CHAPTER II
REVIEW OF RELATED LITERATURE

In this chapter, an overview of the concepts that base this study is presented. This overview is divided into the following sections: discourse system, Appraisal, Attitude (Affect, Judgment, and Appreciation), Graduation/ Amplifying, Engagement and Theoretical framework.

A. Discourse Analysis

Discourse analysis is concerned with the study of the relationship between language and the contexts in which it is used. Discourse analysis study language in use: written texts of all kinds, and spoken data, from conversation to highly institutionalized forms of talk.[1]

Discourse analysis connects with the analysis of social and grammar. In addition, the stratum of discourse semantic is bigger than a clause and smaller than a culture. Martin and Rose further define discourse according to two general perspectives: "[1] relevant levels of language: as grammar, as discourse, and as social context (known as the strata of language); [2] three general functions of language in social contexts: to enact our

---

[1] Michael McCarthy, *Discourse Analysis for Language Teachers*, (Cambridge: Cambridge University Press), p.5

relationships, to represent our experience, and to organize discourse as meaningful text (known as metafunctions)"[2]

Systemic Functional Linguistics (SFL) categorizes the model of language according to three general social functions. Discourse system comprises six dimensions that derive from the interpersonal metafunction: appraisal, ideation, conjunction, identification, periodicity, and negotiation.

Discourse System and Metafunctions[3]

Discourse dimension	Discourse system	Metafunctions
Appraisal	"negotiating attitudes"	Interpersonal
Ideation	"representing experience"	Ideational
Conjunction	"connecting events"	Ideational
Identification	"tracking people and things"	Textual
Periodicity	"information flow"	Textual
Negotiation	"enacting exchanges"	Interpersonal

---

[2]Martin and Rose, *Working with Discourse: Meaning beyond the Clause*, (London: Continuum, 2003), p. 4-6.

[3]Martin and Rose, *Working with Discourse: Meaning beyond the Clause*, p. 8.

The first system, Appraisal, is concerned with evaluation, which is the kind of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sourced and readers aligned. Appraisals are interpersonal kinds of meanings that realize in Tenor of a text. The second, Ideation focuses on the content of a discourse-what kind of activities are undertaken, and how participants undertaking these activities are described and classified. These are traditional kinds of meaning that realize the field of a text. And Conjunction looks at inter-connections between activities-reformulating them, adding to them, sequencing them, explaining them and so on. These are also ideational types of meaning, but of the subtype 'logical'. Logical meanings are used to form temporal, causal and other kinds of connectivity.

The last system are Identification and Periodicity. Identification is concerned with tracking participant-with introducing people, places, and things into a discourse and keeping track of them once there. These are textual resources, concerned with how discourse makes senses to the reader by keeping track of identities. And periodicity considers the rhythm of discourse, that is the layers of prediction that flag for readers what is to come, and the layers of consolidation that accumulate

the meanings made. These are also textual kinds of meanings, concerned with organizing discourse as pulses of information.[4]

       This research focuses on written discourse rather than oral discourse, because the data obtained come from The Rocking-Horse Winner short story. This research emphasizes the semantic meaning in word/phrase from the short story.

B. Appraisal

       Appraisal is concerned with the evaluation – the kinds of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sources and readers aligned.[5]

       By using this Appraisal system makes it possible for us to see the presentation of interpersonal meanings. As system of interpersonal meaning, appraisal relates the choices of the wordings to the ideological bases used in a text. The possibility for choosing an appropriate expression of word besides the other choices (expressions of words) makes it possible for readers to predict the writer's attitudes towards the phenomenon being talked about. The resources of Appraisal are used for negotiating social relationship, by telling the listeners or readers how one feels about things and people.

---

[4]Martin and Rose, *Working with Discourse: Meaning beyond the Clause*, p. 16-17

[5] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.22

There are three distinct sub-systems of Appraisal System according to Martin and Rose: source (Engagement), Amplification, and Attitude. Attitude which becomes the focus of this study is divided into three sub-sub systems: Affect, Judgment, and Appreciation, which model the ability to express emotional, moral and aesthetic opinions respectively. They further argued that Engagement and Amplification also play a crucial role in the expression of opinion beside Attitude. The Engagement system is the set of linguistic options that allow the individual to convey the degree ogf his or her commitment to the opinion being presented. And the Amplification system is responsible for a speaker's ability to intensify or weaken the strength of opinions they express. At any given point, a text could contain all three types of Engage (source), Amplification), Amplification and Attitude.[6]
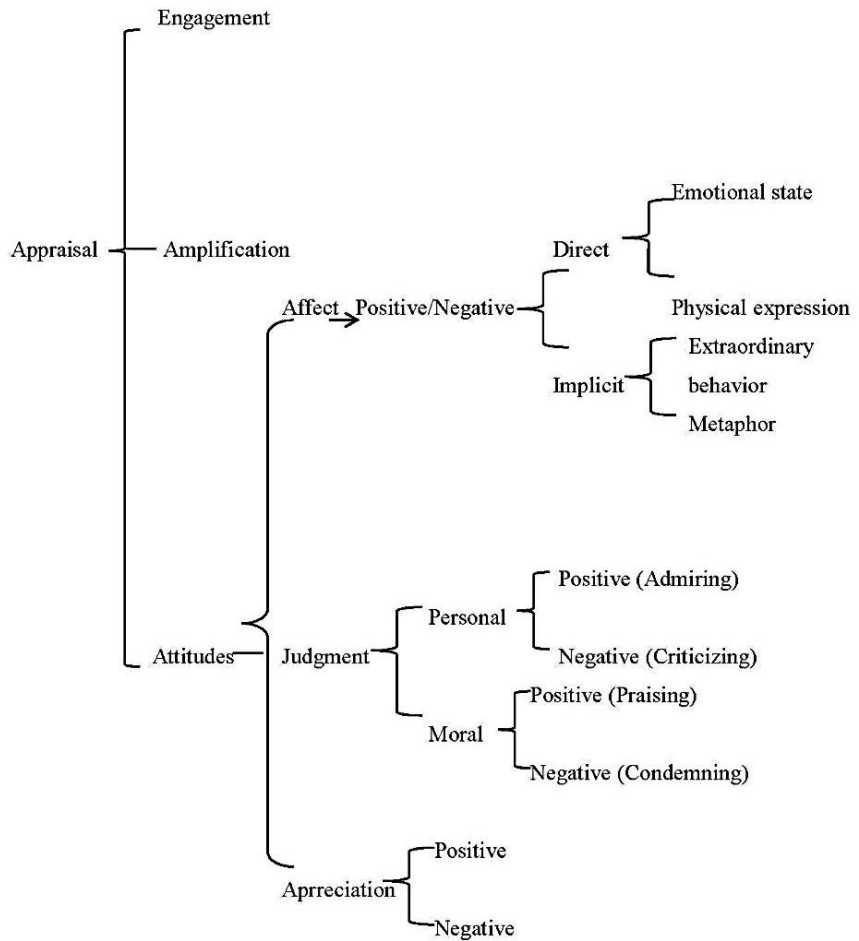
Furthermore, Martin and Rose state that Appraisal System, within Systemic Functional Linguistics (SFL), is an attempt to model language's ability to express and negotiate opinions and Attitudes within text and to better understand writers'/speakers' use of evaluative language to construct discursive identities and to assume interpersonal roles and relationship.[7]

---

[6] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.24

[7] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.22

Appraisal is a linguistic theory of subjectivity. It is concerned with the linguistic resources by which a speakers come to express, negotiate, and particular inter-subjective and ultimately ideological positions. Within this broad scope, the theory is concerned more particularly with the language of evaluation, attitude, and emotion, and with a set of resources, which explicitly position a text's proposals and propositions interpersonally. Appraisal System would help us categorize the opinion contained in a text, and whether they refer to objects, emotions or behaviors. By using Amplification and Engagement, people may be able to quantify the writer's commitment to the opinion, and how focused that opinion is.

For a clear understanding of the basic system for Appraisal, see the figure below.

```
Engagement

                                                                    Emotional state
                                                          Direct
Appraisal ─── Amplification                                         Physical expression
                                Affect → Positive/Negative          Extraordinary
                                                          Implicit  behavior
                                                                    Metaphor

                                                    Positive (Admiring)
                                         Personal
                                                    Negative (Criticizing)
              Attitudes    Judgment                 Positive (Praising)
                                         Moral
                                                    Negative (Condemning)

                                                Positive
                           Aprreciation
                                                Negative
```

System Network of Appraisal[8]

    [8] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.22-65

C. Attitude

1. Definition of Attitude

Martin and Rose define Attitude as "something to do with evaluating things, people's character, and their feelings".[9] The evaluation is done to a text by seeing its realization in the clauses. In evaluating a text, researcher must try to dig up what the speaker has spoken since he usually construes his experience which is mixed with his evaluation of the thing by presenting his attitude towards it in a text.

Attitude can be more or less intense, that is they can be more or less amplified. Besides that, in expressing people's feeling, judging people's character, or appreciating things, the Attitude may be the speaker's own or it may be attributed to some other resource. It means that he could express those by using his own words or referring to somebody else's words. This choice of source has an impact on those who will take the responsibility.

There are various ways in which attitude would be conveyed, some of them are easy and others are difficult. The most straightforward cases involve the use of individual words or phrases which indicate the attitudinal position taken by the writer or speaker. For example:

---

[9] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.22

(1) He'll be **<u>famous</u>**. Every child in our world will know his name.[10]

In the example (1), Professor McGonagall appreciates Harry Potter positively. It could be seen from the single word she used as well as bold and underlined word above. I can see it exists in that sentence clearly. It shows Positive and Explicit Attitude.

The situation, however, is often rather more complex. The indication of attitudinal position is often conveyed not by single words but by phrases or by interaction of multiple elements of the utterance.

Attitude could be implicitly indicated, rather than explicitly. I consider example (2) which constitutes implicit attitude, which stand in contrast to explicit attitude.

(2) After nearly two months of operation, the integrated Pulo Gebang bus terminal in Cakung, East Jakarta, has so far failed to win the hearts of intercity, interprovincial (AKAP) bus passengers.[11]

In the example (2), the utterance contains no explicit indication of Attitude, no individual word or phrase which can be said to indicate a positive or negative assessment. Yet, at least in this context, the proposition presented certainly can be

---

[10]David Heyman, 2001, *Harry Potter and the Philosopher's Stone*, Warner Bros Picture, United States of America, 2:32:21 mins.

[11]Ivany Atina, "*Tricky Location Hampers Passen* ", *The Jakarta Post* , (Jakara, February 23, 2017), p. 4

interpreted as indicating something negative about bus terminal of course there is something wrong about the location.

2. Kinds of Attitudes

Attitude can be classified into several kinds. Martin and Rose state that there are three kinds of Attitude: expressing people's feeling (Affect), judging people's character (Judgment), and appreciating things (Appreciation). They are close related to each others, as follows:

a. Affect

Affect deals with resources expressing feelings. It concerns with emotions, with positive and negative emotional responses and dispositions. White (2001) defines Affect as evaluation by means of the writer/speaker indicating how they are emotionally disposed to the person, thing, happening or state of affairs. For example, `I love music'; `This new proposal by the government terrifies me'.

Moreover, Martin and Rose explain that firstly, people can have good feelings, or they can have bad feelings, so Affect can be positive or negative. Secondly, people can express their feelings directly, or they can infer how people are feeling indirectly from their behavior, so Affect can be expressed directly or indirectly. Positive or negative choices have impact on the Discourse of the text,

27

whether the essence of a speech is happy or encouraging or it is about sadness.

The two ways of expressing feeling: direct and indirect, influence the confidence of the speaker on what he is talking. Direct expression of feeling reveals the speaker's confidence on what he is saying, as he trying to be honest, direct, sincere, straight, and frank about the phenomenon he is dealing with. Therefore, he has to take the responsibility of what he said.

The most obvious rhetorical function of such a use of Affect is to indicate an Attitudinal Position towards persons or things or situations which triggers the emotion.[12] See the example (3):

(3) In the high-achieving hothouse that was the College of Loyola, which won the Secretary's Bell Award fifteen years in a row, we admired any boy we labelled a razor. Zaka, though, made such a song and dance about his sharpness that you'd have thought he was the only razor in the school. [13]

In the example (3), the writer presents herself merely reporting the emotional reactions of the boy labelled razor in her school.

---

[12]Fadlilah, S, 2201504019, *Paul Burrel's Attitude toward the Royal Family in A Royal Duty Viewed from Appraisal Devices*, A Thesis, Semarang: Graduate Program, State University of Semarang, 2007

[13]Petina Gappah, "*A Short History of Zaka the Zulu* ",The New Yorker , (September 26, 2016), p. 59

Here is presented options of Affect as mention in the following table:

Options for Affect[14]

Option for Affect		Examples
Positive		We were ecstatic We even celebrated
Negative		I was torn to pieces I can't explain the pain and bitterness in me...
Direct	Emotional state	Ecstatic Wild consuming fear
	Physical expression	Withdrawn Shake uncontrollably
Implicit	Extraordinary behavior	Wander from window to window Rolls this way, that side of the bed
	Metaphor	Ice cold in a sweltering night Eyes...dull like the dead

Furthermore, Affect is realized in clause in various grammatical niches. Each clause usually contains one or more realizations of Affect in any grammatical position. As noted above, the writer uses this area for expressing his feeling towards the thing he is writing about. In doing so, the writer may color it positively or negatively based on his attitude towards it. The position for realizing Affect includes 'Qualities/Adjectives', (describing participants,

---

[14] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.28

attributing participants or manner of processes, 'Pro cases/Verbs' (Affective sensing or Affective behaving) and 'Comments/ Adverbs' (Desiderative comment). (Halliday cited in Martin and Rose, 2003).

To classify Affect, Martin and Rose mention that people can examine the six questions. They are: (1) Are the feelings positive or negative? (2) Are the feelings a surge of emotion or an ongoing mental state? (3) Are the feelings reacting to some specific external agency or an ongoing mood? (4) Are the feelings as more or less intense? (5) Do the feelings involve intention rather than reaction? (6) Are the feelings to do with un/happiness, in/security or dis/satisfaction? So, by using these questions, they can identify Affect in a text easier.

b. Judgment

Judgment refers to the act of judging people's character in Discourse. Martin and Rose describe that the term 'Judgment' can be thought of as the institutionalization of feeling, in the context of proposals (norms about how people should or shouldn't behave). They state that classification of Judgment should be divided into two, Social Esteem (Personal) and Social Sanction (Moral) either it is direct or implied.

Social Esteem comprises Admiration (positive) and Criticism (negative), typically without legal implication;

if people breach this area, they may just need to try harder or to practice more or to consult a therapist or possibly a self-help book. This kind of Judgment involves Normality (how unusual someone is), Capacity (how capable they are), and Tenacity (how resolute they are). Social Sanction,

On the other hand, comprises Praise (Positive), and Condemnation (Negative), often with legal implications; if people have problems in this area they should need a lawyer or a confessor. These Judgments have to do with Veracity (how truthfully someone is), and Propriety (how ethical someone is).

See the example:

(4) As head perfect, he issued demerits for the slightest offenses, marking down boys who did not wear ties with their khaki shirts at Benediction, making spot checks for perishable goods in our truck boxes and trunks, sniffing for beer on the breath of every boy who had snuck out to Donhodzo, the rural bottle store in the valley below our school, and, from the stragically placed Perfects' Room, making forays at unexpected times to see if he could catch anyone smoking outside the library.[15]

In the example (4), the evaluation looks implicit because there is no word which shows the writer's attitudes, but when it is viewed from Ethical Evaluation, the sentence

---

[15]Petina Gappah, "*A Short History of Zaka the Zulu* ", *The New Yorker* , (September 26, 2016), p. 59

clearly shows that the head of dormitory is strict about the rules. So, in this specific case, the writer's Judgment towards the head of dormitory is negative and ethically explicit.

See the table below for better understanding.

Types of Judgment[16]

Social esteem 'verial'	Positive (admire)	Negative (Criticize)
Normality, fate "is s/he special?"	*Lucky, fortunate, charmed.....* *Normal, average, everyday.....* *In, fashionable, avant grade.....*	*Unfortunate, pitiful, tragic.....* *Odd, peculiar, eccentric....* *Dated, daggy, retro grade....*
Capacity , "is s/he capable?"	*Powerful, vigorous, robust.....* *Insightful, clever, gifted.....* *Balanced, together, same.....*	*Mild, weak, wimpy....* *Slow, stupid, thick.....* *Flaky, neurotic, insane....*

[16]Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.62

Tenacity, resolve "is s/he dependable?"	*Plucky, brave, heroic.....* *Reliable, dependable......* *Tireless, persevering, resolute.....*	*Rash, cowardly, despondent.....* *Unreliable, undependable.......* *Weak, distracted, dissolute.....*

Social sunction "mortal"	Positive (praise)	Negative (condemn)
Veracity, truth "is s/he honest?"	*Truthful, honest, credible.....* *Real, authentic, genuine.....* *Frank, direct.....*	*Dishonest, deceitful.....* *Glitzy, bogus, fake.....* *Deceptive, manipulative...*
Propriety. "is s/he beyond reproach?"	*Good, moral, ethical....* *Law abiding, fair, just....* *Sensitive, kind, caring...*	*Bad, immoral, evil....* *Corrupt, unfair, unjust....* *Insensitive, mean, cruel...*

The kinds of Judgment speakers take up is very sensitive to their institutional position. For example only journalists with responsibility for writing editorials and other comment have a full range of Judgmental resources at their disposal; reporters writing hard news that is meant to sound objective have to avoid explicit Judgments

completely (Iedema et al. 1994). The distinction between social esteem and social sanction in other words has important implications for the subjective or objective flavor of an appraiser's stance.

c. Appreciation

Appreciation has something to do with aesthetic evaluation of human in appreciating the value of things in Discourse. It deals with evaluations, which are concerned with positive and negative assessment of objects, artifacts (include not only material objects which results from human industry but also works of arts, texts, building, and so on), processes, and states of affairs rather than with human behavior (White, 2001). Human subjects could be 'appreciated' rather than 'judged', but only when it is, for example, their aesthetic qualities which are being addressed rather than the social acceptability of their behavior.

Further Martin and Rose argue that Appreciation is thought of as the institutionalization of feeling, in the context of propositions (norms about how products and performances are valued). Thus both Judgment and Appreciation refer to the object which being evaluated. But, the difference is that Judgment is done toward people, whereas Appreciation is done towards things. Let me see the example of the term 'good' in a 'good novel',

the value of Appreciation is presented to the 'novel' rather than in the person (writer) doing the evaluation. Moreover, Appreciation can be done towards thing positively or negatively. In short, Appreciation is how a speaker appreciates things and construes his appreciation in his speech. See example (4)

> (5) He was always a bit of an **odd fish** Zaka the Zulu, but he was the last boy any of us expected to be accused of murder. Not a wit, a sportsman, or a clown, he was **not a popular** boy at our school, where he wore his school uniform every day of the week, even on Sundays.[17]

In the example (5), the writer appreciates Zaka the Zulu negatively. It could be seen from the single and bold phrase she used above. I can see it exist in that sentence clearly. It shows Negative and Explicit Appreciation.

Furthermore, Martin and Rose propose three variables where Appreciation System is organized around them. They are: (1) Reaction has to do with the degree to which the text/process in question captures our attention (Reaction: Quality) and the emotional impact it has on us (Reaction: Impact), (2) Composition has to do with our perceptions of proportionality (Composition: Balance) and detail (Composition: Complexity) in a text/process,

---

[17]Petina Gappah, "*A Short History of Zaka the Zulu* ", *The New Yorker* , (September 26, 2016), p. 59

and (3) Valuation has to do with our assessment of the social significance of the text/process. Each of them could be either positive or negative.

See the following table:

Types of Appreciation[18]

Linguistics	Positive	Negative
Reaction: Impact "did it grab me?"	*Arresting, captivating, involving, engaging, absorbing, imposing, stunning, striking, compelling, interesting.... Fascinating, exciting, moving,.... Remarkable, notable, sensational..... Lively, dramatic, intense.....*	*Dull, boring, tedious, staid.... Dry, ascetic, uninviting...... Unremarkable, pedestrian..... Flat, predictable, monotonous......*

---

[18] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p.63

Linguistics	Positive	Negative
Reaction: Quality 'did I like it?'	*Lovely, beautiful, splendid..... Appealing, enchanting, pleasing, delightful, attractive, welcome......*	*Plain, ugly..... Repulsive, off-putting, revolting, irritating, weird......*
Composition: Balance "did it hang together?"	*Balanced, harmonious, unified, symmetrical, proportional.....*	*Unbalanced, discordant, unfinished, incomplete.....*
Composition: Complexity 'was it hard to follow?'	*Simple, elegant..... Intricate, rich, detailed, precise.......*	*Ornamental, over-complicated, extravagant, puzzling..... Monolithic, simplistic......*
Valuation 'was it worth-while?'	*Challenging, significant, deep, profound, provocative, daring.......*	*Shallow, insignificant, unsatisfying, sentimental...... Conservative,*

Linguistics	Positive	Negative
	Experimental, innovative, original, unique, fruitful, illuminating..... Enduring, lasting....	*reactionary, generic...... Unmemorable, forgetable......*

Under sub-category of social value, the object, product or process is evaluated according to various social conventions. This domain is very closely tied to field in that social valuation of one field will not be applicable or relevant in another, for example, the field of economy does not have extensive application in the field of science.

D. Engagement

Engagement (Source of attitudes) with regard to the source of the attitude is divided into two, namely *heterogloss* relating to the source of the attitude that comes apart from the author and *monogloss* relating to the source of the attitude that comes only from the author. In connection with that source attitude *heterogloss* not only from the author then there should be

an analysis of the *heterogloss* by using *projection source, modality*, and *concession*.[19]

See the example (7):

> (7) "This is a conventional painting done in a conventional way, not many people are doing this kind of thing nowadays."Donal said[20]

In this example, Donal is responsible for the whole evaluation since all of it is filtered through his saying.

This potential for sourcing what it is said was one of the factors that got the Russian linguist Bakhtin thinking about the dialogic nature of discourse.[21]

E. Theoretical Framework

The theoretical framework used in this thesis is summarized from the main theories which are utilized as a means of doing data analysis. In this case, I especially follow what Martin and Rose suggested on Appraisal System, especially attitude (Affect, Judgment, and Appreciation).

---

[19] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p. 44

[20]Juniarta, "*A Feature to Visual Beauty* ", *The Jakarta Post* , (Jakarta, February 23, 2017), p. 23

[21] Martin and Rose, *Working with Discourse: Meaning Beyond the Clause*, p. 44

The theory of Martin and Rose is used to analyze the kinds of Affect (Emotional State, Physical Expression, Extraordinary Behavior, and Metaphor); Judgment, and Appreciation. This theory is used to analyze whether the kinds of the attitudes are positive or negative.