JAPANESE INTERACTIONAL PARTICLES *YO*, *NE* AND *YONE*:

THEIR FUNCTIONS AND ACQUISITION BY JAPANESE LANGUAGE LEARNERS

by

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# Abstract

The Japanese language possesses a class of particles called "interactional particles" which appear in and facilitate interactions among people. This thesis analyzes the functions and Japanese language learners' acquisition of the interactional particles *yo*, *ne* and *yone*, which frequently occur in Japanese conversations. Employing speech data obtained from spontaneous conversations and written data from questionnaires and fill-in-the blank tests, the present study analyzed *yo*, *ne* and *yone* as used by Native Japanese Speakers (NJSs) and Japanese Language Learners (JLLs).

It is generally understood that *yo* marks new information and *ne* elicits and demonstrates agreement. Based on the analyses of *yo*, *ne* and *yone* in previous works, I propose that the fundamental function of *yo* is "pointing to the speaker's private world" and that that of *ne* is "pointing to the common ground of the speaker and addressee." *Yone*, the combination of *yo* and *ne*, also points to the interlocutors' common ground. Due to the existence of *yo*, *yone* further reveals the speaker's personality: uncertainty about information and empathy toward the addressee. The NJS data revealed two notable practices which contrast with general understanding concerning the use of these particles. First, the NJSs presented new information in conjunction with *ne*, often accompanied by the nominalization form *n(o) (da/desu)*. Secondly, they often requested agreement by employing *yone*. I claim that the NJSs' inclination for using *ne* and *yone*, the particles of "common ground," exemplifies a politeness strategy and Japanese communicative styles (e.g., expressions of *enryo* 'reservedness', *omoiyari* 'empathy' and *wakimae* 'discernment'), both of which are oriented to the unification of understandings between the speaker and addressee.

The JLLs underused *yone* and overused *ne*. The JLLs' use of *yone* was approximately 10% lower than that of the NJSs. In contrast, the JLLs' use of *ne* was 20% higher than that of the NJSs. Furthermore, the JLLs misused *yone* and *ne* due to inadequate instruction on their use both in textbooks and classrooms. In particular, the JLLs showed difficulty when presenting new

information by properly combining *ne* and *yone* with the nominalization form. This indicates the importance of the ability to handle the nominalization form along with *yo, ne* and *yone.*

The present study revealed the JLLs' inadequate acquisition of the use of *yo, ne* and *yone,* which conform to politeness strategies and Japanese communicative styles. In conclusion, I suggest that Japanese textbooks and classrooms should pay more attention to the effects of these particles on human relationships. I also propose the introduction of *yone,* which is not often dealt with, into Japanese language teaching because of its significant contribution to Japanese interaction and discourse: an essential device for demonstrating agreement and exemplifying Japanese politeness and communicative styles.

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# List of Abbreviations

Following abbreviations are used in this thesis:

| | |
|---|---|
| BE | copula |
| CAU | causative |
| DO | direct object marker |
| FI | filler |
| IO | indirect object marker |
| IP | interactional particle |
| LK | linker (linking nominals and nominal adjectives) |
| NEG | negative morpheme |
| NOM | nominalizer |
| OP | onomatopoeia |
| P | particle (other than interactional particles) |
| PASS | passive morpheme |
| Q | question marker |
| QT | quotative marker |
| SUB | subject marker |
| TOP | topic marker |
| TAG | tag-question-like morpheme (e.g., *janai, deshoo*) |

# List of Transcription Conventions

| | |
|---|---|
| . | unraised intonation |
| ? | rising intonation |
| , | recognizable pause |
| [ | the beginning of overlapping speech |
| = | speech which comes immediately after another person's (i.e., latched utterances) |
| LAUGH | laughter |
| wo::rd | vowel elongation |
| word- | abrupt cut-off |
| (word) | unclearly uttered word |
| (?) | audible but undefinable word |
| *sentence | ungrammatical sentence |
| ?sentence | sentence whose grammaticality is questionable |

# Acknowledgements

## Chapter One

## Introduction

### 1.1 Japanese Interactional Particles

The Japanese language has an inventory of "interactional particles" (Maynard 1993) or 'dialogic particles' (*"taiwajoshi,"* Izuhara 1993) (e.g., *yo, ne, na, sa, wa, zo, ze*) which occur in situations which involve interactions among people. Interactional particles do not mark grammatical relations; instead, they "index interactive contexts" (Ohta 1993).[1] This thesis also uses the term "interactional particles" to refer to *yo, ne* and *yone*. Some of the interactional particles (e.g., *wa, zo, ze*) appear exclusively at the final position of an utterance (e.g., *Kanarazu shiken ni gookakusuru zo.* 'I will pass the exam for sure.'), while others (e.g., *yo, ne, sa*) occur in an utterance at its initial position (e.g., *Ne, are nani.* 'Hey, what's that?'), internal position (e.g., *Ano ne, kyoo ne, sensee ni atta yo.*'I met (my) teacher today.') and final position (e.g., *Basu wa moo demashita yo.* 'The bus has already left.'). Among these various interactional particles, this thesis particularly analyzes *yo, ne* and their combined form, *yone,* because of their frequent occurrence in Japanese conversation. The following examples show the use of *yo, ne* and *yone:*[2]

(1) Context: A and B just found out that they had both lived in Tokyo.

   1  A: *Setagaya no hoo ni.*
        Setagaya LK side P
        "(I was living in) the Setagaya district."

--> 2  B: *Aa, ja chikai desu ne.*
        oh then close BE IP
        "Oh, then that's close (to the area I used to live in), isn't it?"

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[1]"To index" refers to "to signal, or to relate a linguistic symbol to a feature of the communicative or social context" (Ohta 1993: 13).

[2]All data represent actual speech collected during the present research project unless otherwise noted. The methodology of the data collection will be discussed in detail in Chapter Three.

```
-->3   A: Soo desu  ne.
          so   BE   IP
          "It is (, really)."
```

As illustrated above, *ne* (Line 2) has the function of eliciting the addressee's agreement like an

English tag-question. It also appears in utterances that demonstrate the speaker's agreement (Line

3). *Yone* has basically the same functions as in the next example:

(2)  Context: A says that she was amazed by the fact that Canadian university students, unlike
              those in Japan, always carry big, heavy backpacks.

```
   1   A: Nihon    no  daigaku  ni  konna  ko   ga   i-tara
          Japanese  LK  university  P  like this  child  SUB  exist-if
          "If there were a student like this at a Japanese university,"
```

```
-->2   B: =Okashii  yone.
          strange  IP
          "(It would be) strange, (don't you think?)"
```

```
-->3   A: Okashii   yonee.
          strange   IP
          "Strange (, really)."
```

While *yone* in Line 2 functions to request agreement, *yone* in Line 3 serves to constitute an

utterance that exhibits agreement. *Yo*, on the other hand, appears in utterances that convey new

information as in the following two examples:

```
(3) 1  A: Nani  benkyoo  shiteta      n      desu  ka ?
          what   study    were doing  NOM   BE    Q
          "What were you studying?"
```

```
    2  B: Watashi, tetsugaku-ka        datta  n       desu  kedo,
          I         philosophy-section  was    NOM   BE    but
          "I was in Philosophy, but ,"
```

```
    3  A: Aa.
          oh
          "Oh,"
```

--> 4  B: *Demo  gakkoo  ga    ne,  kibishiikatta  n       desu  yo.*
       but    school  SUB  IP  was strict    NOM   BE   IP
       "But (my) school was strict."

(4)  Context: B is a graduate student. A asks B how old he is. B answers "twenty four."

   1  A : *Aa, ja,  moo, sasasa-tto kita   n      desu  ne.*
       oh  then  FI  OP-QT   came NOM BE   IP
       "Oh, so, you went straight (into graduate school), did you?"

--> 2  B: *Iya, roonin  shite-mashita  yo.*[3]
       no   roonin  was-doing      IP
       "No, I spent extra year(s) studying for the university entrance exams."

In the examples above, information that *yo*-attached utterances (Line 4 in Example 3 and Line 2 in Example 4) convey are new to the addressee. As in Example 4, *yo* often occurs in utterances of opposition and/or correction, producing impressions of assertion, insistence and emphasis.

Note that the use of *yo* and *ne* in the above examples does not directly influence the propositions[4] or referential meanings of the utterances.[5] For instance, in Example 3, even though the utterance on Line 4 is deprived of *yo* and *ne*, the resulting utterance, *"Demo gakoo ga, kibishikatta n desu,"* represents the same original proposition, which is 'But (my) school was strict.' Similarly, the absence of *yo* in the utterance of Line 2 in Example 4 does not change the speaker's proposition, 'No, I spent extra year(s) studying for the university entrance exams.' Thus, the presence or absence of *yo* and *ne* is not reflected in the above English translations. These

[3]*Roonin* is a student who has failed the annual entrance examinations to schools of his or her preference (e.g., universities, colleges and high schools), and is preparing for the following year's.

[4]"Proposition" is "[t]he unit of meaning which constitutes the subject matter of a statement, and which is asserted to be true or false" (Crystal 1992: 316).

[5]I use the term "referential meaning" to signify the meaning that a linguistic expression has when referring to an entity or situations. Referential meaning is sometimes contrasted with "social meaning" which is understood with the help of contextual information (e.g., Cook 1988, 1992; Finegan, 1994).

examples demonstrate that these particles do not function at the referential level where propositions

or referential meanings are dealt with. Instead, interactional particles function at the non-referential

level, which is concerned with modality, or what Tokieda (1950, 1954) calls *ji*, as summarized in

Maynard (1993):

> Tokieda (1950, 1954) defines *shi* as an expression which has gone through the objectifying process--representing an objective and conceptualized notion of referents, which includes grammatical categories of nouns, verbs, adjectives and adverbs. *Ji*, on the other hand, is an expression which has not gone through the objectifying process-- representing the speaker's subjective perspective toward the referent and it includes conjunctions, exclamatory expressions, auxiliary verbs and particles. (Maynard 1993: 31)

The involvement of "interaction" in the use of *yo, ne* and *yone* is referred to in several

studies (e.g., Clancy, 1985; Kawamori, 1991; Cook, 1992; Ohta, 1993). Although the use of

these particles is sometimes associated with certain genres such as "spoken language" (e.g.,

Uyeno, 1971; Ohso, 1986) and "informal language" (e.g., McGloin 1990), genre itself is not the

decisive factor for the occurrence of the particles. For example, Cook (1992) found that *ne* was

absent in a one-hour lecture speech given by a writer to a large audience. On the other hand, *yo, ne*

and *yone* can be used in a letter if the letter is written as though the author were talking directly to

the addressee. The point is that whenever *yo, ne* and *yone* are used, "interaction" is taking place or

is supposed.

Interactionality, or the interactional nature of *yo, ne* and *yone,* leads to another aspect of

these particles: their relationship with Japanese culture. Since socially appropriate interactions are

defined differently from culture to culture, the acquisition of the appropriate use of these particles

requires an understanding of cultural aspects of the language as well as the linguistic functions of

these particles. Clancy (1986) defines such cultural aspects of a language as "communicative

style," or "the way language is used and understood in a particular culture, both reflects and

reinforces fundamental cultural beliefs about the way people are and the nature of interpersonal

communication" (p. 213). For example, the Japanese communicative styles identified in previous studies include expressions of *omoiyari* ('empathy,' Cook, 1992; Hinds, 1978), *enryo* ('reservedness,' Clancy 1985), "conformity to the group norms" (Noguchi 1997), "affect" (Cook, 1992; Ohta, 1993) and "preference for avoiding confrontation" (Cook 1992). Yet another Japanese communicative style is *aizuchi* (often translated as "backchannel expressions"), as some studies (e.g., Hinds, 1978; Mizutani, 1983, 1984, 1985; Maynard, 1989) report its frequent occurrence in Japanese. *Aizuchi* are verbal and non-verbal messages signalling that the addressee is following what the speaker is saying, and they function to smooth interaction.[6] For example, *"soo desu ne* (Lit. 'it is so')," as in the next example, is a common verbal *aizuchi* expression:

(5) A: *Kyoo    wa      samui   desu    ne.*
      today  TOP  cold    BE    IP
      "It is cold today, isn't it?"

--> B: *Soo    desu    ne.*
      so     BE     IP
      "It is (, really)."                                                    (Horii 1994: 69)

In this example, *ne* is obligatory, or an essential element for this sentence to serve as an *aizuchi* expression. In other words, B's utterance becomes a simple statement or affirmation without it, indicating that this particle plays a significant role in Japanese communication or interaction.

## 1.2 Interactional Particles in Language Classrooms

Previous studies discussed the difficulty of acquiring *yo*, *ne* and *yone* by Japanese language learners (e.g., Ohso, 1986; Sawyer, 1991; Cook, 1992; Ohta, 1993; Horii, 1994; Shimoyama,

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[6]Cook (1992) refers to *aizuchi* as "back-channel expressions" which are "verbal or non-verbal cues that signal that the addressee is following what the speaker says" (Cook 1992: 514). Maynard (1989) defines "back channel" as "occurrences of behavior where an interlocutor who assumes a listener's role sends short messages during the other's speaking turn" (Maynard 1989: 160). Therefore, gestures such as nods and gazes are examples of non-verbal back channels, while such expressions as *un* ("yeah'), *ee* ('yes') and *soo desu ne* ('it is so') belong to verbal back channels.

1995). For example, Ohso (1986) claims that the lack of similar types of linguistic forms in many other languages causes such difficulties. I suspect that the obstacles to both teaching and learning interactional particles lie in their characteristics discussed above: non-referentiality, interactionality and their relationship with Japanese culture. First, their non-referential nature makes it hard for textbooks and teachers to present explicit explanations of these particles to students.

Secondly, due to the interactional nature of *yo*, *ne* and *yone,* their instruction and acquisition in Japanese language classrooms are difficult. In other words, language classrooms are limited in that they cannot duplicate ordinary, everyday interaction and discourse, and instead they produce their own unique "classroom discourse" (Ohta 1993), or "educational discourse" (Kasper, 1989; Sawyer, 1991). Classroom discourse is differentiated from ordinary discourse in that it is based on the imbalanced power relationship that exists between a teacher and his or her students and that the primary goal of classroom discourse is not interaction but unidirectional information transfer from a teacher to his or her students (Kasper, 1989; Ohta, 1993; Ellis, 1994). Consequently, formal classrooms do not offer students enough opportunities for observing and learning how *yo, ne* and *yone* are used in ordinary spontaneous interactions.

The third factor that makes the acquisition of *yo, ne* and *yone* by Japanese learners troublesome is the relationship of these particles with Japanese culture. Thomas' (1983) distinction between "sociopragmatic failure" and "pragmalinguistic failure" is useful here. Sociopragmatic failure "takes place when a learner fails to perform the illocutionary act required by the situation (i.e., deviates with regard to appropriateness of meaning)" and pragmalinguistic failure "occurs when a learner tries to perform the right speech act but uses the wrong linguistic means (i.e., deviates with regard to appropriateness of form)" (Ellis 1994: 165).[7] Concerning these two types of pragmatic failures, Sawyer (1991) states that Japanese interactional particles produce a complex

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[7]An "illocutionary act" refers to "a speech act which is performed by a speaker by virtue of the utterance having been made"(Crystal 1992: 181), and includes promising, commanding and arresting. On the other hand, a "locutionary act" is "a simply meaningful utterance" (Ibid.) which will not cause the same consequences as the illocutionary acts.

learning problem since the ineffective use of these particles makes the full range of speech acts less successful, although they are not obligatory components of any speech act in Japanese.[8] The following examples of learners' errors from Ohso (1986) demonstrate this point:

(6) A: *Kyoo    wa    ii      tenki     desu  ne.*
     today  TOP  good   weather   BE    IP
     "Good weather today, isn't it?"

   B: **Hai,  soo  desu.*
     yes   so   BE
     "Yes, that is so."                                 (Ohso 1986: 91)

(7) **Kireena    burausu  desu.   Atarashii   desu  ka.*
     beautiful   blouse    BE      new         BE    Q
     "(That is) a beautiful blouse. (Is it) new?"              (Ohso 1986: 92)

Both utterances, *soo desu* 'that is so' (Example 6) and *kireena burausu desu* '(that is) a beautiful blouse' (Example 7), which lack *ne,* sound assertive and blunt despite the learners' intention to be accommodating to the addressee.[9] These examples show that Japanese language learners need to know what the speech acts of demonstrating agreement (Example 6) and making comments or compliments (Example 7) mean to Japanese communication (i.e., sociopragmatic knowledge), and also how those speech acts should be realized in an appropriate linguistic form with the use of the proper interactional particles (i.e., pragmalinguistic knowledge). Maynard (1993) states that "unlike grammatical mistakes, which can be dismissed simply as lack of knowledge, non-referential signs in general can cause serious communication problems" (p. 270). These problems

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[8]However, as I will argue in Chapter Two, *ne* is obligatory in certain speech acts such as requesting and demonstrating agreement. Probably what Sawyer implies here is the non-referentiality of these particles, which has little influence on propositions.

[9]As Collier-Sanuki (personal communication) notes, simply attaching *ne* to B's utterance in Example 6 does not make the utterance acceptable (i.e., **Hai, soo desu ne.*). Only if *hai* is also replaced by *ee*, (i.e., *"Ee, soo desu ne."*), the resulting utterance becomes natural. This indicates incompatibility of *ne* and *hai.* For more discussion on *hai* and *ee*, see McGloin (1996).

include "[the failure] to understand one another's intentions . . . to get their points across and, more often than not, make unjustified negative evaluations of the sincerity, interest, intelligence and motivation of other particles in interaction" (Erickson 1984: 82). Examples 6 and 7 substantiate this point: non-use of *ne* creates a rude impression and thus causes a negative evaluation of the speaker.

## 1.3 Interactional Particles and Socialization

Some studies of *yo* and *ne* discuss the relationship between language and socialization (e.g., Clancy, 1985; Cook, 1992; Ohta, 1993). For example, Ohta (1993) states that "language is a part of the socialization process, language socialization being both socialization through language, as well as socialization to use language appropriately" (Ohta 1993: 6). Also, Cook (1989, 1992) describes language as a tool for social interaction, and assigns one of the functions of *ne* as that of "socializing children" (Cook 1992).[10] The relationship between language and socialization is not an issue concerning only first language (L1) acquisition; it has just as much importance on second language (L2) acquisition. Based on the studies of Ochs (1988) and Schieffelin (1990), Ohta (1993) defines socialization as "the process by which a person becomes a competent member of society -- a process which takes place through interaction, as knowledgeable members and novices, whether children or newcomers, interact with one another" (p.6). Similarly, the National Foreign Language Center (1993) proposes that socialization into the Japanese culture and society is a goal for learning Japanese:

> The purpose of learning Japanese is not to become Japanese, but rather to become an informed foreigner who can function in Japanese society in a way that does not make Japanese feel uncomfortable or otherwise impedes the attainment of practical goals, whether in work or in everyday affairs.
> (National Foreign Language Center 1993: 16)

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[10]Cook (1989, 1992) found that *ne* appeared frequently in mothers' speech to young children, and she claims that through observing their mothers' use of *ne*, children become aware of social skills including how to manage conversation and develop effective interaction.

As mentioned in Section 1.2, L2 Japanese learners experience difficulties in mastering interactional particles. This contrasts sharply with the early acquisition of these particles by L1 Japanese learners. Clancy (1985), an extensive study of the L1 acquisition of the Japanese language, found that *yo* and *ne* are among the first interactional particles to emerge in children's speech. Furthermore, she considers that these particles are acquired by L1 learners at such an early stage because their usage is so context-dependent and has a pragmatic and emotional basis. Consequently, she suggests that the difficulties L2 learners encounter in using these particles appropriately originates from the language classroom environment which cannot duplicate the conditions of L1 acquisition or the contexts for L1 socialization.

## 1.4 Organization of the Thesis

This thesis pursues two goals: (1) discovering the fundamental function of *yo*, *ne* and *yone*; and (2) investigating Japanese language learners' acquisition of these particles. Chapter Two reviews previous studies on *yo*, *ne* and *yone* and proposes that their fundamental function is "pointing." It also hypothesizes on the relationships of *yo*, *ne* and *yone* with speech acts and the interaction process. Chapter Three describes the methodology used for the present research. Chapter Four analyzes the recorded conversation data in terms of conversation management, speech acts and information status (i.e., whether information is new or old) of speech acts. Chapter Five discusses the written data obtained from the questionnaire and the fill-in-the-blank tests. Chapter Six summarizes findings concerning the use of *yo*, *ne* and *yone* by native speakers of Japanese, and the acquisition of these particles by Japanese language learners. In conclusion, I will also suggest some pedagogical implications for teaching *yo*, *ne* and *yone.*

# Chapter Two

## Review and Characterization of *Yo*, *Ne* and *Yone*

In this chapter, I will first discuss in Section 2.1 limitations of previous studies on *yo* and *ne* and present my position to inquire into the fundamental function of these particles. Then, Section 2.2 proposes that *yone* is the combined form of *yo* and *ne* (i.e., *yo ne*), rather than an independent particle or one inseparable unit (i.e., *yone*). Sections 2.3.1, 2.3.2 and 2.3.3 introduce and discuss respectively Kamio's (1979, 1989, 1990) "Theory of Speaker's Territory of Information," Maynard's (1993) concept of "Relative Information Accessibility and/or Possessorship" and Cook's (1988, 1989, 1992) model of "Direct and Indirect Indexicality." Based on these discussions, Section 2.4 proposes that "pointing" is the fundamental function of both *yo* and *ne*, and that this fundamental function achieves various effects on speech acts the speaker tries to perform.

## 2.1 Limitations of Previous Studies

Most studies of *yo* and *ne* (e.g., Cheng, 1987; McGloin, 1990; Kawamori, 1991; Sawyer, 1991) refer to them as *shuujoshi*, or "final particles," because of their position in an utterance. However, such studies lack fundamental attempts to define *shuujoshi* explicitly, and use the terminology rather carelessly. In *kokugogaku* ('traditional Japanese language studies') *shuujoshii* generally implies those particles which occur in the final position of a sentence. Matsumura (1971), for example, defines *shuujoshi* as "particles which appear sentence-finally to complete a sentence, expressing such meanings as exclamation, prohibition, question, rhetorical question, wish and emphasis" (p.316).[1] On the other hand, there are other locationally defined

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[1]Translation is mine.

categories of particles called *kandooshi* ('interjection particles') and *kantoojoshi* ('insertion particles'). *Kandooshi* is an independent linguistic element which can constitute a sentence by itself and expresses directly such expressions as exclamations, appeals, addresses and replies as in *aa* ('ah'), *oi* ('hey') and *hai* ('yes') (e.g., Tokieda, 1950; Hashimoto, 1959; Kato et al., 1989). *Kantoojoshi*, on the other hand, is a particle that reveals the speaker's attitude and appears word-finally or phrase-finally within a sentence (e.g., Tanaka, 1977). Example 1 contains an interjection *ne* and Example 2, an insertion *ne*. Both examples are excerpts from the actual speech of native Japanese speakers:[2]

(1) *Nee, Mama.*
   IP   mom
   "Mom!"                                        (Cook 1992: 522)

(2) *Ima  no  wareware  ga   ne, kantanni, koo,*
   today LK  we       SUB IP  easily   FI

   *Konjikidoo   dake mite ne, are  dake de*
   golden pagoda only see  IP  that only with

   *handan,   ma, shite mo    taihenna mono na  n     desu kedo ne, ...*
   judgement FI do even    great     thing BE NOM BE  but  IP
   "Even if we, the people in the modern age, take a look at the golden pagoda and judge (it), we can see that it is great, but ... "
                                           (Izuhara 1992: 164)

Some studies (e.g., Saji 1956) use the term *shuujoshi* to include, in addition, particles of phrase-final or word-final position, namely, insertion particles. However, most studies on *yo* and *ne* discuss only sentence-final *yo* and *ne*, suggesting that they intentionally exclude the interjective and insertional uses of these particles from the scope of their analyses. The insertion *ne*, as illustrated in the above example, is ubiquitous in natural conversation. Ohta (1993) states that "*ne* appears most frequently not in utterance-final position but medially within an utterance at the end of

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[2]Translations and glosses are mine.

an intonation unit" (p.13).[3] Therefore, the analysis of interjection and insertion *ne* seems

unavoidable in locating the nature of this particle. *Yo* also has interjective and insertional uses,

although they are found less frequently than the interjection and insertion *ne* are. The following

fabricated examples show the interjection *yo* and insertion *yo* respectively:


(3) <u>*Yo,*</u>  *hisashiburi.*[4]
     IP  after a long time
     "Hey, long time no see!"


(4) *Demo  karini     soo da   to    shitemo   yo,    okashiku-nai* ?
     but    supposed  so BE  QT   even if    IP     strange-TAG
     "But even if it is so, isn't it strange?"


Here arises a question of whether these particles used in different positions are independent

particles with their own functions or if they are the same particle with different manifestations. I

propose that there exists only one variable *ne* with different variants, and that the same is true of

*yo.* Izuhara's (1992) study of *ne* is suggestive on this point. Izuhara (1992) attempts to analyze all

types of *ne*: interjective, insertional and sentence-final *ne* in terms of communicative function

based on two grounds. First, the definition of a "sentence," which is the basis for categorizing

these particles under locational analysis, becomes very ambiguous in the spoken language when

influenced by contextual factors such as pause and intonation.[5] In addition, she found that

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[3]Du Bois et al. (1992) defines an "intonation unit" as a "stretch of speech occurring under a single unified intonation contour." For more discussion of intonation unit, see Chafe (1987), Du Bois et al. (1992) and Iwasaki (1993).

[4]As was the case with this example, the interjective use of *yo* is almost exclusively confined to male speech. See Section 2.4.4.

[5]Because of the characteristic of spoken language, (i.e., the fragmented and loosely integrated structure), previous studies have proposed alternative units for discourse analysis to replace the traditional concept of sentence which consists of subject and predicate. They include "idea units" (Chafe 1980, 1982, 1985), "intonation units (IU)" (Chafe, 1987; Du Bois et al., 1992; Iwasaki, 1993) and "Pause-bounded Phrasal Units (PPU)" (Maynard 1989). Maynard (1989) and Iwasaki (1993) specifically focus on the application of these units to Japanese discourse.

regardless of the position of its appearance, *ne* always shows one common characteristic, which is, *kikite ni taiwa o mochikakeru* or 'to direct and present utterance to the addressee' (p.160-1).[6] She then claims that there exists only one essential *ne* with different variants.

Other evidence for this argument is found in the relationship of *ne* with intonation and vowel length. In actual speech, *ne* is uttered in various intonations and vowel lengths. In fact, some studies have classified *ne* based on its intonations and vowel lengths. For example, Jorden (1963) explains that *ne* pronounced with a rising intonation and a short vowel is a question marker, while *nee* with a falling intonation and a long vowel is an exclamation marker. Similar explanations are found in works such as Ohso (1986), Makino and Tsutsui (1986) and Soga and Matsumoto (1978). Cook (1992) further points out other possible forms: *nee* with a rising intonation and a long vowel, and *ne* with a falling intonation and a short vowel. In these cases, the former becomes a question marker, the latter an exclamation marker. In addition, she notes that a Japanese question can be indicated through rising intonation without the question marker *ka*. Based on these facts, Cook (1992) concludes that a rising intonation indicates a question.

Other studies assign more interactional meanings to intonations. For example, Kitagawa (1977) explains that a highly sustained intonation is "a device of giving options to the addressee" (p.31). On the other hand, Edelsky (1979) found that a falling contour is used with lexical manifestations of indecisiveness such as "I guess," "I don't know" or "maybe" and the rising contour is also used merely to prolong the interaction, indicating that a falling contour does not necessarily imply a sign of confidence or decisiveness and a non-falling contour, insecurity or lack of confidence. Agreeing with Edelsky's argument, McGloin (1990) regards rising intonation as a

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[6]Translation is mine.

sign of "positive politeness."[7] Sawyer (1991) takes a different view in observing intonation. He states that a falling intonation shows the speaker's stronger expectation of agreement than rising intonation does.

A noteworthy study for the present discussion is Todoroki (1993), which specifically focuses on the relationship between the functions of *yo/ne* and intonation. She discovered that a falling intonation serves to express the speaker's emotions and/or to ask the addressee to sympathize with those emotions. On the other hand, a rising intonation indicates the conveyance of information or a request for confirmation. The above discussions suggest that rising and falling intonations can be characterized in terms of the speaker's attitude toward communication: a falling intonation reveals the speaker's personal feelings or emotions, while a rising intonation serves for interaction. Hence, I identify rising intonation with the speaker's intention to participate actively in the interaction process, and falling intonation with the exhibition of the speaker's emotions and feelings, which is subjectivity or what Suzuki (1824) calls "*kokoro no koe*" ('voices from the heart,' Maynard 1993: 5).

As for the other factor, vowel length, Makino and Tsutsui (1986) assign *nee* with a long vowel a meaning of excitement. Cook (1992) further states that "geminated vowels typically indicate emphasis crosslinguistically" (p.512). Therefore, I regard vowel elongation as an act of emphasizing one's thoughts and emotions.

The discussions above suggest that there is one and only one *ne,* which is interpreted differently, depending on intonation and vowel length. It seems that previous studies focused on the classification of the particle without exploring its fundamental function, causing inconsistent conclusions. Furthermore, Izuhara's (1992) second discovery that *ne* serves to direct and present a

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[7]Brown and Levinson (1978) proposes two types of strategies in showing politeness. "Positive politeness strategies" are those used to protect the addressee's "positive face" or "the desire to be approved of." On the other hand, "negative politeness strategies" are "politeness of non-imposition," in other words, those strategies are used so as not to demean the addressee's "negative face" or "the desire to be unimpeded in one's actions" (p.62).

certain utterance to the addressee (*kikite ni taiwa o mochikakeru*),[8] suggests that the fundamental

function of *yo* and *ne* is closely related to and thus should be analyzed in terms of "interaction."

Therefore, I attempt in this thesis to discover the fundamental function of *yo* and *ne* in terms of

"interaction" (not in terms of locations of their occurrence), and in so doing, I eliminate such

factors as intonation and vowel length.

This section discussed the limitations of the previous studies of *yo* and *ne*: (1) the analyses

of these particles based on a "sentence" as a unit; (2) the partial focus on sentence-final particles,

paying less attention to the interjective and insertional uses of these particles, and (3) the failure to

eliminate factors of intonation and vowel length from their analysis of interactional particles. In

order to overcome these limitations, I proposed an inquiry into the fundamental function of *yo* and

*ne*. The next section analyzes *yone*, the combined form of *yo* and *ne*.

## 2.2 *Yone* as the Combined Form of *Yo* and *Ne*

The previous section explained that *yo* and *ne* are interactional particles which can appear

utterance-initially, -internally and -finally. This section will analyze the internal structure of *yone*

from a syntactic viewpoint and propose that it is the combined form of *yo* and *ne* (i.e., *yo ne*)

rather than an established independent particle or one integral unit (i.e., *yone*).

Compared to studies on *ne* and *yo*, studies on *yone* are few (e.g., Kawamori, 1991;

Izuhara, 1993; Maynard, 1993; Shimoyama, 1995). Furthermore, these analyses tend to become

contingent on those of *yo* and *ne*. Only Shimoyama (1995) focuses on the analysis of *yone*,

comparing it with *ne*. She regards the sentence-final *yone* as one particle rather than as the

combination of two particles, *yo* and *ne*, stating that some utterances take *yone* but others *yo ne*,

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[8]Translation is mine.

the form that functions with a pause between the two. The following are two of her examples:[9]

(5) a. *Kekkon    shi-mashoo yo. Ne.*
       marriage  do let's     IP  IP
       "Let's get married. Shall we?"

   b. ?*Kekkon    shi-mashoo yone.*
        marriage  do let's     IP
        "Let's get married, shall we?"                    (Shimoyama 1995: 51)

(6) a. ?*Chotto sore jaa komaru  n        desu yo. Ne.*
       FI     that if  trouble  NOM      BE   IP  IP
       "Well, that would be a problem for me. You know."

   b. *Chotto sore jaa komaru  n        desu yone.*
      FI     that if  trouble  NOM      BE   IP
      "Well, that would be a problem for me, you know."    (Shimoyama 1995: 51)

However, these examples reveal the weakness of *yone*'s structural integrity instead of its oneness. First, Example 6a, which Shimoyama judges as questionable, becomes acceptable, depending on such factors as intonation, tone and gesture. For example, if *ne* is pronounced with a rising intonation, the utterance expresses the speaker's strong appeal to the addressee. As a result, the accessibility of this sentence increases. Therefore, Examples 5a and 6a substantiate that *yone* at the end of a sentence is separable. A further phenomenon that reveals the structural weakness of *yone* is that *yone* cannot appear as an interjection or insertion particle. This phenomenon can be explained by examining the structure of a *yone*-attached utterance. I propose that its internal structure is {[(proposition)*yo*] *ne*}. In this model *yo* and *ne* are separate particles located at different levels within an utterance.[10] This structure indicates that the connection between *yo* and its preceding proposition is stronger than that of *yo* with its following *ne*. The connection *yo* has with

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[9]Translations and glosses are mine.

[10]Previous studies (e.g., Suzuki, 1976; Shibatani, 1990; Masuoka, 1991; Iwasaki, 1993; Maynard, 1993) state that a Japanese sentence has hierarchical structure in which proposition and modal elements are located at different dimensions, with the latter enveloping the former.

the proposition is so strong that if the proposition is removed, it is impossible for *yo* to remain and cooccur with *ne* to form an independent *yone*; namely, an interjection *yone*. The reverse is not the case; the deletion of *yo* does not cause the deletion of the proposition. Therefore, realization of the form {proposition *ne*} is possible. This explains why *yone* is neither used interjectively (or independently) nor insertionally (or word/phrase-finally).[11] The only possible forms which are closest to the interjection particle are *da yone* (plain form copula+*yone*) and *desu yone* (polite form copula+*yone*).[12] This example shows that *yone* requires a proposition or at least its fragment (i.e., a copula) as the condition of its occurrence. The structural looseness of *yone* demonstrated above indicates that this form has not obtained the status of an independent particle.

This section examined the internal structure of *yone* and showed that this form is not an established interactional particle but a combined form of *yo* and *ne*. The next section reviews three main works on *yo, ne* and *yone*.

## 2.3. Pragmatic Analyses of *Yo, Ne* and *Yone*

This section reviews analyses of *yo* and *ne* by three researchers. Section 2.3.1 introduces

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[11]A word and a phrase are considered to be fragments of a proposition rather than one proposition (e.g., Tannen, 1982; Maynard, 1989; Cook, 1992). For further discussion on "fragmentation" of spoken language, see Maynard (1989).

[12]*Da/Desu yone(e)* can occur as an utterance expressing agreement as in the following fabricated example:

A: *Hukeeki   de   mattaku taihen  da  yo.*
    recession P   sheerly  tough  BE IP
    "Because of the recession, (our situation) is really tough."

B: *Da    yonee.*
    BE   IP
    "It is, really."

In fact, two Japanese participants in the present research pointed out this usage of *yone* in response to the question concerning the use of *yo, ne* and *yone* (Question 4, See Appendix E).

Kamio (1979, 1989, 1990) and his "Theory of Speaker's Territory of Information," in which he proposes that Japanese sentence-final forms are determined by the relationship between information and the speaker's/addressee's territories. Kamio took the factor of addressee's presence into consideration in his analysis of *ne*.

Section 2.3.2 reviews Maynard's (1993) concept of "Relative Information Accessibility and/or Possessorship." The introduction of the notions of "relativity" and "interaction" contrasted with "information" is the significant contribution Maynard (1993) brought to studies of *yo* and *ne*.

Section 2.3.3 discusses Cook's (1988, 1989, 1992) analysis on *yo* and *ne*, based on the model of "Direct and Indirect Indexicality." She characterizes *yo* and *ne* as "index," or a sign that indicates aspects of context, and she attempts to discover the fundamental meaning and related functions of *yo* and *ne*.

## 2.3.1 Kamio's "Theory of Speaker's Territory of Information"[13]

Kamio's (1979, 1989, 1990) "Theory of Speaker's Territory of Information" is an attempt to explain how Japanese sentential forms are realized differently, depending on whether a given piece of information is located inside or outside of the speaker's and addressee's territories.[14] Figure 1 represents the relationships between the territories of information and the Japanese sentential forms:

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[13]Kamio's more recent works (e.g., 1994, 1995, 1998) were not included in the current discussion for the reasons: (1) his basic idea has not drastically changed in his recent works; and (2) Maynard (1993) and C 1989, 1992), which will be discussed in the following sections, were in part developed by an exam Kamio's earlier works.

[14]I use Maynard's (1993) translations for the citations of Kamio (1990) unless otherwise noted.

**Figure 1    The Relationships between the Territories of Information and Sentential Forms[15]**

| Hearer's territory  \  Speaker's territory | Inside | Outside |
|---|---|---|
| Outside | A<br>Direct form | D<br>Indirect form |
| Inside | B<br>Direct form + *ne* | C<br>Indirect form + *ne* |

(Kamio 1990: 32)

Kamio (1989, 1990) explains that the use of *ne* is obligatory in Situation B (the speaker assumes that both the speaker and the hearer share given information within their territories) as well as in Situation C (the hearer possesses information in his or her territory but the speaker does not. He states, "when the speaker assumes that the speaker and the listener possess the identical information as Already Learned Information (ALI), the speaker's utterance must be accompanied

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[15]According to Kamio (1979, 1989, 1990), information which belongs to the speaker's territory is that which is assumed to be closer to the speaker. He provides the conditions that determine *kinjoohoo* ("close information") as follows (The conditions of close information to the addressee are the same):

a. Information that the speaker himself or herself gained from his or her own experiences.
b. Information that shows the speaker's private facts such as his or her history and possessions.
c. Information about the speaker's schedules or plans already fixed.
d. Information that shows important private facts about the people intimate with the speaker.
e. Information that shows the already fixed schedules or plans about the people intimate with the speaker.
f. Information which is essential to the speaker's occupation or specialty.
g. Information about the place with which the speaker has *fukai kakawari* 'deep involvement.'
h. Other information that is deeply involved with the speaker.        (Kamio 1990: 33; Translation is mine.)

Also, Kamio (1989) defines "direct forms" as plain subject-predicate forms with or without stylistic auxiliary verbs: *desu* and *masu* (and their past forms: *deshita* and *mashita*). On the other hand, "indirect forms" are those forms which accompany such modal elements as *rashii*, *sooda*, *te* and *mitai*, either followed or not followed by the above stylistic auxiliary verbs.

by *ne*" (Kamio 1990: 77).[16] Examples 7 and 8 illustrates this point:[17]

(7) (Situation B)

| *Ii* | *tenki* | *desu* | { a. *nee* } |
|------|---------|--------|--------------|
| Good | weather | BE | IP |
| | | | b.* ø |

"Good weather, isn't it?"

(Kamio 1990: 26)

(8) (Situation C)

| *Kimi wa* | *taikutsu* | *soo* | *da* | { a. *ne* } |
|-----------|-----------|-------|------|-------------|
| You TOP | bored | seem | BE | IP |
| | | | | b.*ø |

"You look bored. (Are you?)"

(Kamio 1990: 28)

However, *ne* can also appear in the situations of A and D as in Examples 9 and 10:

(9) (Situation A[18])

| *Kyooto* | *no* | *jinkoo* | *wa* | *hyakugojuuman* | *nin* | *gurai* | *desu* | *yo* | a. ø |
|----------|------|----------|------|-----------------|-------|---------|--------|------|------|
| Kyoto | LK | population | TOP | 1.5 million | people | approximately | BE | IP | b.*ne* IP |

"The population of Kyoto is approximately 1.5 million."

(Kamio 1990: 22)

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[16]In this thesis, I use the term "addressee" to mean "hearer" (Kamio 1979) and "listener" (Maynard 1993).

[17]Translations and glosses are mine.

[18]For example, the speaker may be a resident of Kyoto or a specialist on population issues.

(10) (Situation D[19])

*Ashita*    *mo*   *atsui* *rashii* *yo*  $\left\{\begin{array}{l} \text{a. } \emptyset \\ \text{b.}\underline{\underline{\textit{ne}}} \\ \quad\text{IP} \end{array}\right\}$.

Tomorrow  too  hot  I hear  IP

"I heard tomorrow would be hot, too." (Kamio 1990: 30)

Kamio (1990) sets the condition for the optional use of *ne*, which is, "when the speaker especially wants to express a co-responding attitude (*kyoo-ooteki taido*) by one's own expression, the speaker's utterance can be accompanied by *ne*" (p.77). The "co-responding attitude" refers to "the attitude the speaker actively encourages the listener to have identical cognitive state towards the relevant information" (Ibid.).

However, in some cases the use of optional *ne* is restricted, as in Example 11:

(11) (Situation A)

*Watashi, atama ga*    *itai*    $\left\{\begin{array}{l} \text{a. } \emptyset \\ \text{b.}*\underline{\underline{\textit{ne}}} \\ \quad\text{IP} \end{array}\right\}$.

I      head  SUB  aching

"I have a headache." (Kamio 1990: 22)

For this reason, Kamio presents a rule on the use of *ne,* that "when the information provided by the speaker is more deeply involved (*fukai kakawari o motsu*) with the speaker than it is with the listener, *ne* can not be used" (Kamio 1990).[20] According to Kamio, the optional *ne* cannot be used in Example 11 because the information that the speaker feels a headache in Example 11 is

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[19]As Collier-Sanuki (personal communication) suggests, we may identify Situation D as Situation A, assuming that once the speaker learns a given piece of information (second-hand information), it enters the speaker's territory. Thus, it seems that the distinction between direct and indirect forms, which differentiates Situation A from Situation D, is not the factor that determines the choice of *ne*.

[20]Kamio (1990) does not provide an explicit definition of *fukai kakawari* ('deep involvement') other than stating that this notion is distinct from the conditions that determine the sentential forms and that it is a more specific, restricted and fluid notion influenced by contexts.

exclusively accessible to the speaker and thus more deeply involved with the speaker than with the listener.

In conclusion, Kamio (1990) states that *"ne* is a marker [with] which the speaker conveys *kyoo-ooteki taido* ('co-responding attitude') with the listener. Kamio (1989) also describes *ne* by incorporating Schourup's (1983) concept of "the private world" and "the other world." Kamio (1989) states that *ne* is an obligatory marker which indicates that the information in the (speaker's) private world is identical with that in the (hearer's) other world. As for the particle *yo*, Kamio categorizes it as a direct form since *yo* can accompany either the direct or indirect form, and thus does not directly influence the territory of information.[21]

Reviewing Kamio's conditions for the use of *ne*, we find that the use of *ne* cannot be explained by the location of the information alone. For example, the co-responding attitude, which determines the optional use of *ne,* is a separate concept from that of "information territory," and this concept involves more the speaker's consideration of the addressee's existence. Also, Kamio (1990) admits that the concept of *fukai kakawari* ('deep involvement'), which constrains the use of *ne*, is distinct from the speaker's territory of information and is the more specified and restricted concept. In other words, the proposed rules for the use of *ne* rely on additional concepts of the information territory. Other studies (e.g., Masuoka, 1991; Kinsui, 1991; Okamoto, 1993; Kitano, 1993) also note this limitation.[22] Those studies all suggest once again, the need to examine the factor of the speaker's consideration of his or her relationship with the addressee and the information.

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[21]However, as we observed, *ne* can also appear with either direct form or indirect form. Section 2.3.2 will discuse this point.

[22]Okamoto (1993) proposes that "involvement" should be included in the conditions for the choice of *ne*. Masuoka (1991) states that when the speaker's consideration of the addressee's knowledge is involved, the use of *ne* is obligatory. Kitano (1993) and Kinsui (1991) argue that whether the speaker and the addressee share information as ALI determines the use of *ne*.

The discussion above shows a limitation of the cognitive approach in the analysis of *yo* and *ne* and suggests the interactional and dialogic nature of these particles.

## 2.3.2 Maynard's Concept of "Relative Information Accessibility and/or Possessorship"

Maynard (1993) points out a limitation in Kamio's (1979, 1990) Theory of Speaker's Territory of Information: that it does not explain the distribution of *ne* and *yo*. The particle *yo*, which Kamio identifies as a direct form, can also cooccur with indirect forms, as in Example 10. As a result, there arises a situation in which the speaker chooses between *yo* and *ne*. Maynard (1993) presents an example:

(12) A: *Tanaka-san    no    ojoosan    wa    ʾiyoiyo    sotsugyoo    da    soo    desu    ne.*
        Tanaka          LK    daughter    TOP    soon        graduation    BE    I hear    BE    IP
        "I hear that Tanaka's daughter is graduating soon."

B: *Ee,    soo    da    soo    desu*    $\begin{cases} \text{a. } \dfrac{ne}{\text{IP}} \\ \text{b. } \dfrac{yo}{\text{IP}} \end{cases}$ .
    yes    so    BE    I hear    BE

"Yes, I heard that is so."                                                    (Maynard 1993: 200)

Maynard discusses "the condition for choosing either *yo* or *ne* when both are optional" (p.201) and then claims that "it is not so much whether the bit of information belongs to one of the four possible territories of information"(p.201). Instead, she suggests the need for "relativity" in explaining the choice between *yo* and *ne* and proposes the concept of "Relative Information Accessibility and/or Possessorship."[23] She states that the choice is based on the relative degree of accessibility and/or possessorship the speaker estimates for a given piece of information. Under this notion, five possible situations arise, as follows:

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[23]Kamio (1994) acknowledges the need for relativity in his theory, stating that "the closeness of information is relative and gradable" and the speaker's/hearer's territory "must be considered a relative, gradable category" (p.81).

**Figure 2  Choice of *Yo* and *Ne* based on Relative Information Accessibility and/or Possessorship**

| Situation label: | Relative Information Accessibility and/or Possessorship | | Speaker's choice of articles |
| --- | --- | --- | --- |
| | Speaker | Addressee | |
| Sp-E | Exclusive | None | X *yo* |
| Ad-E | None | Exclusive | X *ne* |
| Sp-M | Partial-More | No/Partial-Less | X *yo*, (X *ne*) |
| Ad-M | No/Partial-Less | Partial-More | X *ne* |
| Sp/Ad-Same | Same | Same | X *ne* |

(Maynard 1993:194)

Maynard (1993) explains that [Sp-E] is a situation in which information on which the proposition [X] is based can be exclusively accessible to and/or possessed by the speaker. Similarly, in [Ad-E] the information is exclusively accessible to and/or possessed by the addressee. [Sp-M] indicates that given information is more accessible to and/or possessed by the speaker, and [Ad-M] is in the reverse. In the [Sp/Ad-Same] the speaker assumes that the addressee shares the same quality and quantity of relevant information.

According to Maynard, [Sp-E] can take *yo* but not *ne*. In contrast, [Ad-E] can take *ne* but not *yo*. In [Sp-M] and [Ad-M], the most likely choice is *yo* and *ne* respectively unless some other factors exist. In [Sp/Ad-Same] situation, the speaker is most likely to take *ne*, instead of *yo*. Under this framework, the previous question concerning the choice between *yo* and *ne* in Example 12 is solved by "the relative proximity the speaker feels he or she has within the identical territory" (Maynard 1993: 201). In other words, when B thinks he or she has relatively more access to and a firmer possession of the information than A has, he or she chooses *yo*. On the other hand, if B feels that A has either the same or more access to and the same or firmer possession of the identical information, *ne* is chosen.

A notable point is that the speaker assesses this relative proximity by considering again the relationship he or she has with the addressee and the information. For example, *ne* can be used instead of *yo* in the [Sp-M] situation. Maynard (1993) seeks the reason for this deviated usage in the "politeness strategy": the speaker may choose *ne* in place of *yo* since the display of [Sp-M] information toward one's social superior often results in a Face-Threatening Act (FTA).[24] Therefore, I assume that either "having or owning information in one's own territory" or "accessing and/or possessing information" is a social activity in which the speaker estimates his or her right to claim given information. Kamio (1990) states that the speaker's territory of information concerns *joohoo no shoyuuken* ('the ownership of information'). Kamio's adopting the term "territory" for linguistic analysis seems appropriate, considering that "territory" from its general definition is won by the social activity of claiming and negotiating one's rights. Maynard (1993) also states that her concept is "directly linked to the relative right to interactional and social power" (p.196).

The other new perspective Maynard (1993) introduced into the studies of *yo* and *ne* is, as she points out, the complementary functions of *yo* and *ne*, with *yo* as the object-information-oriented particle and *ne* as the person-interaction-oriented particle.[25] Maynard (1993) provides a figure that represents the relationships of *yo* and *ne* with information and interaction:

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[24]Brown & Levinson (1978) explains that FTAs are those acts which intrinsically threaten "face," or the public self-image that everyone wants to claim for himself/herself.

[25]Cheng (1987) also notes the contrasting functions of *yo* and *ne*. He states that both particles serve to fill in the recognition gap between the speaker and the addressee, with *yo* raising the addressee's recognition level and *ne* increasing the speaker's recognition level.

## Figure 3   Functions of Particles *Yo* and *Ne* in relation to Information and Interaction

| Particles: | Aspects of Communication: | |
| --- | --- | --- |
| | Information | Interaction |
| *Yo* | Focused | Defocused |
| *Ne* | Defocused | Focus |
| *Yo ne* | Somewhat Focused | Focused |
| Not *Yo/Ne* | --- | --- |

(Maynard 1993: 214)

Maynard explains that, when the speaker uses *yo*, information conveyance is foregrounded and interaction with the addressee is backgrounded.[26] In contrast, *ne* is used to foreground interaction and background information. Maynard (1993) claims that the non-existence of *\*neyo* proves her argument. She states that "Japanese sentence-final elements are ordered so that the closer to the end of the phrase, the more emotional and personal the message conveyed. Conversely, the farther away from the end of the phrase, the less emotional and more objective or logically-controlled is the information expressed" (p.197-8). In other words, the further left in an utterance, the more subjectivity is expressed, and the further to the right, the more interactionality (i.e., consideration of the addressee and the interaction process) is revealed. Then she explains that *\*neyo* is ungrammatical because *ne* is more interaction-oriented than *yo* is and should be located to the right of *ne*.

This analysis of *yo* and *ne* in terms of information and interaction provides another

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26According to Maynard (1993), "foregrounding" in a broad sense includes a deviation in linguistic form and a semantic prominence (or focusing) in general. Therefore, the former is exemplified by a distinctive rhythm and word order in poems, and special spellings in brand names. On the other hand, the latter definition of "foreground" is represented by Hopper (1979) as "the language of the actual story line" or "the parts of narrative which relate events belonging to the skeletal structure of the discourse" in contrast with "the language of supportive material which does not itself narrate the main event" i.e., "background" (p.213). I follow Hopper's (1979) definition of "foreground" and "background" in this thesis.

explanation for the choice of particles in Example 12. When B chooses *ne*, he or she expresses his or her attitude toward the on-going communication with A; namely, the intention to actively participate in the interaction. If B chooses *yo* instead, he or she is focusing more on the conveyance of information, producing an assertive impression. Maynard (1993) explains that the speaker can attain successful communication by manipulating *yo* and *ne*, as these particles elicit desirable listener responses, designing speaker turns and expressing personal emotion. In this sense, *yo* and *ne* are effective conversation management devices, which "make conversation go ahead . . . toward a speaker's goals, safely -- through considering the constraint from behind, and flexibly, -- by looking at a hearer's reactions" (Oishi 1985: 195).

The discussion above has revealed that the speaker's decision concerning the use of *yo* and *ne* lies not in the relationships of these particles with the information itself but rather in the speaker's attitude toward the interaction process. However, the discussions are not exhausted. It should be noted that most previous studies, including the two discussed above, focus on sentence-final *yo* and *ne*, paying less attention to the use of *yo* and *ne* as interjection and insertion particles. In addition, the analysis of *yone* is far from adequate in these studies. The next section introduces a study which attempts to discover the fundamental function of *yo* and *ne*.

### 2.3.3 Cook's "Theory of Direct and Indirect Indexicality"

This section examines another series of studies by Cook (1988, 1989, 1992) on *yo* and *ne*. To find the fundamental function of these particles, Cook (1992) approaches her analysis of *ne* by applying the theory of direct and indirect indexicality developed by such scholars as Jakobson (1960), Laver (1968), Lyons (1977), Ochs (1988, 1989) and Silverstein (1976). An overview of Cook's theory of indexicality is in order. She uses Peirce's (1931-1958) categorization of "signs." According to Cook (1992), Peirce's classification of signs consists of three groups: "symbols" (i.e., arbitrary signs such as content words, e.g., "tree"), "icons" (i.e., non-arbitrary signs such as

onomatopoeic words), and "indexes," which can directly as well as indirectly indicate aspects of context.

Indexes are further categorized into two types: referential indexes, which explicitly assert or predicate referential meaning by the force of contextual factors (e.g., the personal pronouns "I" and "you"), and non-referential indexes, which evoke or imply contextual meanings and can thus be superimposed on referential expressions. A common characteristic of these two types of indexes is their dependency on "context" for interpretation. Non-referential indexes are further divided into two meanings: "direct indexical meanings" and "indirect indexical meanings." "Direct indexical meanings" are conventionally evoked by a linguistic feature, and express affective and etimological dispositions.[27] "Direct indexical meaning" further constitutes "indirect indexical meanings" with the assistance of the social context that surrounds the direct meaning. Figure 4 below represents the relationships between signs and the further classification of indexes.

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27"Affect" is "a speaker's emotional orientation and feelings about the ongoing interaction, including the speaker's attitude towards the propositional content of any particular utterance, as well as the speaker's overall feelings about the topic, interlocutors, context and other variables, involved in the interaction" (Ohta 1993: 3-4). On the other hand, "epistemological disposition" refers to "the speaker's evaluation of the truth-value of any particular utterance" (Ibid.).

**Figure 4   A Summary of Relationships between Signs and Indexes
based on Cook (1988, 1992)**



```
                              Signs
              ┌─────────────────┼─────────────────────┐
          Symbols              Icons                 Indexes
       arbitrary signs     non-arbitrary signs   signs that evoke the existence of something
(e.g., content words such as "tree")  (e.g., onomatopoeia)
                                         ┌──────────────┴──────────────┐
                              Referential indexes          Non-referential indexes
                         Indexes explicitly assert/predicate   Indexes which evoke/imply
                         referential meanings through the      contextual meanings
                         force of contextual factors.          (e.g., prosodic features,
                            (e.g., pronouns such as "I","you")  honorific morphemes,
                                                               Japanese interactional particles)

                    [Social contexts]  +   Direct indexical meanings
                                                 dispositions
                                              (affect, epistemology)

                              Indirect indexical meanings
                                     Social meanings
                    (e.g., speech acts, social identity, social relationship)
```

Under this framework, Cook proposes that *ne* is a non-referential index which "directly indexes affective common ground between the speaker and the addressee" (Cook 1992: 510). Also, "*ne* indirectly indexes social acts such as requesting confirmation, getting attention, introducing a new topic, keeping the floor, socializing children, mitigating a face-threatening act, and marking intimacy" (Ibid.). Figure 5 indicates the direct and indirect meanings of *ne*:

**Figure 5   Direct and Indirect Indexical Meanings of *Ne***
**based on Cook (1988, 1992)**

| Linguistic resource | Direct meaning | Indirect meanings |
|---|---|---|
| *Ne* | Affective common ground | Speech acts of: |
| | (Interlocutors' general attitude of mutual agreement) | Requesting confirmation<br>Getting attention<br>Introducing a new topic in conversation<br>Keeping the floor<br>Socializing children<br>Mitigating face-threatening acts<br>Marking intimacy |

Cook (1992) provides three grounds for demonstrating that the direct indexical meaning of *ne* expresses an affective common ground between the interlocutors: (1) the non-referential nature of this particle, (2) the nature of language as a means of expressing affects and (3) the affective-oriented Japanese communicative style. First, Cook (1992) points out the fact that *ne* can occur without a referential proposition as an interjection or insertion particle. Then, she states that "*ne* does not always solicit the addressee's agreement on a piece of information," and that "*ne* is not in essence a marker of information"(p.513). To make this point, she presents two cases which violate the rules proposed in the proceeding discussions, the constraint of *ne* and the obligatory use of *ne*. Although Kamio (1990) and Maynard (1993) explained that *ne* is avoided when the information is exclusively accessible to the speaker, Example 13 from Cook (1992) below violates this constraint:

(13) [In this example, the speaker tells a story about his trip to someone who did not take that trip with him.]

    *Boku wa sono inu o ne.*
    I    TOP that  dog  DO  IP
    "I, that dog"

*Eeto nan    dakke* ?
FI    what    BE
"Well, what (am I) talking about?"

*Omae shigoto suru ka tte    kik-arete    ne.*
you    work    do    Q QT    ask-PASS    IP
"(I) was asked if I would work and"

*Nan    no    shigoto ka    wakan-nai    to    omotte ne*
what    LK    work    Q    know-NEG    QT    think    IP
"(I) thought (I) would not know what work it would be and"

*So- soto    it-tara    ne*
out-outside    went-when    IP
"When (I) went out- outside"

*Sono inu    no    sooji    ya    ara-*
that    dog    LK    cleaning    and wash-
"Cleaning of that dog and wash-"                                (Cook 1992: 514)

In this example, the speaker uses *ne* recurrently in presenting information which is unknown to the addressee in order to keep the floor. Example 14, on the other hand, does not observe Kamio's rule for the obligatory use of *ne* despite fulfilling the condition that the speaker and the addressee possess the identical information as ALI:

(14) [This example is a segment of the speech given in a session of the Diet. In this context, the fact that the speaker (a Diet member) has been released from hospital and has recovered is observed by the audience (the other Diet members).]

*Kyoo kono yoo    ni    genki ni    natte    tan-in    o    shite mairimashita.*
today this way    P    well    P    become    leave hospital    DO    came (humble form)
"(I) have gotten well and got out of the hospital today."
                                                              (Cook 1992: 517)

The examples above indicate that *ne* does not always show or solicit agreement concerning a piece of information or a particular proposition. In other words, *ne* functions at the non-referential level, as well as at the referential level, where propositions are dealt with.

Cook (1992) seeks the second reason for defining the direct indexical meaning of *ne* as affective common ground in the nature of language itself. She characterizes language as "a means

of expressing affect" (p.518), not only as a means of conveying information. The following

fabricated example demonstrates this point:

(15) A: *Kyoo wa    ii    tenki    desu ne.*
today TOP   good weather  BE   IP
"Good weather today, isn't it?"

B: *Soo desu ne.  Honto ii    tenki    desu    ne.*
so  BE  IP   really good  weather  BE   IP
"It is. It's really good weather."

This example is often cited in studies of *ne*. Kitano (1993) questions the meaning of this type of

utterance, asking "Why do people utter information which the addressee already knew?" (p.86). It

is unlikely that the speaker's purpose for producing this utterance lies in the transmission of

information. Cook (1992) regards the function of this type of utterance as "to establish what

Malinowski (1923) calls 'phatic communion,' social rapport (i.e., common feelings) among the

interlocutors" (Cook 1992: 517-8). Notice that B's utterance in Example 15 cannot function as an

*aizuchi* expression without *ne*. This example shows that language is a medium for expressing

affects and that *ne* becomes a vital device to indicate these affects.

Finally, Cook (1992) discusses the Japanese communicative style as another basis for her

considering *ne* as a marker of affective common ground.[28] She states that "Japanese prefer an

affective-oriented communication style" (p.520), which includes the expression of *omoiyari*

('empathy') and *enryo* ('reservedness'). This point relates to the conclusion of the last two

sections: the use of *yo, ne* and *yone* is motivated by the speaker's consideration of interactional

factors.

As for the particle *yo*, Cook (1988) assigns the direct indexical meaning of "pointing to the

speaker's utterance" to this particle. She explains that "[the function of *yo*] is comparable to the

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[28]Discussions on Japanese communicative styles are found in studies such as Barnlund (1975), Hinds (1978), Goodwin (1986), Maynard (1989) and Sawyer (1991).

gesture of pointing. If we want the addressee to notice some entity in the speech context, we typically point to that entity. In a similar manner, in order to draw attention to his or her own utterance, the speaker uses *yo*" (p.126). Next, she lists many functions such as the indirect indexical meanings of *yo*, which include expressions of the speaker's assertive attitude, a variety of speech acts (e.g., warning, announcements and report) and social relationships (i.e., the speaker is in the higher status and/or the knowing party). Figure 6 demonstrates the indexical relationships of *yo* as summarized by Cook (1988):

**Figure 6   Direct and Indirect Indexical Meanings of *Yo***

| Linguistic Resource | Direct Meaning | Indirect Meaning |
|---|---|---|
| *Yo* | Pointing to speaker's utterance | • Assertive Attitude |
| | | • Speech Acts<br>warning<br>advice<br>instructions<br>announcements<br>explanations<br>report<br>request/command<br>insistence<br>contradiction |
| | | • Social Relations<br>higher status<br>knowing party |

<div align="right">(Cook 1988: 129)</div>

## 2.4 "Pointing" as the Fundamental Function of *Yo* and *Ne*

I first discuss in Section 2.4.1 the problems of Maynard's (1993) analysis of *yo* and *ne* based on the complementary notions of "information" and "interactions." Then, based on Cook's (1988, 1992) analysis that the direct meaning of *yo* is pointing to the speaker's utterance and that of *ne* is the affective common ground between the speaker and addressee, I propose in Section

2.4.2 that "pointing" is the fundamental function of both *yo* and *ne*. Section 2.4.3 further

considers the relationships of *yo*, *ne* and *yone* with the interaction process and speech acts.

Finally, Section 2.4.4 discusses the constraints on the use of *yo*, *ne* and *yone*.

### 2.4.1 Problems of Contrasting of "Information" and "Interaction"

We have seen in Section 2.3.2 in Maynard's (1993) proposal that *yo* and *ne* serve the

complementary functions of information-foregrounding and interaction-foregrounding,

respectively (See Figure 3 in Section 2.3.2). Her concept of "Relative Information Accessibility

and/or Possessorship" explains that when the speaker foregrounds information with the use of *yo*,

interaction is backgrounded, and that when *ne* is used, interaction is foregrounded and information

is backgrounded. However, observe the next fabricated example:

(16) *Boku wa    iya da  ne.*
    I      TOP  no  BE  IP
    "For me, no way!"

This use of *ne* produces a blunt and inconsiderate impression to the listener, in spite of the

proposed interaction-oriented nature of this particle. This use of *ne* apparently produces an

opposite effect. The resulting sentence sounds as if the speaker refuses to have any interaction with

the addressee. In contrast, *yo* used in the following fabricated example produces the impression of

closeness and the speaker's strong appeal to the addressee:

(17) A: *Watashi tte    yappari  dame    da wa.*
      I      TOP  after all  no-good  BE  P
      "After all, I'm dumb."

    B: *Sonna koto  nai    yo.*
      such  thing  NEG  IP
      "Such is not the case."

We can observe that, in Example 17, B is actively participating in the interaction with his or her

addressee by encouraging him or her. Maynard's (1993) analysis is correct in contending that *yo* is information-oriented since *yo* in this example produces the impression that B is putting forth his or her opinion. However, her argument that the use of *yo* defocuses interaction is not accurate since, as we observed, B directs his or her "appeal" to the addressee, which is the act of interacting. For this reason, the characterization of *yo* as the particle that foregrounds information and simultaneously defocuses interactions needs modification. Based on Cook's (1988, 1992) analysis, I instead propose that the fundamental function of *yo* is that of pointing to the speaker's utterance in order to reinforce the involved speech act. Thus, in Example 17, B reinforces the speech act of "encouraging" by pointing and drawing the addressee's attention to his or her proposition with the use of *yo*. I further assume that this action of pointing to the speaker's utterance is motivated by the disparity of recognition between the speaker and addressee.[29] In other words, the speaker has to point to his or her utterance because he or she feels some disparity in understanding and the need to direct the addressee's attention to his or her own understanding. It should be noted that such speech acts motivated by recognition disparity, are not always negative or potentially offensive ones such as opposing, complaining, refusing and refuting. Speech acts such as complimenting and encouraging, as seen in Example 17, are also based on the assumption that there exists a disparity of understanding or perception between the speaker and the addressee.

To make an oversimplified distinction between these negative and positive speech acts, the former may be called face-threatening acts (FTAs) and the latter Positive Politeness Strategies (PPSs). This distinction is useful for the current analysis of *yo*. When *yo* is connected with a FTA speech act, this particle reinforces the effects of that speech act, increasing the possibility of damaging the addressee's "face." In contrast, when *yo* is used with positive politeness strategies, such speech acts are similarly reinforced, producing accommodating and thus positive attitudes

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[29]Masuoka (1991) and Ohso (1986) point out the characteristic of *yo* to indicate recognition disparity of interlocutors.

toward the addressee. In an extended sense, presenting new information is also a FTA. This suggests that the number of possible FTAs is supposed to be larger than that of the positive politeness strategies. It is therefore reasonable that the use of *yo* is often constrained in many contexts. The point is that Maynard's (1993) analysis that *yo* defocuses interaction only captures the phenomena concerning FTAs (i.e., to use *yo* when conducting a FTA increases the possibility of threatening the addressee's face, and this indicates that the speaker does not pay much attention to interaction), but it does not explain the function of *yo* when used in PPSs.

This section discussed the problem of characterizing *ne* as interaction-focusing and *yo* as interaction-defocusing, demonstrating that *yo* also serves to promote interaction. The next section, based on Cook's (1988, 1992) analyses of *yo* and *ne*, proposes the fundamental function of *yo* and *ne*.

## 2.4.2 The Fundamental Function of *Yo* and *Ne* as "Pointing" and Their Contribution to "Personalization of Discourse"

Sections 2.3.1 and 2.3.2 examined Kamio (1979, 1989, 1990) and Maynard (1993) respectively, and discussed the assumption that the speaker's attention to the interaction process was the factor determining the choice of *ne*. Cook (1988, 1992) also assigns "affect," or the speaker's emotions/feelings toward the on-going interaction, as the meaning of *ne* but not of *yo*. However, the previous section revealed that this is also the factor that defines the use of *yo*. In other words, an attention to "interaction" does not explain the distributional characteristics of *yo* and *ne*, since both *yo* and *ne* can serve to promote interaction. Therefore, based on Cook (1988, 1992), I propose that the fundamental function of *yo* and *ne* is as follows:

(19) Both *yo* and *ne* are interactional particles whose fundamental function is "pointing" or "directing the addressee's attention in a certain direction."

(20) *Ne* points to the common ground of the speaker and addressee.

(21) *Yo* points to the speaker's private world.

Although the above definitions are almost identical to those proposed by Cook (1988, 1992), they differ in that the word "affect" is not used in my definition and that *ne* is also assigned the function of pointing. I propose that the fundamental function of both *yo* and *ne* is "pointing," yet they differ in what they point to: *Yo* points to the speaker's private world, and *ne* points to the common ground the speaker and the addressee share. I also adopt Schourup's (1983) term "private world" to refer to the cognitive state where we process information or proposition (either referential or non-referential). While Schourup (1983) calls the speaker's cognitive state "the private world" and the addressee's cognitive state "the other world," I use the terms "the speaker's private world" and "the addressee's private world," to mean that each of the interlocutors has a "private world." I also employ Cook's (1992) term "the common ground" to refer to the overlapping area of the speaker's private world and the addressee's private world.

Some discussion on the structure of a Japanese sentence seems necessary for a more detailed analysis of *yo* and *ne*. It is known that a Japanese sentence has a hierarchical structure in which propositions and modal elements are located at different dimensions, with the latter enveloping the former (e.g., Suzuki, 1976; Shibatani, 1990; Masuoka, 1991; Iwasaki, 1993; Maynard, 1993). Masuoka (1991), one of such studies, proposes the Japanese sentence structure from the perspective of modality, which is presented below:

**Figure 7 Hierarchical Structure of the Japanese Sentence**

```
                          Sentence
                        /  /  /  |  \  \  \
                   Proposition   1  2  3  4  5  6
                                a  b    a  b    a  b
```
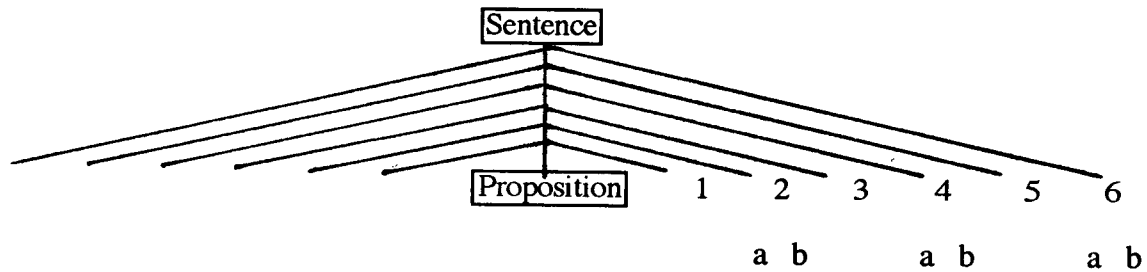
1 Modality of *toritate* (Topicalization)

2 a Modality of *Mitomekata* (Affirmation/Negation)
  b Modality of *Tensu* (Tense)

3 Modality of *Setsumei* (Explanation)

4 a Modality of *Kachihandan* (Value Judgement)
  b Modality of *Shinihandan* (Truth Judgement)

5 Modality of *Hyoogenruigata* (Types of Expressions)

6 a Modality of *Teeneesa* (Politeness)
  b Modality of *Dentatsutaido* (Communication Attitude)     (Masuoka 1991: 44)

Masuoka's (1991) model shows that a Japanese sentence consists of a core proposition with other modal elements that envelop the proposition from both sides. Under this model, Masuoka (1991) treats *yo* and *ne* as the forms that belong to 6b, the Modality of Communication Attitude, which are located at the sentence-final position in his model. Notice that politeness is dealt with at the nearest but still separate level from the one which contains *yo* and *ne* in this model. This suggests that, while the concept of politeness is closely linked to *yo* and *ne*, these particles themselves do not denote politeness.[30] Then, what do *yo*, *ne* and *yone* represent?

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[30]Teramura (1977) proposes another model which shows the Degree of Modality of the Japanese predicate structure, which consists of (1) plain form, (2) epistemic modality and volitional form, (3) copula and imperative form, (4) polite form and (5) sentence-final particle. This model also treats the notion of politeness and interactional particles (sentence-final particles) separately.

Masuoka's (1991) model of a Japanese sentence explains that *yo* and *ne* reveal the speaker's "communication attitude," or the speaker's attitude toward the on-going communication. I believe that this process of demonstrating communication attitude is what Maynard (1993) calls "personalization of discourse," or an investment of the speaker's personal feelings/emotions into the discourse. Therefore, I assume that the speaker uses the "pointing" function of *yo* and *ne* for the personalizing of his or her discourse. How do *yo*, *ne* and *yone* personalize a discourse? I consider that the speaker uses *yo* to point to and present a certain utterance to the addressee, with the implication that the information he or she conveys is his or her personal understanding or perception. On the other hand, with the use of *ne*, the speaker points to and presents an utterance to the addressee while showing his or her presupposition that what this utterance means is already shared or should be shared with the addressee.

In discussing how *yone* personalizes discourse, I will employ the internal structure of *yone* which I proposed in Section 2.2. I assume that *yone*, as well as *ne*, points to the common ground between the speaker and the addressee. However, because the presence of *yo* points to the speaker's private world, *yone* projects more subjectivity, or *kokoro no koe* ('voices from the heart'), into the speaker's utterance than *ne* does. As a result, this revelation of subjectivity generates a nuance of "uncertainty" (*hutashikasa no hyoomei*," Izuhara 1993: 21) and also "empathy" in the speech. By indicating that the proposition to which the speaker requests agreement from the addressee is nothing more than his or her personal view and not *"kiteemeedai"* ('the established proposition,' Kunihiro 1992: 19-21), the speaker shows uncertainty concerning the information. On the other hand, showing agreement with *yone* gives the impression that the speaker is more emphatic to the addressee than when *ne* is employed, because it indicates that the agreement that the speaker shows is what he or she personally feels but is not necessarily any others.' *Yone* is thus considered to be a better device than *ne* for intensifying

interaction since an indication of uncertainty and empathy would elicit the addressee's rapport. In this sense, *yone* is more interaction-oriented than *ne*.

I will now discuss how this analysis works in relation to the previous examples. Example 17 is repeated below as Example 23:

(23) A: *Watashi te   yappari   dame      da      wa.*
       I         TOP  after all  no-good   NOM    P
       "After all, I'm dumb."

   B: *Sonna koto  nai*  ⎧ a.   *yo*      ⎫ .
         such   thing NEG ⎪       IP       ⎪
                   ⎨                  ⎬
                   ⎪ b.? *ne*          ⎪
                   ⎪ c.? *yone*        ⎪
                   ⎪ d.  *yo. Ne* ?    ⎪
                   ⎩ e.? *ø*           ⎭
    "Such is not the case."

B's primary goal in this utterance is to encourage A by denying A's negative self-evaluation and making him or her accept the speaker's view. Apparently, this speech act is motivated by the disparity of recognition. In order to diminish this disparity and achieve identical recognition states, B uses *yo* (23Ba) and draws A's attention to his or her private world in which the proposition "A is not dumb" is located. As a result, B succeeds in increasing the force of the speech act of encouragement, which is the goal of his or her utterance. In this context, the replacement of *yo* with *ne* is implausible (23Bb). The reason for this lies in the conflict extant between the index and the indexed. In other words, the speaker points to his or her private world with the index *ne*, which is supposed to point to the common ground of the speaker and addressee.

As well as *ne*, *yone* cannot be used (23Bc) unless it is pronounced with a pause between them and a rising intonation (23Bd). This is again because of the conflict between the index and the indexed since *yone* also points to the common ground. When no particle is employed, this utterance sounds blunt just as Example 18a does (23Be). This is due to the absence of discourse

personalization. In other words, while encouragement is supposed to stress the speaker's feelings and emotions, in Example 23e, the appropriate revelation of the speaker's feelings with the use of *yo* is not made by the speaker. As a result, an impression of aloofness or distance arises. The previous example of 16 is explained by the same argument: the conflict between the index and the indexed.

Example 23 demonstrated how each of *yo*, *ne* and *yone* differently personalize discourse, depending on what they point to. Moreover, it suggests that these interactional particles have significant roles in Japanese discourse: they contribute to discourse development, a social activity which affects human relationships.[31]

This section proposed that the fundamental function of *yo* and *ne* is "pointing," with *yo* pointing to the speaker's private world and *ne* pointing to the common ground of the speaker and addressee. Furthermore, it explained that *yo*, *ne* and *yone* contribute to the "personalization of discourse," or the process by which the speaker expresses his or her communication attitude. The next section considers the relationships of *yo*, *ne* and *yone* with speech acts and the interaction process.

### 2.4.3 Interaction, Speech Acts and Interactional Particles *Yo*, *Ne* and *Yone*

In analyzing the interactional particles *yo*, *ne* and *yone*, which are inherently non-referential, it seems necessary to examine the nature of language itself. I agree with Maynard's (1993) interpretation of language that "language is interaction-based, subjectivity-conscious and textually-bound" (p.21). She characterizes language as (1) social interaction, (2) subjective expression and (3) discourse or text. Her definition of language is useful for the current analysis of interactional particles in that it captures the non-referential aspects of language, or modality and

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[31]Cook (1992) states that an important goal of Japanese interaction is creating and maintaining an affective unity between the speaker and the addressee. She further suggests that the role of the interactional particles in Japanese discourse should not be overlooked both in studies of Japanese linguistics and in Japanese language teaching.

subjectivity, which traditional generative linguistics has ignored. Based on Maynard's (1993) interpretation of language, I regard "interaction" as the process in which the interlocutors attempt to establish an identical recognition state between them through various speech acts. In order to construct successful interaction or communication, the interlocutors need to integrate discourse or text, "a body of linguistic signs, normally larger than the traditional unit of sentence, that constitutes a meaningful or cohesive whole" (Maynard 1993: 17-18). I then consider that interaction consists of two stages: (1) conversation management and (2) speech act realization, which operate concurrently.[32] On one stage, the speaker engages in the construction of coherent, well-organized discourse for effective communication. On the other stage, the speaker attempts to share his or her own recognition or understanding with the addressee by performing various speech acts. It is through conversation management and speech acts that the speaker's subjectivity or attitude towards interaction and the addressee is revealed. More importantly, *yo*, *ne* and *yone* function at both stages by conducting conversation management and performing various speech acts, and by expressing the speaker's subjectivity. I propose in the next figure the relationships between interaction, speech acts and the interactional particles *yo*, *ne* and *yone*:

---

[32]Maynard (1989) states that "conversation management offers a variety of linguistic devices and social strategies to manage face-to-face interactions from one moment to another" (p.6). She explains that conversation management includes "the ability to start conversation, take turns appropriately, develop topics of conversation interactionally, perform appropriate back-channel behavior, select what is to be said and unsaid, and send appropriate paralinguistic and nonverbal signs" (Ibid.).

**Figure 8   Relationships between Interaction, Speech Acts and
Interactional Particles *Yo*, *Ne* and *Yone***

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### [Interaction]

**Goal:** The establishment of identical recognition/understanding of information by
Speaker (S) and Addressee (A)

· · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · ·

Conversation Management

**Goal:** Integration and manipulation of discourse/text for the effective communication

|  | Particle(s) to be chosen |
|---|---|
| • *Aizuchi* expressions | **NE** |
| • Floor-Keeping expressions | **NE** |

· · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · · ·

Speech Act Realization

| S's judgement of the recognition state by S and A | Information status | Examples of speech acts | |
|---|---|---|---|
| • S and A have **disparate** recognition | **New** Information | •answering<br>•reporting<br>•correcting<br>•opposing<br>•encouraging<br>•complimenting | **YO** |
| • S and A have **shared** or **should share** recognition | **Old** Information | •requesting,<br>  agreement<br>•demonstrating,<br>  agreement<br>•establishing<br>  phatic communion,<br>•providing<br>  supplemental information | **NE/YONE** |

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On one stage, the speaker tries to manage conversation by using various devices including

*aizuchi* expressions (i.e., expressions indicating that the provider of *aizuchi* is attending and

following the other party's speech), floor-keeping expressions (i.e., expressions used to draw the

addressee's attention and maintain the speaking turn).[33] *Ne* contributes to these expressions. We observed in Section 1.1 that *ne* is an essential element in the verbal *aizuchi* expression, "*soo desu ne*." Also, floor-keeping expressions are often conducted with interjection and insertion particles, and especially with *ne*, as we saw in Examples 1-4 of Section 2.1.

On the other stage, various speech acts are performed. Such speech acts which presuppose disparity of recognition include answering questions, reporting, opposing, correcting, encouraging and complimenting. Disparity of recognition suggests that the information to be conveyed by these speech acts is new to the addressee. The utterances that conduct these speech acts are apt to take *yo*. On the other hand, those speech acts which presuppose shared recognition are those which perform such functions as providing supplemental information, requesting agreement and demonstrating agreement.[34] The common feature of these speech acts is that they offer further information to the already introduced information; namely, old information. These speech acts tend to be accompanied by *ne* or *yone*.

In this section, based on Maynard's (1993) definition of language, I proposed a model of the relationships between interaction, speech acts and *yo*, *ne* and *yone*. This model explains that the interaction process consists of (1) conversation management and (2) speech act realization, and that *yo*, *ne* and *yone* contribute to both stages.

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[33]Although conversation management is conducted by various means which are either verbal or non-verbal (e.g., gestures, facial expressions), I discuss here only verbal ones which particularly involve the use of interactional particles.

[34]I assume that *ne* elicits and exhibits the addressee's agreement with either referential or non-referential propositions. Agreement with non-referential propositions concerns the interaction process itself: the speaker administers or asks for agreement with an on-going interaction form. In this case, this is conversation management. On the other hand, agreement with a referential proposition is manifested either as a speech act for requesting agreement (e.g., Example 9), demonstrating agreement (e.g., Example 12) or by through phatic communion (e.g., Example 15).

### 2.4.4 Constraints on the Uses of *Yo*, *Ne* and *Yone*

This section attempts to explain the constraints on the uses of *yo*, *ne* and *yone* under the current analysis which assigns to these particles the function of "pointing." I discussed in Section 2.4.2, employing Example 23, that the use of *yo* with speech acts of shared recognition and that of *ne/yone* with speech acts of disparate recognition, are constrained because of conflict between the index (i.e., *yo*, *ne* or *yone*) and the indexed (i.e., what *yo*, *ne* or *yone* points to). This conflict between the index and the indexed explains the unacceptable use of *ne* in Example 11, which is recalled below as Example 26:

(26) *Watashi atama ga itai*   $\left\{\begin{array}{l}\text{a. } yo \\ \quad \text{IP} \\ \text{b. } *\underline{ne}\end{array}\right\}$.

     I    head  SUB  aching

"I have a headache."                                  (Kamio 1990: 22)

In the above example, the use of *ne* is ungrammatical, while *yo* is optional. From the pragmatic perspective, I assume that the possible speech acts the speaker intends to accomplish through the utterance, 'I have a headache,' are asserting, complaining and eliciting the addressee's sympathy, which are all grounded on the disparity of understanding between the speaker and addressee. Since the speaker perceives that his or her understanding differs from that of addressee, and feels the need to have the addressee accept his or her understanding, she can use *yo* to point to his or her private world which includes that understanding. On the other hand, the use of *ne* is not allowed since it causes a conflict between *ne*, the particle of "common ground," and what it points to. In other words, the proposition 'I have a headache' is not part of the common ground to which the speaker draws the addressee's attention with the use of *ne*, and consequently, the addressee cannot relate to that proposition.

The conflict between the index and the indexed further explains a phenomenon pointed out by some studies (e.g., Uyeno, 1971; Martin, 1975; Masuoka 1991): *ne* is incompatible with

strong imperatives and prohibitions, as observed in the following examples:

(27) [Strong imperative]

> *Byooin   ni   ik-e        ne.
> hospital  P   go-CAU   IP
> "Go to the hospital!"                                              (Masuoka 1991:99)

(28) [Strong prohibition]

> *Henna   koto   iu-na       ne.
> strange  thing  say-NEG  IP
> "Don't say (such) a strange thing!"                           (Masuoka 1991:99)

As illustrated in the above examples, *ne* is incompatible with strong imperatives and prohibitions since these speech acts are grounded on the apparent disparity of recognition. In other words, strong imperatives and prohibitions are attempts to control someone who the speaker assumes possesses a totally different understanding, and thus would not behave as the speaker expects. Therefore, the unacceptability of *ne* in strong imperatives and prohibitions is explained again by the conflict between the index and the indexed.

Although *ne* cannot occur in strong imperatives and prohibitions, it can if those imperatives and prohibitions are softened by such elements as *-nasai, -te* and *-naide*, as in the following fabricated examples:[35]

(29) [Soft imperative]

> *Iki-nasai*  { a. *yo* }.
> go-CAU     {    IP    }
>                    { b. *ne* }
> "Go."

---

[35]Soga and Matsumoto (1978) refers to strong imperatives and prohibitions as in Examples 27 and 28 as "informal imperatives" and "negative commands" respectively. On the other hand, soft imperatives and prohibitions as in Examples 29 and 30 are respectively assigned the terms "polite imperatives" and "polite negative requests."

(30) [Soft prohibition]

$$\textit{Iw-anai-de} \begin{Bmatrix} a.\textit{yo} \\ IP \\ b.\textit{ne} \end{Bmatrix}.$$

say-NEG

"Don't say (that)."

I assume that softened imperatives and prohibitions are a kind of "request." As well as strong imperatives and prohibitions, "requests" attempt to let someone do a certain action. However, unlike imperatives and prohibitions, "requesting" is not the act of "forcing." I discussed in Section 2.4.2 that *ne* points to an utterance with the implication that what that utterance means is already shared or should be shared with the addressee. I assume that because of this effect *ne* harmonizes with requests: the speaker can reinforce "requesting" by adding the implication that what the speaker requests should be shared by the addressee.

Next, I discuss the constraints on *yone*. The use of *yone* is more constrained than that of *ne*. Similar to *ne*, *yone* also cannot occur in Examples 27 and 28. In addition, this form needs a predicate which contains the final form of a verb, adjective or copula, and thus does not have interjective or insertional uses. For instance, replacement of the insertion *ne* with *yone* is thus implausible, as demonstrated below:

(31) [A part of Example 13]

$$\textit{Boku wa} \quad \textit{sono inu} \quad o \begin{Bmatrix} a. & \textit{ne} \\ & IP \\ b.*\textit{yone} \end{Bmatrix}.$$

I    TOP  that  dog  DO

"I, that dog"

*Eeto nan   dakke* ?
FI   what  was
"Well, what (am I) talking about?"

$$\textit{Omae shigoto suru ka tte} \quad \textit{kik-arete} \begin{Bmatrix} a. & \textit{ne} \\ & IP \\ b.*\textit{yone} \end{Bmatrix}.$$

you   work   do   Q  QT   ask-PASS

"(I) was asked if I would work and"                     (Cook 1992: 514)

In this example, *ne* cannot be replaced by *yone* since the first line does not end with a predicate, and the third line ends with a non-final form of a verb (i.e., gerund *-te*), although it is a predicate. However, constraints on the use of *yone* are not that simple. Shimoyama (1995) further points out that *yone* cannot follow *daroo*, a modal element which represents the speaker's inference:

(32) [Inference]

> *Ashita*    *wa*    *ame ni naru*    *daroo*    { a.   *ne* }.
> tomorrow   TOP    rain   P   become   probably    {    IP   }
>                                                       { b.*yone }
>
> "I think it will be rainy tomorrow."                    (Shimoyama 1995: 58)

Based on the analyses of *daroo* by Shibata (1982), Teramura (1984), and Moriyama (1992), Shimoyama explains that *daroo* is used when the speaker makes an inference based on his or her own subjective judgement without taking the addressee's existence into account. One hypothesis is that since *yone* is more interaction-oriented than *ne*, it does not cooccur with *daroo*, a linguistic form that does not take the addressee's existence into account. Therefore, the compatibility of *yone* and *ne* with their preceding utterances seems to depend on whether or not those utterances invest the same degree of subjectivity or interactionality that either *yone* or *ne* shows.[36]

As for *yo*, "[its use] as insertion particle is stylistically severely limited. Only in the most blunt and casual male conversation between social equals can *yo* be used as an insertion particle" (Maynard 1993: 184). Human relationships might be damaged by the function of *yo* that points to the speaker's private world since drawing the addressee's attention to the speaker's utterances leads to assertion and insistence. The same is true of the interjection *yo*, as is discussed in Example

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[36]*Yo* is also unlikely to cooccur with *"deshoo"* (the polite form of *daroo*), *"(y)oo"* (the plain volitional form) and *"mashoo"* (the polite volitional form), and certain words such as *"gomen(nasai)"* ('sorry') and *"arigatoo"* ('thank you'). These expressions can be taken as either the exhibition of personal emotions/feelings or appeal to the addressee. If the latter is the case, my hypothesis does not explain the incompatibility between *yone* and these expressions, both of which are interaction-oriented. Therefore, further analysis on this point is necessary.

4. However, unlike *yone* and *ne*, there seems to be no sentential forms and modal elements which are completely incompatible with *yo*. For example, *yo* can appear in all the examples of 26-32, which take neither *ne* nor *yone*. Furthermore, *yo* can also occur in such sentences as in Example 25 which typically take *ne*. The resulting sentence, "*Kyoo wa ii tenki desu yo*" is itself grammatical, although the speech act to be achieved transforms itself into the presentation of new information. In other words, at the sentential level, *yo* can appear in any utterance, and this is one of the differences between *yo* and *ne/yone*. This is probably because the speaker's utterances is his or her possession, and thus the speaker is allowed to mark that utterance with *yo* as being his or hers.

## 2.5 Summary

In this chapter, in order to overcome the limitations of previous studies of *yo*, *ne* and *yone*, I proposed in Section 2.1 my position to inquire into the fundamental function of these particles. Then, in Section 2.2 I explained that *yone* is the combined form of *yo* and *ne* (i.e., *yo ne*) rather than one inseparable particle (i.e., *yone*). Section 2.3 reviewed specifically the studies by three researchers (Kamio 1979, 1989, 1990; Maynard 1993; Cook 1988, 1989, 1992). In Section 2.4.1, I discussed that *yo*, as well as *ne*, also foregrounds interaction. Next, based on Cook's (1988, 1992) indexical analysis of *yo* and *ne*, Section 2.4.2 proposed that the fundamental function of *yo* and *ne* is "pointing," with *yo* pointing to the speaker's private world and *ne* pointing to the common ground extant between the speaker and addressee. It also discussed that *yo*, *ne* and *yone* serve to personalize discourse by revealing the speaker's emotions/feelings and attitude toward communication. Section 2.4.3 further proposed a model of the relationships of *yo*, *ne* and *yone* with the realization of speech acts and the interaction process. In this model, I proposed that interaction consists of two stages; conversation management and speech act

realization, and that *yo*, *ne* and *yone* function at both stages. Also, this model explained that when the speaker presupposes a disparity of recognition between him or her and the addressee, *yo* is opted for. On the other hand, the speakers's presupposition of shared recognition with the addressee leads him or her to choose *ne* or *yone*. Finally, Section 2.4.4 considered the constraints on the use of *yo*, *ne* and *yone*. Then I proposed that unacceptable and questionable sentences are produced by conflicts between the index and the indexed, as in the use of *ne* and *yone* to point to the speaker's private world and the use of *yo* to point to the common ground between the speaker and addressee.

The next chapter will introduce the organization of present research into this subject and its methodology.

## Chapter Three

## Methodology

Based on a review of previous studies, I proposed in Chapter Two a model of relationships between interaction, speech acts and the interactional particles *yo, ne* and *yone* (Figure 8). This hypothesis explains that *yo, ne* and *yone* are vital devices for conversation management and various speech acts. Based on this hypothesis, I present the following research questions:

(1) In what manners and how frequently do the NJSs and JLLs use *yo, ne* and *yone*?

(2) How does the information status (i.e., whether information is new or old) of the phrase *yo, ne* or *yone* follows relate to the use of *yo, ne* and *yone* by the NJSs and JLLs?

(3) How do the NJSs and JLLs use *yo, ne* and *yone* when they conduct certain speech acts?

In order to answer these research questions, I will analyze in Chapter Four actual conversational data by both native Japanese speakers and Japanese language learners. I will further examine in Chapter Five the data of the questionnaires and the fill-in-the-blank tests so as to understand the comprehension of the use of *yo, ne* and *yone* by the NJSs and the JLLs. Following sections will describe the participants in the research, the means used for data collection, the procedure for data collection and the procedure for data analysis.

### 3.1 Participants

The data was collected at the University of British Columbia (UBC) in January and February 1998. The participants in this research consisted of two groups: Japanese Language Learners (JLLs) and Native Japanese Speakers (NJSs). All of them were voluntary participants.[1] I

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[1]Following the procedure for Ethical Reviews at UBC, I obtained permission from Japanese language instructors of the Department of Asian Studies to solicit JLL participants in their classes. Next, I visited Japanese language classrooms and asked JLL participants to volunteer for this research. Also, with permission from the coordinator at

recruited JLL participants from second- and third-year Japanese language courses offered at UBC.[2] A total of 21 JLLs participated in the research, which comprises 10 Japanese-Canadians[3], 3 Chinese-Canadians and 8 Canadians.[4] The average age of this group was 21.8 years. Four students never visited Japan and studied the Japanese language only in Canada. Appendix B summarizes details of the JLL participants.

I solicited NJS participants from students at the UBC English Language Institute (ELI). I also asked my Japanese friends to inform their friends about this research project. As a result, a total of 32 NJSs agreed to participate in my research. The NJS group consisted of 26 students (16 university students and 16 English language school students) and 6 Working-Holiday visitors.[5] I used the following criteria in selecting NJS participant: (1) they were to have spent most of their lives in Japan and to not have stayed overseas consecutively for more than three years prior to this

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the English Language Institute (ELI) of UBC, I solicited NJS participants from among students of the institute. All the participants completed the consent forms I prepared. I am grateful for the cooperation of Japanese language instructors, the director of ELI, the people who helped me find the participants, and the participants in this research project.

[2]I conducted a pilot study which recorded and examined conversations between NJSs and JLLs at the introductory courses. Since very few interactional particles were found in this data, this research project collected data from those students who are enrolled in second- and third-year Japanese courses.

[3]In this thesis, I refer to 'Japanese-Canadians' as those who received most of their compulsory education in Canada, 'Chinese-Canadians' as landed immigrants from either Taiwan or Hong Kong and 'Canadians' as those spent most of their lives in Canada regardless of their birth places, and whose first language is English.

[4]This distribution of the JLL participants does not reflect the general population of actual Japanese language classrooms at UBC, which contain mostly Chinese-Canadians and some Korean-Canadians. This atypical population probably derived from the means for collecting participants. Restrained responses from those students who had little experience with interacting with native Japanese implies that they might have limited confidence in their aural and oral skills and fear conversing with native Japanese speakers. In fact, some of the students who refused to partake in this research mentioned their fear of interaction with native speakers and insufficient speaking abilities. Random selection would have overcome this limitation. This procedure, however, was impossible in the present study since the researcher lacked authority to do so.

[5]Japanese youths with Working-Holiday Visas can study and work in Canada up to one year. Many of them work on a part-time basis after they finish studying English in ESL (English as a Second Language) schools.

research and (2) they were to use the standard Japanese language in their first encounters with other Japanese speakers. I established my second criterion for two reasons: (1) dialect users, especially Kansai dialect speakers, are supposed to replace *yo*, *ne* and *yone* with other particles and/or omit those particles when speaking with their dialects and (2) JLL most likely to experience difficulties comprehending dialects which differ from the standard Japanese language they are taught in Japanese language classrooms.[6] Although it was not a strict criterion, I recruited Japanese people in their twenties in order to obtain a population similar to the JLL counterpart. The average age of the NJS participants was 25.0 years and their average length of stay in Canada was 7.3 months. Detailed information on the NJS participants is given in Appendix C.

## 3.2 Procedure for Data Collection

Three procedures were employed for collecting data in this project: (1) a questionnaire, (2) conversation sessions and (3) a fill-in-the-blank test. Sections 3.2.1, 3.2.2 and 3.2.3 describe each of them, respectively.

## 3.2.1 Questionnaire

Prior to the conversation session, the questionnaire was administered to the JLLs in English and the NJSs in Japanese.[7] The questionnaire consisted of two parts: (1) questions concerning the participants' backgrounds and (2) questions concerning the uses of *yo*, *ne* and *yone*. The second part of the questionnaire concerned (1) situations of the use/non-use of *yo*, *ne* and *yone*, (2) frequency of the use of these particles, (3) necessity of these particles and (4) meanings/functions

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[6]Kansai dialects are spoken in the western parts of Japan, which includes Osaka and Kobe. Some participants of Kansai dialect informed me that they usually converse in the dialect when they talk with other Kansai dialect speakers as well as someone in a close relationship, regardless of their dialects. This means that they usually speak standard Japanese when they have not established a close enough relationship with a person to know if that person speaks their dialect. However, this is a general tendency, and individual differences are expected.

[7]The complete questionnaires are provided in Appendixes D and E.

of these particles. The JLL participants were given additional questions concerning difficulty in using *yo, ne* and *yone* and regarding their sources of information on the use of these particles. After the conversation session, the NJS participants were asked to write comments on the speech of their JLL conversation partners.

### 3.2.2  Conversation  Sessions

Data was collected by tape-recording spontaneous conversation to capture natural use of interactional particles. I organized two types of conversation groups: NJS, consisting of 4 NJSs and the NJS+JLL, consisting of 2 NJSs and 2 JLLs. Instead of conversations among all JLL members or interviews between the researcher and each JLL, conversations among NJSs and JLLs were chosen as a data source to reflect a realistic situation that learners often encounter in Japan: an observation of conversations among NJSs and JLLs was expected to provide meaningful information or real problems that JLLs may face. In order to promote interaction among group members, I placed those participants who were friends in the same group. Although I provided a list of suggested topics (Appendix F) for the participants' convenience, each group freely chose the topic of conversation.

Data was collected by means of audio-tape recordings because this study focuses on verbal behaviors. Video-tape recordings were avoided in order to reduce negative effects on the performance of participants. In addition, except for explaining the procedures of the conversation session and operating the recording instruments, I remained a passive observer and took necessary notes in order to minimize the effects of the observer's presence on the participants' performance.

### 3.2.3  Fill-in-the-Blank  Test

While spontaneous conversation is useful for understanding natural language usage, it is limited in analyzing "interlanguage," or "a transitional system reflecting the learner's current L2 knowledge" (Ellis 1994: 710). For example, we cannot analyze the absence of the targeted

linguistic feature in the speech of language learners. The absence of a particular linguistic form involves more than one cause: (1) learners do not know the form (i.e., ignorance), (2) learners know the feature but try not to use it (i.e., avoidance) because of insecurity about its usage and/or because of lack of time (i.e., incomplete acquisition), or (3) learners know how to use the feature as native speakers do, but they do not use it for pragmatic reasons (i.e., preference).

JLLs' avoidance of the use of interactional particles is predictable since those particles do not greatly influence the performance of speech acts, except when they solicit or demonstrate agreement. In other words, since learners can achieve many speech acts without the help of interactional particles, they may not take the risk of using those particles whose usage they do not fully understand. For this reason, "obligatory occasion analysis" (Ellis 1994: 75) was also performed. The procedure for this analysis is first to provide a linguistic environment where the use of a target feature is required, and then to examine the learners' use of that feature.

I attempted this analysis through a "fill-in-the-blank test" which used portions from a Japanese comic as the required linguistic environments. Comic strips were chosen as the device for this analysis since they provide participants with visual information of the involved contexts and non-verbal contextual cues such as facial expressions and gestures of interlocutors. First, some portions of the comic that contain *yo, ne* and *yone* were extracted. Then, originally provided particles were whited out, and the JLL and NJS participants were asked to fill in those blanks with either *yo, ne* or *yone*. They were instructed to mark an X in locations where they thought particle was not necessary. The entire test is reproduced in Appendix G.[8] The results are compared and analyzed in Chapter Five.

## 3.3 Procedures for Data Collection

The data collection lasted for six days, with one NJS-only conversation and two NJS+JLL

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[8] I am grateful for the Soyosha Publishing Company's giving me permission to reproduce parts of this comic.

conversations recorded daily. Each NJS-only group consisted of four Japanese native speakers and NJS+JLL group 2 NJSs and 2 JLLs. The NJSs were first called for and asked to fill out the first part of the questionnaire (Appendix E-1, Item 1: the questions concerning the participants' backgrounds).[9] A 20-minute conversation among these four NJSs followed and was tape-recorded by the researcher. The JLL participants then convened in the room and were asked to fill out the first part of the questionnaire (Appendix D, Item 1). After they had completed that part, the participants were divided into two groups, each consisting of two NJSs and two JLLs. Both groups were asked to have another 20-minute conversation which were also tape-recorded by the researcher. Following this session, all the participants were asked to complete the second part of the questionnaire (Appendixes D and E: the questions concerning the use of *yo, ne* and *yone*). Those participants who finished this part were then asked to do the last task, the fill-in-the-blank test. Each participant spent approximately 5 minutes providing background information, 20 minutes in conversation, 10 minutes working with questions on the use of *yo, ne* and *yone* and 10 minutes on the fill-in-the-blank test. The total time required for the entire process, including the instruction and explanation, was approximately 80 minutes for the NJS participants and 60 minutes for the JLL participants.

## 3.4 Procedures for Data Analysis

The tape-recorded conversations were later transcribed by the researcher for analysis. Following the generally accepted assumption that "speakers grow accustomed to being recorded and that unnatural speech decreases with time" (Maynard 1989: 16), the first 3 minutes of each conversation was excluded from the data. In fact, although they were not instructed, almost all the groups started their conversations with self-introductions, which were not important for the present study. In cases where the participants were still engaged in self-introduction even after the first 3

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[9]Because of sudden cancellations and schedule changes, some groups consisted of three or five people.

minutes, the first part of the data to be analyzed was set at the point where the introductory phase finished. The subsequent 10-minute segments were transcribed and analyzed.

In Chapter Two, I pointed out that a sentence is not an appropriate unit for analyzing spoken discourse because it is "fragmented due to numerous pauses, false starts, fillers, repetitions, and backtracks" (Tannen 1982: 9-10). As alternative units for analyzing Japanese discourse, Maynard (1989) suggests "Phrase-bounded Phrasal Units (PPU)" and Iwasaki (1993) proposes the "Intonation Unit (IU)." However, it is not certain whether these units, which are useful in analyzing the discourse of native Japanese speakers, can be directly applied to the analysis of speech produced by Japanese language learners. This is because such phenomena as pauses, repetitions, hesitation noises and the lengthening of vowels observed in the JLL speech may be motivated by different reasons and thus function differently from those found in NJS speech. While NJSs use them almost exclusively as devices for conversation management, those used in JLL speech can involve communication strategies which help language learners to handle communication problems caused by their insufficient linguistic knowledge. [10] Also, the boundaries of IUs and PPUs depend much on the raters' subjective judgement. For this reason, the present quantitative analysis will not adopt these units. Instead, I will approach the current research questions by examining the distribution of *yo, ne* and *yone* appeared in the data in terms of speech acts. The procedures of data analysis are as follows:

STEP 1:

Depending on the nature of the preceding utterance, *yo, ne* and *yone* were grouped into three types: (1) predicate, (2) fragment and (3) independent.

(1) Predicate-type particles immediately follow a predicate, which contains a final form (the non-past or past form) of an adjective (e.g., *Atsui ne* 'hot+*ne*'), a verb (e.g., *Iku yo* 'go+*yo*') or

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[10]According to Ellis (1994), "communication strategies" are employed "when learners are faced with the task of communicating meanings for which they lack the requisite linguistic knowledge (for example, when they have to refer to some object without knowing the L2 word)" (p.696).

a copula *da* or *desu*, (e.g., *Atsui desu yone* 'hot+copula+*yone*').[11]

(2) Fragment-type particles are those which follow "fragments," or "non-final verbal forms that indicate conjunction, or subordination, and post-positional phrases, both arguments and obliques" (Cook 1992: 513). This type of particle represents the insertion particle. The following example illustrates fragment type particles:

(1) *Boku  wa   sono inu   o    ne.*
    I      TOP  that  dog  DO   IP
    "I, that dog"

*Eeto nan    dakke* ?
FI   what   BE
"Well, what (am I) talking about?"

*Omae shigoto suru ka  tte   kik-arete    ne.*
you  work   do   Q  QT   ask-PASS   IP
"(I) was asked if I would work and"

*Nan    no   shigoto ka  wakan-nai    to   omotte ne*
what   LK   work    Q   know-NEG  QT   think  IP
"(I) thought (I) would not know what work it would be and"

*So- soto      it-tara       ne*
out-outside   went-when   IP
"When (I) went out- outside"

*Sono inu   no   sooji     ya   ara-*
that  dog LK   cleaning  and wash-
"Cleaning of that dog and wash-"                                    (Cook 1992: 514)

In this example, *ne* does not follow a predicate (in Line 1), or the final form of a prediacte (i.e., "-*te*," the gerund, in Lines 2 and 3 and *"-tara ,"* the connective form, in Line 4 are both non-final forms).

(3) Independent-type particles are those which appear by themselves, pronounced with a

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[11]In cases in which *yo*, *ne* or *yone* follows an utterance which lacks a copula because of an ellipsis (e.g., *Nichiyoobi yone* " Sunday+*yone*") derived from *Nichiyoobi da/desu yone* "Sunday+copula+*yone*," that particle is treated as a predicate type, assuming that an invisible copula exists. Ellipses were identified when utterance-final features (e.g., falling intonation, decreasing speech speed, occurrences of a pause) were observed.

recognizable pause both before and after them. They are identified as interjection particles. An example is given below:

(2) *Nee, Mama.*
    IP    mom
    "Mom!"                                              (Cook 1992: 522)

STEP 2:

Because a comparative analysis of all three particles *yo*, *ne* and *yone* is possible only with the predicate-type particles (since *yone* requires a predicate form), I focused on the analysis of the predicate-type.

STEP 3:

All occurrences of predicate-type yo, *ne* and *yone* were then categorized according to the types of speech acts with which they cooccurred, and the frequencies and percentages of the particles were then calculated. Thus, I was able to analyze how each of *yo*, *ne* and *yone* contributes to the realization of a particular speech act. In addition to the conversation data, the data from the fill-in-the-blank test was also analyzed by the same procedure. I assured first the speech acts of the items of the tests and then analyzed their relationships with *yo, ne* and *yone*.

Based on the proposed model of the relationships among interaction, speech acts and interactional particles (Figure 8 in Chapter Two), I present a taxonomy of speech acts as follows:

**Figure 9   A Taxonomy of Speech Acts**[12]

```
                    /Conversation Management Types ┌─(A) Aizuchi
                   /                                └─(B) Floor-Keeping
                  /
                 /
Speech Acts                                        ┌── (C) Request for Agreement
             \Other Types ─────────────────────────── (D) Demonstration of Solicited Agreement
                                                   ├──(E) Demonstration of Unsolicited Agreement
                                                   └── (F) Presentation of New Information
```
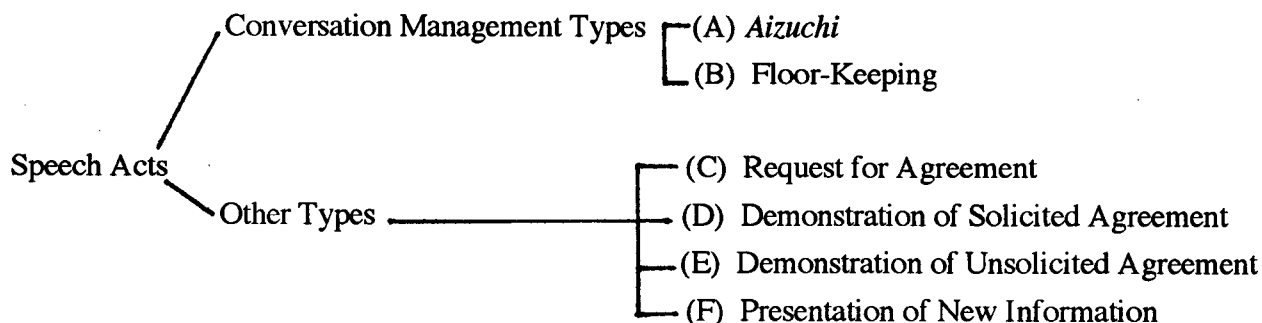
Definitions and examples for each speech act are given below:

(A) _Aizuchi_ [13]: *Aizuchi* refers to those expressions uttered by the addressee or the provider of

*Aizuchi* in the speaker's turn to simply signal that he or she is attending and following what is

being said. In the present analysis, *Aizuchi* expressions are the following two types: (1) the

combination of *Soo desu, Soo da,* or *Soo* and *yo, ne* or *yone,* and (2) the combination of a partial

repetition of the addressee's previous utterance and *yo, ne* or *yone. Aizuchi* is provided by the

addressee during the speaker's turn, and does not literally demonstrate one's agreement with or

emotions concerning a particular referential proposition. However, when contextual factors such as

tones, stresses, vowel lengths and the uses of exclamatory sounds (e.g., *a:, e:*) apparently

indicated the speaker's agreement with the addressee's proposition, a given utterance was

categorized as Demonstration of Solicited/Unsolicited Agreement, even if that utterance occurred in

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[12]It should be noted that the taxonomy of speech acts and definitions of the speech acts proposed here were designed specifically for the current analysis of the interactional particles *yo, ne* and *yone* in order to examine their roles in conversation management and in requesting and demonstrating agreement. This means that other taxonomies of speech acts and definitions of those speech acts are possible.

[13]In this thesis, I differentiate *Aizuchi* (the upper case) from *aizuchi* (the lower case). As stated in Footnote 6 in Chapter One, *aizuchi* refers to general back channels which can be either verbal or non-verbal. On the other hand, *Aizuchi* is a subcategory of *aizuchi* defined specifically for the current analysis of *yo, ne* and *yone*: *Aizuchi* has to contain either *yo, ne* or *yone*.

the speaker's turn. The following example demonstrates *Aizuchi*:

(3)  1   A: *Jaa, moshi motomoto gakkoo de, kooyuu puroguramu ga    aru    tte   shitte-te,*
            then if    originally  school  P  like this program    SUB exist QT   know
            "Then, if (you) already knew that your school had this kind of program,"

     2   B: *Hai,*
            yes
            "Yes,"

     3   A: *De, kanada de tor-eru    tan-i    o    shitte-tara,*
            then Canada P take-can  credits  DO  knew - if
            "Then, if (you) knew the credits (you) can take in Canada,"

     4   B: *Hai,*
            yes
            "Yes,"

     5   A: *Hoka   no   tan-i    o    saisho    ni  totteoite,         kocchi de*
            other  LK  credits DO  beginning  P  take in advance  here    P
            "(You can) first take other credits (in Japan), then, here -"

     6   B: *=A::,*
            oh
            "Oh,"

     7   A: *Tan-i    o    totte   Sorekara tte  yuu   huuni,*
            credits  DO  take    and then  QT  say  like
            "Take credits, and then,"

--> 8   B:                *[Soo desu ne, kedo:,*
                          so  BE  IP  though
                          "It is so, but,"

     9        *So: umaku ika-nai    n     desu  yone.*
              so  well   go-NEG  NOM  BE    IP
              "Things don't go that well."

In this example, B does not show sincere agreement to A's proposition by the utterance "*Soo desu*

*ne*" but simply indicates that he is following A. Observe that B denies A's inference immediately

following this utterance.

(B) <u>Floor-Keeping</u>: The purpose of this speech act is to maintain the speaker's turn. While *Aizuchi* is produced by the addressee, Floor-Keeping expressions is produced by the speaker. Through this speech act, a speaker shows that he or she understands that it is his or her turn to speak and/or draws the addressee's attention to his or her speech. Therefore, just like *Aizuchi*, Floor-Keeping does not literally indicate or request agreement with any of the propositions presented by the addressee, as illustrated in the following example:

(4)  1  A: *Roonin shite-ta      n      desu ka.*
            roonin   were doing  NOM  BE  Q
            "Were you *roonin* ?"

--> 2  B: *N, demo, ato  wa,   maa, soo desu ne, ma, chotto hataraite, hantoshi   gurai, . . .*
            FI  but   other TOP  FI   so  BE  IP  FI  a little  working   half a year  about
            "Well, but, I was also working for half a year or so . . ."

In this example, a Floor-Keeping expression *"soo desu ne"* does not indicate agreement with a particular proposition, but rather functions as a time-filler used to fill in the time while the speaker is searching for words. Floor-Keeping expressions can take independent- and fragment-type particles, as well as predicate-type particles as in the following example:

(5) --> 1  A: *Ne, kyooshitsu ga   ne, sugoku hiroi tokoro dat-tara,*  (LAUGH)
              IP   classroom SUB IP  very   large  place  BE - if
              "If the classroom is a very large one,"

    2  B: *A::,*
        uh
        "Uh-huh,"

    3  C: *U::n,*
        hum
        "Hum,"

    4  A: *Wakan-nai   kamo  ne* ?
        know-NEG  maybe  IP
        "Maybe (the teacher) doesn't know."

--> 5 *Kore ga, ne, chicchai nihon no  kyooshitsu, <u>ne</u>* ?
   this SUB IP  small   Japan LK  classroom    IP
   "If this were the classroom in a Japanese (school),"

6 *Kookoo  toka  no kyooshitsu mitai no dat-tara sa:,*
  high school such as LK classroom like  LK BE - if IP
  "Like the classroom in a high school or something like that,"

7 C: *U::n,*
   uh
   "Uh-huh,"

8 A: *Wakacchau* (?).
   know
   "(The teacher) will find out."

In this example, *ne* is used as an independent-type particle (Line 1) and as a fragment-type particle (Line 5) to maintain the speaker's turn.

(C) <u>Request for Agreement</u>: Utterances of Request for Agreement are used to elicit from the addressee the same understanding concerning a certain proposition. They obtain certain responses from the addressee, whether these responses are in agreement or disagreement, as shown in the example below:

(6) 1 A: *E ? yokatta.  Karugarii tte   donna   kanji* ?
    uh was good  Calgary  QT   what kind of like
    "Was (it) good? How's Calgary like?"

--> 2 *E, samui n  da <u>yone</u> ?*
    uh cold NOM BE  IP
    "Uh, (it's) cold, isn't it?"

--> 3 B: *A, huyu wa <u>ne</u>. Natsu  wa hutsuu  no   natsu  desu yo.*
    oh winter TOP IP summer TOP ordinary LK  summer BE  IP
    "Oh, in the Winter, yes. As for the Summer, it's ordinary Summer."

A solicits B's agreement for her proposition that it is cold in Calgary. As a result, her utterance elicits B's response in the form of an agreement.

(D) <u>Demonstration of Solicited Agreement</u>: Demonstration of Solicited Agreement is an indication

of agreement in response to the addressee's request for agreement, which is expressed by tag-

question-like utterances ending with *ne, yone, janai* or *deshoo* as in Line 1 in the example below.

The utterances of Solicited Agreement contain either *soo* 'so' or a partial or complete repetition of

the addressee's utterance. They can appear either in the addressee's or the speaker's turn.


(7)  1    A: *Sotsugyoo    mo  nantoka  dekiru <u>yone</u>* ?
　　　　　　graduation  also  anyway   can    IP
　　　　　　"(You) can manage to graduate, can't you?"


-->  2    B: *Dekiru <u>yo</u>.*
　　　　　　can      IP
　　　　　　"(You) can."


　　  3    A: *Nanka,  daigaku,  hakaratte-kureru     <u>janai</u> ?*
　　　　　　FI       university  arrange-do a favor to  TAG
　　　　　　"Well, universities arrange things (so that you can graduate), don't they?"


　　  4        *Nantonaku,     ano, tsuishi          toka     mo    ne,*
　　　　　　in a subtle way   FI  make-up exam    such as  also   IP
　　　　　　"By giving (you) make-up exams or something."


-->  5    B: *A,  soo da <u>yone</u>.*
　　　　　　oh   so BE  IP
　　　　　　"Oh, it's true."


Notice the presence of *yone* (Line 1) and *janai* (Line 3) in A's utterances, which serve to create

tag-questions to indicate the addressee's agreement. Both utterances of B, *"Dekiru yo"* (Line 2)

and *"A, soo da yone"* (Line 5) are responses to A's request for agreement.


(E) <u>Demonstration of Unsolicited Agreement</u>: Demonstration of Unsolicited Agreement refers to an

indication of agreement not prompted by the addressee's request. Unsolicited Agreement presents

information which supplements the topic that either the addressee or speaker previously

introduced. In the current analysis, except for Request for Agreement and Demonstration of

Solicited Agreement, all the utterances which presuppose the sharing of information by the

interlocutors are placed in this category. Utterances of phatic communion are also classified in this category.

(8) 1   A: *Demo ne, kocchi de ne,  seekatsusuru  no    mo,  ii   keeken   dakara,*
          but  IP  here  P IP  live            NOM  also  good  experience  because
          "But, to live here is also a good experience,"

--> 2   B: *Soo desu ne, hontoo ni.*
          so  BE  IP  really  P
          "It is, really."

   3   A: *=Soo yuu imi  de wa   ne.*
          so  say  sense  P  TOP  IP
          "In that sense."

In this example, B's utterance "*Soo desu ne*" indicates support rather than agreement with A's proposition because, unlike Example 7, B's utterance was not solicited by A's request for agreement.

(9) 1   A: *Yappa,        hataraki-tai        tteyuuka, hataraite-*
          as expected  work-want to     FI       work-
          "As expected, (I) want to work; I mean, work and-"

--> 2   B: *Soo da yone.*
          so  BE  IP
          "Right."

--> 3     *Okane ga  heru      dake da  mon  nee.*
          money SUB decrease only  BE  NOM  IP
          "(We are) just running out of money."

   4   A: *Un.*
          yes
          "Yeah."

Lines 2 and 3 both demonstrate Unsolicited Agreement. Line 2 shows unsolicited, spontaneous agreement to A's utterance. Line 3 further reinforces B's agreement by offering supplemental information.

(F) <u>Presentation of New Information</u>: The process of Presentation of New Information conveys information which is assumed by the speaker as new to the addressee. Presentation of New Information performs such speech acts as answering questions, reporting, opposing, correcting, encouraging and complimenting. The following is an example:

(10) 1   A: *Dooshite, e::to, bankuubaa.*      (LAUGH)
         why     FI   Vancouver
         "Why, uh, Vancouver?"

    2   B: *A, dooshite    bankuubaa.*
         oh  why      Vancouver
         "Oh, why (I came to ) Vancouver."

    3     *A::nto, shigoto ima made shite-ta   n    da keredo,*
         FI      job     now until  was doing NOM BE   though
         "Although (I) was working -"

    4     *A::,*
         oh
         "Oh,"

--> 5     *Nihon de, ryokoogaisha de hataraite-ta   no    ne* ?
         Japan  P    travel agency P  was working  NOM IP
         "In Japan, (I) was working at a travel agency.

In this example, B is presenting new information by answering A's question.

       Following the procedures described above, Chapter Four attempts to analyze the conversational data.

## Chapter Four

## Analyses of Conversational Data

This chapter analyzes the conversational data in an attempt to answer the research questions presented in Chapter Three. In particular, it will analyze the use of *yo, ne* and *yone* by NJS (Native Japanese Speakers) and JLL (Japanese Language Learners) in terms of the following three points: (1) conversation management, (2) speech acts in which *yo, ne* and *yone* appear, and (3) information status (i.e., whether information is new or old) of those speech acts. This chapter is organized as follows: Section 4.1 discusses the uses of *yo, ne* and *yone* in conversation management. Section 4.2 probes into the relationship of the uses of *yo, ne* and *yone* with the Presentation of New information. Section 4.3 discusses the uses of *yo, ne* and *yone* in the Request for Agreement, and Section 4.4 for the Demonstration of Solicited Agreement.

## 4.1 Conversation Management

### 4.1.1 Conversation Management by NJS

For an analysis of the NJS use of *yo, ne* and *yone* in conversation management, I examined speech from both the NJS-only and NJS+JLL conversation groups. The results are shown separately in order to observe, if any, the influence of the interlocutor types (i.e., native speakers vs. language learners) on speech. *Yo, yone* and *ne*, as used in NJS speech, were classified into three groups: independent-type, fragment-type and predicate-type (For their definitions and examples, see Section 3.4.). Tables 1 and 2 below present the types of particles used by the NJSs in NJS-only conversations and NJS+JLL conversations. The results are shown in frequency and percentage:[1]

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[1]Because of the relatively small population of the research (i.e., 21 JLLs and 32 NJSs), the present analysis did not apply any statistical calculation to the obtained data.

**Table 1    Particle Types (Independent-, Fragment- and Predicate-Types) of *Yo*,
*Yone* and *Ne* Used by NJSs[2]**

**A. NJS Speech in NJS-Only Conversation Group:**

| Particle type / Particle | Independent | Fragment | Predicate | Total |
|---|---|---|---|---|
| *YO* | 0% (0) | 0% (0) | 100% (82) | 100% (82) |
| *YONE* | 0% (0) | 0% (0) | 100% (58) | 100% (58) |
| *NE* | 6.1% (13) | 35.5% (76) | 58.4% (125) | 100% (214) |

**B: NJS Speech in NJS+JLL Conversation Group:**

| Particle type / Particle | Independent | Fragment | Predicate | Total |
|---|---|---|---|---|
| *YO* | 0% (0) | 0% (0) | 100% (60) | 100% (60) |
| *YONE* | 0% (0) | 0% (0) | 100% (68) | 100% (68) |
| *NE* | 7.1% (15) | 25.8% (55) | 67.1% (143) | 100% (213) |

Table 1 shows the particle types (independent-, fragment- and predicate-types) for all the
occurrences of *yo*, *yone* and *ne*. On the other hand, Table 2 below indicates percentages of *yo*,
*yone* and *ne* that appeared as independent-, fragment- or predicate-type particles:

**Table 2   Particles (*Yo*, *Yone* and *Ne*) Used by NJSs Categorized in terms of
Particle Types (Independent-, Fragment- and Predicate-Types)**

**A. NJS Speech in NJS-Only Conversation Group:**

| | NJS-Only | | | |
|---|---|---|---|---|
| Particle / Particle type | *YO* | *YONE* | *NE* | Total |
| Independent | 0% (0) | 0% (0) | 100% (13) | 100% (13) |
| Fragment | 0% (0) | 0% (0) | 100% (76) | 100% (76) |
| Predicate | 30.9% (82) | 21.9% (58) | 47.2% (125) | 100% (265) |

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2The number in parenthesis indicates frequency of occurrences.

**B: NJS Speech in NJS+JLL Conversation Group:**

| Particle type \ Particle | YO | YONE | NE | Total |
|---|---|---|---|---|
| Independent | 0% (0) | 0% (0) | 100% (15) | 100% (15) |
| Fragment | 0% (0) | 0% (0) | 100% (55) | 100% (55) |
| Predicate | 17.6% (60) | 19.9% (68) | 62.5% (143) | 100% (271) |

The tables above indicate that in both NJS-only and NJS+JLL conversation, the NJSs did not use *yo* and *yone* as independent-type particles (i.e., interjective particles) and fragment-type particles (i.e., insertional particles), both of which function to manage conversation. In contrast, *ne* has a wide range of use, appearing in all of the independent-, fragment- and predicate-types. This suggests that only *ne* served conversation management accomplished by independent and fragment type particles. The ratio of the predicate-type within all uses of *ne* was 58.4% in NJS-only conversation and 67.1% in NJS+JLL conversation, both percentages larger than the portion of the independent- and fragment-type *ne*'s combined (See Table 1). Also, Table 2 shows that *ne* was the particle that appeared most frequently as the predicate-type.

The data showed one difference between NJS-only conversations and NJS+JLL conversations: the ratio of predicate- type *yo* decreased while that of predicate-type *ne* increased in NJS+JLL data. As observed in Table 2, the percentage of predicate-type *yo* is 30.9% in NJS-only conversations and 17.6% in NJS+JLL conversations. In contrast, predicate-type *ne*'s in NJS-only conversations is 47.2% and 62.5% in NJS+JLL conversations. In other words, the NJSs used *yo* more frequently in conversation with other native Japanese speakers, while using *ne* more often in conversation with learners. I speculate that the NJSs' frequent use of *ne* instead of *yo* is "foreigner talk," or "the modified language native speakers use with non-native speakers" (Ellis 1994: 289) in an attempt to facilitate conversation. I will discuss further this claim concerning the use of *yo*, *ne* and *yone* in showing solicited agreement in Section 4.3.1.

Based on the proposed taxonomy of speech acts (See Figure 9), the predicate-type *yo, ne* and *yone* were further classified, depending on the speech acts they relate to. Table 3 and 4 below show the NJS use of *yo, yone* and *ne* for the speech acts of *Aizuchi*, Floor-Keeping (both of which are conversation management devices), Request for Agreement, Demonstration of Solicited Agreement, Demonstration of Unsolicited Agreement and Presentation of New Information:

### Table 3   *Yo, Yone* and *Ne* that the NJSs Used in Six Speech Acts

**A. NJS Speech in NJS-Only Conversation Group:**

| Speech Act | Conversation Management | | Others | | | | |
|---|---|---|---|---|---|---|---|
| Speech Act Type Particle | *Aizuchi* | Floor-Keeping | Request for Agreement | Demonstration of Solicited Agreement | Demonstration of Unsolicited Agreement | Presentation of New Information | Total |
| *YO* | 0% (0) | 0% (0) | 0% (0) | 2.4% (2) | 23.2% (19) | 74.4% (61) | 100% (82) |
| *YONE* | 1.7% (1) | 0% (0) | 41.4% (24) | 8.6% (5) | 36.2% (21) | 12.1% (7) | 100% (58) |
| *NE* | 2.4% (3) | 3.2% (4) | 7.2% (9) | 7.2% (9) | 42.2% (53) | 37.6% (47) | 100%(125) |

**B. NJS Speech in NJS+JLL Conversation Group:**

| Speech Act | Conversation Management | | Others | | | | |
|---|---|---|---|---|---|---|---|
| Speech Act Types Particle | *Aizuchi* | Floor-Keeping | Request for Agreement | Demonstration of Solicited Agreement | Demonstration of Unsolicited Agreement | Presentation of New Information | Total |
| *YO* | 0% (0) | 0% (0) | 0% (0) | 0% (0) | 18.3% (11) | 81.7% (49) | 100% (60) |
| *YONE* | 0% (0) | 0% (0) | 39.7% (27) | 5.9% (4) | 50.0% (34) | 4.4% (3) | 100% (68) |
| *NE* | 1.7% (1) | 4.9% (7) | 7.0% (10) | 11.2% (16) | 46.2% (66) | 30.1% (43) | 100%(143) |

Table 3 shows the percentages of the speech acts with which each of *yo, yone* and *ne* coocurred. Table 4 below represents the same results in terms of the ratio of *yo, yone* and *ne* as used for each speech act:

**Table 4    Types of Speech Acts that the NJSs Performed with *Yo*, *Yone* and *Ne***

## A. NJS Speech in NJS-Only Conversation Group:

| Speech Act                          Particle | *YO* | *YONE* | *NE* | Total |
|---|---|---|---|---|
| *Aizuchi* | 0% (0) | 25.0% (1) | 75.0% (3) | 100% (4) |
| Floor-Keeping | 0% (0) | 0% (0) | 100% (4) | 100% (4) |
| Request for Agreement | 0% (0) | 72.7% (24) | 27.3% (9) | 100% (33) |
| Demonstration of Solicited Agreement | 12.5% (2) | 31.3% (5) | 56.3% (9) | 100% (16) |
| Demonstration of Unsolicited Agreement | 20.4% (19) | 22.6% (21) | 57.0% (53) | 100% (93) |
| Presentation of New Information | 53.0% (61) | 6.1% (7) | 40.9% (47) | 100% (115) |

## B. NJS Speech in NJS+JLL Conversation Group:

| Speech Act                          Particle | *YO* | *YONE* | *NE* | Total |
|---|---|---|---|---|
| *Aizuchi* | 0% (0) | 0% (0) | 100% (1) | 100% (1) |
| Floor-Keeping | 0% (0) | 0% (0) | 100% (7) | 100% (7) |
| Request for Agreement | 0% (0) | 73.0% (27) | 27.0% (10) | 100% (37) |
| Demonstration of Solicited Agreement | 0% (0) | 20.0% (4) | 80.0% (16) | 100% (20) |
| Demonstration of Unsolicited Agreement | 9.9% (11) | 30.6% (34) | 59.5% (66) | 100% (111) |
| Presentation of New Information | 51.6% (49) | 3.2% (3) | 45.2% (43) | 100% (95) |

The above tables show that with the exception of one use of *yone* for *Aizuchi* in NJS-only data, no NJS used predicate-type *yo* and *yone* for *Aizuchi* and Floor-Keeping, both categories of which are conversation management devices. This result concurs with the previous finding concerning conversation management; specifically, that *yo* and *yone* did not appear as independent- and fragment-type particles, which also conduct conversation management.

## 4.1.2 Conversation Management by JLL

Table 5 presents the frequency of use of *yo*, *ne* and *yone* by the JLLs and the NJSs:

**Table 5   Frequency of Use of *Yo, Ne* and *Yone* by JLLs and NJSs**

| Particle | JLL | NJS | |
|---|---|---|---|
| | | NJS+JLL | NJS-Only |
| *YO* | 13.3% (18) | 17.6% (60) | 23.2% (82) |
| *YONE* | 6.7% (9) | 19.9% (68) | 16.4% (58) |
| *NE* | 80.0% (108) | 62.5% (213) | 60.4% (214) |
| Total | 100% (135) | 100% (341) | 100% (354) |

A comparison of the NJS and JLL data indicates that much fewer interactional particles appeared in the JLL speech than in that of the NJS. This is probably because the JLLs tended to remain as passive participants in conversation, and also because the JLLs took more time to produce utterances and thus produced fewer utterances than the NJSs did. Table 5 reveals another difference in the distribution of *yo, ne* and *yone* between JLL and NJS speech: when they used *yo, ne* and *yone*, the JLLs relied more on *ne* and less on *yone*, as compared with the NJSs. The table shows that the percentage of *ne* in the JLL speech is approximately 20% higher than that of the NJSs and the percentage of the JLL use of *yone* was approximately 10% lower than that of the NJSs.[3] Table 11 categorizes *yo, yone* and *ne*, as used by the JLLs, into three groups: independent-, fragment- and predicate-type:

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[3]Table 5 summarizes the occurrences of each particle regardless of their appropriateness and/or grammaticality.

**Table 6    Particle Types (Independent-, Fragment- and Predicate-Types) of *Yo*,**
**    *Yone* and *Ne* Used by JLLs**

| | JLL | | | |
|---|---|---|---|---|
| Particle type<br>Particle | Independent | Fragment | Predicate | Total |
| *YO* | 0% (0) | 0% (0) | 100% (18) | 100% (18) |
| *YONE* | 0% (0) | 0% (0) | 100% (9) | 100% (9) |
| *NE* | 12.0% (13) | 31.5% (34) | 56.5% (61) | 100% (108) |

The above table represents the percentages of the particle types (independent-, fragment- and predicate-types) for all the occurrences of *yo*, *yone* and *ne*. Table 7 summarizes the same results in terms of the proportion of these three particles within each particle type (independent-, fragment- and predicate-types):

**Table 7    Particles (*Yo*, *Yone* and *Ne*) Used by JLLs Categorized in terms of**
**    Particle Types (Independent-, Fragment- and Predicate-Types)**

| | JLL | | | |
|---|---|---|---|---|
| Particle<br>Particle type | *YO* | *YONE* | *NE* | Total |
| Independent | 0% (0) | 0% (0) | 100% (13) | 100% (13) |
| Fragment | 0% (0) | 0% (0) | 100% (34) | 100% (34) |
| Predicate | 20.5% (18) | 10.2% (9) | 69.3% (61) | 100% (88) |

The JLL data share a few characteristics with those of NJSs'. These include absence of the independent- and fragment-type *yo* and *yone* and the appearance of *ne* in all types. Also, as well as in the NJS speech, the ratio of the predicate-type *ne* out of all the occurrences of *ne* the JLLs used was more than 50%, which is larger than the independent- and fragment-type *ne* combined (See Table 6). In addition, as Table 7 shows, the JLLs used *ne* most frequently among all the predicate

type particles (69.3%), just as the NJSs did. Tables 8 and 9 below represent the percentages of the

particles of *yo*, *yone* and *ne* which the JLLs used in conducting the six speech acts:

**Table 8    *Yo*, *Yone* and *Ne* that the JLLs Used in Six Speech Acts**

| JLL | | | | | | | |
|---|---|---|---|---|---|---|---|
| Speech Act | Conversation Management | | Others | | | | |
| Speech Act Types / Particle | *Aizuchi* | Floor-Keeping | Request for Agreement | Demonstra-tion of Solicited Agreement | Demonstra-tion of Unsolicited Agreement | Presentation of New Information | Total |
| *YO* | 0% (0) | 0% (0) | 0% (0) | 0% (0) | 33.3% (6) | 66.7% (12) | 100% (18) |
| *YONE* | 0% (0) | 0% (0) | 33.3% (3) | 0% (0) | 44.4% (4) | 22.2% (2) | 100% (9) |
| *NE* | 0% (0) | 9.8% (6) | 3.3% (2) | 18.0% (11) | 42.8% (20) | 36.1% (22) | 100%(61) |

The table above represents the percentages of six speech acts for all the occurrences of *yo*, *yone*

and *ne* in the JLL speech. Table 9 summarizes the same results in terms of particles (*yo*, *yone* and

*ne*) for each speech act:

**Table 9    Types of Speech Acts that the JLLs Performed with *Yo*, *Yone* and *Ne***

| JLL | | | | |
|---|---|---|---|---|
| Speech Act \ Particle | *YO* | *YONE* | *NE* | Total |
| *Aizuchi* | 0% (0) | 0% (0) | 0% (0) | 0% (0) |
| Floor-Keeping | 0% (0) | 0% (0) | 100% (6) | 100% (6) |
| Request for Agreement | 0% (0) | 60.0% (3) | 40.0% (2) | 100% (5) |
| Demonstration of Solicited Agreement | 0% (0) | 0% (0) | 100% (11) | 100% (11) |
| Demonstration of Unsolicited Agreement | 20.0% (6) | 13.3% (4) | 66.7% (20) | 100% (30) |
| Presentation of New Information | 33.3% (12) | 5.6% (2) | 61.1% (47) | 100% (36) |

Tables 8 and 9 indicate that the JLLs did not use *yo* and *yone* in *Aizuchi* and Floor-Keeping,

which are both devices for conversation management. This result is similar with the NJS data in

which no NJS used the predicate-type *yo* and *yone* for *Aizuchi* and Floor-Keeping except for one use of *yone*.

In summary, the data showed that both the NJSs and the JLLs conducted conversation management almost exclusively with *ne*.

## 4.2 Presentation of New Information
### 4.2.1 Presentation of New Information by NJS

Table 3 indicated that the NJSs used *yo* primarily for Presentation of New Information (74.4% in NJS-only conversation and 81.7% in NJS+JLL conversation). On the other hand, *yone* and *ne* were used more for Demonstration of Unsolicited Agreement, which conveys old information. In the NJS-only data, 36.2% of all the occurrences of *yone* and 42.4% for *ne* presented old information through Demonstrating Unsolicited Agreement. Similarly, in the NJS+JLL data, 50.0% of *yone* and 46.2% of *ne* usage occurred in this speech act. If Demonstration of Unsolicited Agreement and Request for Agreement, both of which presuppose the sharing of information by the speaker and addressee, are included, the percentage of *yone* used for conveying old information increases to 86.2% in the NJS-only data and to 95.6% in the NJS+JLL data. The percentage of the use of *ne* will also rise to 56.6 % in the NJS data and to 64.4 % in the NJS+JLL data. The most important finding is that more than 40% of new information was presented by *ne* instead of *yo* which appeared with approximately 50% of the new information (See Table 4). This frequent use of *ne* in presenting new information deviates from the predictions illustrated in a model of the relationships between *yo*, *ne* and *yone* and speech acts that I presented in Figure 7. The rest of this section focuses on an analysis of the relationship existing between the use of *yo*, *ne* and *yone* and the presentation of new information.

We have noted in Chapter Two that *yo* is used for Positive Politeness Strategies (PPSs)

such as encouraging and complimenting as well as for Face-Threatening Acts (FTAs) including

opposing, reporting, correcting and answering. The following exemplifies the use of *yo* for a PPS:

(1) Participant types: NJS + JLL
Participants: A: JLL 8, B: NJS 25, C: NJS 28[4]
Context: A tells B that going to Japan used to be his goal. B asks A if he came to dislike Japan.

1   A: *A::, nihon moshi nihon de, ben- hataraita nara,*
    uh Japan if   Japan in stu- worked   if
    "Uh, if I were to stu-(dy) work in Japan,"

2   B: *N::,*
    hum
    "Hum,"

3   A: *Ano, hutsuuno, shigoto dake ga, ueni ika-nai.*
    FI ordinary job   only SUB up   go-NEG
    "Well, only ordinary jobs (are available), and (you can't ) get promotions."

4      *Watashi wa   gaijin   dattara, chotto muzukashii.*
    I       TOP foreigner BE if   a little difficult
    "Since I'm a foreigner, (promotions) are a little difficult."

--> 5   B: *Sonna koto nai   yo::.*
    such matter NEG IP
    "Such is not the case. (You can get promotions.)"

6   A: *=Wakara-nai, wakaru no   wa, chotto   muzukashii to   omou.*
    know-NEG know   NOM TOP a little difficult   QT think
    "I don't know, what I know is that it is a little difficult, (I) think. "

7   B & C: *U::n.*
    uh-huh
    "Uh-huh."

In this example, B's utterance "*Sonna koto nai yo::*" (Line 5) performs "encouraging" by denying

A's low expectations for his career's future in Japan. Below is a similar example:

(2) Participant types: NJS + JLL
Participants: A: NJS 31, B: JLL 14
Context: Describing how different the Japanese word order is from the English, B asks A if
         she does not get confused by that difference.

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[4]For background information on each participant, see Appendixes B and C.

1    A: *Moo, moo, chotto ne, watashi wa*    *chotto nihon ni itta-shi, nanka moo,*
      FI    FI    a little   IP   I        TOP   a little   Japan   P   went and   FI     FI
      "Well, uh, I've been to Japan, and,"

2       *Nihongo wa    heta     da    kara     watashi, (?)*
       Japanese   TOP   poor at   BE   because   I
       "Since I'm not good at Japanese, (?)"

--> 3    B: *Sonna koto    nai     yo.*
        such    thing   NEG    IP
        "That's not such a case. (You speak Japanese well.)"

In Example 2, B uses the same *yo*-attached utterance to deny A's low evaluation of her Japanese language ability and to thus encourage her. In both above examples, different speakers used *yo* for the speech act of encouraging, which is one of the PPSs. The use of *yo* as encouragement was found only in the NJS+JLL speech but was absent in the NJS-only as well as the JLL speech. In the JLL speech, even the speech act of encouragement itself did not occur.[5]

Table 4 revealed that in the NJS speech, approximately 40% of all new information was presented with *ne*. This finding deviates from the prediction made by the previous model of the relations existing between interaction, speech acts and interactional particles, which associated *yo* with the new information, and *ne* and *yone* with old information. This deviation seems to concern the pragmatic factors of the politeness strategy and Japanese communicative styles. Since *ne* and *yone* indicate that the speaker is attentive to the addressee, these particles mitigate the assertiveness produced by informing or the presentation of new information. This acknowledgement of the addressee's existence can be seen as a positive politeness strategy in that it shows that the speaker constantly attends to the addressee's positive face want, which is in this case the addressee's desire to be approved of or recognized for his or her presence. I assume that the use of *ne* when presenting new information is motivated also by the Japanese communicative style which shows an

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[5]One possible factor influencing this result is the power relationship between the NJSs and JLLs. In other words, as native speakers of the target language, the NJS had power over the JLL and initiated conversation and encouraged interaction more than the JLL did.

orientation toward the "sharedness or feeling of oneness" between interlocutors (Cook 1992: 524). The definition of the Japanese "self" as a "non-autonomous self" (Maynard 1993: 15) is also useful here. Maynard (1993) states that the "Japanese view of self differs from that of the Western tradition" (p.15) in that "in Japan, there is a tradition of defining self on the basis of the human relationship within the society of which the self is a part" (p.16) while in the Western tradition, the Cartesian autonomous "ego" is the entity which polarizes the "other." When even "self-identification is based on the other" (Maynard 1993: 264), it is understandable that the NJSs chose not to mark new information with *yo* as something exclusively possessed by the speaker, but opted to mark it with *ne* as something related to the addressee.

In the present data, the use of *ne* to present new information appeared in two types of utterances: those which do not take the nominalization form, *n(o) (da/desu)*,[6] and those which contain it. These two types of utterances showed not only a syntactic difference but also a difference in the speech acts that they perform and their roles in discourse. The first type of utterances which lack *n(o) (da/desu)* typically occurred in answers, comments and expressions of reflections as in the following examples:

(3)   Participant types: NJS
      Participants: A: NJS 27, B: NJS 25
      Context: A, a graduate student, asks B, who is an ESL student, about the relationship
              between Japanese and Korean students at ESL schools.

1   A: *Sono  hen   no   kankee      tte,   doo   na   n      desu ka.*
       That   area  LK   relationship TOP   how   BE   NOM   BE   Q
       "How's that relationship?"

2   B: (Not being sure of A's question) *N.:*
                                          uh
                                          "Uh. . ."

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[6]The parentheses indicate that the elements in them are optional. Thus, *n(o) (da/desu)* may be realized either as *no desu, no da, no, n desu, n da* or *n*.

3 A: *Ryookoo desu ka.*
   good  BE Q
   "Is it good?"

--> 4 B: *Aa, aa. Sore wa mondai nai desu ne.*
    oh oh  that TOP problem NEG BE  IP
    "Oh, I see. There is no problem about that. "

5 A: *Nai desu ka.*
   NEG BE Q
   "Aren't there any problems?"

--> 6 B: *Ryookoo desu ne, hai.*
    good  BE IP yes
    "(The relationship) is good. Yes."


In the example above, B used *ne* to present new information in the form of an "answer" in response to A's question. The following is another example of *ne* used in presentation of new information:


(4) Participant types: NJS
   Participants: A: NJS 27, B: NJS 25
   Context: A moves to a new topic: Culture shock.

1 A: *Ato, karuchaashokku toka  nai desu ka.*
   also culture shocks  such as NEG BE Q
   "Also, haven't you had anything like culture shock?"

2 B: *Karuchaashokku nee.*
   culture shocks  IP
   "Culture shock . . ."

3 A: *Hoomushikku toka.*
   homesick   such as
   "Home sickness or something like that."

4 B: *Hoomushikku wa nai, tokuni ?*
   homesick  TOP NEG especially
   "As for homesickness, I had nothing (like that)."

--> 5 A: *Tsuyoi desu ne.*
    strong BE  IP
    "You're strong."

6   B: *Tsuyoku-nai yo:.*
     Strong-NEG IP
     "(I'm) not strong."

In this example, *ne* occurred in A's "comment" to the fact that B did not experience homesickness.

This comment conveys A's personal impression ('You're (Speaker B) strong.'),which is new

information to B. Example 5 below further shows the use of *ne* in presenting new information:

(5) Participant types: NJS
     Participants: A: NJS 3, B: NJS 10, C: NJS 16
     Context: A and B are visiting Canada on Working-Holiday visas, while C is a student. A is
            talking about the day he received his acceptance letter from the Canadian Embassy
            in Japan.

1   A: *Taishikan kara  saa, tegami kita  jan?*
      embassy  from IP  letter   came TAG
      "(You) got a letter from the embassy, right? "

2   B:= *A::, hai, hai, hai,*
      oh  yes yes yes
      "Oh, yes."

3   A: *Sorede oya    ga    mite, nani kore tte?*
      then   parent SUB see   what this QT
      "Then, (my) parent saw it, and (said), 'What's this?'"

4   B:= *A::, haa,  haa, haa,*
      oh  hum  hum hum
      "Oh, uh-huh,"

5   A: *A         toka        itte.*
      whoops  such as    say
      "(I) said, 'Whoops.'"

6    *Chotto, ashita?  kaisha  yame n    da kedo*  (A, B & C: LAUGH)
      a little  tomorrow  company quit  NOM BE but
      "'Well, (I'm) going to quit the company, uh, tomorrow.'"

7   C: *Sugo:i.*
      daring
      "How daring."

--> 8  A: *Sungoi okotta    ne, sasugani  ne.*
      very    got angry IP expectedly IP
      "(My parent) got so angry, as expected."

In this example, A used *ne* in his "reflection" of a past event. This reflection and recounting of his personal experience conveys new information to B and C.

The second type of *ne*-attached utterances, which contain the nominalization form *n(o) (da/desu)*, appear in the course of recounting a story to provide preliminary or supplemental information to that story. Observe the following example:

(6) Participant types: NJS
    Participants: A: NJS 26, B: NJS 17
    Context: The participants are talking about their own backgrounds, including where they were before they came to Vancouver, and why they decided to come to Vancouver.

1  A: *Hajime  kara  bankuubaa  erabi* ?
       beginning from  Vancouver  choice
       "(Did you) choose Vancouver from the first?"

2  B: *N:to nee, saisho  wa:,  nande bankuubaa  ni  shita   ka tte yuu to:,*
       FI  IP  beginning TOP  why  Vancouver P  decided Q  QT  say  QT
       "Well, first, talking about why (I) decided on Vancouver. . ."

--> 3  *Ano, watashi, samui  toko  damena  no    ne* ?
      FI  I       cold  place  no good NOM IP
      "Uh, I don't like cold places."

4  *De, mada, koo, bankuubaa dat-tara samusa  ga   gaman-dekiru ka na to omotte,*
     then  still  FI  Vancouver  BE - if  coldness SUB endure - can   Q IP  QT  think
     "Then, I thought I might be able to stand the coldness of Vancouver,"

5  *Toriaezu bankuubaa ni shita   no    to,*
     anyhow  Vancouver  P decided NOM and
     "So anyhow I decided on Vancouver, and, "

6  *Ato, atashi america  no   nishikaigan ga   sugoi suki da  kara,*
     also I     America  LK West Coast  SUB  very  like  BE  since
     "Also, since I like the American West Coast very much,"

7  *Chikai  janai, sugoi.*
     close  TAG  very
     "It's very close (to Vancouver), isn't it?"

8  A: *=Un,  un,   un,*
       yeah yeah yeah
       "Yeah,"

--> 9　B: *De,　sorede,　　kanada no　bankuubaa ni eranda no　　　ne* ?
　　　　　then therefore　Canada LK Vancouver　P　chose　NOM　IP
　　　　　"So, then, I chose Vancouver, in Canada."

10　　*De　kite,　ikoo　ka to omotta　n　　da kedo,*
　　　　and come will go Q QT thought NOM BE though
　　　　"Then, I thought about going, but,"

11　A: *Nishikaigan　ni ?*
　　　　West Coast　P
　　　　"To the West Coast?"

12　B: *Ano, nishikaigan, kocchi　no　　karugarii no　　hoo　　　toka,*
　　　　FI　West Coast　this side NOM　Calgary　NOM direction such as
　　　　"Uh, this West Coast, this side of it, such as to Calgary,"

13　A::, *Un　un　un*
　　　　yeah yeah yeah
　　　　"Yeah yeah yeah"

14　B: *Kisetsu　ga　　yo-kereba,*
　　　　season　SUB　good-if
　　　　"If it is a good season,"

15　A: *Un*
　　　　yeah
　　　　"Yeah"

16　B: *Okane　ga　　na-katta　　no　　to,*
　　　　money　SUB NEG-PAST　NOM　and
　　　　"(I) didn't have money, and"

17　　*Choodo, a　nani, baito　　　　ga　kimacchat-tari toka　shite,*
　　　　a little　FI　what　part-time job SUB　got decided　such as do
　　　　"Well, (I) got a part-time job, and"

18　　*Sorede　　kekkyoku, nandakanda-itte, koko ni zutto　　moo.*
　　　　therefore　after all　　after all　　　　here P　always　already
　　　　"And, (I've been) here always, until now."

In the first half of B's response to A's question, B gave the reasons why she chose Vancouver (i.e., the fact that Vancouver is not so cold, and it is on the West Coast, Lines 1-9). In the latter half (Lines10-18) she further explains why she settled down in Vancouver. Two uses of *ne* are found during her outlining these reasons. The following is another example that shows the use of

*ne* together with the nominalization form in the presentation of new information:

(7) Participant types: NJS + JLL
    Participants: A: JLL 9, B: NJS 4, C: JLL 2
    Context: The participants start talking about the conditions of skiing in Japan and Canada.

1  A: *Nihonjin wa,   minna,   sukii   ga   joozu   no   imeeji   ga* (LAUGH) *arimasu kedo.*
    Japanese TOP everyone skiing SUB good at LK image SUB        there is   though
    "(I have) the impression that all Japanese people are good at skiing."

2  B: *Sukiijoo       ga   chikai n     desu yo.*
    Skiing areas SUB close NOM BE   IP
    "(In Japan,) skiing areas are close at hand."

3   *Sorede,   wissuraa   wa   doo   ka wakara-nai   n      desu   keredomo,*
    therefore Whistler   TOP how   Q   know-NEG NOM BE    though
    "But then, though I don't know the situation in Whistler,"

4   *Iwayuru,        Jinkooyuki    tte   itte,   ano,*
    what is called   artificial snow QT   say   FI
    "What is called 'artificial snow,' uh,"

--> 5   *Jinkookoosetsuki de, yuki   o     tsukucchau n      desu ne* ?
    snow- maker       P   snow DO   make       NOM BE   IP
    "Is made by snow-makers."

6  C: *Aa,*
    oh
    "Oh,"

7  B: *Dakara,   tashoo,        atatakakute-mo, iwayuru,       yuki   ga     hura-nakute-mo,*
    therefore more or less   warm   even      what is called snow SUB   fall-NEG-even
    "Therefore, even if it's warm or if it doesn't snow,"

8   *Sukiii   ga   dekiru yoona   jootai    ni sukiijoo    o    shichau n      desu yo.*
    skiing SUB can   so that   condition P ski areas   DO make   NOM BE   IP
    "(They) modify the conditions of skiing areas so that skiing is possible."

In this example, B tells A how available Japanese skiing areas are (i.e., 'even if it is warm or does not snow, the existence of snow-makers makes skiing possible') by providing a reason for that (i.e., 'snow is produced by snow-makers'). The speaker used *ne* in presenting this explanatory or preliminary information. The following is yet another example of *ne* following the nominalization form:

(8) Participant types: NJS + JLL
    Participants: A: NJS 7, B: NJS 5
    Context: The participants start bringing up recent news that has caught their attention.

1  A: *Ato ne, kyuushuu   de ne,*
      also IP  Kyushu     in IP
      "Also, in the Kyushu (prefecture),"

2  B: *Un,*
      yeah
      "Yeah,"

--> 3  A: *Nanka, sensee   ga   hito   ni chuuishita no    ne, seeto   ni.*
         FI      teacher  SUB  person P  warned     NOM   IP  student  P
         "Uh, one teacher cautioned a person, a student (about something)."

4  B: *Un,*
      yeah
      "Yeah,"

5  A: *Soshitara,  gatto kita   no,    sensee ni.*
      and then    OP    came   NOM    teacher P
      "And then, (that student) came up to (the teacher)."

6  B: *Un,*
      yeah
      "Yeah,"

7  A: *Sensee, sonna koto itte-ru-to,    sas-areru   yo tte yutta n       datte.*
      teacher  such  thing is saying - if stab-PASS  IP QT  said  NOM  I heard
      "And said,'Sensei, if you say such a thing, you will be stabbed.'"

8  B: *Un,*
      yeah
      "Yeah,"

In this example too, *ne* occurs in preliminary information in the introduction of a new topic (i.e.,

'one teacher cautioned a student in Kyushuu') which leads to the climax of the story (i.e., 'the

student threatened the teacher'). Notice that in the examples above, this type of *ne*-attached

utterances introduce the focal information or further supplementary information to the stories

accompanied by conjunctions or conjunction-like expressions, which are *"de"* ('and') in Example

6 (Lines 4 and 10), *"dakara"* ('so') in Example 7 (Line 7) and *"soshitara"* ('and then') in

Example 8 (Line 5). These examples reveal that this type of *ne*-attached utterances provide supplemental or subordinate information for the discourse.

Just like *ne*, *yone* often follows the *n(o) (da/desu)* form to present new information in the course of recounting a story. However, *yone* differs from *ne* in that it primarily occurs in the focal rather than the subordinate information of a story, as seen in the following example:

(9) Participant types: NJS
    Participants: A: NJS 3, B: NJS 10
    Context: A says that he is planning to go to Whistler to visit his friend who is staying there
        with a Canadian family.

--> 1  A: *Mae    itta   toki   mo   osewaninachatta   n     da   yonee.*
        before  went   when   also  was took care of   NOM   BE   IP
        "When I went (there) before too, (they) took care of me."

2   B: *A,   soo. Hee.*
        oh   so   uh-huh
        "Oh, really. Uh-huh."

3   A: *Datte,    kyaku   nanoni,      ichiban   meshi   kutteta     kara   nee.*
        because   guest   even though  most      dinner  was eating  since  IP
        "Because, even though (I was) a guest, I ate the most food during dinner."

In this example, *yone* appeared in the utterance that conveys focal information (i.e., 'I was taken care of by them') followed by supplemental, explanatory information (i.e., 'because I was the one who ate the most dinner'). Another example of *yone* following the nominalization form is given below:

(10) Participant types: NJS
    Participants: A: NJS 25, B: NJS 19, C: NJS 28
    Context: After the participants finish with self-introductions, A introduces a new topic.

1   A: *Shitara saa, minna    atashi igai,       gakusee   na   n     da   yonee.*
        then      IP  everyone  I     except for  student   BE   NOM   BE   IP
        "Then, except for me, everyone (here) is a student, right?"

--> 2  B: *Watashi, gakusee   demo          nai   n     desu   yone*
        I          student   or something  NEG   NOM   BE     IP
        "I'm not a student."

3  C: *Moo,   sotsugyoosareta  n      desu ka?*
      already  graduated         NOM  BE  Q
      " Have you already graduated?"

4  B:         [*Tan-i   wa    totta-shi.*
                credits  TOP  took  and
                "I have received some credits (already)."

In this example, *yone* appears again in the focal information in B's utterances (i.e., 'I'm not even a student'). This information is again followed by an explanation (i.e., 'since I have received some credits already'). I consider that this difference between the environments of *ne* and *yone* originates from the characteristics of *yo*, which serves to point to and then stress the speaker's utterances.

The data obtained further exhibited the following pattern: *yone* often appeared in utterances of opposition, correction and denial. Examples 11 and 12 below show the use of *yone* in utterances of opposition or denial:

(11)  Participant types: NJS
      Participants: A: NJS 15, B: NJS 31, C: NJS 20
      Context: B and C complain that young Japanese females are only given routine chores in
               work places. A, who did not feel any inequity when working in Japan, opposes
               B and C.

1  A: *Iyaa, sonna koto nai   yo.*
      no    such  thing NEG IP
      "No, that's not the case."

2      *Demo, watashi no mawari     toka,    sonna koto nai   yo, (?) nanka.*
      but   I         LK  environment such as  such   thing NEG IP     FI
      "But the environments I was in were different from such cases (?)."

3  B: *Honto?*
      really
      "Really?"

4  A: *Un.*
      yeah
      "Yeah."

--> 5   C: *Demo, shokugyoo   ni  mo  yoru    to    omou   n     da   yonee.*
          but    occupations  P   also depend  QT  think  NOM  BE   IP
          "But I think it also depends on the occupation."


In this example, *yone* is used in the utterance of "opposition" (Line 5). The example below

demonstrates the use of *yone* for "corrections":


(12) Participant types: NJS
        Participants: A: NJS 21, B: NJS 5
        Context: A is an ESL student. B is an exchange student who is studying at UBC for one year.
              A is interested in that program, and asking questions about it of B.


1    A: *Jaa,   moshi motomoto gakkoo de, kooyuu   puroguramu  ga    aru    tte   shitte-te,*
          then if     originally school  P   like this program    SUB  exist  QT   know
          "Then, if (you) already knew that your school had this kind of program,"


2    B: *Hai,*
          yes
          "Yes,"


3    A: *De,   kanada  de tor-eru   tan-i   o    shitte-tara,*
          then Canada P  take-can  credits DO  knew - if
          "Then, if (you) knew the credits (you) could take in Canada,"


4    B: *Hai,*
          yes
          "Yes,"


5    A: *Hoka   no    tan-i  o     saisho    ni  totteoite,        kocchi de*
          other  LK   credits DO  beginning  P  take in advance   here    P
          "(You could) first take other credits (in Japan), then, here -"


6    B: =*A::,*
          oh
          "Oh,"


7    A: *Tan-i   o     totte   Sorekara tte  yuu   huuni,*
          credits DO   take    and then  QT  say   like
          "Take credits, and then,"


8    B:               [*Soo  desu ne, kedo:,*
                        so   BE   IP  though
                        "It is so, but,"

--> 9     *So: umaku ika-nai   n     desu   yone.*
         so well     go-NEG   NOM   BE    IP
         "Things don't go that well."

In this example, B corrects A's supposition concerning the exchange program in which B participates. The reason for the preference of *yone* to *ne* in delivering utterances of opposition, correction and denial lies in its dual function: (1) foregrounding of the information, which is a characteristic of *yo*; and (2) indicating the speaker's attentiveness to the addressee's feelings, which is characteristic of *ne*. In other words, *yone* enables the speaker to make assertions while indicating *enryo* ('reservedness'), *omoiyari* ('empathy') and *wakimae* ('discernment.').[7] It is supposed that this use of *yone* to foreground both information and interaction simultaneously led the NJSs to choose *yone* over *ne* when they implied FTAs such as denial and correction. Therefore, I identify the use of both *ne* and *yone* during recounting a story as a PPS to indicate that the speaker recognizes the addressee not as a passive hearer but as an active cooperator in the conversation.

      Some observation should be made on the nominalization form *no desu* with which *ne* and *yone* cooccur. Many of the studies on the nominalization form *n(o) (da/desu)* characterize the primary function of this form as the providing of some explanatory information (e.g., Kuno, 1973; McGloin, 1980; Tanomura, 1990; Saji, 1991). Martin (1975) further states that the use of *no da* shows some sort of reservations as in "*Kare wa koo iu n da ga . . .*" ('This is what he says, but . . .') and in "*Iki-tai n desu (ga . . .)*" ('I want to go, you see" (but . . dare I? May I? Can I?)'). On the other hand, McGloin (1990) explains that "the function of *no desu* is to present information which is known only to the speaker or the hearer, as if it were *shared* information" (p.34-5) thus

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[7]Based on Ide's (1989) definition of *wakimae* as "the speaker's use of polite expressions to social conventions rather than interactional strategy" (p.223), Maynard (1995) interprets *wakimae* as "to behave according to sets of social norms of appropriate behavior people have to observe in order to be considered a respected member of society" (p.472). For instance, *wakimae* is involved when the speaker assesses the extent to which he or she can be assertive to the addressee, based on the social relationship between the speaker and the addressee.

*no desu* has "the effect of emphasizing particular information by claiming an appearance of shared knowledge with the hearer, thereby creating rapport or involving the hearer in the conversation or the speaker's point of view" (p.35). From the above descriptions of the functions of *no da/desu* as implying reservedness and shared information, we find that this form shares its characteristic with *ne* and *yone*. It is thus understandable that this nominalization form often functions in combination with *ne* and *yone* for the same goal of interaction: the unification of recognition between the speaker and addressee.

Our data showed that *ne* tended to appear with subordinate information and *yone* with the focal information of a story. The choice between *ne* and *yone* seems to be influenced also by the sentential forms to which these particles attach, as well as by their position in the discourse. The conversation data lacked combinations of *n da* and *ne* (nominalization form+plain copula form) in the presentation of new information, although *ne* cooccured with *n desu* (nominalization form+polite copula form).[8] This suggests incompatibility of *ne* with *n da*. For instance, the replacement of *yone* with *ne* in Example 9 is impossible. The created utterance, "*Osewaninachatta n da ne,*" does not function as a presentation of new information but is understood as a request for agreement which confirms that somebody other than the speaker was taken care of. In contrast, *ne* can be used instead of *yone* in Example 10, producing the utterance: "*Watashi gakusee demo nai n desu ne.*" But this particle could not be used if *da* were used in place of *desu*. Thus, the sentence "*Watashi gakusee demo nai n da ne*" does not make sense.[9] The same argument applies to Example 11. Another piece of evidence for the incompatibility of *ne*

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[8]This means that if the intended speech act is not the presentation of new information (e.g., request for agreement), *ne* can coocur with *n da*.

[9]Being structurally similar to the above example: "*Osewa ni nachatta n da ne,*" this utterance also solicits the addressee's agreement. However, a contradiction arises in this example since the speaker asks for confirmation concerning the information she knows best (Notice the subject "I.").

with *da* in the presentation of new information is that *ne* can cooccur with *n(o)*, a variant of *n(o)* *(da/desu)* which lacks *da*. McGloin (1990) characterizes *da* as a form which represents assertiveness, stating that "the use of a copula *da* is strongly assertive and adds a strongly imposing tone" (p.34), and is thus "generally avoided in women's speech." Similarly, Maynard (1995) describes *da* is "the blunt form" (p.473) avoided by female speakers. These observations explain why *yone*, which contains *yo*, the particle of assertion, has no problem cooccurring with *da*, unlike *ne*.[10]

In summary, the NJSs used *yo* in approximately 50% of Presentation of New Information. The data showed that *yo* was used for positive politeness strategies such as encouraging as well as in face-threatening acts. The use of *ne* instead of *yo* in this speech act amounted to as much as 40% of Presentation of New Information. This type of *ne* was then identified as a politeness strategy and a Japanese communicative style. These *ne*-attached utterances of new information were further categorized into two groups according to their structures. The first type did not contain the nominalization form *n(o)* *(da/desu)* and typically appeared in answers, comments and expressions of reflection. The second type contained *n(o)* *(da/desu)* and appeared during the recounting of a story. *Yone* also had the same usage as *ne*. However, a difference was found in that *ne* tended to appear in utterances of subordinate information while *yone* occurred in focal information to a discourse. Finally, I noted the incompatibility of *da*, the copula of assertion, with *ne*.

## 4.2.2 Presentation of New Information by JLL

Table 8 shows that, as in the NJS data, the JLL data showed that *yo* tended to cooccur with new information and *yone* with old information (i.e., Request for Agreement, Demonstration of

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[10]Martin (1975) remarks that *da* is used as "an interjectional particle, interpolated by certain male speakers to give an overbearing, preachy tone" (p.915). These characterizations of *da* as a male form, however, do not apply to the current speech style of native Japanese speakers: females also use *da*, especially in informal speech and monologues.

Solicited Agreement and Demonstration of Unsolicited Agreement). However, unlike the NJS

data, the use of *ne* was observed slightly more often in Presentation of New Information (36.1%)

than in Demonstration of Unsolicited Agreement (32.1%) which conveys old information. Also,

Table 9 reveals that as much as 61.1% of all new information utterances were presented with *ne* in

the JLL speech while NJSs used it only for 40% of new information utterances. In contrast, the

proportion of *yo* used by the JLLs in Presentation of New Information was 33%, while the NJS

counterpart was 50%. These results indicate that JLLs were much more dependant on *ne* in

presenting new information than were NJSs. However, this does not necessarily mean that the

JLLs employed *ne* more frequently than NJSs for the purpose of positive politeness strategies. The

JLL conversational data showed misuses of *ne,* or the uses of *ne* in an inappropriate context (three

different participants misused *ne*). The following examples show such cases in which the use of

*ne* is questionable. In Example 13, a JLL used *ne* in "opposition":

(13) Participant types: NJS + JLL
     Participants: A: NJS 16, B: JLL 3, C: NJS 10, D: NJS 3
     Context: Having found that B studied at a Japanese high school for one year, the NJS
          participants begin asking about his high school life in Japan.

1  A: *Eego   no   jugyoo toka     mo  deta     no   ?*
     English LK   class   such as   also  attended  NOM
     "Did you also attend English classes?"

2  B: *Soo.   Demo, sore wa   omoshiroi.* (A, B, C & D: LAUGH)
     so      but     that TOP  interesting
     "Yeah.  But, it is interesting."

3  C: *Omoshiroi  yonee.    Sugoi kantan desho.*
     interesting  IP       very  easy   TAG
     "It (should be) interesting.  It is very easy, isn't it?"

--> 4  B: *Demo:, kantan janai   ne.*
     but      easy   NEG  IP
     "But it is not easy."

5   C: *Nande* ?
    why
    "Why?"

6   D: *A,   nihongo   ni    yakus-anakuchaikenai   kara* ?
    oh  Japanese  P    translate  -  have to    since
    "Oh, is it because (you) have to translate (English) into Japanese?"

7   B: *Soo. Sore to,   ano, sensee wa,  eego    ga    anmari  yoku-nai* (LAUGH) *desu kara.*
    so    that and FI    teacher TOP English SUB much    good-NEG        BE   since
    "Yeah. And also, because the teacher's English is not so good."

In this example, the JLL used *ne* instead of *yo* in opposing or correcting (Line 4). As a result, his utterance produced an impression of detachment and impoliteness. Kamio (1990) analyzes this type of *ne* with the example *"Iya, ore wa ikanai ne."* ('No, I won't go.') uttered in response to an invitation *"Doo, isshoni ikanai?"* ('Well, don't you want to come with me?'). Kamio explains that this utterance becomes a strong denial since the use of *ne* causes the impression that the speaker strongly requests the addressee's "co-responding attitude," and thus forces him or her to accept the speaker's information. As an utterance which conveys new information ('But it's not easy.'), if *yo* is used instead of *ne* (*Kantan ja nai yo.*), the utterance sounds natural. Or he should use the other structures: the attachment of *n da+yone* (*Kantan ja nai n da yone.*) and the attachment of *n desu+yone/ne* (*Kantan ja nai n desu yone/ne.*).[11] *N da+ne* is unlikely because of the incompatibility of *ne* with *da* (**Kantan ja nai n da ne.*). The next example shows another use of *ne* by a JLL when presenting new information in the form of "answer":

(14) Participant types: NJS + JLL
    Participants: A: NJS 6, B: JLL 2
    Context: The participants move to a new topic: "The most shocking event that happened to
        you." A starts the conversation.

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[11]*No da+yone* and *no desu+yone* or *ne* are unlikely to attach to the present utterance: *"Kantan ja nai."* This is probably because the formality level of *no* does not match that of *ja* in this utterance since *ja* is the informal version of *de wa*.

1 A: *Shokku    datta    koto desu ka ?*
   shocking  was    thing BE   Q
   "Shocking events?"

2 *Un,    uchi    no  obaachan ga,    ano,  shinjatta koto,*
   yeah home LK  grandma  SUB FI    died       thing
   "Yeah, that my grandma died,"

3 *Haha-   hahaoya no  okaasan ga,*
   mother mother   LK  mother  SUB
   "Mother- Mother's mother,"

4 *Ano, shindeshimatta koto   desu ne ?*
   FI   died                  thing BE   IP
   "Uh, died."

5 *Kyonen,   choodo ichinen,   deshita kedo,*
   last year exactly one year  was      though
   "Last year, (it) was just one year (ago),"

6 *Shokku deshita   ne.*
   shock   was        IP
   "It was a shock."

7 B: *Onnaji koto  de,  jaa,*
   same   thing P  FI
   "(My case) is the same, well,"

--> 8 *Nihon  no,  obaachan,  nakunarimashita nee,  yappari.*
   Japan LK   grandma    passed away       IP    as expected
   "Similarly, my grandma in Japan passed away."

As in Example 13, *ne* in this example requires *n desu*, thus producing the utterance "*Obaachan nakunatta n desu ne.*" If the speaker intends to put more stress on this information, *yone* would be more effective than *ne* (*Obaachan nakunatta n desu yone.*). Two examples show that when the speaker's intention is to present new information during recounting a story, either *ne* or *yone* needs to accompany *n(o) (da/desu)*. Otherwise, the utterance gives rise to the impression that the speaker is requesting or showing agreement. In this sense, the above examples reveal the inappropriate use of *n(o) (da/desu)* as well as that of *ne*, suggesting that the use of *ne* and *yone* in the presentation of new information is conditioned by the proper use of the nominalization form.

At this point, the issue of the appropriate use of *yo*, *ne* and *yone* becomes complicated, involving the relationships of these interactional particles with the preceding modal elements. One question arises concerning the research into JLL acquisition of these particles: What is the real problem Japanese language learners need to handle? Is it the use of the interactional particles, their preceding element *n(o)* *(da/desu)*, or both? This is also a problem for the study of these interactional particles, revealing that it is deficient to analyze these interactional particles without taking into account their linguistic environment, especially their immediately preceding elements. The unacceptable Example 11a in Chapter Two, can be explained in the same line. The acceptability of the use of *ne* depends on the existence of the form *n desu* as observed below. For comparison, I add the *yone*-attached sentences:

(15)   (Reproduced from Example 11 in Chapter Two)

| *Watashi atama ga itai* | la. | ø | | |
|---|---|---|---|---|
| I      head   SUB aching | lb. | | * *ne* | |
| "I have a headache." | lc. | | * *yone* | |
| | ld.* | *n da* | *ne* | |
| | le. | *n da* | *yone* | |
| | lf. | *n desu* | *ne* | |
| | lg. | *n desu* | *yone* | |

Since the information 'I have a headache' is new to the addressee, when the speaker presents this information with *ne* or *yone*, he or she needs to use the nominalization form (15e, 15f and 15g). However, *n da* cannot be used because of its incompatibility with *ne* (15d). This suggests that analysis of the interactional particles cannot be conducted in isolation but should take their linguistic contexts such as their preceding modal element, *n(o)* *(da/desu)* into consideration.

While the JLLs had difficulty in handling the use of *ne* and *yone* in proper combination with the *n(o)* *(da/desu)* form, they were able to use *ne* correctly in accomplishing the other types of new information presentation, including answering, commenting and expressing reflections, all of which do not involve the use of *n(o)* *(da/desu)*. The following examples show such appropriate

uses of *ne* by two JLL participants:

(16) Participant types: NJS + JLL
      Participants: A: NJS 30, B: JLL 10
      Context: The participants are talking about travel.

   1  A: *Dokka    iki-tai       toko  arimasu  ka.*
       anywhere  go-want to   place  there are  Q
       "Are there any places you want to go to?"

--> 2  B: *Baritoo    ni iki-tai     desu ne.*
       Bali Island  P  go-want to  BE   IP
       "I'd like to go to Bali Island."

In this example, B used *ne* correctly in presenting new information as an "answer" to A's question.

(17) Participant types: NJS + JLL
      Participants: A: NJS 31, B: JLL 14
      Context: A is telling a story about her Japanese friend who said that she felt discrimination
             against the Japanese when she was staying in a countryside area in America.

   1  A: *Tokai     wa chigau   to omou kedo,  big city wa chigau   to omou kedo.*
       urban city  TOP different  QT  think  though  big city  TOP different  QT think  though
       "But I think (in) urban cities, (the situation) is different, (in) big cities,
       (the situation) is different."

   2  B: *Watashi wa   moo, ano,  demo, chicchai  machi ni  sodatta   dakara,*
       I        TOP  FI  FI  but    small    town  P   grew up  because
       "Because I grew up in a small town,"

   3  A: *Un,*
       yeah
       "Uh-huh,"

--> 4  B: *Sooyuu kanji  wa   nai,   desu ne.*
       such    feeling  TOP  NEG  BE   IP
       "I haven't had such a feeling (that I was discriminated against)."

   5  A: *N::,   so-kka.*
       hum   so - Q
       "Hum, I see."

6 B: *Ima wa jiyuu da to* (LAUGH) *omou kara.*
   now TOP free BE QT        think since
   "Since I think (we are) free now."

In this example, B used *ne* in presenting a "comment," telling of her personal experience (Line 4)

which was new information to her addressee.

*Yone* used in correct combination with *n(o) (da/desu)* occurred only twice in the speech of

the same Japanese-Canadian participant, as observed in Example 18:

(18) Participant types: NJS + JLL
     Participants: A: JLL 11, B: NJS 27, C: NJS 19
     Context: A is talking about her frustrating experiences as a Japanese-Canadian who can speak
         Japanese relatively fluently but not perfectly.

1 A: *Tatoeba ne, michi ni mayotte,*
   for example IP street P being lost
   "For example, (a person) is lost,"

2 *Kore wa doko ni an no ka naa toka kik-areru janai* ?
   this TOP where P there is NOM Q IP such as ask-PASS TAG
   "(You are) asked (by that stranger) where this is or something like that, O.K.?"

3 *Sooyuu toki, atashi kotae-rare-nai-shi,*
   such when I answer-can-NEG-and
   "In such occasions, I can't answer, and,"

4 *De, yappari nihongo mo hanas-eru kara,*
   then as expected Japanese too speak-can since
   "Then, since I can speak Japanese after all,"

5 *Kedo nihongo hanashidasu to, yappari, kono hito nanka, nihongo okashii ne,*
   but Japanese start speaking if as expected this person FI Japanese strange IP
   "But, once (I) start speaking in Japanese, (that person) says
   'This person speaks strange Japanese'"

--> 6 *Toka nanka i-wareru no yone.*
   such as something say-PASS NOM IP
   "Or something like that."

7 B & C: *Aa.*
   uh-huh
   "Uh-huh."

In this example, the JLL recounts her past experience. In this story-telling, she appropriately employed the structure of the nominalization form+*yone*.

The same type of *ne* used with *n(o) (da/desu)* in the presentation of new information was completely absent in the JLL conversation data. The JLL conversations indicated that the JLLs had few problems presenting new information with *ne* in answers, comments and reflections. However, they had much difficulty in using *ne* and *yone* appropriately together with the nominalization form, *n(o) (da/desu)*. As a result, the JLL data showed very few occurrences of *ne* and *yone* that follow *n(o) (da/desu)*. This result contrasts with the NJS data in which this type of *ne* and *yone* occurred recurrently.

## 4.3 Request for Agreement

### 4.3.1 Request for Agreement by NJS

In the current conversational data, the speech act of Request for Agreement was accompanied in most cases by *yone*. Table 3 reveals that this speech act was also the primary function of *yone* in the NJS data (41.4%) and the second primary function in the NJS+JLL data (39.7%). Furthermore, Table 4 indicates that *yone* accompanied approximately 70% of the utterances of Request for Agreement. I assume that the NJSs' preference of *yone* over *ne* for achieving this speech act lies in the high subjectivity this form reveals and the consequent effect of personalizing discourse, or the indication of the speaker's uncertainty about the information. Request for Agreement is a FTA, something more risky than demonstrating agreement in terms of the possibility of offending the addressee since this speech act requires the addressee's positive cooperation with the speaker. It is reasonable that for this speech act, many NJSs resorted to *yone*, the form which adds utterances to the tone of uncertainty. Examples of *yone* used in Request for Agreement are as follows:

(19) Participant types: NJS
       Participants: A: NJS 18, B: NJS 26
       Context: Preceding to this part, B told the other participants that she was in Calgary before
               she came to Vancouver.

1   A: *E ? yokatta.*
      uh   was good
      "Uh, was (it) good?"

2    *Karugarii  tte  donna  kanji ?*
      Calgary   QT  how    like
      "What's Calgary like?"

--> 3    *E ? samui n     da   yone ?*
      uh  cold   NOM BE  IP
      "Uh, it's cold, isn't it?"

4  B: *A,  huyu  wa  ne.*
      oh   winter TOP IP
      "Oh, in the winter, yes."

A uses *yone* here to elicit the addressee's agreement concerning the information she knows of but

is not sure about. Similarly, the speaker in the next example attempts to obtain agreement from

other members regarding her opinion:

(20) Participant types: NJS
       Participants: A: NJS 29, B: NJS 18, C: NJS 26
       Context: The participants, all of whom have had the experience of staying with Canadian
               families, are complaining about the food provided by their Canadian host families.

1   A: *Dakara   yappari,     kodomo no  tabe-tai   mono ni naru    deshoo ?*
      therefore  as expected  children LK  eat-want to  thing P  become   TAG
      "So, as expected, (such a dinner) is what the children (of the host family) want to eat."

2  B: *N::,  demo, sonna n     ja,  yappari     yatteik-e-nai.*
      hum  but    such  NOM TOP  as expected  get along with-can-NEG
      "Well, but, (we) can't accept such approaches."

--> 3    *Kocchi  wa  nanka yappari,  yuushoku tte, nanka tokubetsu da  yone? nihonjin  tte.*
      this side TOP FI    as expected supper  QT FI    special   BE IP    Japanese QT
      "For us, for the Japanese, supper is special, isn't it?"

4  C: *Nihonjin wa   nee.*
      Japanese  TOP IP
      "For the Japanese, (yes)."

This example demonstrates that requesting agreement is a FTA. Notice the use of hesitation words such as *"E?"* ('uh') in Example 19 and *"nanka"* ('well') in Example 20, as well as prosodic features such as the decreasing speed of speech, the lowering volume of the voice and rising intonation.[12] Notice that the replacement of *yone* with *ne* in the above examples produces an awkward and mismatched impression. This is because the produced utterances exhibit a conflict between the tone of the sentence as a whole and that of the particle *ne*. In other words, while the hesitation words and other prosodic features demonstrates the speaker's uncertainty about the information, the accompanying particle *ne* does not express such uncertainty to balance the tone of that utterance. For the same reason, the replacement of *ne* with *yone* in the *ne*-attached utterances also generates awkwardness. The following example demonstrates this point:

(21) Participant types: NJS
      Participants: A: NJS 2, B: NJS 1, C: NJS 9
      Context: A is describing his background such as what he is studying at UBC. Prior to this
             conversation session, he had a talk with one of the JLL participants. C saw that
             scene.

1  A: *Ima wa, sono ore wa,  jinshukankee, tte yuu no o   yatteru n   desu yo.*
      now TOP that  I   TOP racial relations QT say LK DO doing  NOM BE  IP
      "I'm now studying what is called multiculturalism."

2  B: *A,  sooshare, soosharu-*
      oh sociale-    social-
      "Oh, (it's) sociale- social-"

3  A: *Multiculturalism na  n    desu kedo   ne.*
      multiculturalism BE  NOM BE  though IP
      "It's called multiculturalism."

4  C: *A, dakara, sakki,    nikkee         no  ano hito,*
      oh therefore a while ago Japanese-descent   LK   that person
      "Oh, that's why a while ago, with that Japanese-Canadian,"

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[12]*"E?"* with a rising intonation is an interjection usually uttered if the speaker is surprised about something (e.g., *"E, honto?"* ('Oh, really?')) This form is sometimes observed at the beginning of utterances of confirmation as in Example 19. This type of *"e"* produces an impression of reduced confidence in the information. I assume that this type of *ne* is a sort of hesitation word and translated it as "uh" here for this reason.

5 A: *Un,*
    yeah
    "Yeah,"

--> 6 C *Kyoomi  ga    aru     n     desu ne.*
    interest   SUB there is NOM  BE   IP
    "You showed interest."

7 A: *Sono hen  ga.*
    that   area SUB
    "(I'm interested in) that sort of thing."

In this example, based on what he had heard (i.e., that A studies multiculturalism) and what he saw (i.e., a scene in which A and the JLL participant was conversing), C concludes that A had an interest in that JLL because of her ethnic background. C reaffirms his inference with the use of *ne* (Line 6). Similarly, in the example below, based on the obtained information, the speaker asks for the addressee's agreement with the use of *ne*:

(22) Participant types: NJS
    Participants: A: NJS 1, B: NJS 2
    Context: B is telling about his personal background, including what he was doing in Japan
         and what he is doing now in Canada.

1 A: *E,  ima,  nansai  desu ka ? tokorode.*
    uh  now  what age BE  Q    by the way
    "Uh, by the way, how old are you?"

2 B: *Nijuuyon    desu.*
    Twenty four  BE
    "(I'm) twenty four."

3 A: *Nijuuyon    desu ka.*
    Twenty four  BE  Q
    "(You're) twenty four.

--> 4     *Aa,  ja,   moo,  sasasatto kita    n     desu ne.*
    oh  then  FI   OP      came NOM BE  IP
    "Oh, so, you went straight (into graduate school), didn't you?"

5 B: *Iya, roonin  shitemashita  yo.*
    no   roonin  was doing     IP
    "No, I spent an extra year(s) studying for the university entrance exams."

A asks for the addressee's agreement to his inference (i.e., B entered graduate school immediately after finishing his B.A.), which was made based on the information he obtained (i.e., B is twenty-four). The common characteristic found in Examples 21 and 22 is that the propositions for which the speaker asks agreement (i.e., 'A has an interest in the Japanese-Canadian he was talking to' in Example 21 and 'B went straight into graduate school' in Example 22) derive from the speakers' logical thinking based on the information they received. Notice the conjunctions such as *"dakara"* ('so') and *"ja"* ('then') used in these examples. That the induced proposition was based on logical thinking suggests that the proposition can be assisted not only by the speaker but also by people in general, who follow ordinary logical thinking. In other words, since the involved proposition is based on logical thinking, the speaker is relatively sure of that proposition, and does not show uncertainty. Also, the speaker does not mark that proposition with *yone* as personal, because the proposition for which the speaker requests agreement should be appreciated not only by the speaker and addressee but also by people in general. This is the reason why *ne* is more appropriate than *yone* in the utterances in Examples 21 and 22.

The examples above suggest that the use of *ne* and *yone* is explained in terms of personalization of discourse. With the use of *yone*, a speaker requests the addressee's agreement, implying, "Can you agree with this proposition, which is no more than my *personal* understanding/perception?," which shows the speaker's humble attitude. On the other hand, *ne* lacks the function of marking a proposition as something personal to the speaker. Thus *ne* produces the impression that the speaker requests the addressee's agreement to a general proposition; namely, the proposition that should be supported not only by the speaker but also by people in general. This is why *ne*-attached utterances requesting agreement sometimes sound less polite than *yone*-attached ones do.

As well as the indication of uncertainty regarding a given piece of information, *yone* produces another impression: that the information is possessed exclusively by the speaker and

addressee. What differentiates *yone* from *ne* is the existence of *yo*, which indicates that the proposition is personal for the speaker, and that the speaker asks the addressee to agree with that personal proposition. The impression of the exclusive possession of information by the speaker and addressee originates in this characteristic of *yone*. Since *yone* indicates that common ground can be obtained between the speaker and the addressee but not necessarily by others, *yone* becomes more effective than *ne* in order to obtain somebody's cooperation and thus reinforce and justify the speaker's own position against others'. The example below illustrates this function of *yone*:

(23) Participant types: NJS
    Participants: A: NJS 17, B: NJS 18, C: NJS 29, D: NJS 26
    Context: B says she has to work while she is staying in Canada. A, a Working-Holiday visitor
        just like A, shows sympathy with her situation.

1  A: *Soo da  yone, okane ga  heru    dake da  mon  nee.*
      so  BE  IP    money SUB decrease only BE NOM IP
      "Right, (we are) just running out of money."

2  B: *Un.*
      yeah
      "Yeah."

3  A: *U::n.*
      hum
      "Hum."

4  C: *Heru    no    wa  hayai desu nee, tamaru    no   wa  osoi  noni.* (LAUGH)
      decrease NOM TOP quick  BE  IP  accumulate NOM TOP  slow  though
      "Running out of money happens quickly, although saving money happens slowly."

5  A: *U::n, honto soo da  yone.*
      yeah really so  BE IP
      "Yeah, exactly."

6    *Hoomusutee    dat-tara, kedo, gaishokushi-na-kereba,*
      home-staying  BE - if  but    eat out - NEG - if
      "But, (you're) 'home-staying,' so, if you don't eat out,"

--> 7  C: (Facing to D) *Shimasu yone, demo. Shuumatsu toka.*
                  do       IP    but    weekend    such as
                  "But you do eat out on weekends or other occasions, don't you?"

8  D: *Un.*
        yeah
        "Yeah."

In this conversation group, A and B were already friends prior to this research, and so were C and D. In addition, A and B had commonality in that they were both Working-Holiday visitors and lived by themselves in apartments. On the other hand, C and D, as ELI students, shared the experience of staying with Canadian host families. In this conversation, C, finding a disparity between her opinion and A's, tries to elicit D's support to defend her position and thus to justify herself. C used *yone* for this purpose. The context of Item 8 of the fill-in-the blank test, which is reproduced in Example 24 below, exhibits this strategy. The following shows the original conversation extracted from the cartoon strip:

(24) Participants: A: Grandpa, B: Father, C: Mother, D: Grandma, and Kobo (a child)

    Context: In the living room, A, B, C and D are sitting at a table, while the TV is on. C turns
        the channel to a drama. A tells her to change the channel to a news program, but C
        refuses. They hold a majority vote. Being even, A and C go to awaken Kobo, who is
        sleeping in the next room, and they attempt to make Kobo side in with them.

1  A: *Nyuusu  ga    mi-tai        hito.*
        news    SUB watch-want to  person
        "The people who want to watch the news program?"

2  B: *Ha:i.*
        yes
        "Yes."

3  C: *Dorama  ga    mi-tai        hito.*
        drama    SUB watch-want to   person
        "The people who want to watch the drama?"

4  D: *Ha:i.*
        yes
        "Yes."

---> 5   C: (Facing Kobo) *Kobo-chan  wa    dorama yone* ![13]
                         Kobo       TOP  drama    IP
                         "Kobo, you're for Drama, aren't you?"

6   A: (Facing Kobo) *Nyuusu daroo* !
                         news   TAG
                        "News, right?"

In this setting, the goal of both A and C is to obtain agreement with their own positions from Kobo, who has the power to choose the channel. A tries to make Kobo share the common ground A and B have, putting C and D on the other side. At the same time, C aims to draw Kobo to her and B's side, opposing to C and D. The use of *yone* is very useful for C to conduct the speech act of requesting agreement since with the use of *yone*, she can elicit the addressee's (=Kobo's) agreement by excluding the others (A and B). The next chapter presents the result of this question.

The discussions above revealed that the subjectivity or personality *yone* projects in utterances consequently generates the impression of uncertainty and exclusive possession of information by the speaker and the addressee. I attributed these effects to the nature of *yo*, which comprises *yone*. Because of *yo*, *yone* engenders still another effect: the foregrounding of the information to which the speaker asks the addressee's agreement. In other words, the use of *yone* indicates that the speaker's desire to elicit the addressee's agreement is stronger than when he or she employs *ne*. For this reason, NJSs sometimes repeated *yone*-attached utterances that requested agreement when they could not obtain an immediate response or agreement. This is the phenomenon which is lacking in the *ne*-attached utterances. The following is an example of this:

(25) Participant types: NJS + JLL
     Participants: A: NJS 2, B: NJS 1, C: JLL 21
     Context: Discovering that C is being quiet, A and B began talking to her. Remembering what
           C said before, A confirms for C her ability to speak French.

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[13]In the question sheet, *yone* in Line 5 was changed into a blank and the participants were asked to fill in the blank with an interactional particle they would choose.

--> 1  A: *Huransugo, shabe- shaber-eru    n      desu  yone.*
       French    spea-  speak-can  NOM  BE   IP
       "You can spea- speak French, can't you?"

2  *Huransugo.*
   French
   "French."

3  *Hanas-eru.*
   speak-can
   "(You are) able to speak (it)."

4  *Hanas-emasu  yone.*
   speak - can      IP
   "You can speak (French), right?"

5  *Sore   wa,*    (B: LAUGH) *kokode benkyooshita  n      desu ka.*
   that  TOP                  here    studied          NOM  BE   Q
   "Did you study that here?"

6  B: (LAUGH) *Mensetsu   mitai desu nee.*      (A: LAUGH)
              interview   seem  BE   IP
              "(This) looks like an interview."

7  C: (LAUGH) *Haha     wa,   huransu, huransujin desu.*
              mother  TOP France   French      BE
              "My mother is French."

Prior to this conversation, C mentioned that she could speak French. A recalls that and confirms that information. However, C did not provide any responses to A's request for agreement (Line 1), probably because she could not understand what he had said. A then repeats the question to obtain the information he had anticipated, that C is able to speak French (Lines 2, 3 and 4), since this information is important enough to be the premise for his next question, 'Did you study that language here?' (Line 5). Interestingly, after observing the interaction of A and C, B described this scene as interview. This comment also suggests that B perceives that A is foregrounding the information for which he asks C's agreement since the main goal of an "interview" is to elicit information from an interviewee rather than to promote interaction.

The above discussions pointed out three pragmatic effects of *yone* in Japanese discourse: (1) to indicate the speaker's uncertainty about information, (2) to imply the exclusive possession of

information by the speaker and addressee, and (3) to foreground the information to which the speaker requests the addressee's agreement. Among these three possibilities, the first one seems especially significant in terms of Japanese discourse, as the expression of uncertainty concerning the involved information sometimes indicates politeness. In other words, the indication of uncertainty satisfies both the positive and negative face wants of the addressee as follows: (1) the speaker satisfies the addressee's "positive face want," or the desire to be appreciated or approved, by lowering confidence in the involved information and yielding himself or herself to the addressee's knowledge; and (2) the speaker fulfills the addressee's "negative face want," or the desire not to be intruded upon, by decreasing the possibility that the addressee's knowledge will be challenged. Furthermore, this revelation of uncertainty due to politeness concurs with Japanese communicative styles such as showing *enryo* ('reservedness'), *omoiyari* ('empathy'), *wakimae* ('discernment') and "preference for avoiding confrontation" (Cook 1992: 526). Therefore, I assume that the NJSs' high tendency for employing *yone* to request agreement is due to the pragmatic factor in Japanese politeness and communicative styles.

### 4.3.2 Request for Agreement by JLL

As in the NJS data, Request for Solicited Agreement was the primary function of *yone* in the JLL speech (Table 13). However, the proportion of *yone* and *ne* the JLLs used for this speech act was different from that of the NJSs'. By comparing Tables 4 and 9, it is found that the JLLs used *yone* and *ne* with a proportion of 6:4, while the NJSs used them with the approximate proportion of 7:3. This result indicates that the JLLs were more dependent on *ne* when requesting agreement as well as when presenting new information. Below is an example of *yone* a JLL used appropriately and effectively:

(26) Participant types: NJS + JLL
        Participants: A: NJS 30, B: JLL 10, C: NJS 24
        Context: The participants are talking about travel.

1 A: *Kanada no hoka, kanada no dokka itta koto arimasu ka.*
Canada LK others Canada LK somewhere went experience there are (polite) Q
"Have you ever been to some other places in Canada?"

2 B: *Banhu ni itta n desu kedo,*
Banff P went NOM BE (polite) though
"I went to Banff,"

3 A: *Aa, doo deshita ka?*
oh how was (polite) Q
"Oh, how was it?"

4 B: *Sugoi desu nee, nanka moo, zentaitekini jibun ga sugoku chiisai sonzai ni*
great BE (polite) IP FI FI as a whole self SUB very small existence P
"It was great; (I felt as if) I was a tiny entity, "

5 A: *[Shizen,*
nature
"Nature,"

6 B: *=Nee, kakom-arechatte,* (LAUGH)
IP surround-PASS
"Yeah, being surrounded,"

7 A: *=Aa,*
uh-huh
"Uh-huh,"

8 *Demo nidoto iki-taku-nai.*
but twice go-want to-NEG (plain)
"But, I don't want to go there any more."

9 A: *Nande?*
why
"Why (not)?"

10 C: *Nande? Tooi.*
why far (plain)
"Why (not)? (Is it) far?"

11 B: *Ikkai ike-ba juubun.*
once go-if enough
"One visit is enough."

12 A: *Aa, nanimo nai.*
uh-huh anything NEG (plain)
"Uh-huh. There is nothing (there)."

--> 13   B: *Demo, koronbia aisufiirudo tte arimasu       yone.*
            but    Columbia Icefield    QT  there are (polite)  IP
            "But there is (a place called) the Columbia Icefields, right?"

14   C: = *Un,   un,   un,*
          yeah   yeah  yeah
          "Yeah, yeah, yeah,"

15   B: *Suggoi kiree    deshita.*
          very    beautiful   was (polite)
          "It was very beautiful."

16   A: *He::.*
          hum
          "Hum."

This JLL participant is a Japanese-Canadian, whose Japanese language ability is rather high, as observed in her speech. For example, the use of *keigo* ('honorifics') is well controlled in her speech. So is the use of *ne*. The use of *yone* in this example is interesting for a pragmatic reason. Since she is a Canadian, she is assumed to be more familiar with the geography of this country than her conversation partners A and C, who are visitors from Japan. Thus, it is not uncertainty concerning the information, 'there is a place called the Columbia Icefields,' that motivated her to choose *yone*. Rather, the this use of *yone* is a politeness strategy to satisfy her addressee's negative face want made by lowering her confidence in the information.

Although *yone* was used appropriately in the example above, such an appropriate use of *yone* in Request for Agreement was scarce in the present JLL data. Moreover, the JLL data exhibited inappropriate uses of *yone*. In the example below, another JLL employed *yone* in a request for agreement. However, *ne* is more suitable this time than *yone*:

(27) Participant types: NJS + JLL
     Participants: A: NJS 20, B: NJS 31, C: JLL 14
     Context: A and B, the NJSs, are comparing Canada and the U.S. as the places to live, by
          discussing issues such as racism and the lives of immigrants.

1　A: *N::, maa, demo, nanka　　aru　　kamoshirenai kedo,*
　　　FI FI　but　　something there is　may　　　　　though
　　　"Well, although (some bad points) may exist,

2　　　*Amerika yori wa　ii　　no　　ka naa.*
　　　America than TOP good NOM Q　IP
　　　"I wonder if (Canada is ) better than America."

3　B: *Ii　　to omou yo.*
　　　good QT think IP
　　　"I think (Canada is) better."

4　　　*Zenzen chigau　mon, sorya:.*
　　　totally　different NOM it is
　　　"It's totally different (from America)."

5　A: *E::, soo ?*
　　　oh so
　　　"Oh, is it?"

6　　　*Wakan-nai. Sono hito　　ni kiita dake de, watashi ga　　itta wake janai kedo,*
　　　know-NEG that　person P heard only P I　　　SUB said case　NEG though
　　　"I don't know. I just heard this from that person, and it's not that I went there,"

7　A: *Jissaini　ne, taikenshitemi-nai to,　wakan-nai*
　　　actually IP experience - NEG if　know-NEG
　　　"Unless you actually experience it, you don't know"

8　B: =*Wakan-nai　kedo　ne.*
　　　know-NEG　though IP
　　　"You never know, though."

9　　A: =*Wakan-nai　desu　yone.*
　　　know-NEG　BE　IP
　　　"You never know."

10　C: *Aa, nanka, Los Angeles ga　ichiban,*
　　　oh　FI　Los Angeles SUB number one
　　　"Oh, Los Angeles seems to be most -"

11　B: *Un,*
　　　yeah
　　　"Yeah,"

-->12　C: *Chotto kowai mitai　da yone.*
　　　a little　scary seem BE IP
　　　"Scary, isn't it?"

13  A: *Kowai tte no    wa, nani  ga   kowai no* ?
      scary   QT NOM TOP what  SUB scary   NOM
      "What do you mean by 'scary'?"

None of the participants in this conversation group was particularly familiar with the situation in Los Angeles. In addition, any frightening news was not heard when this research was being conducted. Under these conditions, C's use of *yone* sounded rather abrupt. As a result, her utterance elicited A's response, *"Kowai tte no wa, nani ga kowai no?"* ("What do you mean by 'scary'?"), indicating that B's understanding does not accord with A's. The use of *ne* can instead reduce this impression of abruptness and awkwardness, although the sense of abruptness still remains. This example implies that the proposition to which the speaker asks the addressee's agreement with *yone* should be close enough to the addressee's so that he or she can feel personally connected with that proposition. In this sense, while the use of both *yone* and *ne* are based on the establishment of "common ground" between the speaker and addressee, as discussed in Chapter Two, it seems that *yone* requires more common ground than *ne* does. The following example shows a use of *ne* by still another JLL participant in requesting agreement. Contrary to Example 27, *ne* should be replaced by *yone* in this case:

(28) Participant types: NJS + JLL
       Participants: A: JLL 9, B: NJS 8, C: NJS 6
       Context: The participants are talking about shocking events in their lives. A, a Chinese-Canadian, describes the time when he first came to Canada.

1  A: *A::n, koko ni  kita    toki   wa,   hajimete kanada ni  kita   toki,*
      FI    here P  came  when TOP  first       Canada P  came  when
      "Uh, when I came here, when I came to Canada for the first time,"

2   *Ano, kanada,  kanadajin wa,  ano, jibun  no  kodomo o    homesugiru           koto,*
      FI   Canada  Canadians TOP FI   self  LK children DO compliment too much thing
      "Uh, that Canada, the Canadians compliment their own children too much,"

3  B: *=N:,*
       hum
       "Hum,"

4  C: *E,  kikoemas-en-desita.    Moo  ichido.*
  oh  can-hear-NEG-past  more  once
  "Oh, I missed (what you said). Once again. "

5  A: *Jibun no  kodomo o  homesugiru.*
  self  LK  children  DO compliment too much
  "(They) compliment their own children too much."

6  C: *Homesugiru.*
  compliment too much
  "Compliment too much.

7   *Kanadajin  ga   desu ka ?*
  Canadians  SUB BE  Q
  (You mean) Canadians?"

8  A: *Hai. Ano, hutsuu, ano, nihonjin  to  chuugokujin wa  amari,*
  yes  FI  usually  FI  Japanese  and Chinese  TOP much

--> 9   *Ano, ano, keesonsuru* [sic]  *ne.*[14]
  FI  FI  show modesty  IP
  "Yes. Uh, uh, usually, the Japanese and the Chinese show modesty, right? "

10 B: *Un.*
  yeah
  "Yeah."

In this case, the use of *yone* seems more suitable than *ne*, because of its effects in indicating the speaker's uncertainty about the information and the exclusive possession of information by the speaker and addressee. Examining this speech, it is found that A is not very confident in his argument from the frequent use of the hesitation word *"ano"* ('well'), the decreasing speed of speech, and the lowering volume of voice. As we discussed with Examples 19 and 20 in Section 4.3.1, the reason this *ne* sounds awkward lies in conflict between the uncertainty sensed from A's entire speech and the tone of *ne*, which does not show such uncertainty. Also, notice the content of this discourse: A, a Chinese-Canadian, tries to associate himself with the other two Japanese participants, or he attempts to include the Japanese within his (Chinese) group, excluding Canadians in order to reinforce his proposition. To achieve this goal, he needs cooperation from

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[14]*"Keesonsuru"* in Line 9 is considered to be a the mispronunciation of *kensonsuru.*

the other two Japanese people. This situation resembles Example 24, in which *yone* works more effectively than *ne* to elicit the addressee's agreement and support. I speculate that the JLLs' infrequent and inappropriate uses of *yone* in requesting agreement are due to their lack of or incomplete comprehension of this form, just as in the case of *ne* and *yone* used with the nominalization form. Chapter Five further analyzes this point.

## 4.4 Demonstration of Solicited Agreement

### 4.4.1 Demonstration of Solicited Agreement by NJS

The NJSs performed Demonstration of Solicited Agreement in most cases with *ne* both in NJS-only and NJS+JLL conversations. However, one difference was found in the distribution of the three particles used for this speech act between the two types of conversations. In the NJS-only conversations, 56.3% of Demonstration of Solicited Agreement was accompanied by *ne*, and the percentage increased up to 80% in NJS+JLL conversations (See Table 4). I speculate that increased uses of *ne* in NJS+JLL conversations was caused by the NJSs' attempt to establish the common ground with JLLs, anticipating their background differences. In contrast, the fewer uses of *ne* in the NJS-only conversation is probably due to the greater common ground the interlocutors already shared as native Japanese people. In this sense, this frequent use of *ne* by NJSs in NJS+JLL conversations might be characterized as "foreigner talk" caused by the fact that the addressee is a non-native speaker. Ellis (1994) lists three main functions of foreigner talk: (1) "to promote communication, (2) to signal, implicitly or explicitly, speakers' attitudes towards their interlocutors, and (3) to teach the target language implicitly" (p.264). He elaborates on (2), stating that it is a special kind of affective bond that foreigner talk can create between native- and non-native speakers. This observation explains why NJS+JLL conversations showed more frequent occurrences of *ne*, an interactional particle of "common ground" in demonstrating agreement. Below is an example of this type of *ne* which a NJS used in response to a JLL's utterance:

(29) Participant types: NJS + JLL
    Participants: A: NJS 25, B: JLL 8
    Context: Participants are talking about mah-jongg in Japan, Taiwan and Hong-Kong.

1  A: *Kake  wa  suru no ?*
        betting TOP do  NOM
        "(Do you) bet?"

2  B: *Un,  mochiron.* (LAUGH)
        yes of course
        "Yes, of course."

3  A: *Demo, sore wa  sa:,*
        but    that TOP IP
    "But, that (is)"

4      *Are, irigorii* [sic] *janai no    ?*
        uh   illegal       TAG NOM
    "Uh, illegal, isn't it?"

5  '  *Ihan     janai no ?*
    violation TAG NOM
    "Isn't it law violation?"

6  B: *Iya, wakar-anai.*
        no  know-NEG
        "No, I don't know."

7      *Watashi ga   maajan    kake-te-nai.*
        I       SUB mah-jongg betting NEG
    "I'm not betting with mah-jongg."

8      *Demo ne, moshi kaketa, ii    koto   janai.*
        but  IP  if      bet    good thing  NEG
    "But, if you bet, it's not a good thing."

--> 9  A: *Ii    koto  janai ne.* (LAUGH)
        good thing  NEG IP
    "It's not a good thing."

In the example above, A indicates her agreement with B's utterance (Line 8) by repeating that

utterance and adding *ne*. This type of *ne* may appear in particular registers such as "teacher talk"

and "caretaker talk" as well as in "foreigner talk."[15] Ellis (1994) explains that these registers show such similarities as simplification of language, repetition of utterances and unequal status of interlocutors. The point is that this type of *ne* is expected to happen in these particular registers but not in usual all-native-speakers-conversations, as observed in Example 30 below:

(30) Participant types: NJS
    Participants: A: NJS 20, B: NJS 23, C: NJS 31
    Context: A is amazed by the fact that Canadian university students, unlike Japanese, always
        carry big, heavy backpacks. C fully agrees with A.

1  A: *Kocchi kite sa:, minna omoi ryukku shotte sa:,* (LAUGH)
    here come IP everyone heavy backpack carry IP
    "(After I) came here, (finding that) everyone carries a backpack,"

2  *Watashi honto koshi itaku-naru.*
    I really back aching-become
    "I have a back ache."

3  B: *A::.*
    oh
    "Oh."

4  A: *Nihon no daigaku de zettai konnna no mota-nai yo.*
    Japan LK university P absolutely like this NOM carry-NEG IP
    "(Nobody) carries such a thing in Japanese universities, for sure."

5  C: *Zettai mota-nai yo.*
    absolutely carry-NEG IP
    "Never carry (them)."

6  A: *Konna no motte-ru nihon no daigakusee, i-nai yonee.*
    like this NOM is carrying Japan LK university student exist-NEG IP
    "There is no Japanese university student who carries such a thing. (Is there any?)"

7  C: *Ita- ita-tte, kitto tomodachi ni nar-anai yo.*
    exist exist-if definitely friend P become-NEG IP
    "Even if there is such a student, I wouldn't make friends with him/her."

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15According to Ellis (1994), "caretaker talk" refers to the modified speech adults (or older children) use when addressing young children. This register is sometimes called "motherese" or "baby-talk." "Teacher talk," on the other hand, is the language a teacher uses when addressing classroom language learners adjusted to both language form and function in order to facilitate communication. The terms "classroom discourse" and "educational discourse" also refer to this register.

8  A: *Ne, nanka, chotto, doo shita n   daro   tte kanji   da yone.*
     IP FI   a little  how  did  NOM I wonder QT  impression BE  IP
     "I feel like saying, 'What happened to them?'"

9     *Nihon   no daigaku  ni konna  ko   ga   i-tara*
     Japanese LK university  P  like this child  SUB  exist-if
     "If there were a student like this at a Japanese university,"

--> 10  C: =*Okashii  yone.*
          strange  IP
          "(It would be) strange (, don't you think?)"

--> 11  A: *Okashii  yonee.*
          strange  IP
          "Strange (, really)."

In this example, A brought up a new topic (Line 1). A, finding that C is agreeing with her most strongly among her conversation group members (Line 5), began addressing C in particular (Line 6). Notice that in the following portion, A employed *yone(e)* three times but no *ne*, and also that she responded to C with the same *yone*-attached utterance (Line 11). Furthermore, this example suggests that while A and C were strengthening their bonds by showing agreement with each other, B and another participant were left in a rather passive position as audience. This example exhibits the characteristic of *yone* to increase intimacy between the speaker and the addressee and to distance the speaker and addressee from the third party. Notice that if *ne* were used in place of *yone* in Line 10 and/or Line 11, the utterance would create the impression that the speaker had more control of the conversation, exhibiting the characteristic of foreigner talk, teacher talk and caretaker talk, just as in Example 29. This is probably because *ne* lacks the function of *yone* to show intimacy and draw the speaker's status to an equal level with the addressee.

One characteristic of the *ne*-attached utterances that demonstrate agreement was that the structure *"soo (da/desu)* ('it is so')" preceded *ne* in many cases. As much as 60% of the *ne*-attached utterances of Demonstration of Solicited Agreement contained *soo (da/desu)*. The remaining 40% were the utterances consisting of the partial repetition of the addressee's utterance

and the attachment of *ne*. This result contrasts highly with the fact that the *soo (da/desu)+yone* pattern was found only twice in the form of "*Soo da yone*." I assume that this tendency for *soo* to be connected with *ne* but not with *yone* relates to the personalization of discourse. If the speaker intended to demonstrate actively his or her agreement and collaboration with the addressee, he or she would choose certain specific words instead of *soo*, the meaning of which is general and ambiguous. In addition, a speaker can intensify the extent of his or her agreement through the use of *yone* which shows the speaker's empathy. On the other hand, for usual agreement without any stress, *ne* might be preferable since this particle does not show the speaker's personality traits such as empathy and uncertainty. The NJSs often produced utterances of this general agreement with the use of *ne*. It is thus reasonable that this type of general agreement is apt to take *ne* and *soo*, both of which do not indicate specific meanings; thus, it has a wide range of uses.

## 4.4.2 Demonstration of Solicited Agreement by JLL

As well as the results of Request for Agreement, Showing Unsolicited Agreement by the JLLs was similar to that of the NJSs in that *ne* performed this speech act in most cases. The differences between the NJS's and JLL's speech were that the JLLs did not employ *yone* for this speech act at all, and that all of the *ne*-attached utterances which demonstrated agreement consisted of the *soo (da/desu)+ne* structure. In other words, the JLLs did not go further than using *ne* in the formulaic expression of *soo (da/desu) ne*.[16] Consequentially, these two characteristics of the JLL speech; namely, non-use of *yone* and the lack of productive use of *ne,* made the discourse of JLLs less personalized, with the their feelings and emotions less projected into their utterances. The following example illustrates the difference between NJSs and JLLs in their indication of agreement:

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[16]Sawyer (1991) states that "*soo desu ne*" is the formula that Japanese language learners acquire relatively fast.

(31) Participant types: NJS + JLL
      Participants: A: NJS 4, B: JLL 2, C: JLL 9
      Context: The participants are talking about skiing and other Winter sports in Canada.

1    A: *Hokani huyu   no, nanka, rejaa   toka     tte,*
        other   winter LK  FI      leasure such as  QT
        "As for other Winter leisures,"

2    *Kanada de wa, dooyuu     no   ga   aru     n   desu ka ne.*
        Canada  P TOP what kind of NOM  SUB  there are NOM BE  Q  IP
        "I wonder which are ( popular) in Canada."

3    *Yappari,   ichiban    saishoni sukii sunooboodo  tte omoitsuku n desu keredomo,*
        as expected number one first     skiing snowboading QT think of NOM BE   though
        "As expected, skiing and snowboading come first, but,"

4   . *Hokani nani  yararemasu ?*
        other   what  play (polite)
        "What other (sports) do you play?"

5    B: *Aisusukeeto mo,*
        iceskating   too
        "Iceskating, too,"

6    A: *A,   aisusukeeto mo  ikimasu ?*
        oh   iceskating   too  go
        "Oh, do you go iceskating, too?"

7    B: *Iya, saikin (?)*
        no  lately
        "No, lately (?)"

8    A: (LAUGH) *Saikin wa   zenzen  ik-anai.*
                 lately  TOP at all    go-NEG
                 "(You) don't go iceskating lately at all."

9    B: (To C) *Aisusukeeto toka   wa   yar-anai   n     desu ka, hokkee toka    mo ?*
                iceskating    such as TOP play-NEG NOM BE  Q  hockey such as too
                "Don't you iceskate or play hockey?"

10   A: (To C) *A, hokkee  yararemasu ?*
                oh hockey  play
                "Oh, do you play hockey?"

11   C: *Ie. Demo, kanada de wa,  hokkee ga   ninki     ga  arimasu ne.*
         no but    Canada P TOP hockey SUB popularity SUB there is  IP
         "No. But, in Canada hockey is popular."

--> 12    B: *Soo desu ne.*
        so   BE   IP
        "It is."

--> 13    A: *=Ninki        arumasu nee.*
        popularity  there is   IP
        "It is popular."

This is one of the examples in which the JLLs resorted to the *soo desu ne* formula, where the NJSs used their own expressions for showing agreement.[17]

The absence of *yone* in the JLL data means that they did not produce *soo (da/desu) yone*, while they frequently used the expression *soo (da/desu) ne*. I speculate that one reason for these usages resides again in the nature of the classroom discourse. It is almost impossible to imagine a situation in which a teacher would use "*soo (da/desu) yone*" in the Japanese language classroom, considering that the teacher's discourse little concerns functions of *yone* such as the indication of uncertainty and exclusive possession of information with a particular addressee.

## 4.5   Summary

This chapter analyzed the use of *yo*, *ne* and *yone* by the NJSs and the JLLs in terms of their relationships with conversation management, information status and request for and demonstration of agreement. Section 4.1 showed that both the NJSs and the JLLs used *ne* almost exclusively for conversation management. Section 4.2.1 analyzed the NJS's use of *yo*, *ne* and *yone* in the presentation of new information, and found that more than 40% of new information was presented with *ne* instead of *yo*. This type of *ne* and *yone* were identified as politeness strategy and Japanese communicative styles. The data also showed two types of utterances in which *ne* and *yone* accompanied new information: (1) those utterances which lack the nominalization form *n(o)*

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[17]One possibility is that A's utterance (Line 13) might have been motivated by avoidance of the repetition of " *Soo desu ne.*" However, that A's utterance immediately follows B's without a pause suggests that A produced his utterance with little consideration of the preceding utterance of B.

*(da/desu)* and represent such as answers, comments and reflections; and (2) those which contain *n(o) (da/desu)* and appear during a story-telling. A difference between *ne* and *yone* was observed in their locations in a discourse; namely, *ne* tended to appear in the utterances of subordinate information while *yone* occurred in the focal information of the story. Another difference between *ne* and *yone* concerns their connection with the preceding modal element; specifically, *ne* is incompatible with *da*, the copula of assertion, while *yone* can cooccur with *da*. Section 4.2.2 revealed that the JLLs employed *ne* with as much as approximately 60% of the new information. However, their uses of *ne* were inappropriate in some cases. The JLLs had particular difficulty in using *yone* appropriately in the course of story-telling. This is probably because the learners must first know the use of *n(o) (da/desu)* in order to correctly use this type of *ne* and *yone*.

Section 4.3.1 discussed the frequent use of *yone* by the NJSs in requesting agreement, and explained that *yone* is a powerful device with various effects as follows: (1) to show the speaker's uncertainty concerning information and extensively indicate politeness; (2) to elicit the addressee's support by claiming the exclusive possession of information by the speaker and addressee; and (3) to intensify the effect of requesting agreement by foregrounding the information to which the speaker is asking the addressee's agreement. The NJSs' preference for *yone* was then attributed to the indication of uncertainty and politeness, both of which conform with Japanese communicative styles. Section 4.3.2 revealed that the JLLs also employed *yone* for most requests for agreement. However, the JLLs were more inclined to use *yone* infrequently and *ne* more frequently, compared to the NJSs. Also, the JLLs exhibited inappropriate uses (misuses) of *ne* caused probably by their lack or inadequate knowledge of *yone*.

When demonstrating agreement, in contrast to requesting agreement, both the NJSs and the JLLs used *ne* more frequently than *yone*. In addition, a strong pattern was found concerning the use of *ne*: this particle followed the *soo da/desu* structure, and lacked the use of *yone*.

Furthermore, the JLLs' exhibition of agreement always consisted of this *soo (da/desu)+ne* construction. This result suggests that the JLLs engaged in the process of discourse personalization less than the NJSs did. Another notable finding was that the NJSs used *ne* more frequently in NJS+JLL conversations than in NJS-only conversations. These frequent uses of *ne* in the NJS conversations were identified as "foreigner talk" used for the purpose of establishing common ground with the learners and then facilitating interaction.

# Chapter Five

# Fill-in-the-Blank Tests and Questionnaire Data

Analyses of the conversational data in Chapter Four revealed two important findings concerning the relationship between the use of *yo*, *ne* and *yone* and speech acts. First, contrary to the general understanding that *yo* is the particle that presents new information, *ne* was also an important particle employed frequently for presenting new information. Secondly, *yone* was the primary particle used in requesting agreement.[1] This chapter analyzes the data of the fill-in-the-blank tests and questionnaire and discusses the relationship between the use of *yo*, *ne* and *yone* with the presentation of new/old information as well as the use of *yone*.

## 5.1 Results of the Fill-in-the-Blank Tests

The previous chapter discussed the conversational results in terms of the appearance of *yo*, *ne* and *yone* in actual speech, but could not analyze the "absence" of these particles. This section addresses the appropriateness of the use of *yo*, *ne* and *yone* by analyzing the results of the fill-in-the-blank tests that asked the participants to supply suitable particles in given contexts. The test consisted of twelve questions, each of which asked the participants to make the appropriate choices among *yo*, *ne*, *yone* and non-use of any particle for a given situation, but only nine were used for analysis.[2]

The contexts of the nine items and other relevant information for analyses are as follows:

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[1]Collier-Sanuki (personal communication) points out the importance of these findings for pedagogical purposes since no textbooks explain that *ne* can present new information or that *yone* elicits agreement. Some textbooks (e.g., *Learn Japanese: New College Text, Vol.1*) teach that *yo* presents new information while *ne* requests agreement (e.g., *Foundations of Japanese Language, Japanese for College Students: Basic,Vol.1*).

[2]I later excluded three questions from the data. Out of three questions, two concerned interjective and insertional uses of particles (Questions 3 and 12). The third question (Question 5) was later excluded since the test did not clearly indicate the addressee, thus produced various responses, reflecting the different viewpoints of the test takers.

## Figure 10   Contexts of the Fill-in-the-Blank Tests

| Q# | Speech Act | New/Old Information of Speech Act | Context at the Time of the Utterance |
|---|---|---|---|
| 1 | | | A and B (a middle-aged couple) ask directions to a community center at a police station. After they leave the station -- |
| | Requesting Agreement[3] | (1) Old | (1) A (wife) confirms the directions with B (husband), who goes in a different direction. |
| | Opposing | (2) New | (2) A opposes B, who goes in a different direction. |
| 2 | Opposing | New | In the above context, B opposes A, pointing in another direction. |
| 3 | Reporting | New | Observing the unusual behavior of his grandfather, A reports what he saw to his mother in an enthusiastic way. |
| 4 | Answering | New | A answers his father's question about where his mother is. |
| 5 | Complimenting[4] | | A compliments his wife on her hair style when she comes back from a hair salon. |
| | | (1) Old | A presents another compliment that reinforces the previously uttered one. |
| | | (2) New | A presents another utterance which is united with the preceding utterance to constitute one compliment. |
| 6 | Correcting | New | In the above context, the wife corrects her husband by saying that she went there just to buy shampoo. |
| 7 | Refusing | New | A tells B to turn the channel to a news program. B refuses. |
| 8 | Requesting Agreement | Old | In the above context, trying to gain others' support, B seeks C's agreement on her own position. |
| 9 | Indirectly Criticising[5] | | Seeing her husband (B) coming home fairly drunk, A indirectly criticizes him. |
| | | (1) Old | A assumes that B is conscious enough to understand what she says. |
| | | (2) New | A assumes that B is almost unconscious due to intoxication. |

[3]The speech act involved in this context can be taken either as Requesting Agreement or as Opposing, depending on how test-takers judge A's (wife) psychological state. If the test-taker judges that A requests agreement, the information that speech act conveys is old. On the other hand, if the test-taker assumes that A's speech act is opposing, the information to be conveyed is new.

[4]This speech act of making a compliment is considered to be presenting either new or old information. Prior to this stage, the husband implies that he would surprise her by making a compliment. The facial expression of the wife also indicates that this flattering comment from her husband was unexpected (See Appendix G.). This suggests that the husband usually does not give her compliments. In this sense, the information that he presents is new. On the other hand, this compliment can be also interpreted as the presentation of old information, since another flattering comment precedes this utterance.

The responses of both the NJS and JLL participants are given below. Table 10 summarizes

the NJS responses:

**Table 10 Results of the Fill-in-the-Blank Tests by NJS[6]**

| NJS (n=32) | | | | | | |
|---|---|---|---|---|---|---|
| Particle Q # | Original Particle | *YO* | *YONE* | *NE* | Ø | Total |
| 1 | *YO* | 31.3% (10) | 65.6% (21) | 3.1% (1) | 0% (0) | 100% (32) |
| 2 | *YO* | 87.5% (28) | 0% (0) | 3.1% (1) | 9.4% (3) | 100% (32) |
| 3 | *YO* | 96.9% (31) | 0% (0) | 0% (0) | 3.1% (1) | 100% (32) |
| 4 | *YO* | 93.8% (30) | 0% (0) | 0% (0) | 6.3% (2) | 100% (32) |
| 5 | *YO* | 59.4% (19) | 0% (0) | 40.6% (13) | 0% (0) | 100% (32) |
| 6 | *YO* | 100% (32) | 0% (0) | 0% (0) | 0% (0) | 100% (32) |
| 7 | *YO* | 87.5% (28) | 0% (0) | 0% (0) | 12.5% (4) | 100% (32) |
| 8 | *YONE* | 0% (0) | 93.8% (30) | 6.3% (2) | 0% (0) | 100% (32) |
| 9 | *NE* | 6.3% (2) | 0% (0) | 87.5% (28) | 6.25% (2) | 100% (32) |

The above results exhibit one notable finding. In the cases where the author of the cartoon

used *"yo,"* as much as 65.6% of the NJSs opted for *yone* in Question 1, and 40.6% chose *ne* in

Question 5. I consider that this preference of *yone* and *ne* over *yo* substantiates Japanese

communicative styles, which were discussed in Chapter Four. Since Japanese communicative

styles show an orientation toward the sharing of recognition, it is preferabable to employ *ne* and

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[5]As well as in Question 5, the information delivered through the utterance of Question 9 can be either new or old. In this example, whether the information is new or old depends on the speaker's (the wife's) judgement of whether her husband is conscious or unconscious due to intoxication. If she judges that he is unconscious, she is presenting new information which she assumes he does not understand. On the other hand, when she judges that he is conscious, she is asking for his agreement with her critical comment, "You're pretty drunk."

[6]"Original particles" refer to those particles that appeared in the original lines of the comic. ø indicates the non-use of particles.

*yone*, which point to the common ground of the speaker and addressee.

Table 11 below represents the results of the JLL data:

**Table 11  Results of the Fill-in-the-Blank Tests by JLL[7]**

| | | JLL (n+21) | | | | | |
|---|---|---|---|---|---|---|---|
| Q # | Original Particle | *YO* | *YONE* | *NE* | Ø | No Answer | Total |
| 1 | *YO* | 23.8% (5) | 52.4% (11) | 19.0% (4) | 4.8% (1) | 0% (0) | 100% (21) |
| 2 | *YO* | 90.5% (19) | 0% (0) | 0% (0) | 6.3% (2) | 0% (0) | 100% (21) |
| 3 | *YO* | 85.7% (18) | 4.8% (1) | 9.5% (2) | 0% (0) | 0% (0) | 100% (21) |
| 4 | *YO* | 95.2% (20) | 0% (0) | 0% (0) | 4.8% (1) | 0% (0) | 100% (21) |
| 5 | *YO* | 19.0% (4) | 23.8% (5) | 47.6% (10) | 9.5% (2) | 0% (0) | 100% (21) |
| 6 | *YO* | 85.7% (18) | 9.5% (2) | 0% (0) | 4.8% (1) | 0% (0) | 100% (21) |
| 7 | *YO* | 71.4% (15) | 4.8% (1) | 4.8% (1) | 9.5% (2) | 9.5% (2) | 100% (21) |
| 8 | *YONE* | 9.5% (2) | 52.4% (11) | 28.6% (6) | 0% (0) | 9.5% (2) | 100% (21) |
| 9 | *NE* | 4.8% (1) | 4.8% (1) | 81.0% (17) | 0% (0) | 9.5% (2) | 100% (21) |

The numbers in the bold squares above represent the percentage of inappropriate or non-used particles by JLLs. Inappropriateness of the use of *yo*, *ne* and *yone* by JLLs were assessed based on the NJS usage of these particles. Thus, the non-use of a particle by a JLL in a context where every NJS employed a certain particle was judged as inappropriate. The use of a particle in a context where no NJS employed a particle was also treated as inappropriate usage. The total number of inappropriate and non-uses of *yo*, *ne* and *yone* were 19 cases, or 10% of all responses. Among 21 of them, 11 made incorrect choices in choosing appropriate particles. This result suggests that JLLs have trouble using *yo*, *ne* and *yone*.

The ratio of inappropriate use for each particle was 2.0% for *yo*, 7.5% for *ne* and 31.3%

[7]The same two participants did not answer Questions 7, 8 and 9.

for *yone*. Also, the inappropriate non-use or absence of particles in the required contexts was 44.4%. This indicates that the appropriate use of *yone* and the non-use of particles are especially problematic for the JLLs. As for the uses of *yone*, the NJS participants used this particle specifically for requesting agreement (Questions 1 and 8). The data suggest that while the JLLs understand the function of *yone* for eliciting agreement (Questions 1 and 8), they do not know exactly when they should not use it: they used it for the speech acts which should not be followed by this form (Questions 3, 5, 6, 7 and 9). In contrast, inappropriate choice of ø, which amounted to 44% of all appearances of ø, reveals a tendency among the JLLs to underuse interactional particles.

The data showed that as much as 31.3% of all the occurrences of *yone* and 7.5% of those of *ne* were inappropriate uses, while the inappropriate use of *yo* was only 2.0%. Examples of inappropriate choices of *yone* and *ne* by JLLs are as follows:

(1) [Reporting] (Question 3)

$$\begin{array}{llll}
\textit{Ojiichan} & \textit{ga} & \textit{hen} & \textit{da} \\
\text{grandpa} & \text{SUB} & \text{strange} & \text{BE}
\end{array} \left\{\begin{array}{l} \textit{yo!} \\ \text{IP} \\ \\ \textit{*yone!} \\ \textit{*ne!} \end{array}\right\}$$

"Grandpa is acting funny!"

(2) [Answering] (Question 4)

$$\begin{array}{llll}
\textit{Biyooin} & \textit{ni} & \textit{itteru} \\
\text{beauty salon} & \text{P} & \text{has gone}
\end{array} \left\{\begin{array}{l} \textit{yo.} \\ \text{IP} \\ \\ \textit{*yone.} \\ \textit{*ne.} \end{array}\right\}$$

"(Mom) has been to a beauty salon."

(3) [Complimenting] (Question 5)

*Sugoku shizen de ii* { *yo.*
very natural P good { IP

{ **yone.*
{ **ne.*

"(Your hairstyle) is nice and natural."

(4) [Correcting] (Question 6)

*Shanpuu kai ni itta dake* { *yo.*
shampoo buy P went only { IP

{ **yone.*
{ **ne.*

"(I) just went to buy shampoo."

(5) [refusing] (Question 7)

*Dame* { *yo.*
no good { IP

{ **yone.*
{ **ne.*

"No."

The use of *yone/ne* is ungrammatical in all the examples above. The ungrammaticality of these examples is due to the use of *yone/ne* without accompanying the *n(o) (da/desu)* form. This result is consistent with the conversational data that the JLLs had a problem in using *yone* and *ne* in proper combination with the nominalization form.

One of the main findings of the conversational data was the JLLs' preference of *ne* over *yo* and *yone* across speech acts. Results of the fill-in-the-blank tests provide further evidence for this. First, it is observed from Tables 10 and 11 that the JLLs used *ne* much more frequently than the NJSs did in requesting agreement (Questions 1 and 8). Second, the JLLs were inclined to choose

*ne* regardless of the information status (i.e., new or old) of the speech acts. Table 12 summarizes frequencies of *yo, ne, yone* and ø (i.e., the non-use of a particle) that the NJSs and JLLs chose in all the questions. Out of the nine questions, four (Questions 2, 3, 4 and 7) concerned new information, three (Questions 1, 5 and 9) new or old information, and one (Question 8) old information:

**Table 12  The Use of *Yo, Ne* and *Yone* in relation to Information Status (i.e., New or Old)**

**A. Presentation of New Information:** (Results of Questions 2, 3, 4 & 7)

| Particle | NJS | | JLL |
|---|---|---|---|
| *YO* [8] | 93.1 % (149) | > | 85.7 % (90) |
| *YONE* | 0 % (0) | < | 8.6 % (9) |
| *NE* | 0.6 % (1) | < | 2.9 % (3) |
| ø | 6.3 % (10) | | 5.7 % (6) |
| No answer | 0 % (0) | | 1.9 % (2) |
| Total | 100 % (160) | | 100 % (110) |

**B. Presentation of New/Old Information:** (Results of Questions 1, 5 & 9)

| | NJS | | JLL |
|---|---|---|---|
| *YO* | 32.3 % (31) | > | 15.9 % (10) |
| *YONE* | 21.9 % (21) | < | 27.0 % (17) |
| *NE* | 43.8 % (42) | < | 49.2 % (31) |
| ø | 2.1 % (2) | | 4.8 % (3) |
| No answer | 0 % (0) | | 3.2 % (2) |
| Total | 100 % (96) | | 100 % (63) |

[8]The data of the fill-in-the-blank test showed that in the NJS data, as much as 93% of new information was presented with *yo* while *ne* and *yone* were infrequently used for presenting new information. This result contrasts with the conversational data. I hypothesize that the nature of the involved contexts and speech acts caused this result. The context involved in this test was an interaction among family members where politeness is less of a concern. Also, the concerned speech acts were based on rather explicit disparities of understanding between the speaker and addressee, including opposing, refusing and correcting. This differs from conversational data in which the recounting of stories was frequently observed.

**C. Presentation of Old Information:** (Result of Question 8)

| Particle | NJS | | JLL |
|---|---|---|---|
| *YO* | 0 % (0) | < | 9.5 % (2) |
| *YONE* | 93.8 % (30) | > | 52.4 % (11) |
| *NE* | 6.7 % (2) | < | 28.6 % (6) |
| ø | 0 % (0) | | 0 % (0) |
| No answer | 0 % (0) | | 9.5 % (2) |
| Total | 100 % (32) | | 100 % (21) |

The above tables indicate that the percentages of *ne* used by the JLLs always exceed those of the NJSs. In other words, the JLLs overgeneralized and incorrectly overused *ne* regardless of the information status of the speech acts they performed.

Another evidence for the JLLs' preference of *ne* is demonstrated in the answers to Question 5 of the fill-in-the-blank test. This question concerned the speech act of complimenting. For this speech act, 59.4% of the NJSs chose *yo*, 40.6% of them used *ne* and none employed *yone*. That a relatively large percentage of the NJSs used *yo* is explained by their intention to reinforce the positive politeness strategy with *yo*, as in Example 23 of Section 2.4.2. On the other hand, only 19.0% of the JLLs employed *yo*. In contrast, 47.6% of the JLLs used *ne* for this speech act while 23.8% incorrectly chose *yone*. I speculate that the high ratio of *ne* used by the JLLs relates to the element preceding this particle in the question sentence, the adjective *ii* ('good') as in *"Sugoku shizende ii"* ('[Your hair style] is nice and natural.'). This combination of an adjective and *ne* is a form often found in classroom discourse. Ohta (1993), a study on the use of sentential particles by teachers and students in Japanese language classrooms, revealed that *ne* was the particle which appeared most frequently in follow-up or feedback turns, and that "it often occurred when the teacher provided assessments -- personal reactions to a student's answer" (p.71). The following

are examples taken from Ohta (1993):[9]

(6) Context: After pair works were finished, the teacher (T) asks John where his partner (Sara) went over the weekend.

1      T: *Un.   Doko   e   ikimashita* ?
            oh    where   P   went
            "Oh. Where did she go?"

2   John: *Hai,   uh,    Los Angeles*
            yes    uh   Los Angeles
            "Yes, uh, Los Angeles."

3      T: (        ) *Sara-san   L.A.   Shiataa   e   ikimashita.*
                  Sara       L.A.   Theater   P   went
                  "Sara went to the theater in Los Angeles."

--> 4         *Ii     desu   ne::.*
            good   BE    IP
            "How ni::ce ne::."

                                                                                   (Ohta 1993: 71)

(7) Context: The teacher is having the students (S1 and S2) demonstrate their dialogue using the phrase *Sore wa hidoi desu ne* ('That's awful.').

1   S1: *Kate-san,   doo    shita   n       desu   ka ?*
         Kate        how   did    NOM   BE    Q
         "Kate-san, what's wrong?"

2   S2: *Watashi   wa     sensei   ni   takusan   homework     o      watasaremashita.*
         I             TOP   teacher   P   lots       homewoork   DO   was handed
         "I was assigned lots of homework by my teacher."

3   S1: *Sore    wa     hidoi    desu   ne::.*
         that    TOP   awful   BE     IP
         "That's awful ne::."

--> 4   S1: *((laughing))   Hidoi    desu   ne::.*
         ((laughing))   awful   BE     IP
         "That's awful ne::."

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[9]In citing Examples 24 and 25, I retained the original transcription conventions and translations in Ohta (1993). The glosses are mine.

--> 5　S1: *Ii　　desu　ne:: yoku　dekimashita　ne.*
　　　　good　BE　IP　well　could do　　IP
　　　　"Good ne: you did well ne."　　　　　　　　　　　　　　　(Ohta 1993: 150-1)

I speculate that because of this frequent cooccurrence of *ne* and the adjectives used in assessment during classroom discourse, students easily associate *ne* with comment or assessment. This association then caused the higher ratio of *ne* used in JLL compliments since a compliment is a form of comment. Ohta (1993) suggests that follow-up utterances by a teacher such as un-marked repetitions or expansions of a student's response are "unimaginable outside of a classroom or teaching -- learning context" (p.86).[10] This observation implies that JLLs extended classroom discourse to include ordinary discourse.

The results of the fill-in-the-blank test revealed that (1) the JLLs had difficulty particularly in the appropriate use of *yone* (*Yone* was the particle that JLLs used inappropriately most frequently.), and (2) the JLLs used *ne* more often than the NJSs did whether the information of the phrase that was accompanied by *ne* was new or old. These results endorse the finding of the conversational data: the JLLs' infrequent use of *yone* and frequent use of *ne*. These results suggest that the JLLs lacked or had inadequate knowledge of *yone,* and that the JLLs were influenced by classroom discourse in which *ne* often cooccur with adjectives in comments.

## 5.2　Results of Questionnaire Data

In an attempt to find the reasons for the JLLs' infrequent use of *yone* and frequent use of *ne* in the conversational data and the fill-in-the-blank tests, this section examines the questionnaire

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[10]However, as we have already seen in Section 4.4.1, NJSs frequently produced this type of *ne*-attached utterances of "comment" in their conversations with JLLs. Therefore, I assume that this type of *ne* is a characteristic of languages that native speakers use when talking to language learners of either L1 or L2 whose mastery of the target language is assumed imperfect. "Classroom discourse" or "teacher talk," "foreigner talk" and "caretaker talk" are all included in this type of languages.

responses to answer the following two questions:

(1) How do the JLLs and NJSs understand the roles and functions of *yo*, *ne* and *yone* in

Japanese discourse?

(2) How do their understandings of *yo*, *ne* and *yone* reflect their actual use of these particles?

Table 13 summarizes the result of Question 1 which asked the participants to estimate how

frequently they used *yo*, *ne* and *yone* in Japanese conversation:

**Table 13  Self-Estimation of the Frequencies of *Yo*, *Ne* and *Yone***
**the JLLs Use in Japanese Conversation**

Question 1 : [Do you use *yo*, *ne* and *yone* when you speak in Japanese?]
(Often / Sometimes / Rarely / Never)  [Circle one.]

Note. The square with thick, black borders means that a majority locates in it.

|        | Often       | Sometimes    | Rarely        | Never        | Total         |
|--------|-------------|--------------|---------------|--------------|---------------|
| *NE*   | 42.9 % (9)  | 38.1 % (8)   | 19.0 % (4)    | 0 % (0)      | 100 % (21)    |
| *YO*   | 19.0 % (4)  | 47.6 % (10)  | 33.3 % (7)    | 0 % (0)      | 100 % (21)    |
| *YONE* | 4.8 % (1)   | 28.6 % (6)   | 47.6 % (10)   | 19.0 % (4)   | 100 % (21)    |

For comparison, Table 14 presents the NJS data. Since the distinct influence dialects have on the

participants' responses was identified in NJS responses, the results are divided into two categories:

those by the speakers of standard Japanese and those of the Kansai dialect.[11] Out of the 31 NJS

participants who responded to this question, 21 were standard Japanese speakers and 10 were

Kansai dialect speakers.

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[11]Since dialect is not the focal topic of this thesis, detailed analyses of Kansai dialect are not presented. However, some of these participants informed me that they would substitute *yo*, *ne* or *yone* for other interactional particles used in their dialect (e.g., the replacement of *ne* with *na* and that of *yone* with *yanne*).

**Table 14   Self-Estimation of the Frequencies of *Yo*, *Ne* and *Yone***
**the NJSs Use in Japanese Conversation**

A. Standard Japanese Speakers:

|        | Often         | Sometimes    | Rarely       | Never      | Total         |
|--------|---------------|--------------|--------------|------------|---------------|
| *NE*   | 66.7 % (14)   | 23.8 % (5)   | 9.5 % (2)    | 0 % (0)    | 100 % (21)    |
| *YO*   | 52.4 % (11)   | 38.1% (8)    | 9.5 % (2)    | 0 % (0)    | 100 % (21)    |
| *YONE* | 71.4 % (15)   | 14.3 % (3)   | 14.3 % (3)   | 0 % (0)    | 100 % (21)    |

B. Kansai Dialect Speakers:

|        | Often        | Sometimes    | Rarely       | Never        | Total        |
|--------|--------------|--------------|--------------|--------------|--------------|
| *NE*   | 20.0 % (2)   | 40.0 % (4)   | 30 .0% (3)   | 10.0 % (1)   | 100 % (10)   |
| *YO*   | 20.0 % (2)   | 20.0 % (2)   | 50.0 % (5)   | 10.0 % (1)   | 100 % (10)   |
| *YONE* | 10.0 % (1)   | 20.0 % (2)   | 40.0 % (4)   | 30.0 % (3)   | 100 % (10)   |

In spite of a clear difference between the standard Japanese speakers and the Kansai dialect speakers as observed in Table 14, the actual NJS speech obtained from NJS-only and NJS+JLL conversations did not show any significant influences of dialect that would change the proportion of the use of *yo*, *ne* and *yone* represented in Tables 1-4.[12] To be consistent with the analysis of the conversational data, I compare the JLL result (Table 13) with that of the standard Japanese speakers' (Table 14A). The first difference found between the two groups is the NJSs' higher estimation of their own use of all three particles: more than half of the NJSs estimated their use of *yo*, *ne* and *yone* in ordinary conversation as "often." On the other hand, the JLLs' assessment of their use of these particles was much lower. Furthermore, a relatively large difference is observed again in the use of *yone* between the JLL and NJS responses. While most NJSs (71.4%) consider

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[12]This problem could have been avoided if the participants were requested in advance to estimate their use of *yo*, *ne* and *yone* when they speak in the standard Japanese.

that they use *yone* "often," only one JLL answered that he uses *yone* often. Moreover, while no

NJS answered that he or she "never" uses *yone*, 4 JLLs stated that they "never" use it and 10 that

they "rarely" use it. Comparing these self-estimations by participants with the actual occurrences of

*yo*, *ne* and *yone* in their speech (See Table 5), we notice that their estimations reflect their speech

almost correctly. Notice that the percentage of JLL use of *yone* was less than half of that of the

NJSs. In other words, the JLLs knew consciously that they used *yone* infrequently in their

conversations.

Then, why do JLLs not use *yone*? Question 6 concerns the necessity of *yo*, *ne* and *yone*

in Japanese conversation. Table 15 summarizes the responses from both JLL and NJS groups:

**Table 15    Responses to Question 6 concerning
the Necessity of *Yo, Ne* and *Yone*[13]**

Question 6 : [Do you think it is necessary to use *yo*, *ne* and *yone* when you speak Japanese?]

| Particle | Group | Necessary | Unnecessary | I don't know | Total |
|---|---|---|---|---|---|
| *NE* | JLL | 81.0 % (7) | 9.5 % (2) | 9.5 % (2) | 100 % (21) |
| | NJS | 96.8 % (30) | 3.2 % (1) | 0 % (0) | 100 % (31) |
| *YO* | JLL | 76.2 % (16) | 14.3 % (3) | 9.5 % (2) | 100 % (21) |
| | NJS | 93.5 % (29) | 6.5 % (2) | 0 % (0) | 100 % (31) |
| *YONE* | JLL | 42.9 % (9) | 33.3 % (7) | 23.8 % (5) | 100 % (21) |
| | NJS | 90.3 % (28) | 9.7 % (3) | 0 % (0) | 100 % (31) |

From the above tables, it seems that the majority of both groups consider that *ne* and *yo* are

necessary in Japanese conversation. However, Table 15 demonstrates a clear difference between

[13]One NJS participant did not provide answers to this and the next questions. Therefore, the total number of the NJSs' replies is 31.

the JLL and the NJS groups in their assessment of *yone*: less than 50% of JLL stated that *yone* is "necessary." Comments on Question 7 (meanings/functions of *yo*, *ne* and *yone*) and Question 8 (difficulties in using *yo*, *ne* and *yone*) further provide possible reasons for this result: that JLLs could not tell if *yone* was necessary *because* they did not know the functions and usage of this form. In fact, five JLLs acknowledged that they did not understand *yone*. Their answers are as follows: "I don't know." (answers to Questions 6 and 8: JLL7), "I don't know how to use it." (answers to Question 6 and 7: JLL 8), "I'm not sure of its meaning." (an answer to Question 7: JLL 16), "I'm not sure when to use it." (an answer to 7: JLL 19) and "I don't know its function!" (an answer to Question 7). In addition, three other JLLs left blank or put a question mark to Question 8, while they provided answers to the same question concerning *yo* and *ne*. Furthermore, some of them attributed their lack of knowledge of *yone* to Japanese language classes that did not instruct them on this form, stating "It's difficult [to use *yone*] because I have not learned it." (an answer to Question 7: JLL 7), "Nobody told me [how to use *yone*]." (an answer to Question 9; i.e., sources of information: JLL 8). These comments are further supported by the results of Question 9: sources of information on *yo*, *ne* and *yone*. To this question, a total of 12 JLLs excluded "teachers" and/or "textbooks" from the source of information on *yone*, while 7 JLLs responded that they learned *yo* and *ne* from other sources than teachers and textbooks (e.g., friends, interaction with Japanese people, parents, Japanese TV dramas). In fact, there was no explanation for *yone* usage found in the textbooks that I examined.

The results of the questionnaire revealed that JLLs were aware of their lack of or inadequate knowledge concerning *yone*, and thus of the infrequent uses of this form in their speech. Ignorance of *yone* in formal Japanese teaching was then considered to be a cause for this insufficient comprehension of the form by JLLs.

## 5.3 Summary

In an attempt to further substantiate the findings based on the conversational data, this chapter analyzed the results of the fill-in-the-blank test and the questionnaire. The analysis focused on the relationships of *yo*, *ne* and *yone* with the information status of speech acts. As in the conversation data, the fill-in-the-blank test data showed that the JLLs used *ne* more frequently than the NJS did regardless of information status of the speech acts, and that they often made inappropriate use of *yone*. One reason for their reliance on *ne* was attributed to the influence of classroom discourse in which *ne* often appears in comment utterances. As for the JLLs' inappropriate use of *yone*, the questionnaire answers suggested that it was caused by their lack of or inadequate knowledge about this form due to the lack of classroom instruction on it.

## Chapter Six

## Conclusion

This chapter summarizes the analysis of the NJS use of and the JLL acquisition of *yo, ne* and *yone*, and answers the proposed research questions raised in Chapter Three. It then will discuss some implications for the teaching of *yo, ne* and *yone* in Japanese language classrooms.

### 6.1 NJS Use of *Yo, Ne* and *Yone*

Chapter Three presented the following three research questions concerning the relationships of *yo, ne* and *yone* with interaction and speech acts:

(1) In what manners and how frequently do the NJSs and JLLs use *yo, ne* and *yone* for

the purpose of conversation management?

(2) How does the information status (i.e., whether information is new or old) of the phrase

that *yo, ne* or *yone* follows relate to the use of *yo, ne* and *yone* by the NJSs and JLLs?

(3) How do the NJSs and JLLs use *yo, ne* and *yone* when they conduct certain speech acts?

The analysis revealed first that among the three particles the NJSs almost always used *ne* to manage conversations. In other words, only *ne* occurred in *Aizuchi* (e.g., "*soo desu ne*") and in Floor-Keeping (e.g., interjection and insertion *ne*), which are both speech acts for conversation management. The NJSs did not use *yone* or *yo* at all to manage conversations, with the exception of one use of *yone* in *Aizuchi* ("*soo da yone*").

Concerning information status, the data showed a few deviations from the prediction of the original model which I had proposed in Chapter Two. When presenting new information, the NJSs used *yone* and *ne* instead of *yo* to show politeness and to observe the Japanese

communicative styles for expressing *enryo* ('reservedness'), *omoiyari* ('empathy') and *wakimae* ('discernment'). The *ne/yone*-attached utterances in NJS speech presented new information in the forms of answers, comments and expressions of reflection. *Ne* and *yone* were used also in presenting new information in the course of delivering a story. There are two findings that seem especially important for the study of *yo, ne* and *yone*. First, this type of *yone* and *ne* should follow the nominalization form, *n(o) (da/desu)* to precede them. Secondly, *yone* tended to follow focal information, and *ne* subordinate information of a story. These findings suggest that *yo, ne* and *yone* must be studied comprehensively in order to understand their syntactic aspects (e.g., their connection with preceding modal elements), their functions in discourse and their pragmatic aspects (i.e., their relationship with speech acts).

The present study mainly examined the speech acts of requesting and demonstrating agreement because of their close relationship with *ne* and *yone,* and discovered the following pattern: requesting agreement takes *yone* while demonstrating agreement concurs with *ne*. The tendency to use *yone* when requesting agreement was attributed to its high degree of subjectivity. *Yone* exhibits uncertainty concerning a given piece of information, which is among the speaker's personal feelings/emotions revealed through speech (i.e., subjectivity). This expression of uncertainty leads to an expression of politeness. Therefore, *yone* becomes a desirable device for requesting agreement, which is a face-threatening act. On the other hand, the NJSs were apt to choose *ne* when showing agreement because this speech act has a smaller chance of threatening the addressee's "face," and thus, the speaker need not mitigate the potential damage.

I believe that the ultimate goal of interaction in any language is the establishment of identical recognition/understanding of information by the speaker and addressee. However, different languages adopt different approaches and measures to reach that universal goal. I further assume that Japanese speakers attempt to achieve this goal by defocusing the disparity of recognition extant between the speaker and the addressee, and, instead, focusing the speaker's intention on

negotiating that disparate recognition with the addressee. This defocusing of disparity is the expression of *enryo*, *omoiyari* and *wakimae*, which exemplify Japanese communicative styles. The choice of *yone* and *ne* over *yo* in presenting new information, and the preference of *yone* to *ne* in requesting agreement, substantiate these Japanese communicative styles.

From the discussion above, I assume that the NJSs' choice of *yo*, *ne* and *yone* involves at least two phases. First, a speaker estimates the degree of disparate or shared recognition extant between the speaker and the addressee. Next, the speaker considers pragmatic factors of the positive politeness strategy and the Japanese communicative styles to decide on the most suitable particle. How conscious the speaker is of making these decisions requires further study and is beyond the scope of this thesis. Based on the analysis of the NJS speech in Chapter Four, the original model of the relationships between interaction, speech acts and the interactional particles of *yo*, *ne* and *yone* is modified, as below:

**Figure 11**    **Relationships between Interaction, Speech Acts and the Interactional Particles *Yo*, *Ne* and *Yone*[1] (Revised from Figure 8)**

| **[Interaction]** |
| --- |
| **Goal:** The establishment of mutual recognition/understanding of information by Speaker (S) and addressee (A) |

Conversation Management

**Goal:** Integration and manipulation of discourse/text for effective communication

Particle(s) to be chosen

• *Aizuchi*  expressions             *NE (YONE) \*YO*
• Floor-Keeping expressions          *NE (YO/YONE)*

Speech Act Realization

| S's judgement of the recognition state by S and A | Information status | Examples of speech acts | Defocusing of recognition disparity | |
| --- | --- | --- | --- | --- |
| • S and A have **disparate** recognition | New  Information | •answering •reporting •correcting | None | *YO  \*NE/YONE* |
| | | •opposing •encouraging •complimenting | √ | *NE/YONE  \*YO* |
| • S and A have **shared** or **should  share** recognition | Old  Information | •requesting agreement •demonstrating agreement •establishing   phatic communion •providing   supplemental information | √ | *NE/YONE \*YO* |

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[1]The particles with asterisks indicate situations which cannot occur in the given contexts. The particles within the parentheses are possible but less likely to occur than those without parentheses. For example, *yo* was assessed as a "possible" particle for Floor-Keeping expressions despite its absence in the present conversation data. This is because the use of *yo* for Floor-Keeping is still possible even though it is not common (e.g., interjection and insertion *yo*, See Examples 3 and 4 in Chapter Two).

## 6.2 JLL Acquisition of *Yo, Ne* and *Yone*

The JLL data exhibited a similar result to that of the NJSs in their management of conversation. The JLLs always employed *ne* for conducting *Aizuchi* and Floor-Keeping, which are among devices used for conversation management. *Yo* and *yone* never occurred for conversation management. In the present data, the JLLs did not produce inappropriate uses of *yo* and *yone* for conversation management (e.g., interjective and insertional uses of *yo/yone*, the use of *\* soo desu yo* intended for *Aizuchi*). However, this result does not confirm that the JLLs fully understood the use of *yo* and *yone* for conversation management since the JLLs might have avoided these forms due to uncertainty concerning the usage of these forms. Furthermore, the JLL data revealed individual differences in the use of *ne* for conversation management. While the *Aizuchi* and Floor-Keeping expression, *"soo (da/desu) ne,"* was used by different JLLs, the use of interjection and insertion *ne* was observed only in the speeches of a couple of JLLs.

As well as the NJSs, the JLLs used *yone* in requesting agreement and *ne* in demonstrating agreement. However, the JLLs used *ne* more frequently and *yone* less frequently than the NJSs in performing both speech acts. For example, no JLL used *yone* for expressing agreement. As a result, their expressions of agreement always consisted of the formulaic structure, *soo+(da/desu)+ne*. Moreover, the JLL data exhibited inappropriate uses of *ne*, which should have been replaced with *yone*. I assume that the JLLs' misuse of *ne* originates from their ignorance of *yone*. In other words, since the JLLs were unaware of the functions and uses of *yone*, they used *ne* in the contexts in which native Japanese speakers would have chosen *yone*. This ignorance of *yone* and the misuse of *ne* are problematic since *yone* has its own pragmatic function (i.e., the implication of uncertainty towards information and empathy towards the addressee) that are essential to Japanese discourse. As a result, some JLLs produced awkward utterances in which the tone of *yone* and that of the preceding utterance did not match. Sometimes, their speech

unintentionally gave the impression that they were distant or inattentive to the addressee. These results indicate that Japanese language learners need to learn the appropriate use of *yone* so that they can interact with native Japanese speakers without causing misunderstanding and discomfort.

The JLLs seemed to have particular difficulty in using *ne* and *yone* when presenting new information while recounting a narrative. The conversational data demonstrated the JLL's infrequent uses of *yone* and misuse of *ne* in this speech act. This is probably because the JLLs did not fully understand the functions of the nominalization form, *n(o) (da/desu)*, the structure that a speaker has to use with *ne/yone* when presenting new information in the course of telling a story. In fact, in the fill-in-the-blank test, many JLLs mistakenly chose *ne* and *yone* for utterances which convey new information but do not contain the nominalization form. The JLL data further revealed a notable finding concerning the conveyance of new information: JLLs used *yo* much more infrequently than the NJSs.

All the above findings indicate that the JLLs tended to use *ne* over *yo* and *yone*. Since both *yo* and *yone* foreground the speaker's feelings and emotions by virtue of the function of *yo*, the JLLs' infrequent uses of *yo* and *yone* consequently made their discourse less personalized. Based on Ohta's (1993) findings, I assume that the JLL's frequent use of *ne* and infrequent use of *yo* and *yone* were partly caused by exposure to classroom discourse. For instance, Ohta (1993) points out that, *ne* appears relatively often in teachers' feedback. On the other hand, *yone* is expected to be absent in classroom discourse which overrides the information exchanges to the individuals' revelation of personal feelings/emotions. Also, I assume that the limited occurrences of *yo* are in part due to the constraints on and negative images of *yo* (e.g., assertiveness, insistence, rudeness) that the JLLs learned from textbooks and/or teachers.

## 6.3 Pedagogical Implications

Most textbooks cover *yo* and *ne*, and they usually explain that *ne* is the agreement or confirmation marker and that *yo* is the marker for assertion, emphasis and new information (e.g., *Foundations of Japanese Language, Learn Japanese: College Text Vol.1, Japanese for College Students*). I consider that these explanations suffice in that they describe how *yo* and *ne* are used in various speech acts. However, I emphasize that textbooks and teachers need to inform students of the interactional nature of *yo* and *ne*. They should at least specify the situations in which these particles are used; specifically, a speaker can use these particles when interaction is involved but not when the speaker does not intend interaction (e.g., diary, compositions, formal speech presentation).

Ohta (1993), another study on interactional particles as used in the Japanese language classroom, discusses the instruction of these particles by introducing Lave and Wenger's (1989) concept, "legitimate peripheral participation." She states that "legitimate peripheral participation begins with observation, with the learner, or 'newcomer' to use Lave & Wenger's term, gradually participating more and more in 'situated negotiation and renegotiation of meaning,' thereby acquiring the ability to participate more and more fully" (p.7). Following this concept, it seems that the integration of classroom discourse with ordinary, everyday discourse provides students with the opportunity for both observing the reality of Japanese interaction and negotiating the meaning of interactional particles.

I propose a few suggestions for creating an effective classroom discourse for the instruction of *yo, ne* and *yone*. First, a teacher should make the most of opportunities to present feedback or follow-ups to his or her students. Ohta (1993) found that *ne* was the particle which occurred most frequently in teachers' feedback, and that this feedback in turn elicits students' feedbacks, consequently creating dynamic conversation between the teacher and students. Thus, the teacher's constant feedbacks are considered to create a desirable environment for students to

apply their knowledge of *yo, ne* and *yone* to real conversations with a native speaker (i.e., the teacher).

Secondly, I believe that a teacher need not feel hesitant or inhibited from uttering monologues and revealing his or her emotions/feelings, which reflect natural language use. These expressions provide good opportunities for demonstrating how a native speaker of Japanese integrates discourse and manages conversation, using *yo, ne* and *yone* as in such devices as *Aizuchi* and Floor-Keeping expressions. These conversation management devices are so prevalent in Japanese discourse that even students at the introductory level should learn them. Also, a teacher, through his or her speech, can present students with important information concerning the use of interactional particles which textbooks cannot; namely, visual information (e.g., head movements and facial expressions which *yo, ne* and *yone* accompany) and acoustic information (e.g., intonations and vowel lengths when pronouncing *yo, ne* and *yone*). By manipulating these physical aids, a teacher can illustrate the essence of interactional particles: the expression of affects.

However, a teacher does not have to be responsible for all authentic input. Other visual and acoustic aids can be obtained from such materials as videotaped Japanese dramas, commercials and news programs. Some commercials are especially useful in that their time-length is short and their speech accurate and neither too casual nor too fast. In addition, some of them involve information about Japanese culture (e.g., commercials of seasonal gifts such as *ochuugen* ('mid-summer gifts') and *oseebo* ('year-end gifts') and Japanese mannerisms (e.g., bowing). Written materials are also available. The use of Japanese comics (e.g., activities such as writing speech lines in blank balloons from comic pictures) might increase the students' interest and their motivation to participate in Japanese conversation. The composition of short dialogues is still another way for teaching the use of interactional particles. One advantage of such "written conversation" is to detect learners' incorrect usage of these particles that may not surface in spontaneous oral speech. Also, if this activity is given in the form of homework, a teacher can discover students' individual

problems. It would be ideal if a class can afford time for the demonstration of skits based on those scripts. This activity becomes good practice for students in conducting speech acts with proper interactional particles that are accompanied by the appropriate prosody and non-verbal features.

It is noteworthy that none of the introductory, college/university-level textbooks that I reviewed explained the use of *yone*. I have emphasized that *yone* serves an important role in Japanese discourse and that its inappropriate use can damage human relationships. I consider that this problem is especially serious for learners of the intermediate level, because I assume that their learning goal is no longer to manage survival Japanese but "to become an informed foreigner who can function in Japanese society in a way that does not make Japanese feel uncomfortable or otherwise impedes the attainment of practical goals, whether in work or in everyday affairs" (National Foreign Language Center 1993: 16).

The instruction of *yone* also concerns the issue of the relationship between Japanese culture and Japanese language teaching. I believe that both textbooks and teachers should inform students of the social meaning of interactional particles in Japanese discourse. By explaining what outcomes could result from neglecting these particles, they can raise the students' consciousness of the significance and necessity of these particles. For example, in the JLL speech, the absence of *yone* caused a decrease in politeness and a deviation from Japanese communicative styles. Role playing and skit presentations in which students simulate various speech acts (e.g., requesting/showing an agreement, making/responding to a compliment) and social activities (e.g., visiting someone's house, seeing a doctor) are useful for instructing *yo*, *ne* and *yone* in relation to the Japanese culture. Through these activities, students can learn how Japanese culture is reflected in the realization of speech acts, and how the interactional particles, *yo*, *ne* and *yone* contribute to the effective achievement of those speech acts.

## 6.4 Limitations

This study is limited in several ways. First, as pointed out in Section 3.1, the obtained JLL population was partial in that it consisted of a relatively large number of Japanese-Canadian students. Thus, the present study is limited in explaining the speaking behaviors of those learners who do not have Japanese background and also those who studied the Japanese language without much experience of interacting with native Japanese speakers. As stated in the previous section, I assume that the fear of interaction with native speakers of Japanese is one factor that discouraged the majority of students from participating in the present research. As for the population of the NJS group, I included Kansai dialect speakers in this research, based on the result of a pilot study, which did not reveal significant differences in the frequency of occurrence of *yo*, *ne* and *yone* between standard Japanese speakers and Kansai dialect speakers. However, clear distinctions were found between two groups in their answers to the questions concerning the use of these particles. This is probably because the questionnaire did not instruct participants to answer the questions in the context of such situations. This result contrasts with conversation data which demonstrated that Kansai dialect speakers and standard Japanese speakers used *yo*, *ne* and *yone* for the same functions and with similar frequencies. In order to avoid possible influence by dialects, it might have been better to exclude Kansai dialect speakers from the research.

Secondly, better audio-recording equipment and multiple microphones were desirable for recording so as not to miss any interactional particles that appeared predominantly at the end of utterances and thus tended to fade away. Extra attention should have been paid to the recording of the JLLs' speech since they made the ending portions of their utterances ambiguous more often than the NJSs did, probably because they were not confident in speaking in their second or foreign language. Although this study confined its scope of analyses to verbal features, visual data such as videotaping would have been helpful in analyzing non-verbal features (e.g., nods, facial expressions and gazes) which illustrate further interactional aspects of these particles.

The design of the fill-in-the-blank test also has room for improvement. The number of

questions, the type of speech acts used in each question, the syntactic structure of the provided sentences (e.g., the types of the preceding linguistic elements), and the social contexts of the speech (e.g., social relations of the involved interlocutors) could have been chosen with more care by conducting more than one pilot study.

Another limitation concerns the categorization of speech acts. Although an utterance can be multifunctional in nature, in the present study I represented each utterance with only one label of speech act for a simpler analysis. For example, the same utterance may indicate both *Aizuchi* and agreement. In this case, however, I defined that utterance either as *Aizuchi* or as expression of agreement, judging from other contextual information such as intonation, stress and vowel length (e.g., "*soo desu ne*" pronounced with stress and rather a prolonged vowel was identified as an expression of agreement). As in this example, defining the speech act of a certain utterance sometimes depended a great deal on such contextual factors. As a result, judgement in classifying the utterances of the data was somewhat influenced by my subjective judgement. In fact, this process of defining the speech act of each utterance was one of the most laborious tasks in the process of composing this thesis, indicating the fuzziness of the borders among speech acts. For this reason, it seems necessary to examine the concept of the speech act itself. Actually, some studies (e.g., Givon, 1982, 1990; Tsuchihashi, 1983; Kitano, 1993) incorporated the notion of "speech act continuum" for the analysis of interactional particles. This concept explains that speech acts are not discrete from one another but constitute a continuum. Givon (1982), for example, proposes that interactional particles including *yo*, *ne* and *ka* are placed on a continuum between two points, declarative and interrogative, based on such variables as the speaker's confidence in his or her knowledge and the speaker's willingness to admit challenge to his or her knowledge. The incorporation of this theory might have brought different views into the present study.

## 6.5 Further Studies

This study revealed that native Japanese speakers modify their uses of *yo*, *ne* and *yone* when they talk to Japanese language learners (i.e., "foreigner talk"). Studies which analyze in particular the native speakers' uses of these particles in native-learner conversations seem to be beneficial to the Japanese language teaching, providing Japanese teachers with information about the potential effects of their use of *yo*, *ne* and *yone* on the learners' production of these particles. Furthermore, longitudinal studies would account for the development pattern of the learners' competence for use of *yo*, *ne* and *yone* and the factors involved in the process.

As linguistic features which influence human relationships, the use of *yo*, *ne* and *yone* also seems to be closely related with such sociolinguistic factors as gender, formality of language and dialect. The present study did not delve into these sociolinguistic aspects of *yo*, *ne* and *yone*. However, some answers obtained from the questionnaires suggest a need for more sociolinguistic analyses of *yo*, *ne* and *yone*. Some male participants (either JLLs or NJSs) associated *yo*, *ne* and *yone* with female speech and/or motherese, and considered that they should be avoided. Also, almost all the participants commented that *yo*, *ne* and *yone* should not be employed in a formal conversation and in the conversation with a *meue no hito* a ('superior' or 'senior'). Interestingly, however, the conversation data revealed that such male speakers used *yo*, *ne* and *yone* as frequently as did females. Further, those speakers who used honorifics also employed *yo*, *ne* and *yone* throughout their conversation. In other words, the participants' perception of *yo*, *ne* and *yone* does not necessarily coincide with their use of these particles in actual speech. These results imply that both Japanese language learners and native Japanese speakers have certain stereotypes regarding the use of *yo*, *ne* and *yone*. However, it is true that these particles sometimes produce the feminine tone, following certain linguistic features (e.g.,"*soo yone*" is feminine, while "*soo da/desu yone*" is neutral). Also, as some studies (e.g., McGloin 1990) show, formal speech does

not usually contain many instances of *yo* and *ne*. As well as for purely sociolinguistic interest into the study of these interactional particles, further investigation into the relationships between *yo*, *ne* and *yone* and the sociolinguistic variables of gender and formality of language would greatly benefit dispelling misconceptions and informing students of constraints on the use of *yo*, *ne* and *yone*.

The relationship of *yone* and *ne* with the nominalization form, *n(o)* (*da/desu*) is yet another topic which requires further analysis. There is no study that specifically examined this subject, while many studies have analyzed each of the interactional particles and the nominalization form separately. I believe that such an analysis would contribute to the field of Japanese language teaching as well as to Japanese linguistics.

This study analyzed interactional particles, *yo*, *ne* and *yone* in terms of their roles in speech acts and in Japanese discourse. It also investigated the acquisition of these particles by Japanese language learners. The results suggest the need for a comprehensive analysis of *yo*, *ne* and *yone*, which includes examination of the relationships of these particles with their preceding modal elements (e.g., the nominalization form) and with sociolinguistic factors (e.g., formality of language). Those studies would bring insights into both linguistic analysis and instruction of these particles. Moreover, this study revealed that *yone* has its own pragmatic functions distinct from those of *yo* and *ne*, which substantiate Japanese politeness and communicative styles. For this reason, I suggest that *yone* be given more attention in both textbooks and in Japanese language classrooms.

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APPENDIX A

## List of Definitions

The following is a list of definitions of terms found in this thesis:

**Affective disposition/Affect**: A speaker's emotional orientation and feelings about the ongoing interaction, including the speaker's attitude towards the propositional content of any particular utterance, as well as the speaker's overall feelings about the topic, interlocutors, context and other variables involved in the interaction (Ohta 1993).

*aizuchi* (the lower case): Verbal or non-verbal cues that signal that the addressee is following what the speaker says. It is given by an addressee to a speaker during the speaker's turn in a conversation (Maynard, 1989; Cook, 1992). For example, nods and gazes are non-verbal *aizuchi*, while utterances *un* ('yeah'), *ee* ('yes') and *soo desu ne* ('it is so') are verbal *aizuchi.*

*Aizuchi* (the upper case): A specific type of verbal *aizuchi* expression, which contains either *yo*, *ne* or *yone* (e.g., *soo desu ne*).

**Communication strategies**: Strategies learners employ when learners are faced with the task of communicating meanings for which they lack the requisite linguistic knowledge (e.g., when they have to refer to some object without knowing the word in the second language). Communication strategies are viewed as discourse strategies that are evident in interaction involving learners, or they can be treated as cognitive processes involved in the use of the L2 in reception and production (Ellis 1994).

**Communicative Style**: The way language is used and understood in a particular culture, which both reflects and reinforces fundamental cultural beliefs about the way people are and the nature of interpersonal communication (Clancy 1986).

**Conversation management**: Conversation management is a verbal and non-verbal interactional strategy employed to manage face-to-face interactions from one moment to another. It requires the ability to start conversation, take turns appropriately in that conversation, develop topics of conversation interactionally, perform appropriate back-channel behavior, or *aizuchi*, select what is to be said and "unsaid," and send appropriate paralinguistic and nonverbal signals (Maynard 1989).

**Enryo**: 'Reservedness,' 'reservation' or 'feelings of constraint and reserve.' The expression of *enryo* is one of the Japanese communicative styles (Clancy 1985).

**Epistemological disposition**: A speaker's evaluation of the truth-value of any particular utterance. Some property of the speaker's belief system or knowledge; namely, a proposition (Ohta 1993).

**Face Threatening Acts (FTAs)**: The acts which intrinsically threaten "face": the public self-image that everyone wants to claim for himself or herself (Brown and Levinson 1978).

**Foregrounding and Backgrounding**: "Foregrounding" is relative prominence in a discourse, or the language of the actual story line or the parts of narrative which relate events belonging to the skeletal structure of the discourse. In contrast, "backgrounding" refers to the language of supportive material which does not itself narrate the main event (Hopper, 1979; Crystal, 1992).

**Index**: "To index" refers to "to signal" or to relate a linguistic symbol to a feature of the communicative or social context. "Indexes" are signs which are related to the things they stand for because they participate in or are actually part of the events they stand for. For example, the use of honorifics in a given context indexes the social relationship between the interlocutors in that context (Cook, 1988; Ohta, 1993).

**Interactional particles**: Particles which (1) appear utterance-initially, -internally and/or -finally, (2) do not mark grammatical relationships and (3) index interactive contexts.

**Omoiyari**: 'Empathy,' 'consideration' or 'feelings of sympathy and compassion.' The expression of *omoiyari* is a Japanese communicative style.

**Pointing**: The act of directing the addressee's attention in a certain direction.

**Politeness strategies:** There are two types of strategies employed to express politeness: positive politeness strategies and negative politeness strategies. Positive politeness strategies are used to protect the addressee's "positive face" or "the desire to be approved of." On the other hand, negative politeness strategies represents the "politeness of non-imposition" used not to demean the addressee's "negative face," or "the desire to be unimpeded in one's actions" (Brown and Levinson 1978).

**Proposition**: A unit of meaning which constitutes the subject matter of a statement, and which is asserted to be true or false (Crystal 1992).

**Referential meaning**: The meaning that a linguistic expression has through its reference to an entity or situations. Referential meaning is sometimes contrasted with "social meaning," which is understood through the help of contextual information (Cook 1988, 1992; Finegan, 1994).

**Subjectivity**: A speaker's personal attitude and emotions, or the speaker's "voices from the heart" (Suzuki, 1824; Benveniste, 1971; Maynard, 1992).

***Wakimae***: 'Discernment' or the speaker's use of polite expressions according to social conventions rather than interactional strategies. To behave according to sets of social norms of appropriate behavior people have to observe in order to be considered a respected member of society. For instance, *wakimae* is involved when the speaker assesses the extent to which he or she can be assertive to the addressee, based on the social relationship between the speaker and the addressee. It is one of the Japanese communicative styles (Ide, 1989; Maynard, 1995).

APPENDIX B

# Backgrounds of Japanese Language Learner (JLL) Participants

| Code Number | Sex | Age | Native Language | Period of Stay in Japan | Period of Japanese Study in Classrooms |
|---|---|---|---|---|---|
| 1 | M | 19 | English | 7 years | 3 years |
| 2 | M | 23 | English | 1 year | 3 years |
| 3 | M | 22 | English | 1 year | 4 years |
| 4 | M | 24 | English | 2 years | 5 years |
| 5 | M | 27 | English | 4 years | 2 years |
| 6 | M | 27 | English | 3 years | 2 years |
| 7 | M | 20 | Cantonese-Chinese | None | 4 years |
| 8 | M | 21 | Mandarin-Chinese | None | 6 years |
| 9 | M | 22 | Mandarin-Chinese | None | 4 years |
| 10 | F | 18 | English | Visit every year | 2 years |
| 11 | F | 20 | English | 3 months | 5 years |
| 12 | F | 20 | English | 1year 2months | 8 years |
| 13 | F | 20 | English | Visit Periodically | 14 years |
| 14 | F | 21 | English | 1year 6months | 2 years |
| 15 | F | 21 | English | Visit Periodically | 11 years |
| 16 | F | 22 | English | 2 months | 3 years |
| 17 | F | 22 | English | 11 months | 15 years |
| 18 | F | 21 | English | 1 year | 4 years |
| 19 | F | 22 | English | 10 months | 2 years |
| 20 | F | 25 | English | 1 year | 4 years |
| 21 | F | 20 | English | None | 2 years |

APPENDIX C

## Backgrounds of Native Japanese Speaker (NJS) Participants

| Code Number | Sex | Age | Visa Status[1] | Length of Stay in Canada | Birth place[2] (Prefecture) |
|---|---|---|---|---|---|
| 1 | M | 19 | Undergraduate student | 9 months | Tokyo |
| 2 | M | 24 | Graduate student | 6 months | Tokyo |
| 3 | M | 26 | Working-Holiday | 6 months | Tokyo |
| 4 | M | 30 | English language student | 4 months | Tokyo |
| 5 | M | 20 | Exchange student | 5 months | Shizuoka |
| 6 | M | 20 | Undergraduate student | 2years 10months | Aichi |
| 7 | M | 21 | Exchange student | 5 months | Kanagawa |
| 8 | M | 22 | Undergraduate student | 3 years | Toyama |
| 9 | M | 25 | English language student | 5 months | Hiroshima |
| 10 | M | 26 | Working-Holiday | 4 months | Osaka* |
| 11 | M | 20 | Exchange student | 6 months | Hyogo* |
| 12 | M | 20 | Exchange student | 5 months | Siga* |
| 13 | M | 25 | Working-Holiday | 8 months | Ehime* |
| 14 | M | 20 | Exchange student | 6 months | Fukuoka |
| 15 | F | 30 | English language student | 4 months | Tokyo |
| 16 | F | 27 | Graduate student | 1year 8months | Saitama |
| 17 | F | 26 | Working-Holiday | 11 months | Chiba |
| 18 | F | 23 | Working-Holiday | 6 months | Chiba |
| 19 | F | 30 | Research student | 4 months | Kanagawa |
| 20 | F | 35 | English language student | 1 month | Fukushima |
| 21 | F | 25 | English language student | 8 months | Gifu |
| 22 | F | 20 | Exchange student | 5 months | Yamanashi |
| 23 | F | 48 | English language student | 4 months | Shimane |
| 24 | F | 20 | Exchange student | 6 months | Fukuoka |

[1]"Exchange student" refers to an undergraduate enrolled in a one-year UBC exchange programs.

[2]An asterisk indicates a Kansai dialect speaker.

| 25 | F | 24 | Working-Holiday | 9 months | Kagoshima |
|----|---|----|-----------------|----------|-----------|
| 26 | F | 30 | English language student | 1 month | Osaka* |
| 27 | F | 26 | Graduate student | 8 months | Osaka* |
| 28 | F | 22 | Exchange student | 5 months | Osaka* |
| 29 | F | 25 | English language student | 1 month | Osaka* |
| 30 | F | 20 | Exchange student | 5 months | Osaka* |
| 31 | F | 19 | English language student | 1 month | Nara* |
| 32 | F | 31 | English language student | 5 months | Kobe |

APPENDIX D

**Questionnaire for JLL Participants**

**1.Background Information:**

1) Name: _____

2) Age: _____

3) Sex: **Male / Female**

4) Native Language: _____

5) Other language(s) you can speak other than English and Japanese:_____

6) I am a_____year **undergraduate / graduate** [Circle one] student

7) Specialization/Major:_____

8) Why did you decide to participate in this study? [Circle one]

   1 Because of interest in the topic of the study.

   2 Because of the opportunity for talking with native Japanese speakers.

   3 Other:_____

9) Have you ever taken/Are you taking any Japanese course(s) at UBC? If so, please record the year(s) and the course(s) (i.e., the course number(s) and/or the title(s) of the course(s)).

| Year | Course |
| --- | --- |
| Year | Course |
| Year | Course |
| Year | Course |

10). Have you ever taken/Are you taking any Japanese course(s) at institute(s) other than UBC (e.g., a high school, college)? If so, please record the place(s), year(s) and course(s) (i.e., the course number(s) and/or title(s) of the course(s)).

| Place | Year | Course |
| --- | --- | --- |
| Place | Year | Course |
| Place | Year | Course |
| Place | Year | Course |

11) Have you ever stayed in Japan?   **Yes / No** [Circle one]

(For **Yes**) Please specify the period(s) you stayed and the place(s) visited.

Period: from (YY/MM)_____to_____Place:_____

Period: from (YY/MM)_____to_____Place:_____

12) Do you have / Have you had the opportunity to converse with native Japanese speakers?

**Yes / No** [Circle one]

(For **Yes**) Please indicate how long and how often you speak/spoke with them

(e.g., once a week).

How long : _____    How often:_____

13) What is your purpose of studying Japanese language?

_____

14) What aspects of the Japanese language do you think are your strength?

**(speaking / listening / writing / reading / kanji)** [Circle as many as it applies]

15) What aspects of the Japanese language do you want to improve?

**(speaking / listening / writing / reading / kanji)** [Circle as many as it applies]

16) What is the most recent grade you achieved in the Japanese Language Proficiency Test?

**(Level 1 / Level 2 / Level 3 / Level 4 / Haven't taken it)** [Circle one]

## 2. Questions Concerning the Sentence-Final Particles *Yo, Ne* and *Yone*:

The following questions concern Japanese sentence-final particles *yo, ne* and *yone*. As the title of this research indicates, this research is a comparative study of conversation development by native Japanese speakers and Japanese language learners. More specifically, I am going to focus on the differences between two groups in the use of *yo, ne* and *yone*. I believe that this study would reveal the difficulties and problems that learners face in studying these particles, and thus provide possible implications for teaching Japanese as a second language. I did not inform you in advance that *yo, ne* and *yone* would be the target of investigation. This was for the purpose of seeing your natural use of these particles in the preceding conversation session. I ask you to appreciate the importance and necessity for this research, which is being conducted in order to discover the natural use of the particles as data in order to satisfy the above-stated purposes. The questions below ask how you perceive the particles *yo, ne* and *yone*. This is not to test your linguistic knowledge. So please answer the next questions fully.

1). Do you use *yo, ne* and *yone* when you converse in Japanese? [Circle one]

*yo*: (**often / sometimes / rarely / never**)

*ne*: (**often / sometimes / rarely / never**)

*yone*: (**often / sometimes / rarely / never**)

2). Please place *yo, ne* and *yone* in the order of frequency of your use of them.

1.The particle you use most frequently: _____

2.The particle you use the next most frequently: _____

3.The particle you use least frequently: _____

3). Do you <u>consciously</u> use *yo, ne* and *yone* ?

**Yes / No**  [Circle one]

4). In what situations do you use *yo, ne* and *yone* ? If you can think of any particular

situations, please write them down as examples.

*yo*: _____

*ne*: _____

*yone*: _____

5). Are there any situations in which you think <u>you should not use</u> *yo, ne* and *yone*?

**Yes / No** [Circle one]

(For **Yes**) What kinds of situations are they? Can you give some examples of such situations?

*yo*: _____

*ne*: _____

*yone*: _____

6). Do you think it necessary to use *yo*, *ne* and *yone* when you speak Japanese?

**yo: necessary / unnecessary** [Circle one]

Reason(s): _____

*ne:* **necessary / unnecessary** [Circle one]

Reason(s): _____

*yone:* **necessary / unnecessary** [Circle one]

Reason(s): _____


7). Please summarize the meanings/functions of *yo*, *ne* and *yone*.

*yo*: _____


*ne*: _____


*yone*: _____


8). Is it difficult for you to use *yo*, *ne* and *yone* appropriately when you speak Japanese?

*yo*: **difficult / not so difficult** [Circle one]

(For **difficult**) How?: _____

*ne*: **difficult / not so difficult** [Circle one]

(For **difficult**) How?: _____

*yone*: **difficult / not so difficult** [Circle one]

(For **difficult**) How?: _____

9).What were your sources of information for the use of *yo, ne* and *yone*?

[Circle as many as applies]

*yo*: (teacher / tutor / friend / textbook / book / interaction with Japanese people / other: _____ )

*ne*: (teacher / tutor / friend / textbook / book / interaction with Japanese people / other: _____ )

*yone*: (teacher / tutor / friend / textbook / book / interaction with Japanese people/ other: _____ )

10). Does your language have any words or elements in it which correspond to *yo, ne* and/or *yone*?

Yes / No [Circle one]

(For **Yes**) Do you think your language is beneficial to your understanding of the concept of *yo, ne* and *yo ne*? **Yes / No** [Circle one]

11). What do you think is the best way to master the use of *yo, ne* and *yone*?

**Thank you very much for your cooperation.**

APPENDIX E-1

## Questionnaire for NJS Participants

1. バックグラウンド

1) 名前：_____

2) 年齢：_____

3) 性別：**男性／女性**（丸で囲んで下さい。）

4) 日本語と英語の他に話せる言語：_____

5) 日本の出身地：_____県_____市

6) 日本での職業：_____

7) 今回カナダに来る前に海外に滞在したことが **ある／ない**。（丸で囲んで下さい。）

（海外滞在経験のある方へ）：

| 滞在地： | 滞在期間： |
|---|---|
| 滞在地： | 滞在期間： |

8) カナダにおける滞在期間（現在までで）：_____年_____ヶ月

9) 現在、毎日日本語／英語 を話す時間の方が多い。（丸で囲んで下さい。）

10) 日本語学習者、または日本語を外国語として話す人と、日本語で

a) 前に話したことがある。

b) 現在、話すことがある。

c) 話したことはない。　　　　　　　　（丸で囲んで下さい。）

## 2. 日本語学習者との会話についての質問

　先程の日本語学習者との会話で、何か気が付いたことはありますか。（流暢さ、自然かどうか、言葉の使い方、文法の正確さ、丁寧さ、男性らしい／女性らしい言葉遣いかどうか、などの点で。）もし何か気付いた点があれば、どんなことでも書いて下さい。


## 3. 終助詞　「よ」、「ね」、「よね」について

　以下の質問は、日本語の文末に来る助詞（終助詞）の「よ」、「ね」、及び「よね」についてです。このリサーチの目的は、タイトルにもある通り、日本語学習者と日本人がそれぞれ日本語でどのように会話を進めるかを比較研究することですが、その中でも特に終助詞の「よ」、「ね」、「よね」の使い方において両者でどんな違いがあるかが研究の中心となります。この違いを比較研究することで、日本語学習者がこれらの終助詞を学ぶ際にどのような問題を持つのかを明らかにし、また日本語教授法においてどのような点を見直せばよいのかを考察しようというのが具体的な目的です。研究の対象が終助詞の「よ」、「ね」、「よね」の用法であることを伏せておいたのは、先の会話で皆さんの本来の自然な言葉遣いをみたかったためです。この研究においてデータが自然な発話であることが重要であることを御理解して頂きたいと思います。ここにある質問は日本語を母語とする方のネイティブスピーカーとしての直感的な意見をお聞きするものであって、これらの終助詞についての言語学的知識を問うものではありませんので、御自由な考えをお書き下さい。


1）実際、日本語の会話で「よ」、「ね」、「よね」を使いますか。（丸で囲んで下さい。）

　　よ：よく使う／ときどき使う／あまり使わない／使わない


　　ね：よく使う／ときどき使う／あまり使わない／使わない


　　よね：よく使う／ときどき使う／あまり使わない／使わない

2) 「よ」、「ね」、「よね」をよく使う順に並べて下さい。

　　　最もよく使うもの：＿＿＿＿＿＿

　　　次によく使うもの：＿＿＿＿＿＿

　　　最も使わないもの：＿＿＿＿＿＿

3) 「よ」、「ね」、「よね」を意識して使うことが ある／ない。 （丸で囲んで下さい。）

4) どんな時に「よ」、「ね」、「よね」を使いますか。具体的に「こんな場面。」
　　というものがあれば書いて下さい。

よ：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

ね：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

よね：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

5) 「よ」、「ね」、「よね」を使わない方がよいというような場面がありますか。
　　あるとしたら、それはどのような場面ですか。具体的な例があれば書いて
　　下さい。

よ：ある／ない。 （丸で囲んで下さい。）

　　場面：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

ね：ある／ない。 （丸で囲んで下さい。）

　　場面：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

よね：ある／ない。 （丸で囲んで下さい。）

　　場面：＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

6)　1　日本語の会話で「よ」の使用は必要だと　思う／思わない。　（丸で囲んで下さい。）

　　　それはどうしてですか。

　　　_____

　　2　日本語の会話で「ね」の使用は必要だと　思う／思わない。　（丸で囲んで下さい。）

　　　それはどうしてですか。

　　　_____

　　3　日本語の会話で「よね」の使用は必要だと思う／思わない。　（丸で囲んで下さい。）

　　　それはどうしてですか。

　　　_____

7)　「よ」、「ね」、「よね」が持っていると思われる意味／働きを簡単に書いて

　　下さい。

よ：　_____

ね：　_____

よね：　_____

　　　　　　　　御協力、誠にありがとうございました。

APPENDIX E-2

**Questionnaire for NJS Participants** [English Translation]

**1.Background Information:**

1) Name: _____

2) Age: _____

3) Sex: (Male/Female) [Circle one]

4) Other language(s) you can speak except English and Japanese:_____

5) Home town: _____ City _____ Prefecture

6) Occupation in Japan:_____

7) Had you ever stayed overseas before you came to Canada? **Yes/No** [Circle one]

   (For **Yes**) Please specify the period(s) stayed and the place(s) visited.

   Place:_____ Period:_____

   Place:_____ Period:_____

8) How long have you stayed in Canada? :_____year(s)_____months

9) Which language do you usually speak in your daily life (in Canada), **Japanese** or **English**?

   [Circle one]

10) Have you ever talked with Japanese language learners? **Yes/No** [Circle one]

    1) Yes. (in the past)

    2) Yes. (in present)

    3) No, I have not.         [Circle a number]

## 2. Questions Concerning the Conversations with Japanese Language Learners:

Are there any significant features you noticed in the speech of the Japanese language learners you conversed with (in terms of fluency, naturalness, wording, grammar, politeness, etc.)? If you noticed any, please describe them.

## 3. Questions Concerning the Sentence-Final Particles *Yo, Ne* and *Yone*:

The following questions concern Japanese sentence-final particles *yo, ne* and *yone*. As the title of this research indicates, this research is a comparative study of conversation development by native Japanese speakers and Japanese language learners. More specifically, I am going to focus on the differences between two groups in the use of *yo, ne* and *yone*. I believe that this study would reveal the difficulties and problems that learners face in studying these particles, and thus provide possible implications for teaching Japanese as a second language. I did not inform you in advance that *yo, ne* and *yone* would be the target of investigation. This was for the purpose of seeing your natural use of these particles in the preceding conversation session. I ask you to appreciate the importance and necessity for this research, which is being conducted in order to discover the natural use of the particles as data in order to satisfy the above stated purposes. The questions below ask the native Japanese speakers' intuitive opinions concerning the use of *yo, ne* and *yone*. This is not to test your linguistic knowledge. So please answer the next questions fully.

1) Do you use *yo, ne* and *yone* when you speak Japanese? [Circle one]

*yo*: (**often** / **sometimes** / **rarely** / **never**)

*ne*: (**often** / **sometimes** / **rarely** / **never**)

*yone*: (**often** / **sometimes** / **rarely** / **never**)

2) Please place *yo, ne* and *yone* in the order of frequency of your use of them.

    1 The particle you use most frequently: _____

    2 The particle you use the next most frequently: _____

    3 The particle you use least frequently: _____


3) Do you <u>consciously</u> use *yo, ne* and *yone* ?

    **Yes / No**  [Circle one]

4) In what situations do you use *yo, ne* and *yone* ? If you can think of any particular

    situations, please write them down as examples.

    *yo:*_____


    *ne:*_____


    *yone:* _____


5) Are there any situations in which you think <u>you should not use</u> *yo, ne* and *yone*?

    **Yes / No** [Circle one]

    (For **Yes**) What kinds of situations are they ? Can you give some examples of such situations?

    *yo:*_____


    *ne:*_____


    *yone:* _____

6) Do you think it necessary to use *yo*, *ne* and *yone* when you speak in Japanese?

    *yo*: **necessary / unnecessary** [Circle one]

        Reason(s): _____

    *ne:* **necessary / unnecessary** [Circle one]

        Reason(s): _____

    *yone*: **necessary / unnecessary** [Circle one]

        Reason(s): _____

7) Please summarize the meanings/functions of *yo*, *ne* and *yone*.

    *yo*: _____

    *ne*: _____

    *yone*: _____

**Thank you very much for your cooperation.**

APPENDIX F

## Suggested Topics [in Japanese]

趣味 （興味のあること。　面白いと思うこと。　他の人にも勧めたいこと。）

旅行 （今までに行った国、町。　これから行きたい場所。）

ファッション （服装、格好。　今、日本で／カナダで流行っているもの。）

芸能関係 （映画。　テレビドラマ。　芸能ニュース。）

最近気になるニュース （面白い／おかしい／こわいと思ったこと。）

今までの人生で一番ショックだったこと

日本 （出身地。　有名なもの。　特有の慣習、言葉。）

バンクーバー （バンクーバーに来た理由。　バンクーバーの好きな／嫌いな所。）

カルチャーショック （日本／カナダについて、不思議／面白いと思うこと。）

日本語／英語 （勉強する目的、理由。　難しい点、面白い点。）

将来の計画

## Suggested Topics [in English]

**Hobbies**: Something you are interested in, Something you recommend to others.

**Travel**: Countries or cities you have been to.

**Fashion**: Something trendy in Japan/Canada.

**Show Business**: Movies. TV Dramas. Entertainment news.

**Recent news**: Interesting. funny or scary news.

**The most shocking thing that happened to you in your life**

**Japan**: Your hometown and its attractions. Unique conventions. Language.

**Vancouver**: The reason why you came to Vancouver. Good/Bad points of Vancouver.

**Culture shock**: Something you find strange or interesting about Japanese/Canadian culture.

**Japanese/English language**: The reason or purpose for your studying the language.
Difficulties and Interesting points.

**Future plans**:

APEENDIX G

**Fill-in-the-Blank Test**

[Answer Sheet]

**Name:** _____

**Among** *yo, ne* **and** *yone,* **please choose one particle which would most naturally fit in each blank. If you think no particle is necessary, please circle x.**
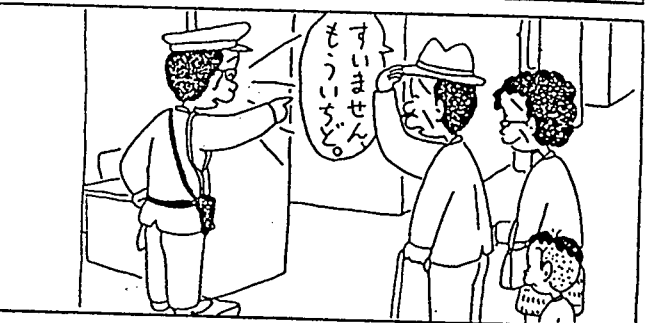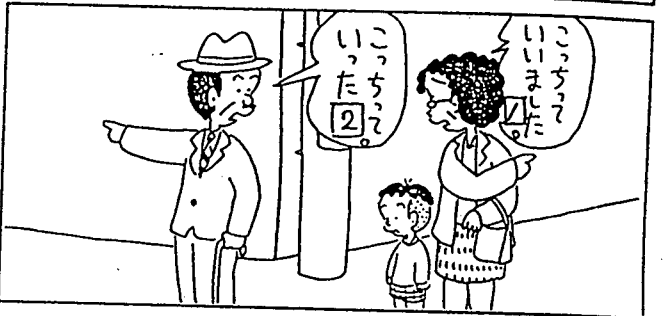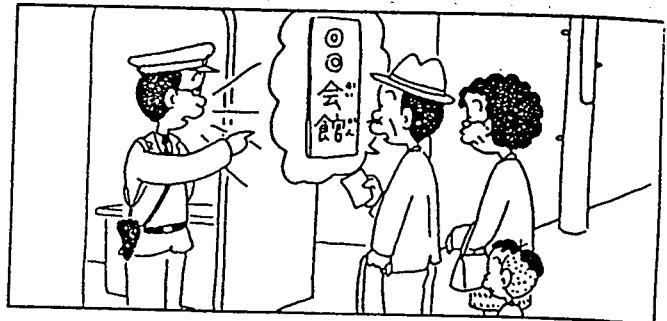
**(Circle one)**

1  *yo*  *ne*  *yone*  x

2  *yo*  *ne*  *yone*  x

3  *yo*  *ne*  *yone*  x

4  *yo*  *ne*   *yone*  x

5  *yo*  *ne*  *yone*  x

6  *yo*  *ne*  *yone*  x

7  *yo*  *ne*  *yone*  x

8  *yo*  *ne*  *yone*  x

9  *yo*  *ne*  *yone*  x

10  *yo*  *ne*  *yone*  x

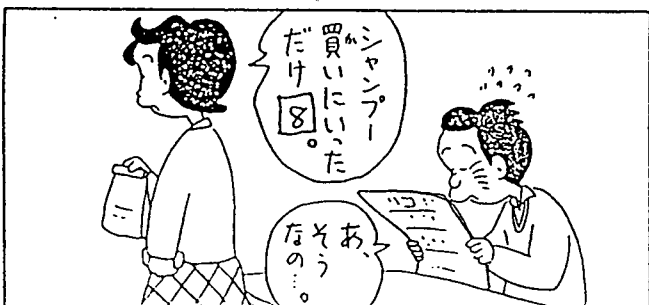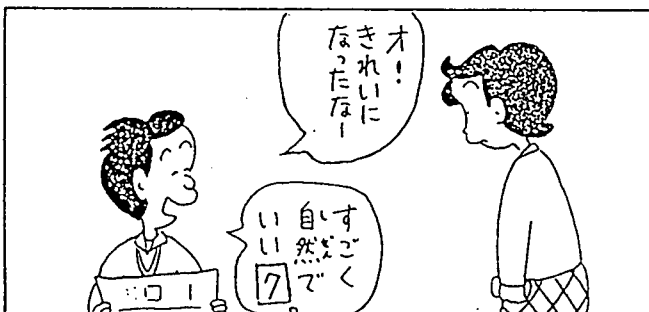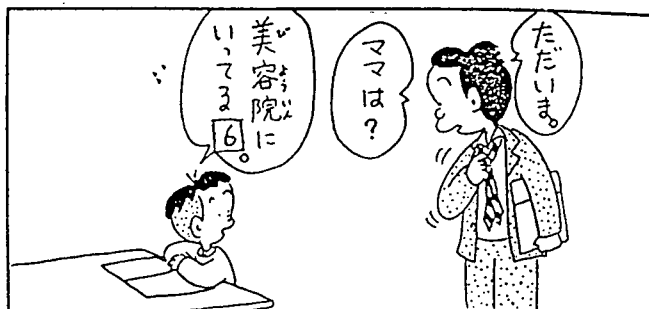11  *yo*  *ne*  *yone*  x

12  *yo*  *ne*  *yone*  x

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(4) (3)

(5)