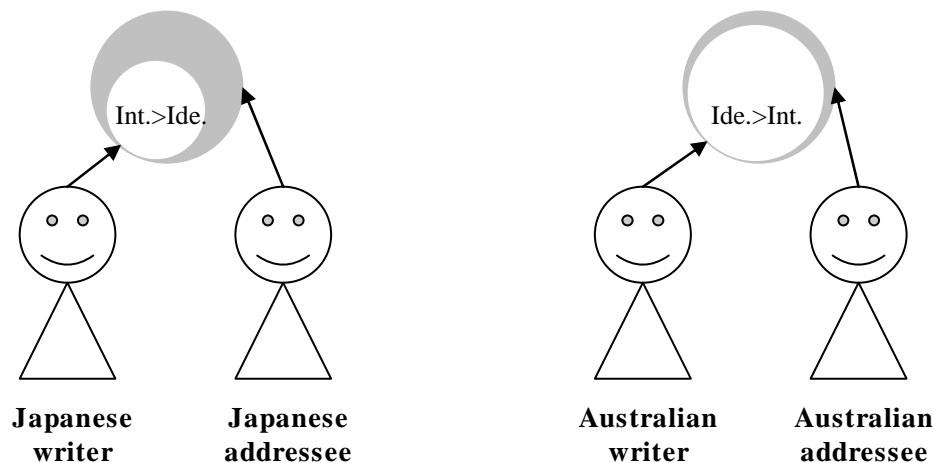


Figure 11-2: Representation of writer and addressee's involvement and its content

The bigger circles indicate the total amount of information in an interaction. While the white parts of the circles show the volume of the information that a writer gives, the grey parts show the volume of interpretation that an addressee has to make. Inside the white parts, there are abbreviations of Int.>Ide. for Japanese and Ide.>Int. for Australian. These abbreviations mean that in the Japanese Directive texts, the interpersonally-oriented meanings surpass the ideationally-oriented meanings, whereas in the English Directive texts the ideationally-oriented meanings surpass the interpersonally-oriented meanings. As shown in the expression *yoroshikuonegai (ita) shimasu*, the addressee's interpretation is essential for the Japanese Directive texts. On the other hand, the Japanese Directive texts have more meanings that are mainly interpersonally-oriented than the English Directive texts. Thus, for both Japanese and English Directive texts, issuing a command is crucial, but methods of doing so differ from each other.

11.1.1.4. Affiliations or individuals

The Japanese and Australian writers of the Directive texts adopt a different approach to self-identification. Related to this feature, there are two similar meanings: Pre-self-identification in the element Commencement and Post-self-identification in the element Completion. Whereas the meaning Pre-self-identification is deployed in both Japanese

and English Directive texts, the meaning Post-self-identification is deployed in the Japanese Directive texts only. That is, while the Australian writers of the English Directive texts identify themselves at the last stage of the Directive text, the Japanese writers of the Japanese Directive texts can identify themselves either at the very beginning or at the end of the text.

Both Japanese and English Directive texts employ a noun phrase that shows their name or affiliation. The meaning Pre/Post-self-identification in most of the Japanese Directive texts is ordered so that affiliation comes first, and the name comes second, if at all. Some texts have only affiliation without saying who the writer is. In contrast, Post self-identification in the English Directive texts is ordered so that the name comes first, and affiliation comes second, if at all. All English Directive texts include the writer's name.

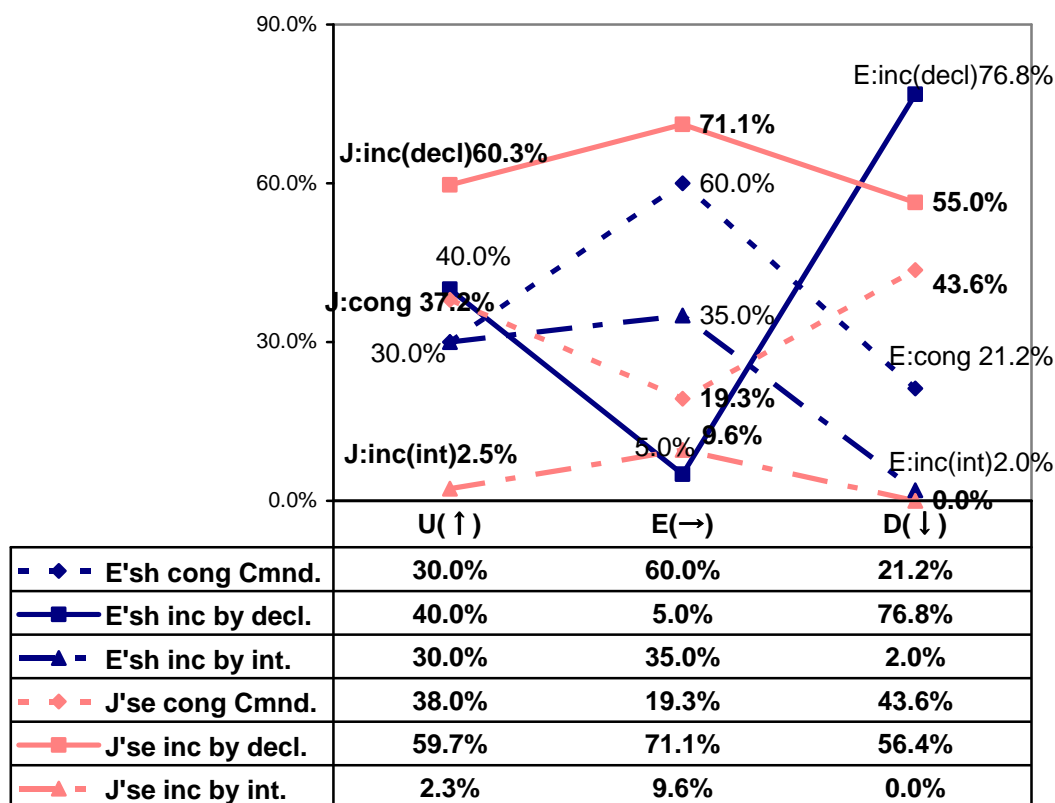
This feature seems to reflect the Japanese cultural practice of group identity that has been explained by many researchers (Befu, 2001; Benedict, 1946; Ikegami, 1991; Moeran, 1974; Nakane, 1970, 1972; , 1974, etc.). As Nakane (1970; 1972) mentions, the importance for the Japanese is the company name rather than type of occupation. In the Japanese culture, "individual autonomy is minimised" (Nakane, 1970, p. 10). This is strongly reflected in the concept *ie* (family system) as stated previously. The importance of the family system also explains the use of the names of the writer and the addressee. In most Japanese Directive texts, the writer uses the addressee's family name. In contrast, the Australian writer often uses the addressee's given name in their texts.

This suggests that in the Japanese culture, 'what I belong to', that is, affiliation is more important than 'who I am', that is, the individual. On the contrary, in the Australian culture, the individual is more important than affiliation. Because of the

strong tie between the individual and the affiliation in Japanese culture, it seems to be enough for the Japanese writers of the Directive texts to express their affiliation by self-identifying with a section name or an organisation name instead of including their name on their texts.

11.1.1.5. Solidarity between equals in the Japanese and Australian workplaces

One of the prominent differences between the Australian and Japanese Directive texts is the deployment of in/congruent realisations of command in Order, according to tenor relations. The frequency of deployment by the Japanese and Australian equals clearly differs. For easy reference, the same figure in chapter 10 is shown in Figure 11-3 with a data sheet.



Key: E'sh: English, J'se: Japanese,
cong Cmnd: congruent realisation of Command,
inc by decl.: incongruent realisation of Command by the declarative,
inc by int.: incongruent realisation of Command by the interrogative

Figure 11-3: Frequency of in/congruent realisation of Command according to tenor in the Japanese and English Directive texts

adds an honourific title such as *~sama*, *~sensei* or *~dono* to the addressee's name in order to show the writer's courtesy.

“The wider the distance between two [people] the more formal the level [is]” (Hasan, 1996c, p. 238). From the corpus, it appears that Japanese workers still need to show their respect to their equals. This feature is reflected in the comparatively lower use of the imperative and the higher use of the incongruent realisation of command by the declarative. This is because the Directive texts sent by Japanese equals show similar features to those sent by Japanese subordinates.

11.1.1.6. Apologies or gratitude

There are several meanings that are related to apologies and gratitude in the Japanese and English Directive texts. Although the Japanese Directive texts have meanings that are related to both apologies and gratitude, the English Directive texts have only one meaning that is related to gratitude. Table 11-1 shows these meanings.

Table 11-1: Meanings that are related to apologies and gratitude

	Japanese Directive texts	English Directive texts
apologies	Apologetic preamble (in the element Direction)	Not present
	Solicitude (in the element Completion)	
Gratitude	Compliment (in the element Establishment)	Expression of thanks (in the element Completion)

The meanings relating to apologies in the Japanese Directive texts seem to be a reflection of a particular Japanese cultural practice. Coulmas (1981) mentions that apologies are used in numerous situations and also points out that

social relations [in Japan] can be regarded, to a large extent, as forming a reticulum of mutual responsibilities and debts. Not every favour can be repaid and if circumstances do not allow proper repayment, Japanese tend to apologize. They acknowledge the burden of the debt and their own internal discomfort about it. ... [Apologies] serve to balance debt and credit between parties, and, at the same time, they convey a sense of the omnipresent moral indebtedness so characteristic of social relationships in Japan (p. 88).

The Japanese Directive texts have two meanings relating to apologies: Apologetic Preamble and Solicitude, and one meaning relating to gratitude: Compliment. The meaning Compliment is realised in the element Establishment, and it expresses gratitude for every-day support of the addressee. In contrast, the meaning Expression of thanks is realised in the element Completion, and it expresses gratitude for the expectation of the compliance with the meaning, Order in the element, Direction. The Japanese texts have no meaning relating to gratitude for the expectation of the compliance with the meaning, Order in the element, Direction. Instead, the Japanese texts employ the ambiguous expression, *yoroshikuonegai(ita)shimasu* to conclude the texts. The expression is open to interpretation as stated in the previous section. This suggests that in the English Directive texts, compliance with Order is expected, whereas compliance with Order in the Japanese Directive texts cannot be expected.

Since ‘mutual dependency’ (Doi, 1974, p. 126) is one of the characteristics of the Japanese culture, indebtedness should be returned. The frequent presence of meanings relating to apologies in the Japanese Directive texts reflects this Japanese cultural practice. When the Japanese writers of the Directive texts feel indebtedness towards compliance with Order, they employ meanings relating to apologies. Instead, the Australian writers employ gratitude for the expectation of compliance with Order.

In contrast, the English Directive texts have the meaning relating to gratitude only. Although both meanings—Compliment in the Japanese Directive texts and Expression of thanks in the English Directive texts expresses gratitude, the elements and their precise meanings differ from each other.

11.2. Workplace culture instantiated in the Directive texts

If the differences between Japanese and Australian Directive texts and linguistic resources demonstrate the cultural practices between Japan and Australia, the

similarities of both English and Japanese Directives and linguistic resources can demonstrate workplace culture.

First of all, as shown in chapter 10, semantically, the incongruent realisation of Command by the declarative surpasses the congruent realisation of Command. Although both English and Japanese Directives have many differences through stratification, to avoid the use of the imperative is a general feature in the Japanese and English Directive texts. This avoidance can be reduced when the interactants are those of equal status. However, the intricate rank order in the Japanese culture makes the Japanese equal employ the incongruent realisation of Command.

Lexicogrammatically, the Mood choice regardless of tenor relations shows similar features in the Japanese and English Directive texts. This suggests that the declarative generally plays an important role in the Directive texts. In addition, both Japanese and English subordinates employ additional ‘distribution of labour’ (Hasan, 1996c, p. 236), such as the frequent presence of the combination of the humble and formal form rather than the formal form only in the Japanese Directive texts, or the presence of ‘please’ in the English Directive texts. These features can be regarded as general features in the Directive texts in the workplace context.

Having described the cultures that are reflected in the Directive texts, the next section will summarise the present chapter and conclude the study.

11.3. Conclusion

Writers of the Directive texts continually make choices from their respective language systems. The incongruent realisation of Command is one of the choices to construe Command for both languages. For the Japanese language, especially, HONOURIFICATION is also a choice to construe Command in order to make sure addressees comply with commands, while at the same time, avoiding conflict and

refraining from 'self-ness'. In addition, the Japanese Directive texts contain many expressions of interpersonally-oriented meanings in order to keep a suitable distance. On the contrary, for the English language, choices of MODALITY, tense or the Mood Adjunct 'please' function to construe Command while avoiding conflict. This cultural practice of avoiding conflict, maintaining position and gaining compliance simultaneously is a complex balancing act in the workplace context. Thus, different languages have different systems that enable people to construe experiences while enacting social roles.

Context gives us a great deal of information about ongoing and possible meanings (Halliday, 1985a). This study has demonstrated how context is construed by text and, on the other hand, how text construes context. It focused especially on Directives from the interpersonal perspective. As further study, there are many possibilities. First of all, analyses from the ideational and textual perspectives will provide a comprehensive understanding of the English and Japanese Directives. Secondly, the number of texts along with a selection of different modes of texts could be increased in order to generalise the systems presented in this study. Although the Japanese systems of MOOD, HONOURIFICATION and MODALITY are provided in this study, it is difficult to generalise about them due to the limited number of the Directive texts. Larger numbers of text instances will show consistent validity of the respective Directive texts.

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