Emotion and appraisal processes in language

How are they related?

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This study discusses theoretical and methodological aspects of the relationship between appraisal and emotion processes in language/discourse. Taking as my point of departure both Appraisal Theory and Geoff Thompson's later review thereof, I argue that despite their invaluable illumination of appraisal and emotion processes, these approaches cannot elucidate the complex similarities and differences between appraisal and emotion. I sketch a more interdisciplinary approach that draws not only on functional linguistics but also on linguistic pragmatics and psychological appraisal theories. I then propose a modified version of the functional relationship applied for the analysis of linguistic evaluation in my previous work as a methodological tool for the treatment of emotion in language, clearing the ground for future large-scale qualitative projects on the topic.

Keywords: emotion, evaluation, appraisal theories, emotion systems, component approach to emotions, evaluative/emotive functional relationship (Ev / Em)

1.   Introduction

In this Chapter I discuss the results of both theoretical and empirical qualitative research into the linguistic expression of emotion and its relationship to appraisal processes. The foundation stone of the analysis is functional linguistics, but the study as a whole is interdisciplinary in nature, given that other approaches such as those of pragmatics and the psychological theories of appraisal are taken into account.

1.1   Main argument

The main argument defended here is that even though evaluation and emotion are connected with each other in profound ways, they cannot be approached

methodologically as if they were the same linguistic phenomenon.[1] To my knowledge, within the field of linguistics nobody has yet drawn a clear methodological distinction between the analysis of evaluation and that of emotion. Whereas in most functional studies of appraisal the two concepts are not clearly distinguished and sometimes are even taken as the same phenomenon (e.g. Hunston & Thompson 2000; Englebretson 2007; Bednarek 2006, 2008a, b; Thompson & Alba-Juez 2014), in the cognitive-linguistic approaches to expressive language and emotion (e.g. Schwarz-Friesel 2015; Lüdtke 2012, 2015; Foolen 2012, 2016) the topic of evaluation is only touched on marginally and in an ancillary way to the study of emotion. All these linguistic approaches leave no doubt about the fact that appraisal and emotion processes interact with each other but they do not clearly distinguish the former from the latter. In my analysis, however, I have observed that the parameters and dimensions through which these two phenomena emerge in discourse are not identical and in fact that the expression of emotion does not necessarily follow the same paths as the expression of evaluation, even though they are mutually affected.

Martin & White propose appraisal as a discourse semantic system which is "regionalized as three interacting domains – 'attitude', 'engagement' and 'graduation'" (2005: 35). The sub-system that appears to be most relevant for the present study is that of Attitude, which is divided into three regions: Affect, Judgement and Appreciation, the first of which (Affect) is concerned with our feelings and emotional reactions. But the research presented in this chapter demonstrates that the phenomenon of emotion in language is more complex than is delineated in the Appraisal Model: the expression of emotion often goes well beyond the subsystem of Affect and generally overlays one or more of the other systems and subsystems of Appraisal. This is the main point discussed in Section 2, where I examine Thompson's (2015a, b) proposal regarding the common ground shared by the three main subsystems of Attitude and its relationship with Bednarek's (2008b) *emotion talk* and *emotional* talk.[2]

The above observations have led me to the formulation of the research questions and main hypothesis of the present study, to which I now turn.

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1. I will use the term *evaluation* as synonym of *appraisal* throughout this chapter, referring to the stance that is expressed in discourse.

2. I will discuss the proposal made by Geoff Thompson, late member of our research group and project (EMO-FunDETT – FFI2013-47792-C2-1-P), at one of our meetings in Madrid in 2015, when I asked him to show us his view on the difference (and similarities) between linguistic evaluation and emotion. Thus this paper will be partially a posthumous means to make Geoff's work for our research group available to the academic community, as well as to pay tribute to his outstanding work as a systemic functional linguist.

1.2   Research questions, main hypothesis, and corpus used

The main research questions posed are the following:

a. Are the systems and subsystems of linguistic Appraisal Theory sufficient to describe and explain emotion processes in discourse?
b. How are appraisal and emotion processes related in discourse?
c. Given a certain appraisal configuration in an utterance, what are the components of the actual emotion system expressed?

The main hypothesis derived from these questions is the following: *The type of emotion system expressed or elicited by a given discourse situation has a clear connection with the way in which the interlocutors have appraised that situation, but the emotion parameters do not necessarily have the same qualitative values as the appraisal parameters, even though the differentiation of emotion is dependent on evaluation processes.*

In order to answer these questions and test the hypothesis, I have carried out empirical qualitative analysis of corpora examples which were analysed manually and come from three different sources: (1) 200 headlines taken from British tabloids and broadsheets, (2) 500 e-mail messages exchanged among British and Spanish engineers of a multinational company at the workplace, and (3) simple examples from everyday English.

But before delving into the analysis proper, some basic issues ought to be discussed.

1.3   Some basic problems

1.3.1   *How to approach and define emotion*

An initial concern was to choose the linguistic perspective from which the study of emotion could be tackled appropriately. For the reasons outlined in Section 1.1, I adopted functional linguistics (FL), and in particular Appraisal Theory (AT), as the basic framework for this study. It is worth mentioning here, though, that a growing body of both theoretical and empirical work (coming from sources other than FL) on the relationship between language, cognition and emotion has gained considerable prominence, such as that shown in Brinton et al. (2007), Van Lancker Sidtis (2008), Wierzbicka (2009), Wetherell (2012), Dewaele (2013), Klann-Delius (2015), Schwarz-Friesel (2015), Lüdtke (2012, 2015) or Foolen (2012, 2016). It is undeniable that an important paradigm shift has taken place (not only in linguistics but also in other disciplines), which "could be described as different but interrelated positions on a paradigmatic trajectory from *logos* to *dialogue*" (Lüdtke 2015: viii). LeDoux (2000) refers to this shift as the *emotional turn*. Language is no

longer perceived as a totally objective and valid representation of reality but as an intersubjective expression of correlational 'truth'.

All the disciplines affected by this emotional turn have attempted their own definitions of the phenomenon of emotion. In the case of Martin & White's (2005) Appraisal Theory, even though emotion is included as the main concept within the subsystem of Affect, they do not define it in particular. They make it very clear, however, that emotion and evaluation are closely related. This connection is also patent in cognitive-linguistic approaches: Schwarz-Friesel, for instance, defines emotion as "a complex internally represented knowledge system having a primar-ily *evaluative* function within the human organism" (2015: 161; my italics). Within the field of Psychology, definitions such as Frijda's (1998) or Myers' (2004) point to the fact that emotions are complex phenomena that involve physiological arousal, *appraisal of the situation*, *expressive behaviors*, and conscious experience.

It is important to notice that the psychological definitions do not overlook the fact that one of the crucial channels for the manifestation of human emotion is language (included within expressive behaviours in the definitions above), which in turn makes it crucial and indispensable for psychologists to draw on the data and results of linguistic research. Scholars in both fields (linguistics and psychol-ogy) support (explicitly or implicitly) the idea that the emotions people feel and/or express are predictable from their appraisal of their circumstances and conversely, their interpretation of the situation is predictable on the basis of their emotional expression or behavior. By way of a brief example, if I appraise a situation as dan-gerous, it is very likely that the emotion system connected to fear will be activated, or conversely, if I show signs of fear (verbal or non-verbal), my interlocutor may infer that I am facing a dangerous situation.

There is a sharp contrast between categorical theories of emotions such as Tomkins' (1962), Izard's (1977), or Ekman's (1972, 2003) and psychological ap-praisal theories. The former support the view that there exists a set of basic, uni-versal human emotions which are produced by an innate hardwired neuromo-tor program, and out of which all other emotions can be built and explained. The latter, in contrast, postulate that emotions are composed of simpler but still meaningful elements that correspond to appraisals and their correlates, and view emotional experience as a rapidly or sometimes gradually changing process, ac-cording as additions or revisions of the appraisals are made. This view implies that there is "a potentially infinite range of emotional experience with intermedi-ate or transitional states between the named categories of emotions" (Ellsworth & Scherer 2003: 574).

In line with psychological appraisal theories, Ortony & Turner (1990: 320) point out that there is no encouraging evidence for neural structures corre-sponding to recognizably discrete emotions, but rather for emotion in general,

"or perhaps better termed response *systems*". So, for instance, rather than a single emotion of shame, there can be many varieties of "quasi–shame" and many nuances of the shame experience. In this vein, some authors have tried to identify different emotion systems. Panksepp (1982), for instance, identifies four: (1) *exploration-curiosity-foraging-expectation-desire*, (2) *flight-caution-anxiety-fear-horror*, (3) *offense-irritability-anger-rage-fury*, and (4) *crying-sadness-sorrow-grief-panic*. Wetherell's (2012) view of emotion in discourse can be said to be in-sync with the idea of *emotion/ response systems*, given that, rather than with single emotions, she works with the concept of *affective practice* as a pragmatic way of thinking about affect and emotion as a basis for empirical social research. She explains that affective practices have their own particular rhythms, as well as a dynamic and mobile character. This does not mean, however, that the flow of affect is entirely indeterminate. Patterns can be found within these affective practices, and this is one of the issues I shall also explore in my analysis. As Wetherell writes, "Affect is about sense as well as sensibility. It is practical, communicative and organized" (2012: 2).

Considering all of the above, the view and definition of emotion adopted in this study is in line with that of psychological appraisal theories and with Ortony & Turner's (1990) component view of emotions as response systems, because among other things, this view allows the researcher to work with clearer and more detailed and descriptive terms.

1.3.2   *The terms used for the categories of emotion*

Another of the main problems encountered when facing the classification of emotion in discourse is the choice of the terminology used, considering that: (a) the terms for the different emotions in different languages capture only one or some of the components of those emotions, and they generally cover a different range; (b) the borders between linguistic categories of emotion are fuzzy and vague, and therefore, (c) membership within a category is a matter of degree rather than all or none. Consider Examples (1) and (2):

(1)   I love you. (Said to your significant other)

(2)   I love this country.

If we analyse these two utterances solely from the perspective of the Appraisal model, both can be said to be cases of **inscribed Affect**.[3] But all of us know that the kind of love expressed in (1) is quite different from that expressed in (2). The

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3. As the reader will recall, within the Appraisal model, *inscribed* evaluation (i.e. the evaluation that is expressed directly in the text through the use of attitudinal lexis) is opposed to *invoked* evaluation (i.e. the evaluation that is not expressed directly, but indirectly through some kind of inference).

emotion in the former could be described as *great affect, passion, sexual attraction* or even *lust*, but the one in the latter would not accept the same description: it could perhaps share the component of *great affect*, but then it will be better described by terms such as *fondness, spiritual bonding*, or *liking*. Furthermore, in a multimodal analysis one may find that the speaker's bodily symptoms and facial gestures accompanying these utterances also vary widely from one type of love to the other. My main argument in this respect, then, is that all of these aspects of the emotion of love (or any other emotion) can be better represented in the analysis of utterances like (1) or (2) if the view adopted is the componential view of emotion and not the basic-emotions categorical view (see Section 1.3.1).

The expression and/or conceptualization of emotion in language, therefore, is not restricted to a specific emotional state.[4] Rather, it is viewed as a response to specific evaluations of the discourse situation and therefore not as a single unified phenomenon, but as part of the intersubjective relational work of the interlocutors. Consequently, I also argue that the overall comprehension of the phenomenon of emotion will be enhanced if we take into account not only the above-mentioned linguistic and psychological considerations but also some crucial pragmatic aspects such as those explained in the next section.

1.3.3   *The pragmatics of emotion*

The emotive force or potential of a text comprises much more than just emotive or expressive words and phrases. In communication, emotions can be expressed on three levels (Schwarz-Friesel 2015: 167): (1) perceptible bodily symptoms such as trembling, blushing, or turning pale; (2) non-verbal expressions such as facial expressions or gestures like smiling or shrugging; and (3) verbally, through intonation, interjections, affective words, expressive speech acts, emotional metaphors, emotional implicatures,[5] etc. Thus, when assessing the emotional content of any given text or discourse, it is not enough to look into the affective words or interjections used, it is also necessary to scrutinize such aspects as the sequence of turns and speech acts, the e-implicatures or the type of affective practice involved. In short, we should not only consider the elements of the microstructure of the text but also those of its macrostructure, the difference between which is made patent, for instance, in the humorous genre of jokes, whose microstructure may contain elements of negative evaluation and/or emotion but whose macrostructure may

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4. Foolen (2012) makes the distinction between the expression of emotion and its conceptualization. As we shall see in Section 2, the former would be equivalent to Bednarek's (2008b) *emotional talk*, and the latter to what she calls *emotion talk*.

5. This is a term coined by Schwarz-Friesel (2010) which is defined below in this section.

reveal a general and final positive emotive meaning (considering that jokes are typically intended to please, entertain and make the audience laugh).[6]

A relevant pragmatic aspect to be contemplated when analysing emotion is the capacity for some utterances and/or texts to trigger e-implicatures. These are implicatures about the emotions of the speaker that are based to a certain degree on culturally shaped encyclopedic knowledge (Schwarz-Friesel 2010). Some utterances like those in (3), (4) and (5) convey evaluations with emotive content which are inferred by drawing specific *e-implicatures*:

(3) My father has passed away.
     e-implicature ➜ The speaker is sad and mourning over her loss.

(4) I was not chosen for the job I so much wanted at the multinational company.
     e-implicature ➜ The speaker has a feeling of disappointment and frustration.

(5) There's a cockroach on my pillow!
     e-implicature ➜ This is unpleasant – The speaker has a feeling of disgust.

The emotion implicated by means of e-implicatures is not always so readily identifiable just by drawing on our encyclopedic knowledge, however. There are cases in which it is necessary to have not only cultural, encyclopedic knowledge but also a very specific kind of knowledge involving the personal situation of the speaker, her preferences, her personality, etc. Consider, for instance, the utterance in (6):

(6) Mary: I'm pregnant!!

In order to work out the right e-implicature, we should know important details about Mary's personal life that do not apply to all cases in which the utterance *I'm pregnant* is uttered, such as whether she wanted to have that baby or not, whether she has a partner or not or what her view of maternity is, among many other aspects of her emotional context and system of values. Having this knowledge will allow the hearer to work out the right e-implicature, as well as to react emotionally in an appropriate way, i.e. the speaker might draw the implicature that Mary is very happy about her pregnancy – and therefore congratulate her – or contrariwise would perhaps draw the implicature that Mary is desperately upset about the news and then the speaker's consequent emotional reaction would be to try to comfort her, among other less extreme possibilities along the evaluative/emotive continuum.

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6. An example of this is found in the following joke by George Carlin, where the words used contain negative evaluation but the emotion conveyed and triggered in the audience at the macrostructure level is a positive one: "*Here's all you have to know about men and women: Women are crazy, men are stupid. And the main reason women are crazy is that men are stupid*". (Taken from http://www.goodreads.com/quotes/52852-here-s-all-you-have-to-know-about-men-and-women)

The above reasoning leads us to the thought that some e-implicatures are more generalized and conventionalized than others, and therefore we can distinguish, as with any other kind of implicatures, between *Generalized Conversational e-Implicatures* (GC e-I) such as those presented in Examples (3), (4) and (5) and *Particularized Conversational e-Implicatures* (PCe-I), such as those discussed for (6).[7] As we know, a characteristic feature of all conversational implicatures (generalized or particularized) is that they are cancellable. This means that the speaker can always say, for instance in (3) above, that her father was a bad and despicable person and that she is not sad about his death in the least, thus cancelling the e-implicature about her supposed grief.

All these pragmatic reflections are crucial when facing the analysis of emotion in discourse, and for that reason I have deemed it necessary to include as many of them as possible in the method of analysis proposed in the next three sections of this study. We shall first examine the treatment that emotion has been given in functional linguistics.

2.   Evaluation and emotion in functional linguistics and Appraisal Theory: Discussion of further possibilities of analysis

As was anticipated in Section 1.3.1, functional studies on appraisal such as Martin & White (2005), Hunston & Thompson (2000), or Thompson (2014, 2015a, b) have mainly focused on evaluation in text and context, including emotion and affect as one aspect of evaluation, without developing a special model of emotion alone. Let us look into this matter in more detail.

2.1   Emotion talk and emotional talk in combination with the appraisal model systems

Following Thompson (2015a, b), I will start the discussion about the relationship between evaluation and emotion by drawing on the difference Bednarek (2008b: 12) makes between *emotion talk* and *emotional talk*, illustrated respectively in Examples (7) and (8):

(7)   I feel sad. // He feels lonely.
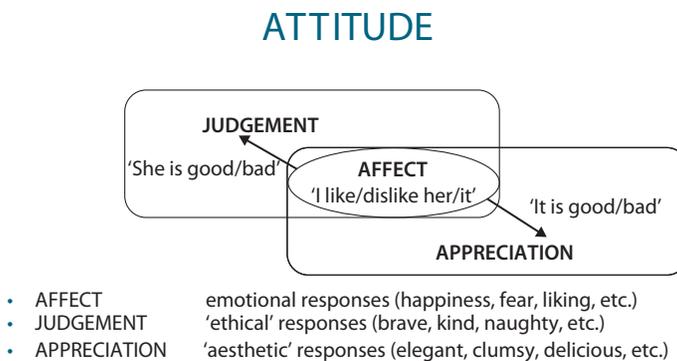
(8)   Yuk! // Hooray!!!

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7. For the theory of *Generalized* and *Particularized Conversational Implicature*, see Grice (1989), Horn (1972, 1984, 2007) and Levinson (1995, 2000).

A speaker is engaged in emotion talk when she talks *about* her or other people's emotions. Therefore, from a functional linguistic perspective, when using emotion talk a speaker is *representing* emotion. The representation of emotion can thus be situated within what in Systemic Functional Linguistics has been called the *experiential* metafunction of language. In contrast, by *emotional talk* Bednarek (2008b) refers to the use of expressions that conventionally signal the speaker's emotion; rather than representing emotion, the speaker here is *enacting* her emotion and consequently fulfilling the *interpersonal* metafunction.

The distinction between emotion and emotional talk, however, is not clear-cut: more recent research (such as Thompson 2015a and b, or that done for this study) suggests that the area of overlap between these two aspects of language is greater than is shown by Bednarek (2008b). A simple example could be (9), in which both emotion and emotional talk coincide. The interjection, the use of first person and the exclamatory intonation enact the emotion, and the proposition (*I hate broccoli*) represents it:

(9)   Yuk! I hate broccoli!

This overlap can also be observed when trying to classify evaluation and emotion with the categories in Martin & White's (2005) Appraisal Theory. As anticipated in Section 1.1, the three main sub-systems of Appraisal in their model are (1) Attitude, (2) Engagement and (3) Graduation.[8] Emotions and emotional responses belong to the sub-system of Attitude and in particular to the subsystem of Affect, as Thompson (2015a: slide 11) shows and illustrates in Figure 1:

ATTITUDE

- AFFECT   emotional responses (happiness, fear, liking, etc.)
- JUDGEMENT   'ethical' responses (brave, kind, naughty, etc.)
- APPRECIATION   'aesthetic' responses (elegant, clumsy, delicious, etc.)

Figure 1. Thompson's (2015a) illustration of the attitude subsystem in Appraisal Theory

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8. The reader is expected to be familiar with the Appraisal model, for due to space reasons (and also because it would go beyond the scope of this work), it would not be possible to explain the whole model in detail here.

But Thompson also acknowledged and showed that the real picture is not so neat as depicted in Figure 1: much emotion and emotional talk operate simultaneously, overlaying not only the Affect sub-system but also the other two sub-systems of Attitude (Judgement and Appreciation), as he demonstrated by means of the diagram in Figure 2 (2015a: slide 59), which he called the "revised picture".[9]
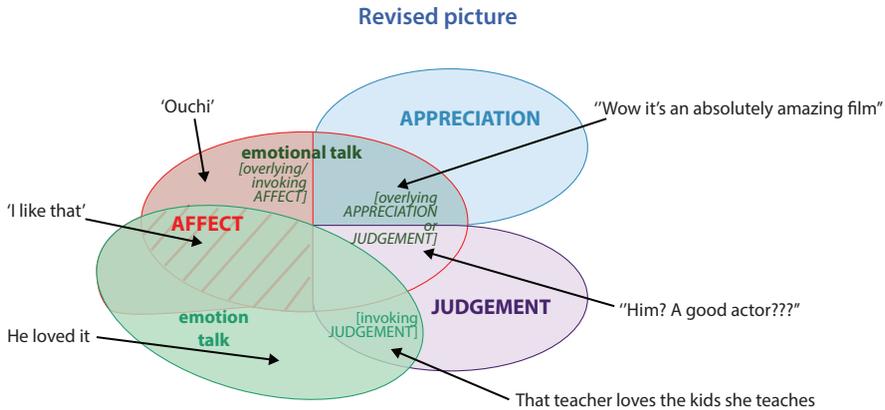
Figure 2. Thompson's (2015a) illustration of the relationship between appraisal and emotion(al) talk

I will now discuss the combinations shown by Thompson (2015a) in Figure 2 and at the same time will point to some other possibilities explored and found in this study which make the picture a bit more complex:

a. Emotional talk/invoked affect
    In this case the speaker would be enacting the emotion, not representing it. This combination is very often realized by interjections, e.g. *Ouch!*. Note that here the emotion (pain in this case) is invoked not inscribed (i.e. the speaker does not directly say, for example, "My finger hurts") and therefore within Appraisal Theory this is considered an instance of a *token* of Affect. Also, it would be possible to combine representation with enactment if a speaker uttered the following: *She said "ouch!",* because the speaker in such a case would be representing someone's enactment of the emotion.

b. Emotion(al) talk/inscribed affect
    These are cases in which the emotion is both represented and enacted, e.g. *I like that.* Note that here the emotion of the speaker is *inscribed*, or expressed in

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9. He called it the "revised picture" because it was precisely a revised version of the original diagram (entitled "A full picture?") he had initially presented to us, the revised version being the final outcome of all the observations that he himself and we, the members of the EMO-FunDETT research group, made and discussed at one of our meetings.

a direct way. Note also that, even though Thompson (2015a) did not indicate it in Figure 2, given the proper context this example could also be taken as a token of Appreciation for the object or thing that the speaker says she likes, which shows the complexity of the system, for in such a case the combination would be different: **Emotion(al) talk/inscribed Affect/invoked Appreciation**.

c.   Emotion talk/inscribed affect
     This combination involves cases in which the emotion of a person is represented, not enacted, e.g. *He loved it*. Even though Thompson (2015a) does not specify this, note that given the proper context this could be a case of **Emotion talk/Affect/invoked (token of) Judgement/invoked (token of) Appreciation**, because the speaker could imply with her utterance that the person who loves the thing is good or bad for that reason and that the thing being loved is really good and lovable.

d.   Emotion talk/invoked judgement
     This combination involves cases in which the emotion is represented and at the same time there is a token of Judgement, as seen in Thompson's (2015a) example: *That teacher loves the kids she teaches*, which shows that apart from representing the emotion of the teacher, the speaker may be implying that the teacher is good or nice because she loves her students.

e.   Emotional talk/invoked judgement
     Here the speaker enacts the emotion by means of the intonation used, and at the same time uses a token of Judgement, as in the example given in Figure 2: *Him? A good actor???,* whereby the speaker implicates that she does not think he is a good actor.

f.   Emotion(al) talk/appreciation
     This combination allows the speaker to enact an emotion and at the same time express her evaluation of something. In the example given in the diagram (*Wow! It's an absolutely amazing film!),* Thompson (2015a) indicates that it could also overlay the subsystem of Judgement, because by evaluating the film as amazing we might be indirectly (again, given the proper context) judging its director or the actors in it as good and amazing too. In such a case the combination would become **Emotion(al) talk/Appreciation/invoked Judgement**.

The analysis of all the above combinations testifies to the great complexity of the relationship between appraisal and emotion. In Sections 3 and 4 I will elaborate on this by presenting a proposal for analysis which invokes further variables that help characterize the phenomenon in more detail.

3.   Beyond Thompson's view: In search of a more complete picture

One of the first prominent outcomes of my further research on the relationship be-
tween appraisal and emotion processes has been the observation that the overlap
of emotion and evaluation goes beyond the subsystems of Attitude into the other
two main systems of Appraisal, namely Engagement and Graduation, as shown in
Examples (10) and (11):

(10)   I'm extremely sad about the news.

(11)   `T̲h̲e̲y̲ said it's disgusting. `I̲ didn't say anything!

In (10) it can be seen how emotion talk overlays not only the subsystem of Affect
within Attitude, but also the system of Graduation (by using the word *extreme-
ly*) through the axis of Force (Intensification).[10] In (11) the speaker plays with
stress and intonation (a feature of emotional talk) as well as with Heteroglossic vs
Monoglossic Engagement in order to clarify whose evaluation and emotion (i.e.
theirs, not hers) should be contemplated.[11] In fact, a recurrent strategy, especial-
ly in the corpus of journalistic discourse, is to play with Engagement to invoke
Judgement. An example of the strategic use of Heteroglossic Engagement in or-
der to invoke a negative emotion or Judgement about a given person or situation
is shown in (12):

(12)   Russia says drivers must not have 'sex disorders'. *(BBC Online,* 8 January
       2015).[12]

Here the writer uses Heteroglossic Engagement (by means of reported speech) to
make it clear that this is not what the journalist or the newspaper says, consider-
ing the social and historical context of a country (Russia) in which transsexual
and transgender people are thought to be mentally ill and therefore do not qualify
for a driving licence. Engagement, which is realized not only by the use of re-
ported speech but also by quotation marks (in 'sex disorders') is obviously used
to indicate the stance of perhaps both the journalist and the newspaper editors,

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10. In the Appraisal model (Martin & White 2005: 35), "**Graduation** attends to grading phe-
nomena whereby feelings are amplified and categories blurred". It "operates across two axes of
scalability – that of grading according to intensity or amount, and that of grading according to
prototypicality and the preciseness by which category boundaries are drawn" (2005: 137). The
former is the axis of *force* and the latter that of *focus*.

11. Within the Appraisal Model, Heteroglossic Engagement is the kind of engagement that recog-
nizes dialogistic alternatives, as in *In my view, the president is corrupt*. Monoglossic Engagement,
in contrast, does not recognize dialogistic alternatives (e.g. *The President is corrupt.*).

12. This example was also analyzed, for different purposes, in Alba-Juez (2017).

communicating in an invoked, indirect way their disapproval of this regulation. So, in plain words, the message would be: "It is the Russians who consider that transsexual and transgender people have sex disorders. We don't, and what's more, we feel disgust and contempt for such an idea".

All these observations have led me to believe that emotion affects and permeates all the systems and subsystems of Appraisal – and not just the subsystem of Attitude (as depicted in Thompson's 2015a Figure 2 above), a reflection that has triggered additional research questions: Are all cases of emotion(al) talk evaluative? And further: Are all cases of evaluation examples of emotion(al) talk? The evidence of the examples analysed so far has inclined me to think that there is no emotion without evaluation (because every expression of emotion appears accompanied in text by some kind of inscribed or invoked evaluation). However, it seems apparent that there can be evaluation without emotion: this would include cases of so-called descriptive appraisal (Price 2014) or neutral evaluation (Alba-Juez & Attardo 2014; Alba-Juez & Mackenzie 2016), as shown in (13) and (14), where – other things being equal – there is no apparent reason to think that the speaker or writer is showing any kind of emotion or affect towards the corridor or Eddie Redmayne, respectively.[13] We can only say that they are both being evaluated (one as 'long' and the other as 'sharp'):

(13)   That is a long corridor.

(14)   Eddie Redmayne looks sharp at annual Academy awards. *(The Guardian On-Line*, 5 January 2015*)*

Thus, the resulting picture would be as shown in Figure 3.
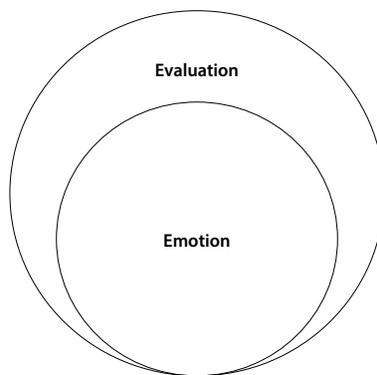
Figure 3.   All emotive language is evaluative, but not all evaluative language is emotive.

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13. However, I am conscious that it could also be argued that the mere act of speaking or uttering a sentence involves a motivation to do so, and consequently all language without exception could be said to contain emotion to a certain extent.

Even though the above considerations reveal much of the complexity of the relationship between appraisal and emotion processes, they still lack elaboration of the emotions that are being expressed. The simple classification of utterances into emotion or emotional talk does not seem sufficient for the researcher interested in obtaining a deeper picture of the emotion processes which simultaneously work and intertwine with appraisal processes. Take for instance the simple example of the use of the interjection *Wow* in (15):

(15)   A: I got straight As in all my subjects this year.
       B: **Wow!!**

If we analyze the utterance *Wow!!* in terms of the appraisal systems put into motion, we may say that this is an example of positive evaluation within the system of Attitude, subsystem of Affect, overlaying the subsystem of Judgement (showing B's indirect Judgement of A as a person to be admired). We can also say that this is an example of emotional talk, following Bednarek's (2008b) distinction, and so the combination would be **Emotional talk/Affect/invoked Judgement** (which, as a matter of fact, is a different possibility from any of those considered in 2 (a-f) above). However, this analysis does not say anything about the actual emotion being expressed, which in this case obviously has to do with surprise and admiration. And here we stumble upon one of the great methodological problems of the analysis of emotion: its classification into different types or systems, in a manner that would allow the researcher to identify not only the emotions being literally expressed but also those triggered by means of implicature or other kinds of inference, as well as those awakened in the hearer or audience. This is a very laborious task indeed, upon which I will seek to shed some light in the following section, by making an initial proposal for a more complete analysis of emotion in context.

4.   The method proposed

As I have already pointed out, the expression of emotion is a complex phenomenon that involves the combination of both appraisal and emotion systems, whose analysis can be enriched by interdisciplinary research. In particular, in this study I propose to enlarge this previous research by analysing the different dimensions separately by using the functional relationship I applied in previous work on the analysis of evaluation (Alba-Juez 2016, 2017), now enriched with the findings of psychological appraisal theories as well as those of linguistic pragmatics for the analysis of emotion in discourse.

The functional relationship described in my previous work shows evaluation as a function of a number of variables that interact with one another.[14] These variables are the following:

1. **Phase of the evaluation/emotion (PH),** which may have three different values: (1) Pre-realization phase, which is purely cognitive and refers to a 'silent' but active stage, in the sense that the speaker has a certain stance and/or emotion that s/he may later opt to express verbally or not; (2) Textual phase, which corresponds to the actual verbal expression of the evaluation or emotion; and (3) Interlocutor's reaction phase, which constitutes the hearer's reaction to the speaker's evaluation or emotion expressed in the textual phase. This may include a verbal evaluation of the stance expressed by the speaker, in which case we can also speak of a meta-evaluative phase.

2. **Linguistic Level at which the evaluation/emotion is realized (LL).** In previous work (Alba-Juez & Thompson 2014) it was shown how evaluative meaning can be expressed at each and every level of linguistic description. I now maintain that the same holds for the phenomenon of emotion, which can permeate the phonological, morphological, syntactic, lexical and semantic-pragmatic levels.

3. **Degree of (in)directness of the evaluative meaning (Deg),** which deals with the fact that the evaluation and/or the emotion expressed may be overt or covert, direct or indirect (or *inscribed* or *invoked*, in Martin & White's 2005 terms). This is the variable that allows us to contemplate such pragmatic phenomena as irony, metaphor or (e-)implicatures.

4. **Position along the evaluation continuum (ContPos),** which relates to the fact that evaluative/emotive language can be placed at any of the points on a continuum that goes from extreme positive polarity to extreme negative polarity.

5. **Parameter of the evaluation/emotion (P),** which contemplates the different possible types of evaluation and emotion being expressed. Some authors work with only two basic parameters (e.g. Thompson & Hunston's 2000 GOOD/ BAD parameters), but others use much more elaborate taxonomies, as is the case of Appraisal Theory. In this work I will be using the latter for the categories of evaluation but will resort to psychological appraisal theories and to the component view of emotion for the emotion categories, in order to clarify the distinction between the two phenomena.

6. **Mode of the evaluation/emotion (Mo),** which considers the fact that both appraisal and emotion can be expressed in one or more of the following ways: (1) Linguistic, (2) Paralinguistic (including prosody and gestures) and (3)

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14. A more detailed explanation of the six variables can be found in Alba-Juez (2016).

Through images and/or symbols other than writing (photos, drawings, emoticons, videos, etc.).

It is important to point out that these are all qualitative variables that are thought to be (un)consciously considered and appropriately weighed by the interlocutors for either the expression or the interpretation of their evaluative and emotive acts during discourse. All these variables interact with one another and are the arguments of the functional relationship in question, which is represented in the following manner for Evaluation (Ev) and Emotion (Em), respectively. This is to be read in the following manner: Evaluation/Emotion is a function whose constituting variables are *PH, LL, Deg, ContPos, P* and *Mo*:

$$Ev = F \ (PH, LL, Deg, ContPos, P, Mo)$$
$$Em = F \ (PH, LL, Deg, ContPos, P, Mo)$$

Thus, in the upcoming analyses of some examples from the corpus, I will use this equation not only for the analysis of evaluation but also for that of emotion, trying to pinpoint the values that differ within each of the variables for one phenomenon and the other. Consider (16), a headline from the corpus of journalistic discourse:[15]

(16)   "I'm being emotionally abused by my husband"

(*The Guardian*, 26 December 2014)

If we look into the variables for both the evaluative and the emotive acts performed by this utterance, we shall see that both are realized at the Textual phase (T). As for the linguistic level at which the evaluation and the emotion are expressed, it is important to observe that there are two layers to be considered: a) the utterance as uttered by the woman who declared that she was being abused by her husband, and b) the utterance as directly reported by the journalist who wrote the article.[16] In the first case we can say that both the evaluation and the emotion are found at the lexical level (Lex) in the expression *emotionally abused*; in the second case, it can be argued that the (negative) evaluation and emotion of the journalist is expressed by means of inference at the pragmatic level (Prag). Thus, we will have to include both values for this variable in the equation. This leads us to the conclusion that within the third variable we also find two values, since the expression

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15. It is important to point out that, even when the analysis within this corpus was focused on the headlines, in each case the whole content of the article was considered and examined, so as to avoid decontextualization.

16. This fact is similar and related to what Thompson (2014: 47) called "the Russian doll dilemma".

of emotion and evaluation is realized in both an overt (Ov) and a covert (Cov) way, depending on the layer of meaning we consider. As for the polarity, we find that both the evaluation and the emotion expressed by this utterance are negative. The next variable, i.e. parameter (P), is crucial for the analysis of the differences between evaluation and emotion. Using the Appraisal model, the analysis of the evaluation found in the headline is the following:

> "I'm being emotionally abused [Negative, inscribed Judgement] by my husband"
> [Whole headline: Engagement (Heteroglossic)]

The combination of negative Judgement and Heteroglossic Engagement in this headline contains an emotion system of the same polarity as the appraisal system (negative). This system could be described as *despair-fear-contempt-despisal* if we take into account not only the emotions invoked by the words used but also those possibly expected to be awakened in the reader considering certain culturally-shaped pragmatic aspects of our society (such as the fact that gender violence is strongly condemned). Finally, with regard to the last of the variables included in the analysis, it can be said that the mode of both the evaluation and the emotion in this utterance is the linguistic one (Ling). Thus the values of the two equations for this particular Example (16) are the following:

$$Ev \ (whole \ utterance) = F \ (T, Lex \ \& \ Prag, Ov \ \& \ Cov, Neg, \ [Heterogl \ Att \ (Judg) , Grad] , Ling)^{17}$$

$$Em \ (whole \ utterance) = F \ (T, Lex \ \& \ Prag, Ov \ \& \ Cov, Neg, despair - fear - contempt - despisal, Ling)$$

This analysis shows that (16) is a case where all the variables have the same values for evaluation and emotion except for the Parameter variable, which is of course easily predicted because I have chosen to use different models for their description, based on the assumption that evaluation and emotion are not exactly the same phenomena.

Example (17) shows that there are cases in which the values for emotion and evaluation may differ within the other variables as well. Thus, while the polarity for the evaluation of a given utterance may be positive, the value for the same utterance considering the emotion inscribed or invoked may be negative, and so on for the other variables.

(17)   Unlucky goalkeeper breaks neck for the SECOND time – but still plays on.

(*The Mirror*, 28 November 2014)

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17. This indicates that the resulting values are those for the utterance as a whole, and not for any of the expressions used in it in particular.

The resulting equations for this utterance are the following:

Ev (*whole utterance*) $= F$ (*T*, *Lex* & *Prag*, *Ov* & *Cov*, *Neg* & *Pos*, [*Monog Att* (*Judg*) , *Grad*] , *Ling* & *Paraling*)

Em (*whole utterance*) $= F$ (*T*, *Prag*, *Cov*, *Neg* & *Pos*, *pain − sadness − acceptance − admiration*, *Ling* & *Paraling*)

As can be seen, the values for the first, fourth and sixth variables are the same: both evaluation and emotion are found at the textual phase, there are elements of both positive and negative polarity in both phenomena, and they are both expressed through linguistic and paralinguistic modes. However, the values differ for the second, third and fifth variables. Indeed, while the evaluation is expressed at both the lexical and pragmatic levels, the emotion is only conveyed pragmatically: there is inscribed negative evaluation in the word *unluckily* (lexical level), and at the same time there is an invoked positive evaluation (Judgement) of the goalkeeper for still playing on in spite of having broken his neck twice. However, there is no inscribed emotion at the lexical level, only an invoked mixture of both positive and negative feelings: pain and sadness for his accidents, but admiration and ac-ceptance as well, for his having been so brave as to carry on. This also explains the differences found in the other two variables: while in this headline we find both overt and covert evaluation, we only find covert emotion here, which is arrived at through *e-implicature*, taking into account the culturally shaped encyclopedic knowledge that a person who fights adversity is generally admired and accepted in our society. Therefore, while the parameter of evaluation is that of Monoglossic Judgement (with a tint of Graduation expressed by the capitalization of the word *SECOND*), that of emotion is a combination of invoked and (polarity-wise) clash-ing feelings which could be represented in the system *pain-sadness-acceptance-admiration.*

The above analyses show how the functional relationship can be used for the treatment of utterances. We shall now address the analysis of (18), one of the mes-sages from the corpus of e-mails at the workplace, as a whole unit of expression of emotion and evaluation; that is, the analysis will focus on the macrostructure of the message (and not on any of its utterances in particular) as a discourse unit through which the stance and emotional state of the writer can be assessed.

(18)   Good morning, Nick,
       Attached is the Spanish Standard copy that we use to get the load-deflection graph in Spain.
       As I asked you before:
       –   Have you got the load-deflection graph of the compressive strength tests that we have already done? If yes, can you provide them?

–   If not, can you provide them in future according with any British
Standards? Which one?

The other day, one colleague received a new quote from you with a
compressibility test rate at £500 per unit (attached). Does this mean that you
can do it and this is the rate!! (this graph is something that you get while
you are doing the test!!)?? It seems that it is not according to any BS (British
Standard), is it?

Please, it's quite urgent.

Regards,

John

It is interesting to note here that the apparent positivity inscribed in the polite
words and formulas *Good morning, Please and Regards*, is not matched by the
general tone of the email, considering that the writer uses repetition of previously
asked questions (*As I asked you before …*), a discourse strategy which, according to
Dulek & Fielden (1990: 273), is one of the "simple ways to make readers angry" at
the workplace, because it may be taken as a real or imaginary implication that they
are stupid and did not do their job correctly. Again, if we analysed this e-mail mes-
sage only by taking into consideration the combination of emotion(al) talk and
Appraisal categories, we would miss the fact that, apart from the Monoglossic in-
voked negative appraisal (within the system of Attitude, subsystem of Judgement)
of Nick's performance in previous e-mails (because he did not answer John's ques-
tions), there is an invoked emotion system which could be labelled as *negative-
unpleasant surprise-impatience-irritation-almost anger*, which is made evident in
the text not only by the repetition of the questions asked in a previous e-mail, but
also by the use of repeated question and exclamation marks and the tag question
in the next paragraph.

If we compare the results of the separate analysis of evaluation and emotion in
terms of the variables or components scrutinized, we see that both the evaluation
and the emotion in this text are found at the textual phase (T) and the pragmatic
level (Prag), are expressed in an invoked or covert (Cov) way, and are placed to-
wards the negative end of the evaluative/emotive continuum. The type of evalua-
tion within the system of Engagement is Heteroglossic (the writer is considering
the existence and voice of his interlocutor by posing and repeating the questions).
Within the system of Attitude there is an invoked Judgement of Nick (the address-
ee) as (possibly) stupid or irresponsible for not having answered the questions
before, and there is also evaluation within the Graduation system: the repetition of
the questions is used as a strategy to increase the tension and enhance the negative
evaluative Judgement of the addressee for not having answered them before.

For the analysis of emotion in (18) we need to look at other clues and prag-
matic information such as the e-implicatures being triggered which, considering
the fact that in our culture people who do not show interest and responsibility for
their work normally arouse negative emotions in their workmates or superiors,
will give us a clearer picture of the emotion system being activated, which in this
case could be labelled as a *negative* feeling of *unpleasant surprise-impatience-irrita-
tion*. Of course, this system could be modified once the addressee reacts to it or if
any of the variables of the situation change in the course of the interaction, because
as pointed out above, appraisal and emotion systems are dynamical and depend
on intersubjectivity processes. Finally, for both evaluation and emotion, the Mo
variable (mode of the evaluation/emotion) can be said to have the values *Linguistic*
and *Paralinguistic*, the latter being realized by means of the repeated exclamation
and question marks, as is typical in written discourse. Thus, the resulting equa-
tions for (18) can be formulated in the following manner:

Ev (*whole message*) $= F$ (T, *Prag*, *Cov*, *Neg*, [*Heterogl Att* (*Judg*) , *Grad*] , *Ling* & *Paraling*)

Em (*whole message*) $= F$ (T, *Prag*, *Cov*, *Neg*, *unpleasant surprise – impatience – irritation*, *Ling* & *Paraling*)

It is worth noting that in general the analysis of the corpus examples has shed light
on the fact that certain combinations of appraisal and emotion patterns tend to
recur. For instance, Heteroglossic Engagement was found to be recurrently used
in combination with Judgement to express and/or elicit negative emotion systems
such as *contempt-despisal-anger* or *curiosity-expectation-negative surprise,* as in
(16) and (18) respectively). This finding, which alludes to the interaction of emo-
tion and evaluation in patterns of occurrence, may be a good starting point for
further research questions and future qualitative and quantitative research.

5.   Final reflections and conclusions

The work presented in this chapter has constituted an initial attempt to devise a
method for the analysis of emotion in discourse, drawing mainly on functional
linguistics (and in particular, Appraisal Theory), also taking into account previ-
ous work in pragmatics and psychological theories of appraisal. I am well aware
that even though my proposal presents a possible solution for a more complete
analysis of emotion in language, it also involves some pitfalls, such as the terminol-
ogy for the description of the emotion systems used in the Parameter variable of
the functional relationship or the fact that emotions in text (as in life in general)
can be very slippery and quite intangible phenomena. But emotive discourse is

not different from many other discursive phenomena in that respect: we very often must rely on features other than the tangible words such as contextualization clues or e-implicatures if we want to progress to a more comprehensive view of the complex fabric of human language and communication. Notwithstanding, I hope that the perspective and proposal sketched here will allow future researchers to distinguish between appraisal and emotion processes in discourse and at the same time understand their connection and common ground.

The expression of emotion is viewed in this chapter not only as an indicator of a specific emotional state but also as a response to specific evaluations of the discourse situation, thereby depicting the subcomponents of the discursive emotional content not as a single unified phenomenon but rather as part of the complex intersubjective relational work of the interlocutors. For that reason, I have tried to show that the application of the evaluative/emotive functional relationship can be a useful method for analysing and comparing the evaluative and emotive content found in the same utterance or text, considering that it facilitates the dissection of the phenomenon into different components or variables which can be used as a *tertium comparationis* for their distinction. For the Parameter variable (P) of this relationship, I have tried to show that the systems and subsystems of linguistic Appraisal Theory are not sufficient to describe the emotional content of discourse. The final picture is more complete if we also take into account what other disciplines (such as pragmatics or psychological theories of appraisal) have to offer, for which reason I have found it useful to work with wider concepts (such as Panksepp's 1982 *emotion systems*[18] or Ortony & Turner's 1990 *response systems*) than those provided by classical basic emotion theory. This approach also seems more appropriate if the researcher wants to have an ample comprehension of the whole range of *emotive practices* at play in a given discourse.

Finally, the above-mentioned finding that there is a tendency for some appraisal systems to co-occur repeatedly with certain emotion systems constitutes an interesting and promising line of future research in the field which may shed more light on the relationship explored here.

Acknowledgements

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18. However, Panksepp's theory paradoxically lies within theories of basic emotions in psychology.

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