



# Quaderni del CeSLiC

Series: Functional Grammar Studies for Non-Native Speakers of English

Series Editor  
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## **Preface to the first edition**

**Donna R. Miller**

**Series Editor and author of this volume**

It is with great pleasure that I present the first three e-books of this new series of *Functional Grammar Studies for Non-Native Speakers of English*, which is contained within the superordinate: *Quaderni del Centro di Studi Linguistico-Culturali (CeSLiC)*, a research center of which I am currently the Director and which operates within the Department of Modern Foreign Languages of the University of Bologna.

The first three volumes of this series:

- M. Freddi, *Functional Grammar: An Introduction for the EFL Student*;
- M. Lipson, *Exploring Functional Grammar*; and
- D.R. Miller (with the collaboration of A. Maiorani and M. Turci), *Language as Purposeful: Functional Varieties of Texts*.

have as their primary ‘consumers’ the students of the *English Language Studies Program (ELSP)* in the Faculty of Foreign Languages and Literature of the University of Bologna, for whom they are the basic course book in each of the three years of the first-level degree course. They are the fruit of from 2 to 4 years of trialling, which was a vital part of an ‘ex-60%’ research project, financed in part by the Italian Ministry of Education, University and Research, that I first proposed in 2002 and that is now into its third and final year, but which had already been initially set in motion when the reform of the university system was first made known back in 1999.

Without going into undue detail about what the reform meant for language teaching in the Italian universities, I’ll just say that in the first-level degree course our task is now twofold: parallel to the many hours of traditional EFL practice with mother-tongue speakers, there are lectures which aim at providing, over the three years, a metalinguistic description of English grammar in a functional, socio-semiotic perspective. The contents of these volumes are thus progressive and cumulative. In the first year a ‘skeleton’ of the Hallidayan Functional Grammar model is taught; in the second it is ‘fleshed out’, and in the third it is ‘animated’, as it were, put into practice, being made to work as a set of analytical tools for the investigation of the notion of register, or functional varieties of texts. A fourth volume on translation of text-types in this same perspective is also in the planning stages.

This kind of metalinguistic reflection on the nature of the language being taught and on how it works is thus relatively new for Faculties of LLS in the Italian university system. Its justification is essentially the premise put forth by F. Christie (1985/1989) apropos of the L1 learner’s education: i.e., that explicit knowledge about language on

the learners part is both desirable and useful. It is our conviction that such an insight not only can but should be extended to the L2 learning situation. In short, foreign language learning at the tertiary level should not be merely a question of the further development of students' competence in communicative skills; it should involve learning not only the language, but *about* the language. Indeed, what scholars define as the 'good' adult language learner has long been known to readily attend to language as system and patterns of choice (Johnson 2001: 153). To design and implement this component of the syllabus and try to create the required synergy with the more practical work being done by the native speaker collaborators, so as to lead to better and more holistic L2 learning, needed, however, serious reflection and experimentation. Hence the project mentioned above, in which both Lipson and Freddi and other researchers and teachers took part.

Developing what began as sketchy class notes into proper course books that would serve the needs not only of those coming to lessons, but also of those many who, alas, don't was one important aim of the project. Another was monitoring the success of the new dual pedagogical syllabus by means of various quantitative and qualitative studies, the details of which I will not go into here. I will, however, say that the revised curriculum has apparently proved to have a rate of success that I don't dare yet to quantify. Moreover, a significant proportion of the students who have reached the end of their degree course report not only that they have understood what it was we are trying to do, but that they are actually convinced that our having tried to do it is valuable! Some even add that by the end they actually came to enjoy what at the beginning seemed to them a slow form of torture!

But what was it that we were trying to do, and by what means? As already said or at least implied above, we wanted, firstly, to get the students to reflect on the workings of language, *tout court*, and the specific functions of the English language, in particular. To do that, we wanted to investigate with them the grammar of English, but we knew we'd have to chip away at the die-hard myths surrounding the study of grammar that see it as a boring, or even elitist, enterprise, one that is basically meaningless. We chose a functional grammar as we are firm believers in the language-culture equation. We chose the Hallidayan model because its lexico-grammatical core is inextricably tied to meaning-making on the part of human beings acting in concrete situational and cultural contexts, and we believe our students must be offered language awareness in this wider and richer perspective.

Our approach in these e-course books is consistently language-learner oriented: we have tried, in short, to keep in mind the fact that our students are L2 learners and take account of their practical learning experiences, and not only that of the complementary EFL component of their English courses. In aiming at helping them develop as learners and more particularly at empowering them through an increasing awareness of the functions of the English language in a variety of more, but also less, dominant socio-cultural contexts, we obviously aimed at working on their intercultural consciousness as well. These considerations dictated the choice for an explicit critical pedagogy that would make the workings of language as visible, and as attainable, as possible to our

students (cf., e.g., Martin 1998: 418-419; Hasan 2001: 65). At the same time it also dictated the choice of the linguistic framework we've adopted, as it sees language as a vital resource not only for behaving, but also for negotiating and even modifying such behavior, and views the study of language as an exploration of "...some of the most important and pervasive of the processes by which human beings build their world" (Christie 1985/1989: v). It is our hope that we are helping our students to be able not only to participate actively in these processes, but also to act upon them in socially useful ways. Such a hope is conceivably utopistic, but some amount of idealism is eminently fitting to a concept of socially-accountable linguistics conceived as a form of political action (Hasan & Martin (eds) 1989: 2). It is also surely indispensable when attempting to break what is, in terms of our specific pedagogic setting, wholly new ground. We leave aside the thorny issue of English as global *lingua franca*, acknowledge merely that it is, and propose that these materials are proving to be effective teaching/learning resources for improving English literacy outcomes in that particular setting (Cf. Rose 1999).

From what has been said, it follows that the linguistic theory we adopt here is, at the same time, a social theory. The same cannot be said of the course that our students take (and that is obligatory in most degree courses in foreign languages and literature in Italy) in General (and generally formalist) Linguistics. As most of the students in our degree course opt to study English, this series was also conceived as a way to ensure they are provided with another way of looking at what a language is. Undoubtedly, the contrast in frameworks often slips into conflict, but we feel that their being rather uncomfortably caught between sparring approaches is a crucial part of their education – and we are starting to see that it has its positive payoffs too.

Donna R. Miller



Bologna, 10 November, 2004

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## **Preface to the second edition**

**Donna R. Miller**

**Series Editor and author of this volume**

Over 12 years have passed since we presented the first edition of this course book, part of the series of *Functional Grammar Studies for Non-Native Speakers of English* of the *Quaderni del Centro di Studi Linguistico-Culturali (CeSLiC)*, the research center of which at present I am still the Director and which operates within the Department now called ‘of Modern Languages, Literatures and Cultures’ – LILEC – of the University of Bologna.

The book has served us well, but it is now time to revisit its contents and revamp them in the light of our teaching and research experience over these years, which have brought the staff to considerable recent changes in the contents of the first and second year courses as well. Three years ago, in fact, we began to radically rethink the whole three year syllabus of the component of the undergraduate course – now known as ‘Lingua e linguistica inglese’, rather than merely, and less accurately, ‘Lingua inglese’, as back in 2004. The new name was a long-desired change, one that we actively struggled for in what was still our ‘Faculty’ – now ‘School’ – and that finally took place with the 2007 reform of Italian degree courses. The most recent denomination clearly better mirrors the structure of the course, divided as it is between practical language learning classes and lectures/ practice in language awareness.

The two texts cited in the Preface to the first edition, i.e., M. Freddi, *Functional Grammar: An Introduction for the EFL Student* and M. Lipson, *Exploring Functional Grammar*, are no longer adopted as course books in the first and second years. Although in essence contents are still progressively and cumulatively learned over the three years, we opted to simplify and rationalize them and also provide for more, and earlier, hands-on practice for students using pertinent and, we hope, enjoyable texts. Making the courses more client-friendly was a guiding principle since, to be frank, the need for putting paid to “the die-hard myths surrounding the study of grammar that see it as a boring, or even elitist, enterprise, one that is basically meaningless”, as we pointed out in the Preface to the first edition, had not yet been adequately dealt with. At the current time, the revision is still being experimented and so is still ongoing, but we felt we were ready to take on the modification (and hopefully the improvement!) of this third year course book now – even before new first and second year ones are ready to appear.

First of all, a word on what has *not* undergone change. We are more than ever convinced that the best, indeed the ideal, model for teaching language awareness to our NNS of English is Systemic Functional Linguistics (SFL, Halliday 1985a). Our students

come into the program with considerable competence in English, but with negligible language awareness, which they need, and so also need guidance to. Opting for SFL as a theoretical framework over 15 years ago was based on the premise that it “offers a rich interpretation of meaning through Halliday’s theory of metafunctions” (Macken-Horarik et al. 2015: 148) – and we wanted our students to learn how English ‘means’, as well as learn how to ‘mean’ in English. We were –and remain – convinced: 1) that to learn how to mean in L2, one must firstly understand the mechanisms of a language; 2) that to do that, one needs to be able to identify the functions and intersecting options of those mechanisms, and 3) that to think and talk about these, as a means of interrogating meaning which is instantiated in text, a metalanguage is essential (cf. Moore & Schleppegrell 2014: 93). Thus, over the three years, we progressively provide students with SFL metalanguage – from scratch, as the Italian secondary schools in which SFL is taught are still few. With that metalanguage we believe that we can better tackle some of the main challenges faced by L2 English teaching/learning in the 21st century, e.g.: enhancing students’ knowledge of language as a multi-functional resource to produce meaning, and so also improving 1) their awareness of the effects of linguistic choices made with reference to meaning potential and 2) ultimately their own competence to actively exploit them (cf. Macken-Horarik et al. 2011).

But learning how to mean in English as a NNS comprises, as we’d noted in the Preface to the 2004 edition, helping our students to see the learning of a language as a valuable opportunity to explore “some of the most important and pervasive of the processes by which human beings build their world” (Christie 1985/1989: v). And the opportunity extends to an ability to also participate in those processes, in keeping with the concept of SFL as a socially-accountable linguistics, conceived as a form of political action (cf. Hasan & Martin (eds) 1989: 2). We don’t see such aspirations as either quixotic or impracticable, though there is no doubt that we’re setting our sites on high.

We might also speak of such ambitions in terms of working deliberately towards what Hasan (1996/2011) has called *reflection literacy* – i.e., a conviction that educators need to develop more ambitious goals for literacy education, ones that enable students to recognize and respond to texts that are contributing to shaping society in ways that are *not* typically unbiased or even-handed. Ultimately, as Williams explains, reflection literacy would “equip students eventually to participate in the *production* of knowledge rather than just its reproduction” (2016: 333). This clearly means that the aim is to go *beyond* simply enabling students to successfully produce and consume registers that are privileged in school evaluation. And one way to do this is by furnishing students with tools for understanding how language use is not a minor or ‘neutral’ player in the social fields of everyday life (cf. Williams 2016: 339) and also – why not? –encouraging them to investigate how such awareness can best be put to worthwhile social use.<sup>1</sup>

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<sup>1</sup> Teaching the valued norms of privileged registers is, obviously, empowering; it is also, in itself, not an easy thing to do. But mightn’t it presume a perhaps overly complacent view of what ‘successful’ writing consists in? And mightn’t we at least attempt to go ‘beyond’, and teach more? Again see Williams (2016) for more on this topic.

As also pointed out in the Preface to our first edition, we would aim to do all this as explicitly as possible, which means keeping our pedagogic aims, methods and benchmarks for evaluating achievement – along with their theoretical and ideological underpinnings – *as visible to our students as possible*. Legitimation Code Theory (LCT) is very much involved with this aim. It is a sociological interpretation, initially put forward by K. Maton (see, e.g, Maton 2014), of how knowledge structures come to be valued within and across disciplines and the consequences for classroom pedagogy. The theory is rooted in the work of Basil Bernstein, who is dealt with in this second edition in more depth. The queries addressed by this work that cannot fail to involve us include ‘How does teaching build knowledge?’, and, equally importantly, ‘How does it build knowers?’. Indeed, a primary maxim of LCT has become “There is always knowledge, there are always knowers”. The challenge is of course then what educators can best do about the responses currently emerging from research into these questions, but this course book can do no more than duly mention the important work being done.

From all that has been said thus far it should be clear that we increasingly embrace SFL as an eminently ‘applied linguistics’, not least because the aim of an applied linguistics is to challenge the boundaries between theory and practice (e.g., Halliday 2002 [2009]: 3, Mahboob and Knight 2010: 4, Matthiessen 2012: 436). There would be much to say on this subject but, in a sense, Halliday says it all in asserting that “the value of a theory lies in the use that can be made of it” (1985b: 7).

And the practical use we make of it in this volume is still what it was back in 2004: to guide the students towards understanding the notion of ‘language as purposeful’, in various registers, or functional varieties of text. Text continues to be viewed as, first and foremost, an instrument: a window onto the semiotic system of language itself, of which it is a concrete instantiation (Halliday 1982 [2002]: 130-132).

But what then *has* changed? The theoretical input of this volume has been amply reworked, and also substantially fleshed out, in an attempt to further clarify certain notions, such as a speaker’s ‘meaning potential’, which many students have found hard to grasp. One way of doing this has been to greatly increase exemplification of all concepts, but also to introduce additional related concepts having disambiguating powers. These include, for instance: that of ‘register-idiosyncrasy’ (cf. Miller & Johnson 2009, 2013, 2014) and that of ‘choice’, and the ever-increasing ‘hybridity’ of our textual choices. We also explicitly speak now, in simple terms, about the complementarity of the three ‘hierarchies’, those key concepts for understanding resources for meaning: 1) realisation – abstract strata which our third year students already know a great deal about, now distinguished from 2) instantiation – which is concerned with concrete instances of language use in text, and also the notion of 3) individuation – which relates language use to its users, and to both their individual and socio-cultural subjectivities, or, in Bernstein’s terms, to their repertoires and reservoirs (Bernstein 1996/2000: 157 ff., cf. Martin 2010: 1-34). These signify important distinctions in voice and value orientations that, however, are not dissimilar to what

Hasan had called characteristic individual and cultural ‘semantic styles’ (1984). They can also be said to crucially contribute to the functional analyst’s multi-perspectival stance, which is, as always, to “*observe the humanity of our communication processes, not just their form*” (Martin 2010: 1-2, our emphasis).

The examples of practical text analysis in the first edition have been to a great degree redone and the range of text-types now includes an example of online hybrid registers and a literature text. Focus on the text-context connection is more explicit, consistent, and illustrated, while the *Text Analysis Checklist* in Appendix 1 has been revised to be more systematic and so more comprehensible. A new Appendix 2 with a mini-overview of one of the trickiest components of the SFL framework for students, APPRAISAL SYSTEMS, is now offered as well. Sections with exercises, now modelled on assessment formats, have also been wholly revamped. As is obvious, the reference section has grown to include many recent pertinent works on issues both previously included and newly introduced.

Concerning the pedagogic setting in which this ELT takes place, which we noted, and regretted, in closing our Preface to the first edition, we won’t hide that not much has changed. That setting is still very much a site of struggle in which formalist ‘linguists’ still hold primacy, and SFL is still viewed as a bit of a white elephant – even among our colleagues teaching other ‘Lingua e linguistica’ courses. But we can honestly say that the gauntlet which was freely, even eagerly, taken up over 12 years ago remains – unreservedly and very tightly – in hand.

Donna R. Miller



Bologna, 7 February, 2017

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## List of Acronyms

CC	Contextual Configuration
CL	Corpus Linguistics
CMD	Computer Mediated Discourse
FG	Functional Grammar
GP	Grammatical Parallelism
PP	Pervasive Parallelism
RP	Received Pronunciation
SE	Standard English
SFL	Systemic Functional Linguistics
SSS	Systemic Socio-Semantic Stylistics

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*image:*

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# ***1. Reviewing, refining and topping-up some fundamental SFL notions***

## **1.1 Why SFL?**

A good way to approach an answer to this question is to cite Ravelli, when she says that:

One of the most exciting features of systemic functional linguistics (SFL) is the extent to which one can actually say relevant and useful things about what is happening in language, that is, the extent to which you can do something with analysis. (2000: 27)

But, as Matthiessen reminds us, the incentives are even greater, and even more inspiring. SFL's

[...] theoretical, descriptive (including comparative and typological) and analytical activities have been undertaken not only as ends in themselves but also in order to address a diverse spectrum of applications in e.g. education, healthcare, administration, computation. Right from the start, SFL has been designed to have **the theoretical potential to be applied** to solve problems in communities, ultimately to improve the human condition. Halliday (e.g. 2002/2007) has characterized it as **appliable linguistics** [...] (2015b: 151, original emphasis).

And this is exactly what we're doing here: applying SFL to our educational context. Actually, what we're applying is rather functional grammar (FG), which, since text analysis is our focus, we are privileging. This means favouring structural rather than systemic representations, and for a very simple reason. Halliday made clear from the outset that:

As it [DRM: *An Introduction to Functional Grammar*<sup>1</sup>] was being written specifically for those who are studying grammar for purposes of text analysis, I did not include the systemic part [...]. What is presented here is the functional part [...] more directly related to the analysis of text. (1985a – IFG1: x)

As Halliday also explains (1985a – IFG1: xxvi-xxvii), the 'systemic part' consists in the networks which represent the options that a speaker makes between sets of alternatives, e.g., between 'singular/plural' or 'statement/command'. In concentrating

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<sup>1</sup> *An Introduction to Functional Grammar* is cited in the references as 'Halliday 1985a and subsequent editions'. When sourcing quoted material, the relevant edition is signaled by indicating IFG 1, 2 or 3.

on structures, one focuses on the *output* of the selections which have been made in the systems networks. And he adds, “The reason for using structural rather than systemic representations for discourse analysis is that structures are less abstract; they are so to speak, ‘nearer’ the text”. For this same reason we too chose *not* to include the systems networks when designing our three year FG course curriculum.

There is also a real-world line of reasoning that our choice of SFL as a descriptive and analytical model of the English language is grounded in. Quite simply, in order to ‘know’ a language fully – as an academic subject especially – one needs to know its functions, its mechanisms. In short: one must know *how it works*. This allows you to grow in language competence and get to the point in which you can ‘wield’ the language and its various registers expertly. But to learn how a language works, one needs a meta-language (a language about language) to talk about it with – and that’s why you’ve been learning the meta-language. This year, in better seeing the model at work, you’ll also better see how you’ll be reaping the benefits of your efforts to do so.

This year’s course aims at completing your brief, and certainly not exhaustive, three-year exploration of SFL with what we hope will be a relevant, useful, and yes, even ‘exciting’ experience with theory and text analysis. Our aim is to investigate *language as purposeful*, or the notion of a *functional variety of text* (or *register*, or *text-type* – and despite distinctions between these last two terms in the literature, we’ll be using them as synonyms). To do this, we’ll be reviewing, refining, adding to and applying the model you have been learning over the past two years.

But what does analysing ‘language as purposeful’ mean? It’s not a wholly ‘new’ notion for you at all, as basically it means exploring specific types of contexts – which, like all Situations of Context (or Contexts of Situation, , or simply ‘Situations’, or ‘Contexts’, for short), tend to determine meanings – which then tend to be realized in/by the lexico-grammar in texts. This also means investigating the Context of both the Situation and the Culture in which the text is being produced/consumed. And it also means exploring the text producer’s/consumer’s world views, or belief and value systems, their ideologies and identities, all of which are construed in and by their texts.

But of course these world views etc. are *not* identical for all text producers and consumers. They will vary according to both one’s *individual* and one’s *socio-cultural* subjectivity, or according to what Bernstein called one’s *repertoires* and *reservoirs* (cf.

Martin 2010: 23 ff.), which can be likened to what Hasan had years ago called characteristic (individual/cultural) *semantic styles* (1984). We'll have more to say about these terms below.

But most everything we've just said should already be very familiar to you, at least theoretically! Still, before proceeding with register analysis, we think it's a good idea here in Part I to revisit the fundamental meta-language of the descriptive-analytical model that in large part you know already but which we need to have constantly and clearly in mind. In addition, *new* theoretical notions will be brought in, always for the purpose of filling in the wider picture and so further clarifying it.

As you have already learned in your previous two years of studying FG, SFL interprets "the social system as a *social semiotic*: a system of meanings that constitutes the 'reality of the culture'" (Halliday 1978: 123). *Culture*, in itself, can be defined as a global *social-semiotic system*, which is made up of interrelated meanings, or networks of meaning relationships, or a set of interrelated semiotic (meaning) systems – which are all synonymous; i.e., ways of saying the same thing. This global social-semiotic system is an integrated body of the *total set of meanings* available to any discourse community, or we can call it its *total semiotic potential*, i.e., what members of the community are able to 'mean'.

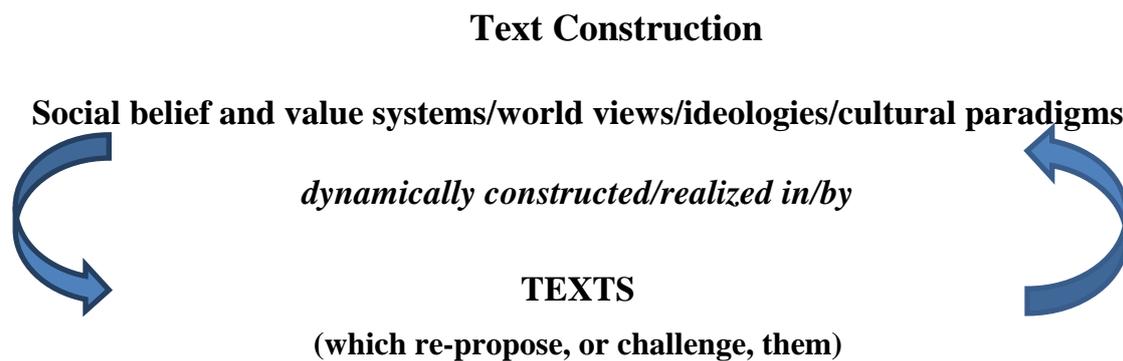
But 'meaning' is not always linguistically performed, i.e., language is only one of a number of ways of meaning, of the ways we have at our disposal to mean, which, taken together, go into making up a culture or social system. Although we study language as a form of behaviour, our full semiotic potential includes various ways of being and behaving. These include our ways of doing, but also our ways of thinking, as well as our ways of saying and meaning (cf. Hasan in Halliday and Hasan, 1985/1989: 99). And 'doing' is an enormous category: e.g., forms of everyday dress, study, recreation, either personal or linked to the family and other institutional structures etc. are all forms of cultural behaviour as well. So, language – our focus here – is only one among a number of semiotic systems that – together – make up human culture.

And these semiotic systems are also part of the social system that shapes that culture, meaning that a) the social system is what shapes the culture and b) the culture is equal to its total human semiotic potential. Thus, to recapitulate, language is but one among a number of these networks, or semiotic systems of meaning that – together – make up

human culture, or the social system shaping it (Halliday in Halliday and Hasan, 1985/1989: 4).

This social system, at the basis of each culture, is also variously known as: a *social belief and value system*, or a *world view*, or a *cultural paradigm*, or as *ideology* – which we'll broadly define as the common sense, taken-for-granted assumptions, values, and meanings that social individuals and groups give to, or have towards, their world, i.e., what accounts for our instinctive everyday (material, cognitive and linguistic) behaviour.

So then, in order to study the social system and culture from a linguistic point of view, we study its ways of saying: the language of the *texts* it produces, in the firm conviction that a text is a fragment of the culture that produces it (Miller, 1993a). Figure 1 below represents the 'circulatory' process of text construction in and by which the cultural world view is constructed too.



***A CIRCULATORY PROCESS...***  
***hence 'in' and 'by'***

**Fig. 1: Text construction: adapted from D.R. Miller, 'English Linguistics' lecture notes: AY 2000-01**

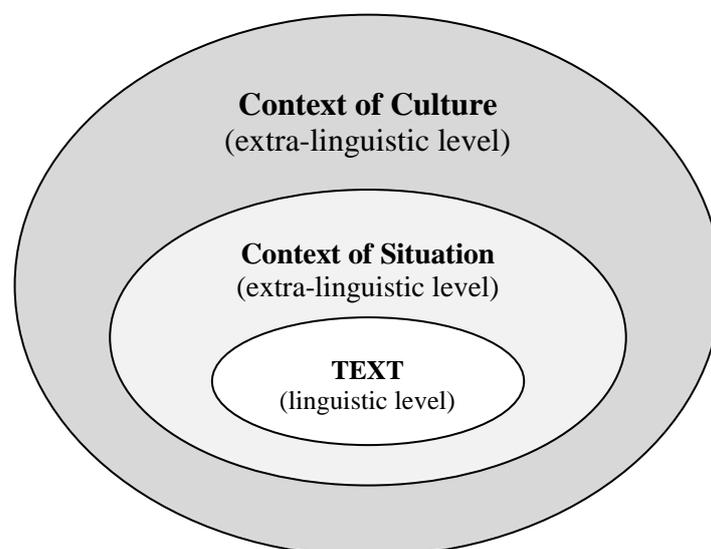
The process is a dynamic one, but it is also a flexible one, meaning that belief and value systems are not only re-constructed, re-proposed and re-institutionalized, but can, and do, also undergo a certain amount of modification. That is, the ideologies constructed may be those of the dominant cultural paradigm, or they may be to some extent in conflict with it, in opposition to it. This is because of the diverse speaker

positions we spoke of above, and also because of the multiple purposes language is made to serve. We'll have more to say about all this below.

So then, before going on let's stress once again that, according to our model, *all linguistics is the study of meaning and all meaning is function in a context* (Firth 1935; also in Firth 1957; as cited by Halliday in Halliday and Hasan, 1985/1989: 8). That is to say that, when we study texts, we also need to examine the *total environment* in which the text unfolds, or its *con-text*. Context comes before text; it is seen as being prior to the discourse that relates to it (Halliday in Halliday and Hasan, 1985/1989: 5). And the SFL view is that the best way to understand the functions of language in context is to study *texts*, to the nature of which we now turn.

## 1.2 What is a text?

One of the basic definitions of a text given by SFL is that it is “language that is functional”, that is to say “language that is doing some job in some context” (Halliday in Halliday and Hasan, 1985/1989: 10). So a text is therefore always seen as being strictly related, firstly, to its *Context of Situation*, the term coined by the anthropologist Malinowski (1923), which is defined as the immediate material and social environment in which a text is being instantiated, and then to the *Context of Culture* (also Malinowski's term, 1935), which is the most ‘outer’ or ‘highest-order’ context surrounding both the text and its specific Context of Situation. These two extra-textual features are what make each text different from others. Figure 2 below represents the relationship between the levels:



**Fig. 2: Text vis-à-vis contexts: adapted from Butt et al. 2000: 4**

Again, the anthropologist Malinowski was the first to theorize these two contexts, back in the 1920s/30s. The notions were then further developed in the 1950s in terms of a linguistic theory of meaning by Firth (see 1957), who was Halliday's mentor and PhD advisor. Halliday then modelled the process of text creation on the basis of Firth's work.

A text is basically made of meanings that, in order to be communicated, need to be encoded and expressed through a system of *graphic*, *phonic* and/or *visual* signs. But it also needs to be looked at from various viewpoints.

Firstly, it is *a consistent semantic unit*. This simply means that the stretch of language which makes up the text, no matter how long or short it is, is considered to be consistently meaningful. A text is said to be encoded in sentences, rather than to be simply made up of them (Halliday 1978: 109).

Secondly, it is both *a product and a process*: as process, attention is on the ongoing choices speakers make in making their meanings – something we'll come back to presently. As product, one studies the 'frozen' output of these speaker choices, the result of the process. But these are basically two sides of the same coin. All products were once processes; many (though not all) processes become products.

In oral cultures of course products didn't/don't exist. As Bellos puts it:

The fundamental difference between oral cultures and those that have writing is that only in the latter can an utterance be brought to life a second time. In 'primary orality' (Ong 1967), language [DRM: or 'text'] is nothing other than speech, and speech vanishes without a trace the moment it is done. (2011/2012: 119)

Of course modern recording devices can 'freeze' even speech as a product, making it available for analysis, but a writing system to transcribe it into, and analysts who are literate in the written form of the language, are required.

But we need a brief **TIME OUT** to say something more about this *notion of choice* in SFL. In every act of speaking, of text-making, we *choose* from the total set of options that make up *what can be meant*. But, as Halliday remarks:

It would be better, in fact, to say that we 'opt', since we are concerned not with deliberate acts of choice but with symbolic behaviour [...] The system of available options is the 'grammar' of the language, and the speaker, or writer, selects within this system, not in vacuo, but in the context of speech situations. (1970/2002: 174)

So speaker 'choice' is a largely unconscious act, taking place in text, but also always in context. What is chosen from is the complex network of *meaning potential* that is given to speakers by the linguistic system. Halliday tells us that FG

[...] is a 'choice' grammar not a 'chain' grammar (paradigmatic, not syntagmatic in its conceptual organization). [...] there is a round of choices and operations (a 'system-structure' cycle) at each rank, with clause *choices* realized as clause *structures*, realized as phrase/group *choices*, realized as phrase/group *structures* and so on. (1985a – IFG1: xix, our emphasis)

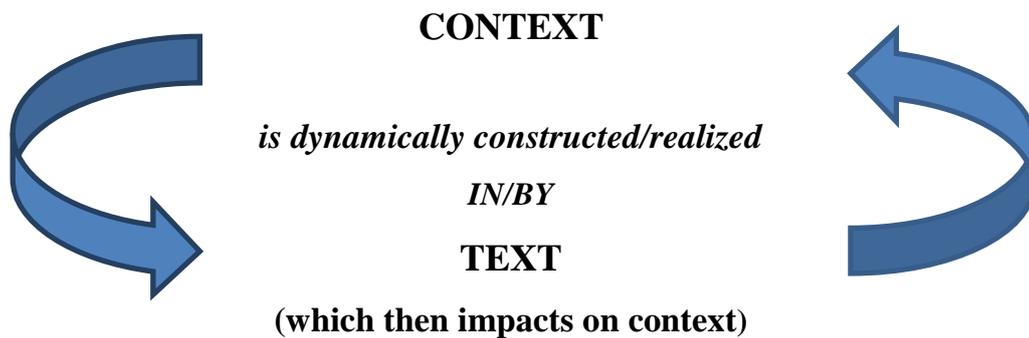
And of course what is chosen is never chosen in isolation. A speaker is always making other *co-textual choices* as well and the appropriateness of one choice can always be said to be a consequence of another. That is to say that any initial set of speaker options for ways of saying in text always creates an environment for a *further* set of options, thus generating a continuous semantic process (cf. Halliday 1984/2002: 304). Such a process is also said to be *logogenetic*. Logogenesis is the

[...] unfolding of the act of meaning itself: the instantial construction of meaning in the form of a text [...] in which the potential for creating meaning is continually modified *in the light of what has gone before* [...]. (Halliday & Matthiessen 1999: 18, our emphasis)

And our **TIME OUT** will stop here...

After text as a consistent semantic unit and as process/product, our third feature has to do with this unfolding process of meaning considered as *interaction*, or, as a *social exchange of meaning*. This again emphasizes text as process, this time, as a socially interactive process. Recall that its nature is an essential aspect of the contextual variable of Field.

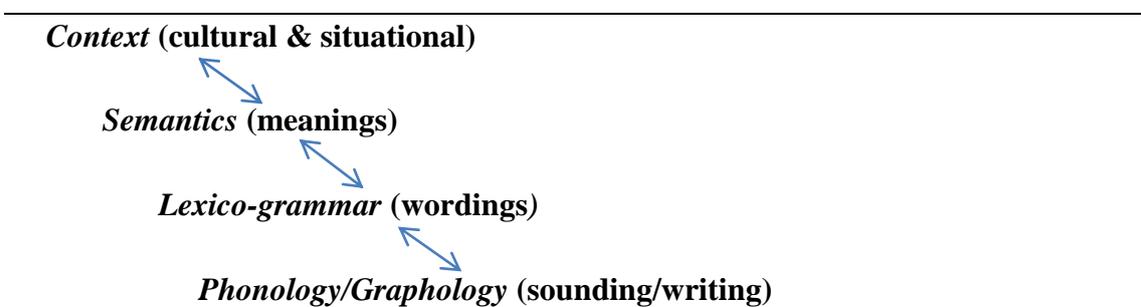
Consequently, a text is both an *object*, a product of its environment, of its Context of Situation and Context of Culture, and an *instance* of social meaning in a specific situation (Halliday in Halliday and Hasan, 1985/1989: 10-11). And the relation between text and context is a systematic and, again, a dynamic and circulatory one. On one hand, a text is the result of the context in which it is being realized and where language is being shaped to function purposefully. On the other hand, a context is then realized in turn by the text, i.e., by means of a text, a context is being created, as in Figure 3 below.



**Fig. 3: The dynamic relationship between text and context: adapted from D.R. Miller, ‘English Linguistics’ lecture notes: AY 2000-01**

And this intimate connection is why our text analysis can be performed in either of two ways: *Top-Down* and *Bottom-Up*, more about which will be said presently.

A fourth and final feature of text is that it can be analysed at different levels, as a *multiple-coding system*, each interrelated stratum (i.e., level) of which is open to investigation. Figure 4 represents such *stratification* as the *realization cycle* in its simplest form.



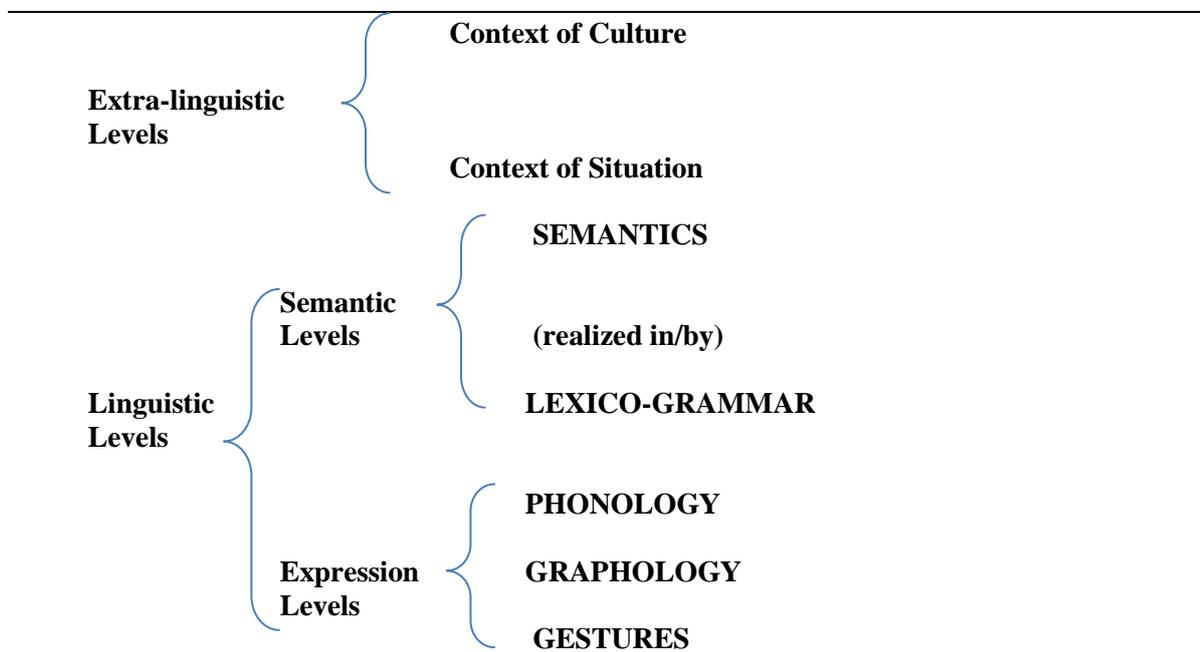
**Fig. 4: Stratification as multiple-coding system<sup>2</sup>**

But why do we have up-down arrows?; why is there bi-directionality? Because

[r]ealization works somewhat differently in the two directions. In the encoding view, it is an activation of some possible choice at the next lower level: thus in the production of an utterance, context activates meaning, meaning activates wording. By contrast, in the reception of the utterance, realization is construal of the relevant choice at the higher level: thus in decoding an utterance, the choice in wording construes meaning, the choice in meaning construes context. (Hasan 2010: 12).

<sup>2</sup> When a source is not specified, the Figure is the author’s representation. Apologies for any similarity to others to be found in the literature of which she is unaware.

Figure 5 below details the extra-linguistic and linguistic levels, in terms of both meaning and expression.



**Fig. 5: Extra-linguistic and linguistic levels: adapted from Butt et al. 1995/2000: 7**

But at this point we need to take another **TIME OUT**, this time to dispel any confusion the use we’ve been making of the terms *realize/realization* and *instantiate/instantiation* may have brought about. As with most of the notions we discuss here, there would be much more to say than we will be saying. But some clarification, though it be partial, is needed.

So let’s start with the concept of *realization*. As just illustrated, strata are related through (inter-stratal) realization; we say, e.g, that “Semantics is realized through lexico-grammar” – which as you know means that certain kinds of meanings are expressed in/by certain aspects of the wording. We are accustomed to speaking abstractly of this process in terms of various levels, or strata of language – its stratification.

But let’s take a more particular example: “The choice in the MOOD SYSTEM between ‘indicative’ and ‘imperative’ is realized structurally: only indicative clauses typically have a grammatical Subject”. Here the question of what semantic features are being realized by which particular set of choices in the grammar (by which we always mean

the *lexico-grammar*) is highlighted in the specific fact that if we want to ‘mean’ Subject, we choose indicative.

But the grammar (lexico-grammar) is not arbitrary, not random; taken together, it makes up a *system* – the underlying potential of a language to make meanings; and when we describe that system, we are necessarily relating it to *actual instances* of it. That is, we describe the system as it relates to real, concrete instances of language use in context – i.e., as it relates to texts. And it is this relation of system to actual text – the relationship between a potential and its instance – that we call *instantiation*.

All levels of realization are encompassed in instantiation. Indeed, system and instance are not two different things; they are the same thing, but seen from two different perspectives. Again we could speak in terms of there being two sides of the same coin. To better understand the distinction between language as system and language as instance, as text, Halliday’s analogy of ‘climate’ vs. ‘weather’ (1991/2007: 276) is helpful. As any meteorologist knows, there’s only one set of phenomena here, not two, but we call it ‘weather’ when we experience it instantially, as meteorological text, and ‘climate’, when we are taking a long-term perspective in order to establish and explain the principles of the meteorological system that lie behind it.

And text is meaningful only because it is the instantiation of systemic meaning potential by speakers (or of course writers) for hearers (or readers), all of whom tend to share a command of the language, i.e. share a largely unconscious awareness of how forms of wording will realize meaning and will be realized in phonology/graphology, and how what is actually said will contrast with what might have been said, but was not (linking up here to that largely unconscious phenomenon of ‘choice’).

And we can turn this around and say that our concept of a linguistic system is valid only because it is instantiated in text through the choices made by speakers. Each instance keeps the system (or, meaning potential) alive, reinforcing it, but also perhaps to some extent challenging it, and so perhaps, over time, even changing it. This dialectic between text and system is also connected to what we understand by a dynamic living language. And all languages are dynamic living phenomena or... they are dead.

So then, in sum, when we theorize abstractly the relationship between strata, e.g., talk about what happens to meanings in becoming wordings, we refer to realization, while when we analyse a concrete specific case of speaker choice in text (choice made

from our total meaning potential, the system), we're talking about instantiation. To offer a simple example: "Offers can be realized by various Moods. In *I'll do it!* the offer has been instantiated by the speaker with the indicative: declarative".

Before ending our **TIME OUT**, in addition to the two hierarchies/clines of realization and instantiation, which we have *not* treated either systematically or thoroughly, there is a third: the hierarchy of *individuation*. This is what we were referring to when we spoke briefly at the start of what Bernstein (whose related coding orientations we'll discuss below) called an individual's own *repertoires* – the result of his or her own individual history as a 'meaner' – and socio-culturally shared *reservoirs*. As Bernstein puts it:

I shall use the term repertoire to refer to the set of strategies and their analogic potential possessed by any one individual and the term reservoir to refer to the total of sets and its potential of the community as a whole. Thus the repertoire of each member of the community will have both [DRM sic?] a common nucleus but there will be differences between the repertoires. There will be differences between the repertoires because of the differences between members arising out of differences in members context and activities and their associated issues. (Bernstein 1996/2000: 157)

So then, individuation has to do with the relationship between the reservoir of shared cultural meaning potential and the repertoire a given individual is able to actuate. Martin pinpoints its significance neatly:

Whereas instantiation refers to the specialization of the meaning potential of a culture by text, individuation specializes that meaning potential according to people (for users rather than uses of the language). (2010: 22)

But now on to a brief sum-up of the Context of Situation and what it can be said to be, what it consists in and how it functions.

### 1.3 The Context of Situation revisited

After our brief excursus into text and before moving on to talk more specifically about register, both of which 'resonate' with context, let's stop for a moment to try to pull the strands together concerning just what the Context of Situation is.

Firstly, remember that it can be seen from two different perspectives: material *and* social, or cultural, and that both aspects are vital. As Hasan puts it (in Halliday and Hasan, 1985/1989: 99), "[t]he material situational setting is by no means identical with

the Context of Situation relevant to the text”. She reiterates the premise nearly 30 years later in saying that

[...] the significance of the context of situation cannot be explained in terms of the material situation *as such*: the identity of the situation is created by its association with specific types of social practices [...] social practice is as central to the development of culture as speaking is to that of language. (Hasan 2014: 13, original emphasis).

Interestingly, Hasan tells us that she prefers “to write ‘con/textual’ for the simple reason that there exists a ‘solidary’ relation between context and text.” (2014: 21). We’ll come back to the notion of ‘relevance’ concerning that relationship presently.

So, in what Hasan remarks above we find highlighted, once again, the importance of culture and its social semiotic potential, with its ways of being/behaving through those of doing and saying/meaning. What Hasan is saying is that *all* significant values of the Situation of Context are ultimately defined by these specific social practices. What we are focussing on here are, as said, the sub-set of ways of meaning called ways of saying, and thus the meaning potential that the linguistic system provides us with. But neither is this potential ever *a-cultural*, ever divorced from the social practices of the culture in which it functions. Indeed, the metaphor of climate and weather we discussed above with reference to system and instance is also useful to understanding the relationship between context and culture. As Halliday himself explicitly points out:

[...] we can apply the same thinking to the situation and the culture. These also are not two different things; they are the same thing seen from different points of view. A situation, as we are envisaging it, is simply an instance of culture; or, to put it the other way round, a culture is the potential behind all the different types of situation that occur. (1991/2007: 276)

Now, for some review – and refining! As you’ve known since your first year English linguistics course, the Context of Situation is seen as being comprised of three variables/parameters: Field, Tenor and Mode, corresponding, respectively, to the questions: *what is going on?*, *who is taking part?*, and *how are the meanings being exchanged?* The values we focus on with reference to Field are: 1) the nature of the ongoing social speech event and 2) its subject matter, i.e., what the text is about. These values tend to determine the ideational meta-function, which we say is *construed* at the level of clause as representation. The category of Tenor has to do with the human

participants in the interaction and the relationship between them, involving their status and discourse roles, as well as the attitude they take towards the subject matter and their interlocutors. These characteristics tend to determine the interpersonal meta-function, which we say is *enacted* in/by the clause as exchange. Mode is the distinctive contextual parameter, the *enabling* variable of Context of Situation. It concerns the way that language is functioning in the interaction, which involves a series of features such as the degree to which the process of interaction is shared by the interlocutors, the text's 'channel', its 'medium' etc.; these features tend to determine the textual meta-function, which is also seen as a distinctive semantic meta-function, i.e., as *enabling* the ideational and interpersonal ones to become text (see Halliday and Hasan, 1985/1989: 12, 57-59 and the *Text Analysis Checklist* in Appendix 1 for further details).

As said above, the process is two-way, or bi-directional. Looked at from 'above', or from the 'top', these values of the contextual variables/parameters are seen as tending to activate the semantic meta-functions, or meanings, which are then in turn realized as lexico-grammar, or wordings. In other words, Field, Tenor and Mode are invariably encapsulated in the lexico-grammar of a text by means of the contemporaneous encoding of ideational, interpersonal and textual meanings or meta-functions. Looked at from 'below', from the 'bottom', the lexico-grammar is said to construe those meta-functions, which in turn construe the values of the contextual variables.

But now, to *add* to the theory. Over 30 years ago, Hasan began to theorize the notion of *relevant context* (1973): the context which leaves its traces in the text, which is illuminated by the language of a particular text. She felt that it was useful to see the total set of situational features – the specific values of the parameters of Field, Tenor and Mode of any one particular situation type – as one single configuration. The name she gave to this was '*Contextual Configuration*' (CC), describing it as an account of all of the significant attributes of the particular social activity which is receiving verbal expression in any given specific text (in Halliday and Hasan, 1985/1989: 56). In other words, a CC is the sum, or the combination, of the relevant contextual variables of a specific context of situation, seen as one sole configuration.

The CC is vital, of course, to our analysis of text, whether we are working Bottom-Up or Top-Down. *But what does it mean to work Bottom-Up or Top-Down?*

If we're working *Bottom-Up* in our analysis of a text, we start analysis at the lower level – that of lexico-grammar, or wordings –linking them to their meanings and only subsequently re-constructing the CC. In so-doing, there will be traces of that relevant CC that will be discernible in that text and it will be *owing to those traces* that a description of the CC will be possible. The steps of such analysis are elaborated in detail in the *Text Analysis Checklist* in Appendix 1.

Conversely, if we're working *Top-Down*, we start with the information provided by the text's specific CC, and, on the basis of that CC, we *make predictions* regarding the lexico-grammar/wordings which a text will be likely to instantiate in order to serve the semantic meta-functions/meanings that the CC is likely to determine. Such prediction is also clearly the result of one's concrete experience with how texts are produced and consumed in specific discourse communities. Unconsciously in fact, predicting what people are going to say is something we do all the time. Of course the concern of the linguist, and of the student of linguistics, is to be aware of, and systematic about, the predictions s/he makes. These notions, which we'll be coming back to again and again, are fundamental for the work of *register analysis* that we'll be performing in this course – both Top-Down and Bottom-Up.

But now to turn to the primary topic of our course: register.

## ***2. The notion of REGISTER, or, language variation according to use, and related issues***

As Lukin et al. (2008: 188) note:

The concept of register is central to Halliday's model of language. It is central not only in the sense of being important to the theory, but central also in the sense of 'at the centre of' the theory. The case we make here is that register holds the dimensions of Halliday's systemic functional theory together [...]

We wholeheartedly underwrite the authors' position and indeed it was a major inspiration for making register the focal point of this course. What we are putting forth here is *Halliday's* theory of register *alone* – i.e., register minus 'genre', as Lukin et al.

(2008) unmistakably also do. We'll soon have more to say about the theoretical distinction between Halliday's notion of register and Martin's use of the terms 'genre' and 'register'.

Register theory attempts to reveal the general principles governing this kind of language variation – a search that is motivated by the need for understanding what contextual features determine what linguistic features (cf. Halliday 1974/2007: 93). Though our treatment here will not be all-inclusive, we hope to shed light on at least certain crucial principles and their interrelatedness.<sup>3</sup>

Let's begin by recalling that the *system* of a language is equal to its speakers' total *meaning potential*, i.e., it comprises all that it is possible for them to say/mean. Recall too that when we make texts, we *choose* from this vast set of linguistic resources, from this system, which is available to us for making meanings. But what is it that always determines the wordings that we do choose? We've amply established by now that speakers choose the wordings to realize these meanings on the basis of the Context of Situation and that of the Culture in which they are producing their texts. But now we want to focus particularly on what we need to do with these wordings/meanings – though always within a specific CC, which is operating within a specific Context of Culture. This explicitly links us up to the concept of language as purpose-ful, or language as those wordings/meanings which serve our purposes in a specific CC. This indeed is the concept of *register*, which we'll now focus more closely on.

## 2.1 Zooming in on register

So then – and at the risk of being unnecessarily monotonous! – the grammar of a language can be described as “[h]ow we can say things”, or, more formally, as “the set of linguistic resources available to us for making meanings” (Thompson 1996/2004/2014: 39).<sup>4</sup> But as Thompson also makes clear, and as we've already suggested above, we can better characterize these resources and say that the kinds of wordings that are available to us as speakers are *ultimately determined* by the meanings

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<sup>3</sup> For a much more in-depth treatment of register analysis in SFL, see Moore (2017).

<sup>4</sup> All page references are to the third edition, 2014.

we want to make, because of what we need to do with them, that is to say, because of the uses to which they are being put.

Halliday describes register as “a variety of language, corresponding to a variety of situation” (in Halliday and Hasan 1985/1989: 29). The starting point is always the situational configuration of Field, Tenor and Mode, which will tend to activate a certain combination of meanings (semantic meta-functions), which will be realized in wordings (lexico-grammatical resources) – i.e., in ‘text’. And this text will be identifiable as belonging to a particular register. It follows that register can be said to be a typical conglomeration of speaker selections in meaning/wording, due to a typical combination of contextual variables. In sum, the speaker’s meaning/wording (the speaker’s text) is a response to the text being realized in a specific type of Context of Situation.

Matthiessen, linking up to instantiation, puts it as follows:

This *variation according to use* — register variation <sup>5</sup> — is located along the cline of instantiation between the overall meaning potential of a language operating in the context of culture and the instantiation of this meaning potential unfolding as texts in contexts of situation. (our emphasis) (2015a: 1)

So then, as a result of certain Contexts of Situation, and the general and specific purposes language is serving within these, typical conglomerations of linguistic resources are made use of – and this is the notion of register.

It’s clear that different combinations of contextual variables (Field, Tenor and Mode) will make a difference to the meanings being activated and to the wordings realizing them that we find, i.e., will make a difference to the linguistic resources chosen from the total meaning potential which is at a speaker’s disposal – because what the speaker has to do with them *is* different! So that, while a text is seen as being actualized (i.e., instantiated) meaning potential through speaker choice, we need to re-think this concept somewhat with reference to registers – with reference to which *the notion of meaning potential contracts* and can be said to be limited to the range of options that belong to a *specific situation type* (Halliday 1978: 109).

This demarcation of register’s meaning potential territory is an important notion. It can be usefully linked to Thompson’s idea concerning certain contexts (or situation

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<sup>5</sup> Register variation is not the only kind of language variation there is. We’ll discuss it in comparison with dialect variation below (sub-section 2.2.1).

types) typically *obliging* certain meanings and wordings to be made (1996/2004/2014: 39). He speaks of both meanings and wordings “choosing the speaker”, meaning that our language competence as speakers rests heavily on knowing how things are typically – even obligatorily – meant/said in certain contexts.

But, if it is true that register contracts the concept of meaning potential, it is also true that there will inevitably be possibilities for further variation within any one definable register’s CC, and so also predictable repercussions of such variation in the wordings and meanings we find instantiated. Indeed, even a slight fine-tuning to any relevant contextual variable in a CC will make a difference to the concrete text being produced.

A brief example may help clarify the point. The following is a typical text of a service encounter at a supermarket bread counter between a seller and a buyer who are total strangers.

- Good morning. I’ll have a loaf of Italian bread, please.
- Of course. Here you are.
- Thanks. Good morning.
- Good morning.

But if, let’s say, the seller and buyer have long known each other personally, the text will differ significantly, and even unpredictably, from the one above.

- Good morning, Trish! How are you doing today? Have you got any fresh Italian bread in?
- Just great. Thanks. Yes, we have, Ms. Sheen, just in an hour ago – and still warm!
- Very good. I’ll take two loaves then. But do tell me, how’s your little grandson doing? Didn’t he have the flu?
- Yes, thanks. Much better now.
- Oh, good. Bye then, till tomorrow.

So tweaking the CC means we get a tweaked text. The entire range of such slightly differing text-types constitute a single *register family*; in fact, the study of register is the study, on one hand, of the *regularities* within these ‘families’, and, on the other, of their *divergences* from features of other ‘families’ (cf. Hasan 2014: 10).

And register variation is a not an accidental fact of linguistic life. The reasoning is based on that ‘resonating’ text-context relation we spoke of above. More in particular, it is based on specifiable similarities and differences in the selection of features from the Field and/or Tenor and/or Mode of discourse to which the grammar being instantiated is

at all times enormously sensitive. This, incidentally, is the reasoning that led Miller and Johnson (see, e.g., 2013, 2014) to coin the expression *register-idiosyncrasy* – in contrast to the less precise, because more constraining, term *register specificity*. In doing so, we were also connecting up to Halliday’s characterization of language as a stratified *probabilistic* system (Halliday 1991: 48), meaning that a language works with tendencies rather than certainties.

As Matthiessen more specifically notes, such probabilities can be destabilized; they are particularly sensitive to the ways in which areas of meaning can overlap or blend (2015a: 7). Such phenomena tend to give rise to what has been called *registerial hybridity* (Matthiessen and Teruya 2016).<sup>6</sup> A perfect example of such blending is the second service encounter example above, where – to use Matthiessen’s labels, remarked below – the core *doing* gets mixed with the *sharing* of non-related information.

According to Hasan, this kind of hybridity in texts can be said to be a question of the *permeability* of the boundaries between contexts. Elaborating on this, she tells us:

It is not simply that predetermined qualities of genres are being mixed, combined, hybridized: the fact of the matter is that by these devices people extend, elaborate and reclassify their discursive contexts. Derrida’s celebrated claim that one cannot not mix genres should really be rephrased as contexts of life cannot but be permeable; the rest follows by the dialectic of language and discursive situation. (Hasan 2000:44)<sup>7</sup>

Such permeability can be effectively brought to light and described with reference to the kind of *prototypical* register types and sub-types being identified in the ongoing *registerial cartography* project of Matthiessen and his team at Hong Kong Polytechnic University. They aim to create “maps showing functional varieties of a language operating in different contexts of use, representing these functional varieties as regions within the overall space of meaning of that language” (2015a: 1). Significantly – and something that should be of interest to you too! – such maps are also proving valuable for the progressive development of learners’ *registerial repertoires* (2015a: 8).

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<sup>6</sup> On registerial hybridity see also the other chapters in the eponymous section of the 2016 volume dedicated to hybridity and SFL edited by Miller and Bayley.

<sup>7</sup> In this 2000 paper and elsewhere Hasan still used the word ‘genre’, in a coterminous sense with register. Only after the conflict between Hallidayan SFL and Martin’s counter-model escalated did she avoid the term. Halliday in recent years has also normally eschewed use of the word ‘genre’, having even publically declared being sorry he’d ever used the term (workshop, University of Bologna, 1989)! Every now and again, however, it does appear in his work. As to why this is so, one can only conjecture.

As Matthiessen also observes (2015a: 34), the phenomenon of hybridity of texts has been undoubtedly enhanced, and at escalating rates, by technological developments such as the World Wide Web which have radically transformed the nature of ‘channel’ within Mode. Registerial hybridity will be illustrated in Part II’s practice with registers, where – in defining and illustrating functional varieties of text – cross-reference will also be made to Matthiessen’s essentially Field-based SOCIO-SEMIOTIC PROCESSES of expounding, reporting, recreating, sharing, doing, recommending, enabling and exploring, as well as to their secondary sub-types (2015a: 7 ff.).

Above we pointed out that it was the need for understanding what contextual features determine what linguistic features that was behind register theory’s search for principles. This may seem to be self-explanatory but, as Halliday cautions, it is only too easy to ask the wrong questions, i.e., ones which will give us only irrelevant and trivial answers. The proper question is *not* what features of language are determined by register. Rather, it is:

[...] **which** kinds of situational factor determine **which** kinds of selection in the linguistic system. The notion of register is thus a form of prediction: given that we know the situation, the social context of language use, we can predict a great deal about the language that will occur, with reasonable probability of being right. The important theoretical question then is: what do we need to know about the social context in order to make such predictions? (Halliday 1974/2007: 94, original emphasis)

The answer that Halliday provides is essentially that we need to know *what’s going on; who’s taking part; and how the meanings are being exchanged*, i.e., the relevant Field, Tenor and Mode of the CC, but to know it in sufficient detail – as even apparently fine points can change things radically, as we’ve seen. We’ve spoken of this knowledge in terms of speaker competence, but, as Halliday remarks, there’s no need to talk in psychological terms of competence, or ‘what the speaker knows’, since sociolinguistic or functional terms will suffice (1974/2007: 94). Indeed, nothing more is needed to explain how our long (shared, but unconscious) experience with text allows us to predict meanings/wordings on the basis of a CC, as we do when analysing ‘Top-Down’. We’ll examine more closely the relative ease, or difficulty of such predictions presently, in terms of what are characterized as ‘closed’ or ‘open’ registers.

But first, we need to say at least a few words about a text-type which is different, special, and that requires a different model of context, but also of analysis – verbal art, or, the *literature text* (Hasan 1985/1989).

### 2.1.1 The special case of verbal art

Verbal art is indisputably a kind of language use in a particular social context, as all texts are, but it is *not* simply a register like any other. Why? Because the context-language connection in verbal art is much more complex than it is for any other register (Hasan 2007: 22).

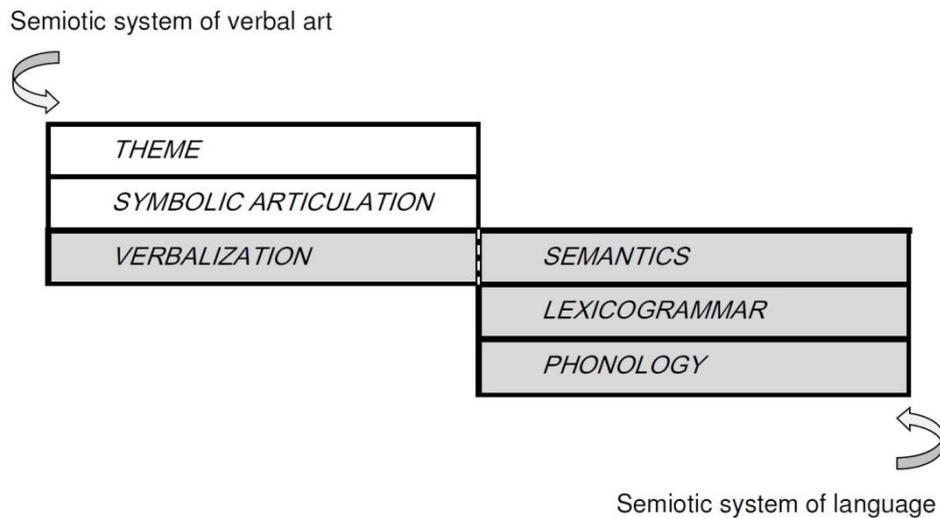
There are indeed multiple contexts in play in verbal art: the *fictional context* created by the text; a ‘real’ *context of creation* comprising the language, world view and artistic conventions of the author situated in his/her time/place of writing, and also a *context of reception* of the reader, all of which impact on the text and its interpretation and require the analyst’s close attention (Hasan 1985/1989: 101-103; cf. Hasan 1996/2011: 50-54).

By the same token, however, this special text-type requires an equally special theoretical and methodological take, one positing a second order of meaning, where first order meanings are re-patterned through *foregrounding* (after Mukařovský 1964), or the *symbolic articulation of theme*, which Miller has suggested (in, e.g., 2016a) is equivalent to what Jakobson calls *pervasive parallelism* (PP, 1966: 423). These patternings give us access to the literature text’s ‘theme’ – the text’s deepest meaning – akin to a generalization on the nature of human existence. Indeed, she tells us that “[t]he art of verbal art consists of the use of language in such a way that this second order semiosis becomes possible.” (Hasan 1985/1989: 98). The name she has given to her approach is Systemic Socio-Semantic Stylistics (SSS).<sup>8</sup>

Hasan’s descriptive and analytical model is one of ‘double-articulation’ (Hasan 2007: 33), visually represented as in Figure 6 below.

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<sup>8</sup> The label Systemic Socio-Semantic Stylistics, or SSS, is the last formulation Hasan suggested before her untimely passing (personal communication to Miller: 1 January, 2015).



**Fig. 6: The ‘double-articulation’ model for the analysis of verbal art: based on Hasan 1985/89: 99**

So then, analysis of the literature text starts at the semiotic system of *language*, which is *exactly the same* as for any text of any other register. But then one goes beyond, to the second order of semiosis in the Figure. This is the critical criterion of the literature text: the semiotic system of *verbal art*.<sup>9</sup> The essential rationale and steps of analysis will be further explained and illustrated in Part II.

And now to consider the differences between ‘closed’ and ‘open’ registers.

### 2.1.2 Closed vs. open registers

As Halliday tells us (in Halliday and Hasan, 1985/1989: 39-40), registers can be *closed* or *open*, and all registers should be seen as being located somewhere along a *cline*, or *continuum*, between the two extremes.

But what does ‘closed’ or ‘open’ mean? And with reference to what? The notion of closed/open with reference to registers is fundamentally a notion of *the extent of their predictability*. If a register is considered to be +open then it follows that its wordings/meanings are *less predictable*, because its situation type leaves it more ‘open’ to introducing various ways of saying/meaning. Conversely, if a register is +closed, its wordings/meanings are *more predictable*, because its situation type dictates that it will be more ‘closed’ to other ways of saying/meaning.

<sup>9</sup> Cf. Appendix 1. For an overview of this and other related issues see Miller (2017).

In this case, as so very often in SFL, the concept of the cline, or continuum, is a useful one:



Some registers will fall at the extremes of the cline; others will fall somewhere along it. BUT, remember!! *No* register can be considered to be totally open, because some predictability, if only very minor, will be involved in all text-types, also due to the notion of intertextuality, which we'll discuss below in section 2.3. Likewise, very few registers are ever completely closed, also because speakers may choose to disregard conventional ways of saying/meaning and modify them – there is, in short, a possibility for *contratextuality*, also to be discussed below. But let's see some examples.

Cases of *highly closed registers*, in which there is practically no room for variations in making meanings are: *air traffic control communication* with plane crews and the language of most *games*. These are largely conventionally pre-scripted. Indeed, in certain situations, going outside of the script could even be dangerous!

BA flight 567 to air traffic control, requesting immediate clearance for emergency landing. ^  
Air traffic control to BA flight 567. Request for immediate emergency landing is granted.

Most 'serious' card games are relatively silent, or marked by conventional talk, such as Poker's:

I see you ^ I raise you

Chess too, though a board game, is typically marked by silence, except for the moments of announcing "Check", and the final, "Check-Mate".

But another **TIME OUT** – here concerning a feature of Mode, i.e., *the role of language* – is called for.

In texts such as largely silent games, we say that *language as action* dominates. In fact, registers also vary, again along a cline, from being:

- *action-oriented*: when the Context of Situation is one in which there is much ‘action’ going on and little ‘talk’, to
- *talk-oriented*: when the Context of Situation is one where the primary activity is linguistic.

With action-oriented registers, or language as action, interpersonal meaning-making is typically being foregrounded, whereas with talk-oriented registers, or *language as reflection*, it is ideational (experiential) meaning-making that is typically to the fore.

In addition, the language of action-orientation is said to be fundamentally *ancillary* to that action – meaning it is to a great degree an ‘extra’, substantially non-essential to the ongoing social activity taking place. In this case, the language that does occur (if it does!) is merely an adjunct to the material or mental activity going on. Conversely, with the language of reflection, the language is said to be *constitutive* of – essential to – the ongoing social activity (cf. Hasan in Halliday and Hasan 1985/1989: 57-58).

Language use in a game of poker or chess is clearly purely ancillary. Other examples would include Ikea-style instructions for assembling a wardrobe (typically a question of designs/graphics and so even word-less!). At the other extreme of this theoretical cline, as examples of highly constitutive registers we have informal narrative and spontaneous face-to-face conversation. Note that these examples suggest that an ancillary role of language goes with closed registers and a constitutive role with open ones. The suggestion is a valid one.

However, the full picture is not quite so simple. As Hasan (2014: 16-17 ff.) illustrates, the degrees of delicacy to which role classification can be taken are various.

<sup>10</sup> We are *not* concerned here with delicacy beyond ‘ancillary’ and ‘constitutive’, but we need to be aware that in so doing we’re stopping short of a full description and that such over-simplification always risks leaving potentially important features out.

Furthermore, borderline ‘fuzzy’ cases in which these two orientations are conflated are possible. The kind of Classroom discourse in which the teacher can aim at combining theory (language as reflection and constitutive) with practice (language as

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<sup>10</sup> Delicacy is a question of the level of *detail* at which a linguistic description is made. Basically it’s used to talk about the ongoing speaker choices made within systems networks, treatment of which, as said, is not an integral part of our course, though of course we too posit that meaning resides in systemic patterns of choice (cf. Halliday 1985a – IFG3: 22-23).

action and ancillary) is an example of a register which often demonstrates such conflation. This is also because, as Matthiessen (2015a) would put it, the nature of the Field is hybrid, aimed at both *expounding* and *doing*, and maybe even *sharing*. And now back to our discussion of ‘closed’ vs. ‘open’ registers.

It should be clear to you by now that on this topic, as on most, all generalisations are made at peril! Take a board game such as Monopoly, or Trivial Pursuit. How predictable are the meanings/wordings that will be made in the course of the hours it takes to play them? Certainly much less so than with Poker! Indeed, in these games talking is at moments actually a constitutive part of the play, and in the case of Monopoly, of negotiations – and even verbal hostilities are foreseeable/expected in both these games! So they are less closed examples of the typically highly closed ‘games’ category.

*Slightly less closed registers* are those with slightly more room for random wordings/meanings being made and so slightly less predictable overall. Often they remain highly conventional in their realization, though sometimes they may depart from conventions, and even create new ones. In this category we find *menus, recipes and greeting cards*. But again, it will be the relevant features of the specific CC that will determine the full extent of their predictability, together with other factors we’ll discuss directly.

To begin, let’s take *menus*, which typically have a fairly standardized discourse structure made up of listings of offerings in a temporal order: e.g., starters, salads, ‘entrees’, desserts, etc. However, typologies of restaurants also include minimalist menus, say, of single dishes. And even within these traditional sections, details can vary, e.g. there can be a degree of description, and even evaluation as well – optionals that are not easily predictable.

To exemplify extremely simple menus, we can go back to the 1960s in the US when McDonald’s basic menu offered Hamburgers, Cheeseburgers (only in 1968 did the now legendary Big Mac make its debut), French Fries and a choice of soft drinks including: Coca-Cola, Sprite, and Fanta. If you had ever been to McDonald’s, you knew what was on the menu. The register in this case was actually highly predictable and so *highly*

*closed*. Over the years, the typologies of McDonald's restaurant diversified and, in the larger ones especially, the menus grew... and grew. Today its sandwich/meal options may include: <sup>11</sup>

<b>1. Big Mac</b>
<b>2. Cheeseburgers</b>
<b>3. Quarter Pounder with Cheese</b>
<b>4. Double Quarter Pounder with Cheese</b>
<b>5. Quarter Pounder Deluxe</b>
<b>6. Bacon Clubhouse Chicken (Grilled/Crispy)</b>
<b>7. Artisan Grilled Chicken</b>
<b>8. Crispy Chicken Deluxe</b>
<b>9. Premium McWrap (Grilled/Crispy)</b>
> <b>Chicken &amp; Bacon</b>
> <b>Chicken &amp; Ranch</b>
> <b>Sweet Chili Chicken</b>
<b>10. 10 pc Chicken Nuggets</b>
<b>11. Filet-o-Fish</b>
<b>SIRLOIN THIRD POUND BURGERS</b>
<b>Lettuce &amp; Tomato</b>
<b>Bacon &amp; Cheese</b>
<b>Steakhouse</b>

In addition, there are various salads and even a breakfast menu to choose from and nutrition facts too.

Does this make the McDonald's menu today less 'closed'/more 'open' than the 1960s' one? Only for the *non-habitué*. Generation Zs and Millennials are likely to have no problem predicting the recent elaborate menus, while Baby Boomers who haven't kept up with the times, won't be. <sup>12</sup> And for those few Baby Boomers who had no idea what McDonald's was back then, the same can be said of the simple 1960s menu. In short, if you're a fairly regular customer, you can predict rather easily what's on a menu, but if you've never been, or haven't at least second-hand knowledge, predicting will be very hard. In short, it depends! And the same is true of course of up-market slow

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<sup>11</sup> For a comparable listing, see <http://burgerlad.com/2015/05/mcdonald-usa-menu-prices.html> (last accessed 2 November, 2016).

<sup>12</sup> See <http://www.telegraph.co.uk/news/features/11002767/Gen-Z-Gen-Y-baby-boomers-a-guide-to-the-generations.html> (last accessed 2 November, 2016), for a guide to the generation labels and the years they presumably include, on which, however, not all agree.

food restaurants as well; for instance, if the eating place is known for its Regional or more local specialties, being familiar with what these are beforehand can only help the predicting!

So it should be clear that the mere naming of a text-type will not automatically allow us to define the extent of its being closed/open. It should also be clear that – in addition to variation in the specific CC which will affect wordings/meanings and also affect the predictability of these wordings/meanings – the degree to which closed (or open) registers *are* in fact closed (or open) will also vary *according to who is doing the predicting and to his/her experience of the text-type*. Although we have said that our long experience with text allows us to predict meanings/wordings, this capacity is based on a knowledge of – besides the relevant parameters of the CC, and even in the case of rigidly formulaic texts – our past experience with them. In sum, predictor competence is highly desirable, and also located on a cline.

But what about other slightly less closed registers? *Recipes* typically include an obligatory list of ingredients ^ series of demands for ‘goods & services’: i.e., what to do, and in what order. And yet, sometimes explanation and/or evaluation may be offered as well, especially if the recipe is highly complex. In this case, predictability will be less possible, unless you’re an experienced cook. Again the cline is useful for defining the degree to which the register is closed/open. In theory, a recipe for a classic cocktail like a Bloody Mary should be much more closed than one for an elaborate wedding cake – but again, it will depend on the experience of the text-type and its subject matter which the person doing the predicting has.

With reference to variations in relevant contextual variables which will make a difference to the concrete text being produced, differences in Mode values can be telling. For example, any recipe given phonically over the phone from one friend to another will have a very different lexico-grammar from one that is expressed in a pre-scripted graphic, and multimodal/hypertextual channel on the internet. And, connecting up to Matthiessen’s observation on technological developments and channel transformation above, the internet text will also be likely to show evidence of ‘register hybridity’ to some degree. And, obviously, hybridity, as we’ve already seen, will tend to muddy the waters of predictability further.

*Greeting Cards* are another typically slightly less closed register. Many are basically clichèd and formulaic: Happy Birthday, Get Well Soon, etc. The Hallmark brand offers a card for every occasion, even just Thinking of You!, in a style ranging from sentimental to humorous. These too are ultimately on a cline of predictability. As with all registers, a rule of thumb is that the longer the text is, the less predictable and so more ‘open’ it will be. And today the client can edit or even create these cards online – increasing the open-ness and lessening the predictability for those not directly involved in the editing/writing. Moreover, for those who are interested, ‘pick-a-message’ sites are available. The sample texts are organized by occasion and varied in length and content, though certain key lexis is oft-reiterated.

*Weather reports* are a text-type most of us are familiar with and so their typical ways of saying/meaning are essentially rather closed, and predictable. The details of the content of the report, however, are less so. In fact, the reason we go to the weather report is precisely to get those details: to find out what the forecast is for tomorrow or over the next few days. Certain geographical locations may have a climate whose weather fluctuates wildly from day to day or even hour to hour, making content prediction difficult, while others are marked by a high degree of regularity, making forecasting a much simpler matter.

*Slightly/somewhat more open registers* are those where even more variation is typical – which means still less predictability. This category is said to include *technical instructions*, where the order of the actions being demanded is often vital, so typically these texts belong to the register we call ‘procedural’/‘how-to’ (and Matthiessen (2015a) labels as *enabling: instructing*). As usual, different subject matters will give us different (more or less complex) wordings/meanings. But again, no matter how simple/complex they are – their predictability will ultimately depend on how familiar the predictor is with the procedure. And, since (much like with the weather report) it is precisely for the purpose of getting advice on how-to-do-something that we go to the text at all, that familiarity isn’t likely to be high.

Let’s think about some examples. We’ve already said above that Ikea assemblage instructions are actually highly closed *linguistically* – due to not usually being language based! But software installation instructions, for instance, will be typically less

closed/more open, though always depending on the complexity of the instructions – and, again, on the familiarity of the addressee with such procedure. Installing an Adobe Reader is extremely easy for most PC-literate people but a PC operating system installation manual is likely to be incomprehensible to all but highly skilled technicians.

The online ‘How to Operate the Minolta Freedom 3 Camera’<sup>13</sup> text is 1,472 words long, ending with: “The more you use your camera, the more familiar you will be with its functions and with the composition you like to obtain from your pictures. Enjoy your memories”. What text-type does this last clause remind us of? Yes, an advertisement (*recommending: inducing/promoting*, in Matthiessen 2015a), giving us an example of ‘register-mixing’, or ‘hybridity’ – probably not predictable unless one has had the experience of finding something like it before: we for instance know how the Kodak brand camera has spotlighted ‘memories’ and ‘moments’ in its advertising campaigns for decades.

*Legal documents* are usually put into this category of slightly more open registers as well, but the ‘register’ of legal discourse has many sub-registers and so also many degrees of open-ness. An overview of the possibilities follows:

- The ‘deliberative’
  - consideration/discussion of a question by a legislative assembly/committee (*+argumentative, so +open*)
- The ‘legislative’
  - law-making (*usually +formulaic, so +closed*)
- The ‘judicial’
  - law interpretation/ruling (*again, +argumentative, so +open*)
- ‘administrative’: *drawing up*:
  - definitions
  - ‘By laws’ (regulations)
  - contracts (*all these are typically pre-scripted and so +closed*)

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<sup>13</sup> <http://w3.gel.ulaval.ca/~poussart/gel64324/McMurrey/texte/instrxx1.htm> (last accessed 17 October, 2016)

Only the last (administrative) category is to a great extent predictable, as the types of administrative text are largely conventional, pre-scripted. Take the contract:

This indenture, made on DATE between X, party of the first part, and Y, party of the second part, witnesseth that the party of the first part does hereby grant and release unto the party of the second part Z... *from a Bargain and Sale Deed*

The text is so formulaic that it is actually *fully* predictable, except for details (names/dates) – or it would be so, if the predictor had had anything to do with an indenture before! Otherwise, it wouldn't be. There are styles of saying/meaning that just have to be learnt and this is one example.

The language of the classroom – *didactic discourse* – is also considered to be fairly 'open'. As most of us have had a great deal of experience with classroom talk, predictability shouldn't be all that difficult. But there are factors that make it less straightforward. We've already mentioned the difference between classroom talk aimed at theory or at practice and how it influences the role that language is playing. Other considerations helping predictability include: knowing the subject-matter of the lesson being taught, but also knowing the level of schooling and even the kind of school we're dealing with; and the degree of intimacy between teacher and students.

Analogous considerations apply to *doctor-patient consultations*. The nature and newness of the malady and the degree of social distance between the interlocutors will strongly influence their texts. The patient, for example, may also have a personal relationship with the doctor, who may have been treating him/her for some time for the condition.

Even further towards the *still more open-ended (less predictable)* side of the continuum, we typically locate persuasive registers. But some are *fairly* predictable – at least as far as staple meanings/wordings are concerned – at least if you have been following electoral persuasion in the USA for years! Nomination Acceptance Speech to the Democratic National Convention in Philadelphia on 28<sup>th</sup> July, 2016 of the losing presidential candidate, Hillary Clinton, ends as follows: <sup>14</sup>

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<sup>14</sup> The full delivered text is available at <http://www.politico.com/story/2016/07/full-text-hillary-clintons-dnc-speech-226410> (last accessed 3 November, 2016).

Though “we may not live to see the *glory*,” as the song from the musical Hamilton goes, “let us gladly join the *fight*.” Let our *legacy* be about “planting seeds in a garden you never get to see.” That’s why we’re here...not just in this hall, but on this Earth. The *Founders* showed us that. And so have many others since. They were drawn together by *love of country*, and the *selfless passion* to build *something better for all who follow*. That is *the story of America*. And we begin a *new* chapter tonight. Yes, *the world is watching* what we do. Yes, *America’s destiny* is ours to *choose*. So let’s be *stronger* together. Looking to the *future* with *courage* and *confidence*. Building a *better tomorrow for our beloved children and our beloved country*.

When we do, *America will be greater than ever*.

*Thank you and may God bless the United States of America!*

The symbolic/evaluative words and expressions in the text above that have been italicised have regularly been pretty much core participants in the discourse of presidential candidates, since they represent what has for long been the dominant view of what the US is for its people. We offer no detailed corpus data but past research allows us to assert as much with impunity (e.g. Miller 1993b). This is a question of intertextuality, which, as already anticipated, will be examined below.

On the other hand, the discursive practices of the *atypical* presidential candidate – but rather surprisingly now the US President– Donald Trump, was probably much less predictable for most Americans – before the 2016 elections primary season at least – precisely because highly atypical of a major party presidential contender. Many commentators deplored what they saw as his racist, misogynist and globally exceptionally politically incorrect rhetoric, which may have had more in common with rough-and-ready impromptu comments among like-minded toughies – i.e., ‘locker-room talk’.<sup>15</sup> But, as we now know, such ways of saying did not alienate most of the American electorate; indeed for myriad reasons that only future research will reveal, it seems to have incited them.

Trump’s Nomination Acceptance Speech to the Republican National Convention in Philadelphia on 21st July, 2016 is curious, as it depends more than is usual on whether one looks at the draft distributed version or the transcript of what he actually said.

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<sup>15</sup> See <http://edition.cnn.com/2016/10/09/politics/donald-trump-locker-room-talk-presidential-debate-2016-election/> (last accessed 9 November, 2016).

Famed for *not* sticking to the discourses prepared for him, he did the same in this speech. The delivered version of the Finale is this: <sup>16</sup>

I am asking for your support tonight so that I can be your champion in the White House. And I will be a champion. Your champion.

My opponent asks her supporters to recite a three-word loyalty *pledge*. It reads: “I’m with her.”

I choose to recite a different *pledge*. My *pledge* reads: “I’m with you *the American people*.”

I am your *voice*. So to every parent who dreams for their child, and every child who dreams for their future, I say these words to you tonight: I’m with you, and I will fight for you, and I will win for you.

To all Americans tonight, in all our cities and towns, I make this *promise*:

We will make *America strong* again.

We will make *America proud* again.

We will make *America safe* again.

And we will make *America great* again!

God bless you and goodnight! I love you!

Again conventional participants in the text-type are italicized. A word *not* italicised, because not conventional, <sup>17</sup> is ‘champion’ – a Trump word, which did not appear in the distributed version of the speech, but which he added in his delivery – a full tree times. In any case, once the electors become more familiar with a candidate’s discursive practices, predictability for them also becomes easier, and maybe the full delivered Trump speech for his supporters was more predictable than the more sedate pre-scripted one.

Indeed, with respect to this particular kind of persuasion, temporal factors (an aspect of Field, remember) can make a difference. By the time the end of a campaign comes, the speeches of the candidates have become +predictable for the electors – and so +closed – at least for the electors that have been following them! The candidates have been ‘parroting’ their well-rehearsed lines for so long, increasingly playing for the

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<sup>16</sup> Available at <http://www.vox.com/2016/7/21/12253426/donald-trump-acceptance-speech-transcript-republican-nomination-transcript> (last accessed 4 November, 2016). The draft version, available at <http://www.politico.com/story/2016/07/full-transcript-donald-trump-nomination-acceptance-speech-at-rnc-225974> (last accessed 4 November, 2016), did *not* contain the first two lines quoted here.

<sup>17</sup> The word appears in no Presidential Nomination Acceptance Speech for the last 24 years – except in Obama’s, in 2008. Ironically, even poignantly for some (post-election 2016), the word is used in reference to his most serious rival for the nomination that year: “a champion for working Americans and an inspiration to my daughters and to yours, Hillary Rodham Clinton”.

myriad live audiences on the campaign trail and the sound-bites <sup>18</sup> which will be disseminated by the media etc., that it's all become very familiar – and predictable. So, again, distinctions in degrees of familiarity make for differences in predictability, and so ultimately in the degree of closed-ness /open-ness for the predictor.

Another text-type falling within this typically fairly open persuasive category is the *advertisement*. In many ways such texts are related to electoral propaganda: both aim to persuade the hearer to do something, to buy the 'product' – though in the case of the electoral speech this means voting for the speaker (Miller, 1993b: 190-192). In the Anglo-American tradition, both typically make use of what we call 'poetic devices' for ritualistic rhetorical purposes, yet neither is a poem. Such devices help make the texts listen-able and memor-able, by reiterating meanings/wordings and often also soundings. We'll be looking more closely at the use of such devices in an ad and also in electoral speeches when illustrating grammatical parallelism (GP) below (sub-section 2.3.2.1). Advertisements in their detail are not easy to predict – not even by a practising adperson! Though, with knowledge of the product to be sold, 'creatives' are more likely to be able to provide good likenesses.

Other typically more open persuasive text-types include *newspaper editorials*. But again we have to be aware of what the predictability of their meanings/wordings depends on. Editorials become more predictable the more the reader is familiar with the text-type, but also with the ideological positioning of the newspapers in which they appear, as well as with the current debate on the subject matter being argued. The more such knowledge is lacking, the more prediction is problematic.

At the *extremely 'open' end of the continuum* we find informal narrative and spontaneous face-to-face conversation. At this end of the continuum, predictions about specific meanings/wordings are very hazardous indeed. We need to know many things to even start predicting the meanings/wordings of a novel: e.g., the subject matter; the temporal and spatial 'setting' and 'plot' of the narration; the human participants, their status, ages, backgrounds etc. And familiarity with the author, his/her typical ways of meaning/saying, helps too. And again, the longer the text is, the less predictable it will

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<sup>18</sup> Our use of the word is evaluatively 'neutral': i.e., as a short sentence/phrase that's easy to remember, often included in a speech made by a politician and repeated in newspapers and on television/radio/internet etc.

be. Even in fully spontaneous face-to-face conversation, especially between/among friends, anything can happen! Going off on unpredictable and highly diverse tangents is the norm.

But again, *no* register can be considered totally open. Communication would be impossible, if every time someone spoke totally unforeseen/unpredictable wordings came out! This is because, as already remarked, communication is based on the possibility of making guesses, predictions, about what people are going to say. We need to be able to predict certain wordings/meanings will be made, in certain contexts... and, because we're experienced 'mean-ers', we are! Otherwise, we wouldn't be able to understand each other at all. Predictability, to some extent, is a linguistic fact of life! As Halliday puts it:

There is no situation in which the meanings are not to a certain extent prescribed for us. There is always some feature of which we can say, 'This is typically associated with this or that use of language'. Even the most informal spontaneous conversation has its strategies and styles of meaning. We are never selecting with complete freedom from all the resources of our linguistic system. If we were there would be no communication; we understand each other only because we are able to make predictions, subconscious guesses, about what the other person is going to say. (Halliday in Halliday and Hasan 1985/1989: 40)

And there's more to the story.

Again we need to stop and have a **TIME OUT**: this time regarding *register overlap*. Although it is true from one point of view that every text is in some way different from every other text, from another point of view, it is equally true that every text is *in some way* like other texts. This means that there will frequently be *a certain degree of overlap* between the ways of meaning and saying of different registers. This too explains why no register can be considered to be totally open.

We are not talking about the kind of overlapping, blending etc. that occurs with *registerial hybridity*, where, *within the same text-type*, there is a recognizable mixing of, say, different Fields of activity, which will mean a mixture of the meanings and wordings typically determined by such Fields (cf. Matthiessen and Teruya 2016). Here we are talking about the phenomenon of *different registers* exhibiting similarities of meanings/wordings.

There are basically two reasons for this: 1) the system (i.e., the total meaning potential) of the language, though enormous, is not infinite, and 2) the rhetorical aims/purposes of different registers also at times intersect, thus to some extent their meanings and wordings will correspond as well.

With reference to reason 1, i.e., the non-infinite nature of the system, let's take an easy example. The 1<sup>o</sup> person singular pronoun 'I' will be (predictably) used in: a face-to-face conversation; a greeting card; a service encounter; an electoral speech; an informal letter home to the family; a formal letter of complaint; an academic paper; a lyric poem; a Shakespearean soliloquy; an autobiography, and so on. The system of English provides but one choice possible for the speaker to be explicitly and unequivocally self-referential in speaking, i.e., for instantiating the first person singular subject in English – the word 'I' (but see note 44 below).

Let's move up the rank scale for another example, from word to clause, and speaker selection of the imperative Mood. This is dominant in procedural text-types (the recipe's 'mix', 'add', etc.), but also in advertisements ('Obey your thirst'; 'Let's leave our children a living planet'), and also expected in certain forms of parent-child talk ('just do what you're told.'), in surgical interaction ('Roll the sponge down'); in British parliamentary discourse (the Speaker's call to 'Order!'), political discourse ('My fellow Americans, hear my words!'), and so on. The imperative is the typical choice for getting people to do something in all text-types in which this need or desire comes into play.

The second reason for similarities among different registers is that the purposes of different registers may also intersect and so to some extent their meanings and wordings will do so as well. To better understand, think of the rhetorical aim of convincing people of, say, the need to close the city centre to traffic. There are various registers that can be exploited for doing so, but the lexico-grammatical choices of the texts will be very similar, whether I am: writing a letter to the city's mayor; writing a letter to the editor of a local paper; giving a speech at a local citizens' rally or even expounding my view in a private conversation on the subject with friends over dinner. The denotational lexis linked to the subject matter (Field) is likely to be much the same and the attitudinal lexis evaluating the people and principles involved (Tenor) will be as well. The contextual (or register) variable that is likely to show the greatest difference is the Mode, i.e., how the meanings are being exchanged.

And now to take some detours, which are, however, very much in the neighbouring environs of our focal topic, register.

## 2.2 Register *and...*

In this sub-section we'll be dealing first, and as promised, with two additional aspects of register which require our adopting a contrastive perspective: how register differs from the kind of language variation known as *dialect*, and then, how *genre theory* quarrels with register theory, with particular reference to why this course puts forth the theory and practice of 'register only'. In addition, we'll offer some brief considerations concerning register and the corpus, as well as on register and translation studies.

### 2.2.1 Register vs. dialect

At this point we need to distinguish between two forms of *language variation*. If, as we've said, register is a form of language variation according to the *use* to which language is being put, it follows that it depends on *what you are doing*, the purposes that language is serving, while engaged in some form of social activity. It is, firstly, a semantic concept; that is, it is in their meanings that registers are distinguished one from the other.

But register needs to be set apart from another kind of language variation: *dialect* – which is a variety of language according to the *user*. Dialect depends on *who you are*, which means where you come from, both in terms of geographical location and social (class) structure. Regional dialects are the result of geographical positioning, while modern urban dialects primarily reflect social (hierarchical) positioning. Extremely simple examples of the latter would be: if you're the product of a 'good family' in the UK, and maybe also of a public school, it's likely you'll speak the prestige dialect of Standard English (SE), and maybe even with Received Pronunciation (RP), whereas, if you've been raised in a working class family and don't finish school, it's likely that some local dialect will be your main medium of communication. Exceptions are of course predictable, and of course many speakers are capable of dialect-switching. Having said that, as Halliday notes,

[...] whereas, in principle at least, any individual might go through life speaking only one dialect (in modern complex societies this is increasingly unlikely; but it is theoretically possible, and it used to be the norm), it is not possible to go through life using only one register. The register reflects another aspect of the social order, that of social processes [...]. (Halliday in Halliday and Hasan 1985/1989: 41)

But to return to our comparison of dialect with register. Dialect is more of a lexicogrammatical/phonological concept than a semantic one; that is, different dialects are fundamentally saying the same things, but in different ways. As a result, dialects tend to differ *not* in the meanings/semantics they express, but rather in the ways of realizing those meanings: i.e., in their grammar, their vocabulary, their phonetics and their phonology. But, although we have said that register is basically a semantic concept, registers too will unavoidably differ in grammar and in vocabulary – simply because lexicogrammar is precisely the means in/by which a speaker must instantiate meanings.

Moreover, although these two forms of language variation – register and dialect – are distinct, Halliday also underlines the fact that in many cases there is no unmistakably clear boundary marker between them and that oftentimes they are interconnected. A ‘fuzziness’ enters in, mainly due to the reality of social diversity. As we know, the division of labour in society causes different social groups to typically take part in different kinds of activities. The result is that different social dialects get associated with different registers, indeed that certain registers *demand* certain dialects. The example that Halliday gives of this phenomenon is what he labels ‘bureaucratic registers’, noting the appropriate ‘fit’ with the prestige dialect of standard language (SE) that these require. We might add, from the opposite perspective, that less standard language is typically in evidence in very informal registers, e.g. the slang and jargon of working class dialects, which SE speakers are often skilful users of as well, will be likely to dominate spontaneous conversation down at the pub or at the stadium, precisely because seen as being ‘fitting’.

On the other hand, as Halliday also remarks (in Halliday and Hasan 1985/1989: 42), some people can ‘switch’ easily from one register to another, but others haven’t the background social experience that allows them to do so – meaning that not everyone has the same idea of which meanings, or ways of saying, are appropriate to given Contexts of Situation. The theory of Bernstein regarding elaborated and restricted coding orientations (e.g. 1971, 1973; cf. Halliday 1978: *passim*) goes a long way towards

explaining the reasons for all this. We'll be making an excursus into Bernstein's codes below (in sub-section 2.3.3), as they too are highly relevant to our register studies.

An extreme case of social dialectal differentiation is what Halliday has called *antilanguage*, which construes sharp divisions within the social structure. Why 'extreme'? Because an antilanguage is generated by a closed discourse community, or an *antisociety*, "a society that is set up within another society as a conscious alternative to it" (Halliday 1978: 164). Examples include political, religious, criminal, prison and drug underworlds – those environments where 'anti'-conformism to the dominant cultural ideology holds sway.

The defining characteristics of antilanguages are difficult to pin-point, however, mainly because the environments where they are spoken are not easy to penetrate. Despite this difficulty of access, there have been studies, commented by Halliday (1978: 164-182), which show a tendency to over-lexicalization – i.e., to having numerous words for one concept – and other distinctive features. For instance, the Kolkata underworld in the 1970s had 41 words for police and more than 20 for bomb. Interestingly, in an online article in 2016, Halliday's seminal work on the topic is cited, as well as Montgomery's more recent examination of the phenomenon, also with reference to the World Wide Web's influence on the creation and spread of jargon that shares some of the qualities of antilanguages.<sup>19</sup>

But a true antilanguage, as Halliday stresses, is not a question of the contamination of other social dialects; it "is nobody's 'mother tongue'; it exists solely in the context of resocialization, and the reality it creates is inherently an alternative reality" (1978: 171). In addition, as Halliday also notes, its speakers are constantly under pressure to maintain that counter-reality against the social/linguistic pressures of the dominant cultural paradigm (and also against any of the dialect variants that fall within the limits of acceptability/respectability). The function of its texts is thus a reinforcing one, but

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<sup>19</sup> At <http://www.bbc.com/future/story/20160211-the-secret-anti-languages-youre-not-supposed-to-know> (last accessed 15 October, 2016). For a resume of Montgomery's work, see <https://fah.umac.mo/staff/staff-english/martin-montgomery/> (last accessed 15 October, 2016).

also a renewing one – “to sustain the vitality that it needs if it is to function at all” (1978: 180).<sup>20</sup>

### 2.2.2 Register vs. genre

As we’ve already explicitly said above, what we are talking about and illustrating in this course is *register, only*. But in *not* making use of the competing *genre theory* put forth by Martin (and his colleagues in the so-called ‘Sydney School’ of SFL), it is only right that we say a bit more about why we choose not to do so. We won’t be comprehensively or systematically summarising the differences between that model and Halliday’s own here, as this would take us beyond the scope of this course book.<sup>21</sup> Rather, we’re limiting ourselves to pointing up distinctions most relevant to our topic – register.

Martin (notably in 1992, but even earlier) began to take issue with what he saw as the limits of Halliday’s model. He traces (especially in 1998 and 2014) the research questions and quandaries that led him to ‘evolve’ Hallidayan SFL theory over the years and what such evolution comprised: “[...] work on discourse semantics (as part of a stratified content plane), genre (as part of a stratified context plane) and appraisal (a discourse semantic framework for analysing feeling)” (2014: 1). This last – appraisal – is not an issue, because even those who question the soundness and/or need for the first two theories (discourse semantics and genre) – and even the view of language they seem to imply – are as a rule *uncritical* of appraisal. The general feeling – which is ours as well – is that SFL sorely needed the modelling of attitudinal wordings and meanings.

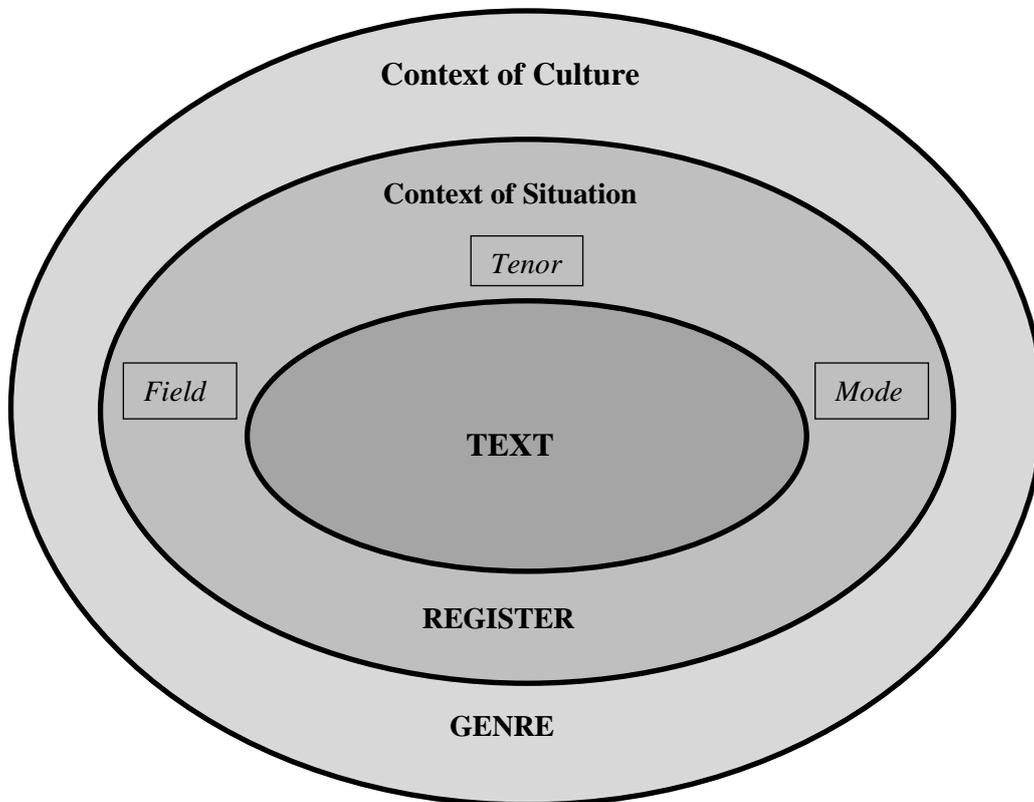
So, let’s take Martin’s proposal regarding *genre* first. His initial aim was to make room in the framework for a variable that “could be used talking globally about *a text’s social purpose*” (1999: 27). That variable became ‘genre’. This was linked to the Context of Culture, which as we know is certainly not ignored by Halliday, but Martin modelled it and its related genres as another, *separate and higher layer of meaning*, which – as he’d wanted – was seen as fulfilling different cultural purposes or tasks. We feel that such purposes had already been satisfactorily provided for in Halliday’s model and so don’t see the need to posit a higher-order plane of ‘genre’ to account for them.

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<sup>20</sup> Take note that the table comparing/contrasting register and dialect which Halliday provides (in Halliday & Hasan, 1985/1989: 43) is a useful summary of the differences between these two types of variation.

<sup>21</sup> But see Hasan (1995) for an in-depth critique.

Figure 7, a re-working of Figure 2 above, illustrates genre's location at a 'higher' level than register. As you can see, it is linked to the Context of Culture, rather than to the Context of Situation, which is reserved for register.



**Fig. 7: The Genre Theory hypothesis**

But we need to stop for a moment and go back a bit.

Martin's arguments for evolving SFL in this way were always intricate, but an essential one was that he wanted to "*move beyond the clause*", which he saw Hallidayan SFL being stuck at; he wanted to focus on text, rather than grammar. Separating these out for him was/is fundamental. For Halliday and others, it is not.

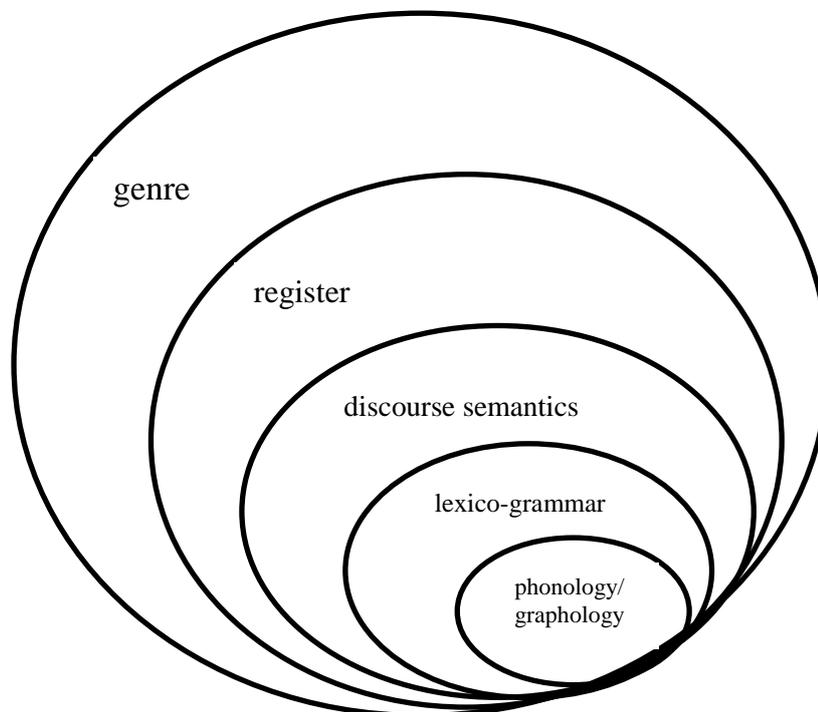
As Halliday's writings globally make clear (see, just for example, 1981/2002), there is no question of his model being stuck at the level of the clause; nor does that model oblige one to choose between what should be pre-eminent: clause, grammar or text. In Halliday's vision, a clause may be responsible for concretely realizing only a very small part of a text, but

[a] clause is a text in microcosm, a 'universe of discourse' of its own in which the semiotic properties of a text reappear on a miniature scale. This is what enables the clause

to function as it does. *What are clauses for? – to make it possible to create text.* (Halliday 1981/2002: 246-247, our emphasis)

Therefore, disentangling one from the other is not just impracticable, it's counter-productive to even try. The point of departure for describing meaning-making resources *must be* the clause, without which there would be no text. And many quotations could be offered substantiating that Halliday himself has always moved amply beyond the clause. Indeed, the powers that Halliday confers on his grammar are extraordinary. As he has said time and again, “A grammar is a theory of human experience”, as well as a means for making sense of that experience (1998/2002: 370).

And now a very brief word on *discourse semantics*, mentioned above as another pivotal part of Martin's evolutionary path. What, we may well ask, does this expression mean? For Martin, it was necessary to again go beyond Halliday's model – this time beyond his notion of semantics, which Martin saw as being (too) “regularly concerned with what might be called clause semantics” (2014: 7). Again, the problem for Martin is what he sees as Halliday's over-concern with the clause. We again believe Martin was mistaken. The full stratified model is imaged in Figure 8 below:



**Fig. 8: A stratified model of social context realized by language: based on Martin 2013: 50**

OK – you might well say – but what does all this mean *for us* – for our course? The crucial significance of all this is actually what Martin himself explicitly points out:

This re-allocation also has serious implications *for the study of register*, especially for those interested in exploring Halliday’s proposals for mapping intrinsic functionality (metafunctions) onto context (tenor, field and mode) – in the proportions interpersonal is to tenor, as ideational is to field, as textual is to mode (e.g. Halliday 1969, 1973). (Martin 2014: 10, our emphasis)

And he’s quite right, since this is exactly our interest! But the implications would only be seriously grim if we were to embrace his view, which we don’t. And there are other reasons that we don’t, one of which also interests us directly.

Martin made the ‘purposes’ of genres “responsible for determining the phased unfolding of text”, through what he calls different genres’ *generic, or schematic, structures* (Martin 1999: 33). But surely we don’t have to espouse genre theory in order to value “[...] that aspect of text which can be seen as organized in stages, each stage having a definite relation to the others” (Hasan 1995: 277). *Halliday has always done so*, and has always seen ‘purpose’ – or rhetorical aim<sup>22</sup> – as *having a bearing on* such structure – what we call *discourse (or rhetorical) structure (or staging)* (again see the *Text Analysis Checklist* in Appendix 1).

But there is a considerable difference between having a bearing on discourse structure and constraining it. Indeed, Martin theorizes that there are highly stable and thus largely predictable stages for texts belonging to specific genres. Such a hypothesis may be easier to ‘prove’ with reference to closed registers (see above). But it is a thesis that is far more difficult to sustain for more open text-types, whose motives for their organization are typically too complex to simplistically ‘generate’ their structures. The norm would appear to be a much more ‘probabilistic’ *optionality* in the ordering of such stages. As Hasan puts it: “The collapsing of situational feature – purpose or goal – with schematic structure implies a one-to-one correlation, and yet empirically the claim does not seem to be tenable” (1995: 280). To our way of thinking, to stick to ‘register only’ theory avoids needing to make any such claim.

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<sup>22</sup> To help to ease you into thinking about the global rhetorical aim(s) of texts, we will be making use of a simple and non-comprehensive model: that of Jakobson’s overlapping Factors and Functions of language (1960), which is discussed and illustrated below.

And it also avoids making the distinction that Martin (in, e.g., 2013, 2014) draws between what he sees as the Hallidayan view of “language embedded in social context” and his own genre-based idea of “language *realising* social context”. However, as seems to us clear from the dynamic, circulatory processes imaged in Figures 1 and 3 above, and in the bi-directionality of Figure 4, *both* these views are valid, and, indeed, necessary! To our mind, Hallidayan SFL has always seen language as being *both* rooted in context and ideology *and* as realizing these. To the extent that this is ‘true’, it would seem to follow that this distinction as set forth by Martin is a tenuous one.

Before leaving this brief excursus into genre theory, we must agree with Martin that there have been very positive results from its application. Martin (1999) tells us all about the many he sees, from his point of view. We would focus on a single indisputable one.

The initial environment of this rethinking of Hallidayan linguistics was the literacy teaching program which grew out of the MA in Applied Linguistics at the University of Sydney in the 1980s. Essentially, the notion of genre as “staged, goal-oriented social processes”, as Martin (1998: 412) puts it, were then allowed to “run the show”, becoming the basis of a functional classroom pedagogy of L1 language and text-types in the primary and secondary schools – a pedagogy that has admittedly had *demonstrable success*.

Our aims in this three year course for EFL undergraduates are quite obviously different (see Prefaces to the volume for more details) – the prime objective being to reflect on just what a language is and how it functions. And to complicate the model unnecessarily, and, we think, groundlessly, for students coming to register theory and practice, many for the first time, does not seem the best way to go. We prefer to stick to the foundational Hallidayan model – to, i.e., register *only*. So we choose, as one must, and choose to *not* adopt genre theory in our own purpose-ful pedagogy. But in doing so, we also have in mind Martin’s own (and oftentimes invaluable) advice to “Keep it simple; make it work” (1998: 418).

The principal reasons for our choice have been offered above. Below we summarize the arguments made, firstly with specific reference to genre theory’s theoretical conflict with the Hallidayan model:

- We disagree that Halliday’s model is ‘stuck’ at the level of the clause or that it obliges one to choose between clause, grammar or text ascendancy.
- We maintain that Halliday’s semantics is already a discourse semantics.
- We contend that Martin’s distinction between “language embedded in social context” and “language *realising* social context” is not exact – believing that *both* views are needed and, in Halliday’s model, are there.

Then, concerning genre theory itself:

- We feel that ‘purpose’ was already amply accounted for in the Hallidayan model and thus needs no higher-order plane;
- We have observed, along with Hasan, that the assumption of stable and predictable rhetorical stages for texts belonging to specific ‘genres’ with different purposes is not ordinarily supported by empirical evidence.

Still, we also feel it’s a pity that, as Martin acknowledges (2013: 51), the sides are at such hard odds, there being still today a lack of any constructive dialogue – something, however, very rarely achieved between strongly held diametrically opposed views.

### 2.2.3 Register, and the corpus

It is far beyond the scope of this section to properly explain how corpus linguistics works, but a few words before we start may be useful to those unfamiliar with it.

As Matthiessen tells us, “Corpus linguistics is a set of methods for assembling and analysing large samples of text, complementing manual discourse analysis” (2009: 21). These large samples, or text collections, are authentic, can be written or spoken, and are typically created to be representative of a language or language variety. An essential point is that they are a database, in electronic format, and so are able to be ‘interrogated’ using specific software. There do exist various corpus tools specifically produced with the SFL model in mind.<sup>23</sup> Among the most popular non-SFL-specific tools there are Wordsmith Tools and AntConc.<sup>24</sup>

Thompson (1996/2004/2014: 40-42) offers us a brief overview of how the corpus has become a significant tool for the text/discourse analyst, and in particular for the analyst interested in identifying the typical conglomeration of linguistic features that a register

<sup>23</sup> See <http://www.isfla.org/Systemics/Software/index.html> (last accessed 25 October, 2016).

<sup>24</sup> <http://www.lexically.net/wordsmith/> and <http://www.laurenceanthony.net/software.html> (last accessed 25 October, 2016)

displays. As he rightly remarks, relying on our intuition for recognition of these features, and even for their production, is possible, but not for the linguist. In order to have a more reliable and accurate picture of the ‘register idiosyncrasy’ (as we’ve called it above) of such features, a very large number of texts belonging to a particular register would need to be analysed.

Manual analysis is one option, and indeed until relatively recent years was the only option – but not a very economical one. Though it can range over all levels, all strata, as Matthiessen puts it, “it is severely constrained in terms of the sample size since it is very labour intensive” (2009: 53). And this is true about even single text analysis, if the text is of an unmanageable length. The price of course is well worth it, if our research questions require it. But perhaps the extent to which linguistic patterns are quantifiable is inscrutable – even in single longer text –without the (at least initial) assistance of corpus linguistics (CL) methods.

We’re thinking here in particular of register analysis, which would ideally require fairly large corpora interrogated with corpus methods. One well-known limitation in using CL techniques for text analysis includes the time-consuming task of corpus construction, if the texts aren’t readily available in electronic format. Then there are related copyright issues, especially when one is aiming to create a retrievable and reusable resource, one which would also make the results of analysis replicable. But, as Matthiessen warns, “[t]he real constraint on automated analysis has to do with the ‘level’ of analysis [...] the upper bound is still located somewhere within the stratum of lexicogrammar” (2009: 53). Halliday (1985a – and Matthiessen, IFG 3: 48-49) spell out the dilemma this way: “automatic analysis gets harder the higher up we move along the hierarchy of stratification”, i.e., it can handle orthographic word patterns and low-ranking lexico-grammatical patterns, but not full SFL clause or semantic analysis. So they conclude that:

[...] we have a trade-off between volume of analysis and richness of analysis: low-level analysis can be automated to handle large volumes of text, but high-level analysis has to be carried out by hand for small samples of text.

Whether the ‘trade-off’ between volume and richness is ever a judicious and/or advantageous one will depend on our research questions and chosen level(s) of inquiry. If these are ‘limited’, ‘lower’ (literally, with reference to stratification/rank hierarchy),

automated analyses won't be problematic. But if these aim 'higher', e.g., involving levels of semantics and context, automated analyses alone won't enable desired/required findings. Appraisal analysis is a perfect example of such slipperiness.<sup>25</sup>

Another thorny issue concerns exploiting the methods and tools of CL in the analysis of verbal art: i.e., how do-able is an automated analysis of the literature text in the Hasanian perspective? As Hasan's analytical framework is 'dual', as we've seen, as well as being so painstaking in its precepts, categories, and in the very definition of its 'special' object of inquiry, the question of the extent to which automated techniques can be effectively deployed must be posed – and has been.

Studies have shown (e.g., Miller 2016b; Miller and Luporini, 2015, forthcoming – also involving appraisal analysis) that systematically tracing the symbolic articulation of theme in verbal art is a question of analysis at precisely those higher levels of analysis that Halliday and Matthiessen cautioned about. Unsurprisingly then, these studies have also shown that contextualized meaning analysis requires labour-intensive manual scrutiny, and close attention to the co-text, to logogenesis – that is to say, recall, an attention to text '[...] in which the potential for creating meaning is continually modified *in the light of what has gone before* [...].' (Halliday and Matthiessen 1999: 18, our emphasis). Moreover, Halliday warns that mere statistical frequency – the kind that corpus linguistics calculates – is no guarantee of significance (1971/2002: 102-103). But he does consider counting *patterns* a useful step towards determining what features may deserve further investigation. And the studies cited at the start of this paragraph have indeed also found such counting to be at least an important stage in contextualized meaning analysis. Finally, a distinction must be made between studies that are corpus-driven or -based and those, like our own, which are 'only' corpus-assisted and purposefully mindful of the complexities of meaning-making and the context in verbal art – and, of course, in any text.<sup>26</sup>

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<sup>25</sup> See, e.g., Miller (2006, 2016b); Miller and Johnson (2013, 2014), Miller et al. (2014) and Miller and Luporini (2015, forthcoming). See also Appendix 2 to this volume for a mini-overview of APPRAISAL SYSTEMS.

<sup>26</sup> In her treatment of register in SFL, Moore signals what she calls one current challenge to the Hallidayan tradition that needs facing: its 'computational enhancement' (2017: 433). Many, however, are the issues to be mindful of, as we've at least in part seen.

#### 2.2.4 Register, and translation

Matthiessen (2009: 41-42) provides an overview of translation and interpreting studies – a sub-category of ‘multilingual studies’ – adopting an SFL perspective. As he rightly points out, translation studies have been on the SFL agenda for a long time – at least since Halliday drew attention to the importance of the concept of choice for translation (1956/2005). Matthiessen also notes how, more recently, interpreting studies have increased and how the distinction between translation and interpreting is of course a registerial (Mode) one – the former being a question of the graphic channel and the latter, of the phonic. We’ll be limiting these few comments to translation – as our focus is on the written/graphic rather than spoken/phonic channel in this course.

Kunz and Teich (2017: 549 ff.) examine SFL’s notion of register as a basis for theorizing and modelling translation, noting how, of all the many conceptual categories that SFL offers for the modelling of language, the most productive one for translation studies has been in fact, that of register. In their estimation, it has been so successful because it offers a framework for text analysis in cultural context. Moreover, they see it as having been instrumental in transcending the boundaries between theoretical, descriptive and applied translation studies, and highlighting the importance of the last of these. They review past and present seminal work in the field and also discuss various approaches that they see as working to advance future integration of the register model into translation studies, including quantitative corpus-based methods. These aim, in their opinion, at the identification of intralingual and interlingual variation, the latter leading especially to knowledge of how register patterns differ in different languages. Such information, they feel, is vital to elaborating translation strategies that incorporate the factor of context-based choice. Ever-growing attention is on the construction of multilingual corpora and their automated analysis.<sup>27</sup>

Translators (like interpreters) also tend to specialize in terms of registers as well (cf. Steiner 2005): either focussing on the translation of particular text-types (e.g., Taylor and Baldry 2001, a computer-assisted study), or even examining two or more original texts in different languages within the same register (e.g. Steiner 2004). And the actual process of translation is being investigated in an SFL perspective at the Laboratory for experimentation in translation at the Universidade Federal de Minas Gerais in Brazil (cf. Göpferich, Alves, Mees 2010). An important contribution to an SFL-based study of

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<sup>27</sup> See, e.g., the CrocCo Project at the Universität des Saarlandes in Saarbrücken, of which Kunz is a team member. See [http://fr46.uni-saarland.de/croco/index\\_en.html](http://fr46.uni-saarland.de/croco/index_en.html) (last accessed 20 October, 2016).

register translation is Manfredi (2008, 2014). Bringing to bear her long personal experience of teaching the translation of diverse text-types to graduate students at the University of Bologna, she convincingly shows how a theory of translation alone, having no link to its practice, is but an empty abstraction, and, conversely, that the practice of translation devoid of a valid theoretical background will provide students with little more than pointlessly subjective tasks. Manfredi (2012) also takes on the issue of translating the literature text (see also Lukin and Pagano (2012)).

But SFL has been harnessed even by translation scholars outside the community, as Manfredi (2008: 64-65) and Kunz and Teich (2017: 549) point out. Among these there are Hatim and Mason (1990), the earliest to have exploited register; House (1997, 2001), also examining interlanguage register conventions and spotlighting function with reference to the contextual parameters of Field, Tenor and Mode in her exploration of translation quality criteria, and more recently Munday (2012, 2015), building on Martin and White's account of appraisal (2005) to show how different types of evaluation are inscribed in original texts and their translations.

Once again, there would be much more to say on the subject, especially with reference to the practice of translation through SFL-informed text analysis (cf. Manfredi 2011), but for our purposes this will suffice. We now move on to other topics having marked significance for our study of register.

## 2.3 More matters surrounding register

Although at times some of the following matters might appear to be less obviously related to register analysis, they are all strongly relevant to it. It will now be our task to show you just how this is so.

### 2.3.1 Intertextuality

The notion of *intertextuality*, in the SFL sense of the term, is a vital notion for understanding text and the purposes text serves, but also for understanding the concept of a register – a set of texts sharing a recognizably typical conglomeration of wordings and meanings activated by analogous contexts.

In literary and philological circles, what is usually meant by the term ‘intertextuality’ is more or less simply ‘allusion’. Imagine that you’re chatting with a friend and she interjects into her conversation the saying: “Tomorrow is another day!” Chances are you’ll be able to ‘read’ the clause as an overt referencing of Scarlett O’Hara’s words at the end of the book/film *Gone with the Wind* (and not as a reference to the modelling agency in Cologne, Germany!). If you’re a member of the same discourse community as your friend – i.e., a producer and consumer of similar meaning-making practices, because a sharer of Bernstein’s cultural community ‘reservoir’ – you’ll have recognized the wording’s source.

The term intertextuality was coined by Kristeva in 1969, but by her treatment of it in *Revolution of Poetic Language* (1974), she was taking a more dynamic and dialogic (Bakhtinian, as we’ll see below in sub-section 2.3.1.2) semiotic view of this process, whereby differently realized texts collide in, e.g., a novel. But she certainly meant a much more complex phenomenon than the common practice illustrated above of what we’ll call ‘*weak*’ *intertext* and define for our purposes here as a mere borrowing of words verbatim from prior texts. This proposed definition is different from Hatim and Mason’s own in their discussion of the distinction between weak and strong intertextuality (1990: 120-137). There they call ‘weak’ the kind that simply ensures the text’s internal coherence. However, we agree totally with their definition of ‘strong’ intertextuality, which they say “activates knowledge and belief systems well beyond the text itself” (1990: 124). Analogously, we agree that strong intertextuality may also be seen to extend the boundaries of the meaning of the text (1990: 129). An interesting way of a text’s doing this is to modify the source quotation which, in addition to transforming it, can also alter, and/or add to, its meaning potential.<sup>28</sup>

Exemplary are Martin Luther King Jr.’s speeches and sermons, which make continuous intertextual links between the US Negro’s struggle and the march, the Biblical Exodus, across the Red Sea from Egypt, to the Promised Land. But King’s texts can often also be seen to be making use of the meaning-making practices of other text-types.

An effective non-Biblical intertextual allusion made in his *I have a Dream* (1963) is: “This sweltering summer of the Negro’s legitimate discontent will not pass until there is

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<sup>28</sup> Even a schematic summary of the numerous diverse uses of ‘weak’ and ‘strong’ intertextuality in the literature is beyond the scope of this brief section.

an invigorating autumn of freedom and equality”, echoing “Now is the winter of our discontent made glorious summer by this son [DRM: or sun] of York”, from the opening of Shakespeare’s *Richard III*. Parenthetically, *The Winter of our Discontent* is also the title of a then recent and well-known novel by Steinbeck (1961), whose own use, however, was ‘weak’.

But why is this instance of intertextuality ‘strong’? It is strong because it’s more intricate/innovative grammatically and semantically, altering, and adding to, the original Shakespearean wordings/meaning. How?

In Shakespeare’s “Now is the winter of our discontent made glorious summer by this son [or sun] of York”:

- ‘the winter of our discontent’ is a Goal of a passive causative Process, ‘made [DRM: i.e., transformed into] glorious summer’, by an Initiator/Agent: this ‘son/sun of York’.

In M.L. King Jr.’s “This sweltering summer of the Negro’s legitimate discontent will not pass until there is an invigorating autumn of freedom and equality”:

- the season is different: summer, and is itself a Doer, a Behaver, one that will *not* act (‘pass’, go away) until the aims of freedom and equality are achieved.
- King’s NGs are more numerous, all modified and interacting: ‘the sweltering summer [DRM: of a particular social group’s legitimate discontent]’, contrasting with a desired ‘invigorating autumn’ as (irrealis) Existent with no explicit encoding of who/what is to make it exist.
- and the appraisal being enacted is very different too, for instance, with reference to ‘summer’, which is ‘sweltering’ in King vs. ‘glorious’ in Shakespeare:
  - -ve inscribed (explicit) appreciation in King vs. +ve inscribed appreciation in Shakespeare
    - sub-type: reaction: either ‘impact’ (notice-ability) or quality (likeability) – or both, but also, in King – because working as a functionally ‘political’ variety of text – we have ‘valuation’ (“which has to do with our assessment of the social significance’ of the text/process” (Martin 2000: 160)).<sup>29</sup>

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<sup>29</sup> Again, consult the appraisal mini-overview provided in Appendix 2.

But this is only an isolated instance of appraisal in the texts, and appraisal, as we know, is not just a question of single words alone, though we have tended to illustrate the systems with these. Ultimately, enacted evaluation in text relies on *co*-text (logogenesis), i.e., on tracing that “cumulative groove of semantic patterning” through a text or corpus (Coffin and O’Halloran 2005: 143), but it also relies on *con*-text and on *inter*-text too – and any one of these can alter the ‘reading’ of the single word. A corpus-assisted study of the construal of King’s ‘social gospel’ in/by his texts can be found in Miller and Turci (2006).

And there is also the question of the context of reception of the text. While a large majority if not all of the Black discourse community that speaker King was principally communicating with, within the cultural context of 1960s’ ‘Civil Rights’ Movement, shared his Biblical culture and so understood intimately the intertextual connections he made with the Bible, perhaps only the differently educated Black and White audience at this 1963 mega-rally in Washington D.C. connected up fully to this Shakespearean reference. Still, though the extent of the ‘reachable’ discourse community may shift, or even narrow, the intertextuality remains. In writing of the intertextual aspect of ‘The history of a sentence’, Halliday comments this phenomenon with reference to institutional registers in particular:

Here the accumulating body of related texts, clearly set apart by their context, form strong intertextual bonds through the closely shared experience of those who produce and consume them. Hence the semiotic history of the individual interactant tends to be subordinated to, or incorporated into, the history of the whole ‘speech fellowship’ (Firth 1957: 186-87). (Halliday 1992: 36)

Or, putting it in Bernstein’s terms, we might say that the individual’s *repertoire* often turns out to be weaker than his or her communally shared *reservoir*.

In any case, what SFL is interested in is not mere quotation-borrowing, but rather in ‘strong’ intertextuality. From this perspective, as Lemke puts it: “The meaning of a text depends directly on the kinds of connections made in a particular community between it and other texts” (Lemke 1995: 85). *Synchronically*, it establishes links with contemporaneous meaning-making practices of a given community. *Diachronically*, it establishes connections with a set of texts constructed over time with which it can be said to share such practices. Intertextuality in this sense is both a wider and more

essential concept than you may be used to thinking. That is, it is actually what accounts for the way that *any* text, in a specific Context of Situation, but also of Culture, is produced and consumed.

In short, no text is an island (which of course is itself intertextual with John Donne's *Meditation XVII*).<sup>30</sup> The metaphor of the *archipelago*, used in architectural literature as design strategy in support of shrinking urban environments, may be more precise, being a blueprint to realize

[...] a singularity that is however not isolated, but identifies itself through the belonging to a greater whole [...] Therefore, the archipelago metaphor [...] accepts the role of the fragment as an enclosed environment that contains all the necessary to support life, but at the same time cancels out any tendencies of its complete isolation. (Stratis, Ioannou and Papastergiou, 2012: 72; 78-79)

Think of Computer Mediated Discourse (CMD). Take, for instance, *Facebook* – the type of online pages that are continuously kept up by users uploading photos, videos, etc. These often have a great deal of personal monologic story-telling, and so link up to story-telling (*recreating* for Matthiessen (2015a)), but also diary-style processes (*sharing*). However, they can also be dialogically interactive with followers and friends. Such texts can be said to connect up – synchronically – with other forms of inter-relational CMD: texting, emails, tweets, blogs, chats, etc., but of course also with good old-fashioned face-to-face communication. Diachronically, these ‘contemporary’ text-types can be said to connect up with practically extinct long (snail-mail) ‘friendly’ letter-writing and (land-line) telephone calls. We can think of these as a CMD set of texts that can be likened to, and investigated as what Hasan (2014: 10) calls, a ‘register family’. Some perhaps can even be said to be forms of ‘autobiography’ (and maybe even ‘fiction’!?).

A fascinating example of how intertextuality can work *across* registers as well is pointed up in Lerner (2014: 108-116). On January 28, 1986, the then President of the US, Ronald Reagan, in his four minute speech on the ‘Challenger’ disaster,<sup>31</sup> ended as follows:

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<sup>30</sup> “No man is an island, entire of itself; every man is a piece of the continent, a part of the main”. See <http://www.online-literature.com/donne/409/> (last accessed 10 October, 2016).

<sup>31</sup> The NASA Space Shuttle orbiter, ‘Challenger’, broke apart 73 seconds into its flight, leading to the deaths of its seven crew members.

The crew of the space shuttle Challenger honored us by the manner in which they lived their lives. We will never forget them, nor the last time we saw them, this morning, as they prepared for the journey and waved goodbye and “slipped the surly bonds of earth” to “touch the face of God.”<sup>32</sup>

The full speech is obviously intertextual with the ways of saying/meaning of a diachronic set of texts of Presidents (or persons in power) commemorating heroes who have sacrificed their lives for their country (or for what is seen as being a greater good). What we’re focussing on here is something smaller, but not trivial. As Lerner notes, the intertextuality with the 1941 sonnet written by World War II Air Force pilot John Gillespie Magee Jr. (1922-1941)<sup>33</sup> *High Flight*, is unmistakable:

1 Oh! I have *slipped the surly bonds of Earth*  
2 And danced the skies on laughter-silvered wings;  
3 Sunward I’ve climbed, and joined the tumbling mirth  
4 of sun-split clouds, -- and done a hundred things  
5 You have not dreamed of -- wheeled and soared and swung  
6 High in the sunlit silence. Hov’ring there,  
7 I’ve chased the shouting wind along, and flung  
8 My eager craft through footless halls of air ....

9 Up, up the long, delirious, burning blue  
10 I’ve topped the wind-swept heights with easy grace  
11 Where never lark nor ever eagle flew –  
12 And, while with silent lifting mind I’ve trod  
13 The high untrespassed sanctity of space,  
14 Put out my hand, and *touched the face of God*.<sup>34</sup>

In italics we’ve put the two text segments that Reagan, or his speechwriter, Peggy Noonan, ‘lifted’ verbatim from the poem – a case of ‘weak’ intertextuality, something that speech writers are adept at. The website in note 34 below details Magee’s own numerous intertextual ‘borrowings’, or “palimpsestic plagiarism” as Lerner calls them, mostly a bit more creative, from other poems extolling aviation. But what is more interesting is the way the poetic language of a sonnet describing the raptures of the pilot – unattributed, albeit in inverted commas, in Reagan’s speech – *is made to serve the*

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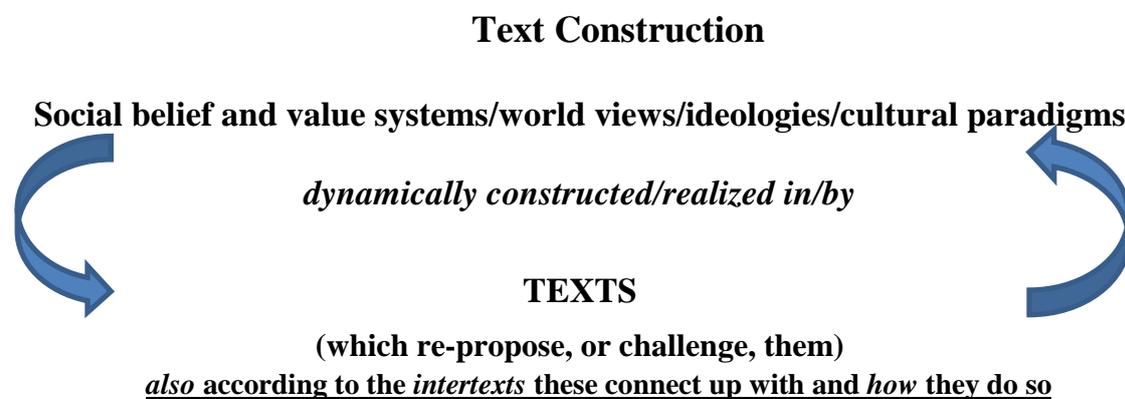
<sup>32</sup> <http://teachingamericanhistory.org/library/document/speech-on-the-challenger-disaster/> (last accessed 12 October, 2016)

<sup>33</sup> Magee was an American pilot with the Royal Canadian Air Force in the Second World War. He came to Britain, flew in a Spitfire squadron, and was killed during a training flight at the age of nineteen on 11 December 1941, not long after he wrote the poem. The sonnet is of public dominion. <http://www.arlingtoncemetery.net/highflig.htm> (last accessed 12 October, 2016).

<sup>34</sup> Taken from <https://tspace.library.utoronto.ca/html/1807/4350/poem2736.html> (last accessed 12 October, 2016); our emphasis added.

*purposes* of a politician’s tribute to the dead astronauts, lifting the event out of the reality of the occasion and onto a (typically) symbolic political plane, in which God features, as He so often does in US political discourse (cf. Bayley and Miller 1993: *passim*). The “face of God” suggests that the astronauts are now at peace, in a better place. This, and the prosodic rhythms of the speech itself, work to re-construe the senseless collective tragedy in/by other, more intelligible and finally reassuring terms. The disaster story is skilfully given closure; the grief-stricken nation can feel consoled. Ultimately, we propose, the intertextuality here can be considered ‘strong’, as it arguably galvanizes, as Hatim and Mason put it, “knowledge and belief systems well beyond the text itself”.

So then, for SFL intertextuality is what ultimately explains how any text – in a specific Context of Situation and of Culture – is produced, but also consumed. It is a question of how texts ‘mean’ the meanings that people in specific discourse communities give to them. So every time we say or write something, we’re connecting up to larger intertexts, meaning that we’re also connecting up to their contexts: both situational and cultural. We can now add to Figure 1 above as follows:



**Fig. 9: Text construction 2: adapted from D.R. Miller, ‘English Linguistics’ lecture notes: AY 2000-01**

### 2.3.1.1 Contratextuality

In order to clarify further the ‘how’ of the intertextual process, we now suggest juxtaposing the concept of intertextuality just described and illustrated to what Martin (1986) terms *contratextuality*: a textual challenging of the dominant belief and value systems of a culture. Accordingly, we will now use *intertextuality* to mean that the

dominant cultural paradigm, world view, ideology etc. is being essentially re-constructed in the text, as it is in Reagan's text (though the evidence offered above was of course limited). Then we will reserve Martin's term, contratextuality, to mean that this dominant paradigm is being textually opposed to some extent.

To recap then: texts can espouse, re-propose and re-legitimate, to some degree, the dominant ideology/world view etc. of their discourse community, OR they can position themselves in opposition to the prevailing cultural paradigm, again to some greater or lesser extent – the cline being the obligatory way of looking at this, as so many other things. For this case, we'll now reserve the term 'intertextuality', while for the second, we'll adopt Martin's term: 'contratextuality'.

One brief example of contratextuality, caricaturing the age-old war myth that sees God as one's leading ally, will suffice: a randomly chosen stanza from Bob Dylan's 'With God on our Side' (1963):<sup>35</sup>

Oh the First World War, boys  
It closed out its fate  
The reason for fighting  
I never got straight  
But I learned to accept it  
Accept it with pride  
For you don't count the dead  
When God's on your side.

But again the context of reception must be considered with reference to how it may impact on one's reading. Back in the 1960s, few young people would have had any problems getting, and many of them approving, the biting ironic message here. Their parents may have had more difficulty, or have been dismayed at it.

The question of audience reception is always relevant. Let's ask ourselves whether King's *I have a dream* quote's meanings/wordings discussed above are more 'intertextual' or 'contratextual'. Recall: "This sweltering summer of the Negro's legitimate discontent will not pass until there is an invigorating autumn of freedom and equality". Well, on the one hand we suggest they're contratextual: i.e., with reference to the contemporary ('60s) still substantially dominant US WASP ideology, King was

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<sup>35</sup> The song was first produced on the LP *The Times They Are A-Changin'* (1964). Dylan was awarded the Nobel prize for Literature in 2016 – to conflicting reactions, generating a debate concerning the meaning of literature itself – as well as the rights and duties of prize-winners (Dylan did not attend the awards ceremony).

seriously alienating many hearers by rocking the still-mainly-racist ideological boat! On the other hand, however, they were intertextual, i.e., aligning themselves with contemporary counter-cultural civil rights discourse (and with such discourse at all times). The point is that texts often function in both directions, depending on whose particular discursive positioning we're looking at them from.

### 2.3.1.2 Bakhtin's heteroglossia

But there are still further connections to be made with inter- and contratextuality. At this point we'll tie these notions to the Bakhtinian concept of *heteroglossia*, a term you should all recognize as being at the basis of the modelling of the ENGAGEMENT SYSTEM within appraisal theory. Although Bakhtin's thought in this area is highly complex and so extremely hard to distil, we'll make an attempt to do so, as its connection with inter- and contra-textuality is, we feel, indisputable, and illuminating.

Very briefly, heteroglossia has to do with what Bakhtin – an early-20<sup>th</sup>-century Soviet social theorist who was 'discovered' by Western intellectuals in the 1970s – perceived as the existence of a *diversity of languages, text-types and 'voices'* within any discourse community – a phenomenon that he saw as being rooted in the fact of social diversity.

Bakhtin also theorized *two conflicting 'forces'* at work in such diversity, in heteroglossia. The first of these is the *centripetal force*, which is a unifying, homogenizing, indeed enslaving, force which works towards centralizing meaning-making practices, and so also ideology. The language of any form of institutional power tends to do just this – for example, the discourse of ++severe mothers/fathers/teachers, but also that of terrorists or dictators, or even of so-called 'democratic' leaders, in certain situations. Such discourses impede dialogue/negotiation, imposing one single monolithic way of seeing things.

The second force is the *centrifugal* one. It is seen as having the power to decentralize meanings and is thus a (constructively) conflictual force, operating to propose alternative ways of thinking/meaning – contratextually, as it were. This, for Bakhtin, is the 'positive' force, the truly 'polyphonic' and 'dialogic' one. In his view, only the centrifugal force can foster openness to otherness, to 'alterity'. Only the centrifugal force promotes a tolerance towards other world views, towards other ways of doing,

believing, meaning, saying etc. – meaning that the centrifugal force, for Bakhtin, wasn't about mere opportunistic rhetoric.<sup>36</sup> But this does not mean that the 'good' force always or eventually wins out! The centrifugal force is constantly in conflict with the centripetal force and its attempt at domination, the centrifugal force battling the centripetal's authoritarian attempts at unification, centralization, homogenization of behaviour. This goes on within all societies, in all registers, among all speakers, and – not to forget the contradictions that all of us are heir to – even within the ways of being/saying/meaning of the same speaker(s)! But, once more, we need to think in terms of the continuum and not only in terms of its extremes.

So why have we introduced Bakhtin's thought into our consideration of intertextuality? What we are proposing is to bring together, both conceptually and theoretically, intertextuality, as we have circumscribed its definition above, with Bakhtin's centripetal force, and contratextuality with his centrifugal one. Because we think it makes sense.

As we've defined them, both *intertextuality* and *the centripetal force* work towards the legitimation of the ideological status quo, towards the legitimation of hegemony, in the Gramscian sense, i.e., the ways in which the powers-that-be exert cultural dominance in order to impose their world view as natural, inevitable, and advantageous to every social class, rather than as what it is: an artificial and arbitrary social construct that is beneficial primarily, if not solely, to themselves. And this social construct often entails a linguistic one as well. Writing on language and power, Mayr notes how “[a]s a practice of power, hegemony operates largely through language” (2008: 14), meaning in/by texts and discourse, but also through language policy and planning.<sup>37</sup>

And correspondingly, again as we've defined them, both Martin's *contratextuality* and *the centrifugal force* are practices that would assert the value of diversity, of the counter-cultural, and of alternatives to the dominant ideological world view. They would privilege the 'other' by creating space for other, and even multiple, and multicultural, perspectives. And their discursive practices would ideally be dialogic, open to negotiation and aiming at mutual understanding – ideally.

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<sup>36</sup> Recall too that engagement is a question of the speaker's recognition of others' voices and openness to meaning negotiation... or not – an issue with which the two forces perfectly coincide. For a much more thorough treatment of all of these notions see, e.g., Bakhtin (1981), and the wonderfully accessible account of Bakhtin's thought in Todorov (1984).

<sup>37</sup> Cf. [https://en.wikipedia.org/wiki/Cultural\\_hegemony](https://en.wikipedia.org/wiki/Cultural_hegemony) (last accessed 14 October, 2016).

We'll be making further connections between these notions and Bernstein's coding orientations below in section 2.3.3, but now, as preannounced, we turn to Jakobson's model of the Factors and corresponding Functions of Communication.

### 2.3.2 Jakobson and rhetorical aim

As said above, we bring in Jakobson's model to talk less complicatedly about the *rhetorical aim* of texts, globally-speaking. As also said, we locate such aim/purpose, as Halliday does, within the Mode (1978: 144-145). Now, this may not appear to be the most precise location for it, as indeed it also influences *all* interpersonal, ideational and textual meanings. In other words, a text's rhetorical purpose *does* affect more than just textual meanings and can even be said to extend to the whole notion of text-type, or register, as a result. But, if we recall what we've pointed to as the special status of Mode as the enabling contextual variable and of textual meanings as the enabling meta-function of a text (in section 1.3 above), it seems sensible to situate it here. Located in Mode, it inevitably has to do with all of the meanings and wordings that the textual meta-function – activated by the Mode – is enabling and, *in so doing*, it also has to do with the whole notion of functional variety of text, or text-type, or register, as well.<sup>38</sup>

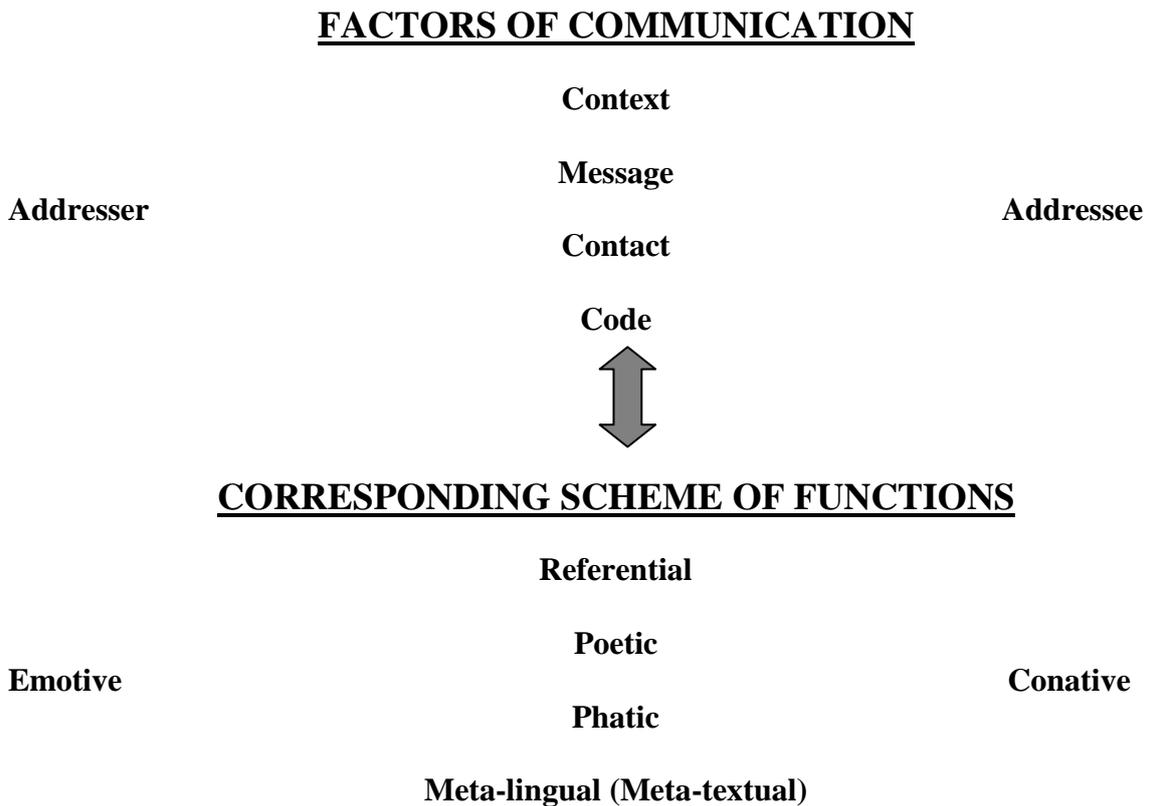
Moreover, Jakobson's Factors and Functions are *never mutually exclusive*. In fact, an overlap of these in any one text is the norm – meaning that it is not a question of one factor/function OR the other. This shouldn't be surprising, as it should be clear to you by now that texts are rarely – if ever – mono-functional. However, texts typically have a primary function, to which additional functions are usually subordinated.

Another point to remember is that, although we've adopted Jakobson's model as a convenient and useful didactic tool, it must not be considered to be all-inclusive, exhaustive... or at all SFL-perfect. It's not. We are using it to talk about rhetorical/communicative aim/purpose and these terms are shared by Jakobson's and Halliday's models. But we must be very careful not to conflate Jakobson's Functions with Halliday's meta-functions. They are not the same, principally because there is not the same kind of relationship predicated between Jakobson's 'functions' and a text's grammatical instantiations as there is, in Halliday's model, between the ideational, interpersonal, and textual semantic meta-functions and instantiated wordings. This is

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<sup>38</sup> The description of the model that follows owes much to the outline in Taylor Torsello (1984: 45-46).

understandable: although he strongly believed in the inseparability of form and meaning, Jakobson’s seminal Formalist approach was never made altogether functional, let alone systemic-functional. Having said that, however, there are some overlaps in the meanings of these terms, as we’ll be seeing, but there is no total identification. Figure 10 below outlines the model:



**Fig. 10: The factors and functions of communication: adapted from Jakobson 1960: 353; 357**

Let’s now take each of the categories of function, or purpose, or language use, one by one.

The *Referential* function is seen as being oriented towards the extra-linguistic factor of *Context*, be this ‘real’ or ‘imaginary’ (i.e., ‘fictional’, or simply linguistically constructed in/by the text). If a text has a ‘primary’ referential aim, then it is primarily focussed upon ‘reality’ that is external to the text itself. A newspaper report of a tragedy offers a good example of such a focus:

*4 Are Killed After Pickup Truck Plunges Off San Diego Bridge*

Four people were killed on Saturday after a pickup truck plunged 60 feet off the San Diego-Coronado Bridge into a crowd gathered at a park below, a spokesman for the California Highway Patrol said. [...]

By Christopher Mele Oct. 15, 2016<sup>39</sup>

The article clearly concentrates on reported facts and the circumstances surrounding them: what happened, where, when and how.

'Fairy tales' are good illustrations of the invention of a fictional context, but, in these other functions will be important too, and maybe even primary, since they usually contain a moral, focussing on persuading the addressee to some behaviour.

*The Story of Goldilocks and the Three Bears*

Once upon a time, there was a little girl named Goldilocks. She went for a walk in the forest. Pretty soon, she came upon a house. She knocked and, when no one answered, she walked right in. At the table in the kitchen, there were three bowls of porridge. Goldilocks was hungry. She tasted the porridge from the first bowl.

"This porridge is too hot!" she exclaimed.

So, she tasted the porridge from the second bowl.

"This porridge is too cold," she said

So, she tasted the last bowl of porridge.

"Ahhh, this porridge is just right," she said happily and she ate it all up. [...]<sup>40</sup>

"Once upon a time" invariably tells us a fairy tale will follow. The tale's protagonist and material setting are immediately presented, firmly establishing its fictional context. Then we are told what happens.

Interestingly, the 'moral' of this tale has received serious scholarly attention. As Wikipedia reports:<sup>41</sup>

Goldilocks trying the bowls of porridge, chairs, and beds successively, each time finding the third "just right". Author Christopher Booker characterizes this as the "dialectical three", where "the first is wrong in one way, the second in another or opposite way, and only the third, in the middle, is just right." Booker continues "This idea that the way forward lies in finding an exact middle path between opposites is of extraordinary importance in storytelling." (Booker 2005: 229-232). This concept has spread across many other disciplines, particularly developmental psychology, biology, economics and engineering where it is called the "Goldilocks Principle".

But many alternative versions of the Goldilocks tale, in which our heroine is a naughty little girl who doesn't obey her mom's sensible warning to stay near home and

<sup>39</sup> [http://www.nytimes.com/2016/10/16/us/pickup-truck-san-diego.html?ref=todayspaper&\\_r=0](http://www.nytimes.com/2016/10/16/us/pickup-truck-san-diego.html?ref=todayspaper&_r=0) (last accessed 16 October, 2016)

<sup>40</sup> [http://www.dltk-teach.com/rhymes/goldilocks\\_story.htm](http://www.dltk-teach.com/rhymes/goldilocks_story.htm) (last accessed 16 October, 2016)

<sup>41</sup> [https://en.wikipedia.org/wiki/Goldilocks\\_and\\_the\\_Three\\_Bears](https://en.wikipedia.org/wiki/Goldilocks_and_the_Three_Bears) (last accessed 16 October, 2016)

not venture into the woods, give us a more commonplace children's dictum: obedience!

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Jakobson's *Emotive* function focuses on the *Addresser*, the speaker/writer of the text, and his/her opinions and attitudes. With reference to that overlap between Jakobson's and Halliday's models we spoke of above, evidence of this function is found in what SFL would call the typical lexico-grammar of the clause as exchange: Mood, Modality and Appraisal options, as well as in the prosodic features of spoken language, through all of which the speaker (as *I*) participates, or intrudes, into his/her text. The emotive function is said to dominate, to be primary, when that intrusion, concerning the speaker's *self*-expression, is overwhelmingly the focus of the communication. The following famous sonnet is a textbook case:

How do **I** love thee? Let **me** count the ways.  
**I** love thee to the depth and breadth and height  
**My** soul can reach, when feeling out of sight  
For the ends of Being and ideal Grace.  
**I** love thee to the level of every day's  
Most quiet need, by sun and candle-light.  
**I** love thee freely, as men strive for Right;  
**I** love thee purely, as they turn from Praise.  
**I** love thee with a passion put to use  
In **my** old griefs, and with **my** childhood's faith.  
**I** love thee with a love **I** seemed to lose  
With **my** lost saints, – **I** love thee with the breath,  
Smiles, tears, of all **my** life! – and, if God choose,  
**I** shall but love thee better after death.

*Elizabeth Barrett Browning* (1806-1861)<sup>43</sup>

The first person pronoun functioning as grammatical Subject 'I', Complement 'me' and possessive deictic 'my' have been put in bold in the text. They are sufficient to demonstrate the speaker's focus on self-expression. There are of course other linguistic mechanisms that help to enact this emotive function, first among them being intensification through the reiteration of 'love' as VG (nine times), but also once as NG. Moreover, these are also instances of +ve affect: inclination: desire (Martin and White

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<sup>42</sup> To cite but one instance: the saucy comical version by James Marshall publicized at [https://www.goodreads.com/book/show/857556.Goldilocks\\_and\\_the\\_Three\\_Bears](https://www.goodreads.com/book/show/857556.Goldilocks_and_the_Three_Bears) (last accessed 16 October, 2016).

<sup>43</sup> The poem, entitled with the words of the first line – How do I love thee? Let me count the ways – is number 43 of the *Sonnets from the Portuguese*. Cf. <https://www.poets.org/poetsorg/poem/how-do-i-love-thee-sonnet-43> (last accessed 16 October, 2016).

2005: 48 et passim) that are repeatedly inscribed (“I love you”) and intensified (mainly through evaluative circumstantial information given in the specified ‘Manner’: i.e., ‘the ways’ the poetic voice loves. With reference to the sonnet’s line structure, “I” also constructs parallel thematic progression in the text seven times.

The *Conative* function orients towards the *Addressee*, the hearer/reader of the text, typically in an effort at stimulating some sort of response, either cognitive, or concretely active, behavioural. This function too is in evidence in the clause as exchange and its lexico-grammatical instantiations, in, for example, the imperative, the vocative, and the second person pronoun ‘you’. But even less explicit signs of an attempt to persuade, or convince, the addressee to do or think something (the monogloss, for instance) are included here as well.

Think back to Clinton’s Nomination Acceptance Speech to the Democratic National Convention in July, 2016; and recall that we identified it as a persuasive register. Here it is again:

Though “we may not live to see the *glory*,” as the song from the musical *Hamilton* goes, “let us gladly join the *fight*.” Let our *legacy* be about “planting seeds in a garden you never get to see.” That’s why we’re here...not just in this hall, but on this Earth. The *Founders* showed us that. And so have many others since. They were drawn together by *love of country*, and the *selfless passion* to build *something better for all who follow*. That is *the story of America*. And we begin a *new* chapter tonight. Yes, *the world is watching* what we do. Yes, *America’s destiny* is ours to *choose*. So let’s be *stronger* together. Looking to the *future* with *courage* and *confidence*. Building a *better tomorrow for our beloved children and our beloved country*.

When we do, *America will be greater than ever*.

*Thank you and may God bless the United States of America!*

Although here we have no explicit vocatives or deictic ‘you’s, the finale of Clinton’s persuasive/conative speech can be seen to focus on the addresser in various ways. Firstly, we do get imperatives. The first one is quoted, attributed and appropriated for rhetorical purposes: “let us gladly join the *fight*”. The second is Clinton’s coercive “Let our *legacy* be about” to the audience, while the third is the imperative form, crucial to such discourse, which includes ‘you’ and ‘me’: “So let’s be *stronger* together”.

Of the two types of ‘we’ – the so-called ‘inclusive’ (I + you) and ‘exclusive’ (I + they) forms – the politician engaged in propagandizing typically privileges the former,

and Clinton is no exception, since “the inclusive form (‘I + you’) effects the junction of persons between whom exists the ‘correlation of subjectivity’” (Benveniste 1966/1971: 203). It is, in short, a powerful mechanism of speaker-hearer alignment which, as Benveniste perceptively continues, “blurs the too-sharp assertion of ‘I’ into a broader and more diffuse expression: it is the ‘we’ of the author orator. [...] ‘We’ annexes an indistinct mass of other persons to ‘I’”. Thus, in amplifying the singular person ‘I’, ‘we’ lends the hearer a new collective identity that is often reassuring, even uplifting, however temporarily. In this way it works toward instilling that open frame of mind desired, indeed required, in the hearer, if s/he would be successfully aligned with the speaker’s bonding persuasive message. Clinton chooses ‘we’ with this function five times in her Finale, and *never* ‘I’.<sup>44</sup>

The engagement strategy of the non-negotiable monogloss is in evidence here as well. All clauses between the second and third imperative are bald statements. Attitude enactment is also rampant. The italicised words and NGs and final clauses in the text, whose symbolic/evaluative value we remarked above, is, as said, typical of the persuasive register. They are all inherently positive (inscribed +ve appreciation: ‘reaction’: impact and/or quality and/or valuation). Cumulatively the Founding Fathers’ behaviour is judged positively in terms of propriety, as is the analogous direction the speaker urges the hearer to take, courageously “building a better tomorrow”.

In addition to the primary conative function of the text, there are, as is typical, others as well. The focus on the ideal America being portrayed gives us an extra-textual referential function working inextricably along with the conative one. A minor meta-textual function with focus on code also emerges with, “as the song from the musical Hamilton goes”, and with the more extensive anaphoric reference, “That is the story of America”. There is also a poetic function here, working intimately with the conative one, but we’ll be coming back to that function, with reference to this text as well, below.

But let’s also reproduce once more the Finale of Trump’s Acceptance Speech:

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<sup>44</sup> A propos, the choice of using ‘we’ rather than ‘I’ in this course book was purposeful. Rather than a royal ‘we’, or *pluralis majestatis*, however, it’s meant as an author’s ‘we’, or *pluralis modestiae*, which in part refers to the author as a guide for the reader, and in part to the reader together with the author, aimed at fostering reader agreement/alignment with the principles being put forth.

I am asking for your support tonight so that I can be your champion in the White House. And I will be a champion. Your champion.

My opponent asks her supporters to recite a three-word loyalty *pledge*. It reads: “I’m with her.”

I choose to recite a different *pledge*. My *pledge* reads: “I’m with you *the American people*.”

I am your *voice*. So *to every parent who dreams for their child, and every child who dreams for their future*, I say these words to you tonight: I’m with you, and I will fight for you, and I will win for you.

To all Americans tonight, in all our cities and towns, I make this *promise*:

We will make *America strong* again.

We will make *America proud* again.

We will make *America safe* again.

And we will make *America great* again!

God bless you and goodnight! I love you!

In comparison to Clinton’s conative strategies, note that there are no imperatives of any kind here. As in Clinton’s speech, there are no vocatives, but in Trump’s there *are* deictic ‘you’s: in fact, eight of them, plus four ‘your’s. And where there is ‘you’, chances are there is ‘I’: a full eleven of these refer to Trump, in addition to the two ‘my’s – and there are only four ‘we’s to compensate, although whether those ‘we’s are genuinely inclusive of the addressee is not crystal clear. We might conjecture that these are choices that complement the talk of a ‘champion’, noted above – or of some kind of Daddy figure who promises to take care of his children’s wants and needs? Perhaps.

The monogloss and extensive appraisal mechanisms are persuasive choices in Trump as well. What is distinctive is an apparently invoked *self*-judgement in terms of capacity, tenacity and normality and, ultimately, propriety as well – of being a champion, fighting, winning and doing all he promises to do. With reference to the reading position an analyst needs to specify when saying an evaluation is invoked (Martin and White 2005: 62; cf. Appendix 2), ours here is *resistant*: meaning we *oppose* Trump’s text’s naturalised enacted position. Again, the referential function and poetic one are also in evidence. And, as with Clinton’s speech, we’ll also be seeing Trump’s again when discussing this last.

The *Phatic* function, a term which also comes from the work of Malinowski (1923), focuses on the factor of *Contact*. Language is used, that is, primarily to make and/or keep contact with the ‘other’. What we call ‘small talk’ is a good example of this often ritualized kind of communication. This is talk that is not overtly oriented towards giving

or demanding information or ‘goods & services’, but mainly towards simply getting, and staying, ‘in touch’. Jakobson (1960: 355) offers a segment of conversation from a short story by Dorothy Parker as a perfect illustration of this aim:

[...] “Well!” the young man said.  
“Well!” she said.  
“Well, here we are”, he said.  
“Here we are”, she said. “Aren’t we?”  
“I should say we were.” He said. “Eeyop. Here we are.”  
“Well!” she said.  
“Well!” he said, “Well [...]” (from *Here we are*, in 1939: 52)

Can you try to contextualize this dialogue segment? The cultural paradigm it is embedded in is certainly not one that dominates our culture today. We might also hypothesize that the ironic voice of Dorothy Parker is actually evidence of the kind of writing position that over the years contributed to weakening the social sway of the belief and value system that it belongs to.

Still need help? The setting of this particular phatic communication is a honeymoon hotel room. The human participants are two newly-weds, too embarrassed or nervous to be able to say – or more to the point, do! – anything of any significance. The ‘talk’ is very small indeed. No real information is being given. The fact that *they are there* is painfully obvious to them both! Indeed, in addition to the segment’s focus on contact, the pointlessly reiterated “well”, but also “we” – totally different in function from the ‘we’ of persuasive discourse discussed above – seem to enact the speakers’/hearers’ discomfited emotional state, invoking -ve affect: insecurity. This emerges unmistakably in the story as a whole but can, we think, be gleaned from this very circumscribed ‘small talk’ as well.

The focus is on the *Code* (or, on language itself) in the *Meta-lingual* function. It is this function which is primary in questions asked, say, in FG classes such as “What kind of Process is *think*?”. But this function plays an important role in everyday language too. Think of a typical retort to some comment that is taken to be offensive: “Now just what did you mean by that?!” To this function of Jakobson’s, we have added the *Meta-textual* one, meaning a focus on *text*, rather than on discrete elements of the clause, as, e.g. in “The register of this *text instance* can be classified as didactic”.

The final function in Jakobson's model is the *Poetic* function, where focus is on the *Message* itself, in terms of its form, its sound and/or shape. An important point is that this function is to be found *even outside poetry proper*. As said when discussing closed/open registers, many different types of text use what are often called 'poetic devices' (e.g. alliteration, assonance, even rhythm and rhyme), foremost among them being persuasive discourse – and in particular advertising and electoral speeches.

On the other hand, as Jakobson points out (1960: 357), even poetry has overlapping functions, together with its main 'poetic' one. Straightforward examples include: lyrical poetry, oriented towards the first person (I), which has an emotive function as well; the epic poem is also referential, and the conative function is in evidence in poetry exhorting to some sort of social or ethical ideal or action.

But more needs to be said about this poetic function, as its distinguishing characteristic for Jakobson is what he has called *grammatical parallelism*, which merits investigation for the substantial effects the phenomenon has on the meanings of the message – in verbal art, but certainly not only.

#### 2.3.2.1 Grammatical parallelism

As you'll recall, in the SFL model of text creation (cf. Figure 14 below), GP is located in clause as message, realizing textual meanings as a structural cohesive device. Until now you have only been made aware of it in these terms. So, first of all, what is it?

What GP consists of is the regular reiteration of equivalent units, such as – in ascending order of rank: morpheme – word – group – phrase – clause. We sometimes have parallelism of lexical units (i.e., of words), but GP is not always lexical, while it is always, and most importantly, a question of structural parallelism. There are also other compositional hierarchies it can play a part in: e.g., in sound: phoneme – syllable – rhythm group – tone group, and in spoken verse/poetry: syllable – metric foot – line – stanza. And Jakobson (1960: 358) sees this marked reiteration at the syntagmatic level of (phonological, morphological, syntactic and lexical) form as "the empirical criterion of the poetic function".

Ok then, but one might well ask ... and so what?! Well, let's start with the fact that, in its role as a structural cohesive device, GP can often be seen to confer a notable

surplus of cohesive harmony, or *more* than what is ‘needed’. As Martin (1992: 386) puts it: “[g]rammatical parallelism [...] is exploited rhetorically in contexts where strictly speaking it is not needed to realise the meaning at hand. The result is a ‘surfeit’ of cohesive harmony”. In this case, we can assume that cohesion is *not* the primary purpose of the (over)use of the resource. But we can also assume that such an excessive use of GP in text is presumably motivated, i.e., has been chosen for the purpose of instantiating some other kind of meaning.

And Jakobson’s hypothesis is, indeed, that the importance of GP lies in the fact that it is also – and at the same time – something else. Its ultimate significance is its capacity to call forth a corresponding recurrence of the ‘sense’ that the structures being reiterated realize, so that GP is seen to be also, and at the same time, *semantic parallelism*. GP in fact is closely linked to the mnemonic, incantatory powers of the oral tradition, or ‘orality’, which has always been theorized as involving a repetition of sense (Ong 1967; 1982). So the question becomes: what meaning(s) can such a markedly exploited excess of these “gorgeous grammatical tropes and figures” (Jakobson, 1960: 375), or ‘syntactic imagery’ (Halliday 1971/2002: 107) be said to construe/enact?

From what we’ve said so far, it’s clear that this reiteration of sense does not function at the level of textual (enabling) meanings. As a result, and more significantly, what are predominantly being reiterated are ideational and interpersonal meanings. In addition, since we posit that context is largely determinant of these meanings, the phenomenon of GP must then be linked to the levels of situational and cultural context as well.

We’ll now illustrate “the strikingness of these devices” (Jakobson 1968: 603), first in two text-types that regularly make use of it for another primary rhetorical aim, and then in a ‘real’ poem. But before doing so, a few words on what is known as ‘sound symbolism’ are in order.<sup>45</sup> ‘Sound symbolism’ hypothesizes a non-arbitrary connection between phonetic features of linguistic items and their meanings, as in the frequent occurrence of close vowels in words denoting smallness, e.g. *teeny-weeny/itsy-bitsy*.

Although it is hardly an ‘exact’ science, patterns at the compositional hierarchy of sound may be seen to highlight sense in texts and even to help to construct meaning relationships. In addition, metrical patterns can also be seen as GP in the service of meaning-making in texts, meaning that reiteration at the compositional hierarchy of

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<sup>45</sup> Cf. <http://grammar.about.com/od/rs/g/soundsymbolismterm.htm> (last accessed 19 October, 2016).

verse may also exemplify GP as a recurring reiteration of equivalent units calling forth a corresponding recurrence of meaning, of sense.<sup>46</sup> It is of course highly typical to find such devices at work in poetry, in which the primary function is indeed ‘poetic’. And yet we find them in other texts that cannot be said to be ‘verbal art’ – examples of which we now turn to.

As we’ve said, the *advertisement* provides a good example of how ‘poetic devices’ can be used with different aims, in this case typically a conative/persuasive one. Let’s have a look at an ad for the credit card, *Master Card*, whose text reads:

*paying your gas bill while jumping rope: \$60*  
*paying your cable bill while having a pillow fight: \$37*  
*paying your phone bill while climbing a tree: \$45*  
*being able to play while you pay: priceless*

In the first 3 lines above, we have three parallel structures consisting solely in a ‘nominalized Act (*paying your X bill*) while doing Y: cost’, in which Y is always some form of child’s play. These carefree pleasures contrast with reiterated deictic possessive *your* simultaneous act of paying some kind of bill – obviously much less fun! Moreover, ‘paying’ and ‘playing’ also rhyme – are in fact phonologically identical, except for the voiced alveolar lateral /l/ in the latter. So these contrasting acts are further highlighted by phonological parallelism.

These parallel structures construe conventionally +ve dutiful adult behaviour that contrasts with conventionally +ve light-hearted childhood behaviour. In terms of APPRAISAL SYSTEMS, enacted are invoked +ve judgement: social sanction: propriety: with reference to the behaviour of *both* responsible adults and of rightly still-untroubled-by-responsibilities children. And here our reading position is *tactical* (Martin and White 2005: 62; cf. Appendix 2), serving solely our purposes as linguists. But in the advert all Acts are simultaneous, as signalled by the reiterated conjunction ‘while’ linking them. So we’re talking about the behaviour of one adult alone: being a bill-payer and, at the same time, being untroubled by the paying of them, because happily having fun.

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<sup>46</sup> It’s also hypothesized that language-specific constraints may determine how these sounding resources relate to wording resources in different cultures and speech communities – meaning that such constraints may actually govern which phonetic and prosodic resources are likely to be deployed for which given purpose (Couper-Kuhlen and Ford 2004).

The last line, the culminating point of the message, is: “being able to play while you pay: priceless”. How is it different from the preceding ones? Firstly, it is a structurally different Act: Being able to do X while you do Y, in which the paying-playing order is now reversed, thus now highlighting the ‘playing’. The specific amounts of the bills are replaced with a quasi-antonym describing the ability to play while paying as being ‘priceless’ – a message that is far more effective coming after the grammatically (and semantically) parallel first three lines than it would have been if presented on its own.

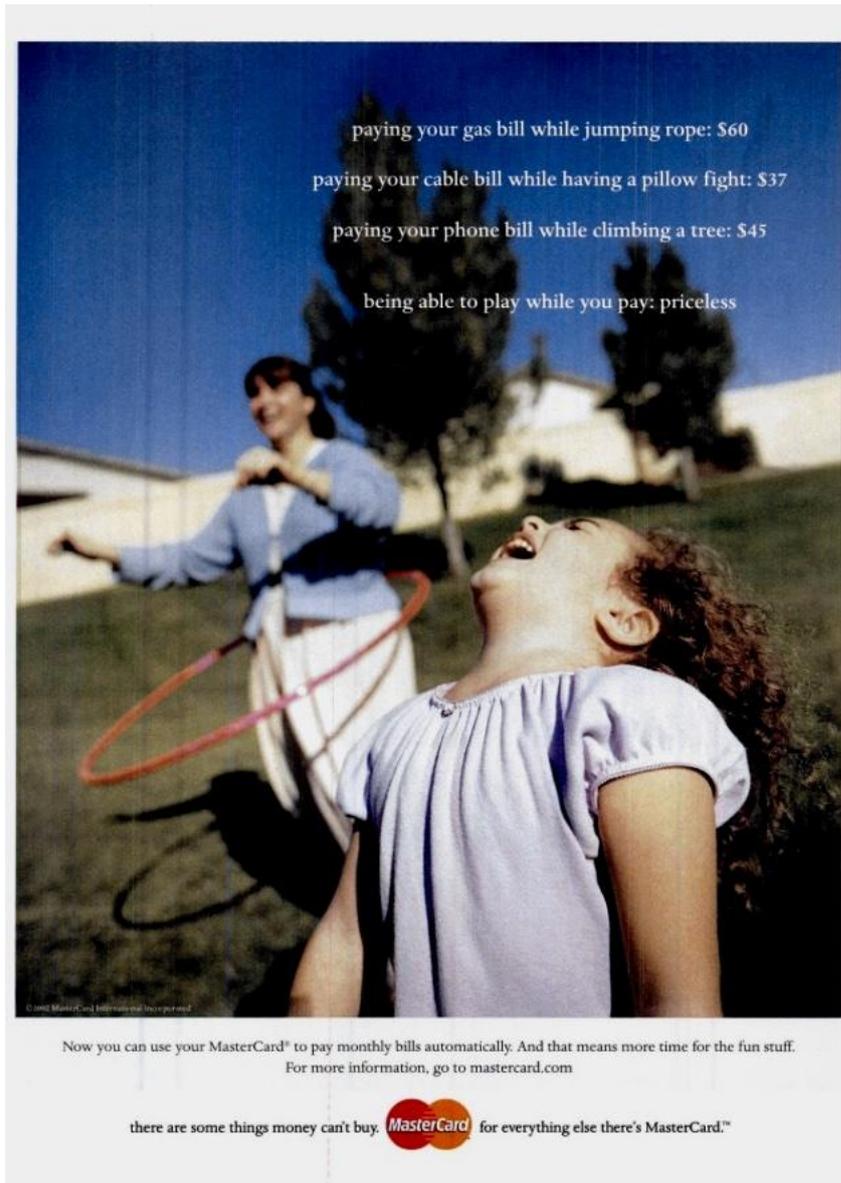
What kind of evaluation is enacted with this Epithet? Focussing on “being able”, we suggest inscribed +ve judgement: social esteem: capacity – of the simultaneous behaviours in the line. But what is it that is represented as conferring this capacity to do something distasteful and something enjoyable at the same time? Of course: the credit card: Mastercard! As the well-known slogan at the bottom of the page tells the reader: “There are some things that money can’t buy. For everything else, there’s Mastercard”. So what our tactical reading (Martin and White 2005: 62; cf. Appendix 2) proposes here is invoked +ve appreciation: valuation of the Thing being advertised is also achieved, and – this is our point – GP is instrumental in achieving it.

Now, GP gives us a ‘poetic’ function, undeniably; but is it the primary function of the promotional text? Clearly not, as in an ad the main function is invariably the conative/persuasive one. The message here to the addressee is ‘Get a Mastercard, because of the freedom (from the mundane and the everyday!) that it’ll give you!’, though the wordings of the ad are a much more effective way of saying it than a simple imperative ^ Reason clause would be!

The ad appeared in the April 2002 issue of the magazine *Working Mother*, the very name giving us its intended audience. And it was ‘multimodal’, composed not just of a verbal semiotic but also, and significantly, of a visual one, made up of conventional ‘carefree’ images that work inextricably with the text to persuade. Reproduced below in Figure 11 is the full ad with its joyful child in sharp focus in the foreground, and a slightly out-of-focus but visible mom in the background playing with a hula hoop: the adult sharing precious moments of play with her child. The day is bright and sunny, to match the visually inscribed +ve affect: happiness.<sup>47</sup>

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<sup>47</sup> The ad is also available at [https://books.google.it/books?id=1sM2JoHzSt4C&pg=PA8&lpg=PA8&dq=paying+your+gas+bill+while+jumping+rope:+\\$60&source=bl&ots=vv-W9FUCsP&sig=mMvAN5vbmlUavD\\_X-GGWb-y0i-](https://books.google.it/books?id=1sM2JoHzSt4C&pg=PA8&lpg=PA8&dq=paying+your+gas+bill+while+jumping+rope:+$60&source=bl&ots=vv-W9FUCsP&sig=mMvAN5vbmlUavD_X-GGWb-y0i-)



**Fig. 11: Mastercard Advert from April 2002 issue of *Working Mother* magazine**

Are there any other communicative functions of the ad? There is a referential function, due to focus on the contexts of: ‘real’ bill-paying, childhood play and also on more imaginary child’s play specifically for adult bill-payers (who happen to be working mothers). The visual semiotic can be said to depict an emotive function as well.

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0&hl=it&sa=X&ved=0ahUKEwiewzOOewZXLAhWFDw8KHezJDksQ6AEIHTAA (last accessed 20 October, 2016). The ‘priceless’ Mastercard ad campaign debuted in 1997 – and is still going strong. See <http://www.forbes.com/sites/avidan/2014/08/25/what-do-you-call-a-17-year-old-ad-campaign-priceless/#3397f2f8466a> (last accessed 12 November, 2016).

As already indicated, another register that typically makes abundant use of poetic devices, and of GP, is the *political/electoral text*, especially in ‘key’ parts, such as the ‘finale’ of the speech, or any stage in which the ‘rhetoric’ is high and the addressees are being entrapped in networks of nebulous meanings that are more ‘felt’ than ‘understood’. Indeed, in this functional variety, parallelism can be seen to be working to interweave such meanings into one persuasive robust fabric which is only fully penetrable, extricable, with great cognitive and critical/analytical effort.

We’ve discussed the closing moments of the Nomination Acceptance Speech to the Democratic National Convention of the losing 2016 presidential candidate, Hillary Clinton, twice now – firstly as a relatively open register and then as an instance of Jakobson’s conative (persuasive) function. So it makes sense to have another look at the text segment – this time with reference to GP. A brief look at then-candidate Trump’s Finale once again will follow.

So here is Clinton once more, the symbolic/evaluative elements remaining italicized.

Though “we may not live to see the *glory*,” as the song from the musical Hamilton goes, “let us gladly join the *fight*.” Let our *legacy* be about “planting seeds in a garden you never get to see.” That’s why we’re here...not just in this hall, but on this Earth. The *Founders* showed us that. And so have many others since. They were drawn together by *love of country*, and the *selfless passion* to build *something better for all who follow*. That is *the story of America*. And we begin a *new* chapter tonight. Yes, *the world is watching* what we do. Yes, *America’s destiny* is ours to *choose*. So let’s be *stronger* together. Looking to the *future* with *courage* and *confidence*. Building *a better tomorrow for our beloved children and our beloved country*.

When we do, *America will be greater than ever*.

*Thank you and may God bless the United States of America!*

Let’s begin with *parallelism of sounds*, of which there is a great deal. Cited as examples below are only at least potentially significant lexical instances with the phoneme in initial word position.

- voiced velar stop /g/ dominates the first few lines, in glory, gladly, garden, and in last line with greater, and then in the closing, with God.
- voiceless labiodental fricative /f/, in fight, Founders, follow, future
- voiced alveolar lateral liquid /l/: live, legacy, love, let/let’s, looking

- voiced bilabial stop /b/: build/building (example of ‘lexical scatter’), better (2), begin, beloved (2)
- voiceless velar stop /k/: country (2), courage, confidence
- voiceless palatoalveolar affricate /tʃ/: chapter, choose, children
- voiceless alveolar fricative /s/: see (2), song, seeds, showed, selfless, story, stronger
- voiced labial-velar glide /w/: especially the world is watching what we do...
- voiced palatal glide /j/: Yes (2), you (2)

We make no claim at having provided an exhaustive account, or at being able to define the particular symbolism of the sounds themselves. However, the examples do happen to further highlight a large number of those italicized elements typically having symbolic/evaluative significance for Americans. In addition, the patterns of sounds may also be said to occasionally confer a ‘pleasing’ (reassuring?) quality to the text, due to certain fricatives and semi-vowels (e.g., /s/ and /w/; /j/), along with perhaps a listenability/memorability, generally speaking.

Passing to GP in terms of *word reiteration*, we find, five times, the ‘we’ that inclusively brings together ‘I’ and ‘you’, as pointed out above. Together with the two instances of ‘us’ and three of ‘our’ (plus one ‘ours’), these deictics work cohesively, forming what is called a *reference chain*, which is also a vital *participant chain* in the segment, indeed in the full text. Another crucial, if smaller, participant chain consists of the *lexical string* ‘America’/’America’s’, together with the two instances of a word used synonymously: ‘country’.<sup>48</sup>

*More extended NGs* of highly evaluative significance are the paratactically linked ‘Our beloved children and our beloved country’, ‘love of country’, ‘the selfless passion to build something better for all who follow’ and ‘the story of America’. And many are the prepositional phrases functioning experientially as circumstances that work attitudinally as well: the hypotactically linked Location: ‘Not just in this hall but on this

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<sup>48</sup> Members of cohesive *participant chains* are not restricted to ‘persons’. They can be anything that has a *participant role* in the transitivity structure of a text. They are made up of either *reference chains* or *lexical strings*. The meaning of the former is evident, while lexical strings are sets of words that are lexically related, in particular through reiteration (identity), synonymy or quasi-synonymy (similarity), or what we call ‘lexical scatter’ – words whose roots are the same but that belong to different word classes due to morphological distinctions: e.g., *build* + *building*, cited above. Reference chains and lexical strings can also be mixed, interlocking, and overlapping, and thus even more strongly cohesive: e.g. in Trump’s speech below: the four *wes* + *the American people* + *Americans* (cf., e.g., Halliday 1985a – IFG 2: 336-337).

earth’; Cause: Reason: ‘by love of country, and the selfless passion’; Cause: Purpose: ‘to build something better for all who follow’; Accompaniment/Manner: ‘with courage and confidence’, and Behalf: ‘for our beloved children and our beloved country’.

At the level of *the clause*, unsurprisingly ‘we’ as Doer is reiterated with active future-oriented Processes: joining (the fight), begin, (ours to) choose, do, be, looking and building. The reiterated structures serve to stress, in a cumulative crescendo, the positive powers of Clinton + her hearers/all Americans – in the typical presidential candidate message of ‘we can do it’. Finally, there is the conventional formulaic prayer in closing. Rather than the more typical desired Beneficiary: America, Clinton spells it out: ‘God bless the United States of America!’. As we’ll see below, Trump simply leaves it out; his prayer being only for ‘you’.

So then, GP is not missing from Clinton’s speech; it is clearly and extensively there, in the service of the foremost conative function of the text. In addition, we have a referential function with a focus on context(s): this hall, this earth, the world, and so on. We even have a meta-textual function with ‘This is the story of America’. Finally, what our tactical reading here suggests is that the invoked +ve affect of the speaker – which is manifested, in particular, in terms of confidence, enthusiastic interest and aspiration, towards both the addressees and subject matter, *America* – also gives the text a minor emotive function – always, however, in the service of its primary persuasive one.

And now, here again is Trump’s Finale:

I am asking for your support tonight so that I can be your champion in the White House. And I will be a champion. Your champion.

My opponent asks her supporters to recite a three-word loyalty *pledge*. It reads: “I’m with her.”

I choose to recite a different *pledge*. My *pledge* reads: “I’m with you *the American people*.”

I am your *voice*. So *to every parent who dreams for their child, and every child who dreams for their future*, I say these words to you tonight: I’m with you, and I will fight for you, and I will win for you.

To all Americans tonight, in all our cities and towns, I make this *promise*:

We will make *America strong* again.

We will make *America proud* again.

We will make *America safe* again.

And we will make *America great* again!

God bless you and goodnight! I love you!

*Parallelism of sounds* also feature here, notably those same fricatives and semi-vowels (/s/ and /w/; /j/) remarked in Clinton's speech above as conferring a pleasing/reassuring quality to the text. Voiceless palatoalveolar affricate /tʃ/ shows off the 'champion' three times, as the voiceless bilabial stop + liquid of /pl/ does for thrice-repeated 'pledge'.

In terms of *word reiteration*, the reference/participant chain forged with the uncommon repetition in this text location of 'I' and 'my', noted above, is the dominant one, rather than that created with 'we'. That essential participant chain consisting of America (four times here plus twice with lexical scatter, American/Americans) is even longer/stronger in Trump.

Also grammatically parallel are the two mirror-like Recipients of Trump's words: 'to every parent who dreams for their child, and every child who dreams for their future'. *At clause level*, eleven of the twelve of the 'I' as Doer clauses highlight Trump as an active participant: being, doing, saying etc. Predictive 'will' appears in three of these, but the high probability (just short of certainty) predictive function of the four instances of 'will' appearing within the parallel clause structure reiterated most is even more striking.

We will make *America strong* again.  
We will make *America proud* again.  
We will make *America safe* again.  
And we will make *America great* again!

The four clauses are identical except for the Attributes that 'we' will cause America to be again: strong, proud, safe, great. All of these are Epithets conventionally used to modify America in this text-type. The 'again', however, is not. For a candidate not already in office, slogans – and visions – such as 'Make America Great Again', which prominently featured in Donald Trump's 2016 presidential campaign, or 'Change!', Obama's first 2008 campaign mantra, are highly typical, and in the case of these two candidates, successful. Actually, 'Make America Great Again' was first used in Ronald Reagan's 1980 presidential campaign, when the United States was suffering from a worsening economy at home and, in general, from 'malaise'. Trump said the same of America in 2016.

The conative function is of course primary, and bumped-up in Trump with explicit ‘you’. The secondary referential function noted in Clinton’s text is here as well, along with an even stronger emotive function due to all those ‘I’s exuding the speaker’s confidence and also invoking, precisely because intensified, the +ve affect of the speaker towards both the addressees and subject matter. Towards the addressee it becomes inscribed at the end, with his cry: ‘I love you!’. Only in America...

But the amount and efficacy of the use of GP needs to be located along a cline. For instance, GP in the finale of the ‘Great Communicator’, Ronald Reagan, in his 1984 Presidential (Re-)nomination Acceptance Speech to the Republican Convention in Dallas was exceptionally extravagant, a true, though exaggerated, textbook case:<sup>49</sup>

[...] America. Her heart is full; her door is still golden, her future bright. She has arms big enough to comfort and strong enough to support. For the strength in her arms is the strength of her people. She will carry on in the 80’s unafraid, unashamed and unsurpassed. In this springtime of hope, some lights seem eternal; America’s is.

Thank you, God bless you, and God bless America.

There would be much to say about the phenomenon of parallelism in this brief segment, but we’ll comment only the most obvious instances, this time in descending order of unit size:

*Reiterated clause structures* include the relational structures:

- Attributive: Her X is Y, (i.e., Carrier ^ Proc: rel: attributive ^ Attribute), where X = heart/door/future and Y = full/golden/bright. And all attributes invoke +ve appreciation: valuation, by ‘provoking’ it – one way to invoke – through the extended personification of America as a caring mother (Martin and White 2005: 64 ff.; cf. Appendix 2). Again our reading is tactical.
- Identifying: The X (+ prepositional phrase as Qualifier) = the Y (+ another prepositional phrase as Qualifier), i.e., For the strength [in her arms] is the strength [of her people].

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<sup>49</sup> The speech was written by Ken Khachigian; cf. [https://en.wikipedia.org/wiki/Ken\\_Khachigian#1984\\_presidential\\_campaign](https://en.wikipedia.org/wiki/Ken_Khachigian#1984_presidential_campaign) (last accessed 21 October, 2016). Many candidates have speech writing ‘teams’, like Clinton in 2016 – or change their writers frequently, like Trump. Not all are easily identifiable. On Reagan as the so-called Great Communicator, see, e.g., <http://www.nydailynews.com/opinion/made-ronald-reagan-great-communicator-u-s-senator-fred-thompson-reflects-article-1.133489> (last accessed 10 November, 2016).

- Included here is also the more traditional formulaic prayer: God bless X, God bless Y, where, X is typically *you* and Y is *America*.

Within possessive relational Process structures we find:

- X has Y [[which are a enough to b + c enough to d]]; i.e., She has arms [[big enough to comfort and strong enough to support]], +ve invoked appreciation: valuation again.

The Deictic + Thing abounds, giving us the reiteration of specific words. Such as She, strength, arms, her, America etc., which are made up of a series of reiterated sounds, including the voiceless alveolar fricative /s/, voiceless postalveolar fricative /ʃ/, voiced alveolar fricative /z/ and the ‘liquid’ alveolar approximant – all potentially pleasing, even ‘soothing’, sounds.

An interesting instance of metrical patterning is that ‘unafraid, unashamed and unsurpassed’. The words are typically pronounced as anapests, with two unstressed syllables followed by a stressed one – xx/ – but in his speech were pronounced by Reagan as dactyls – /xx – i.e., with the negative prefix being stressed, as the New information, and thrice. As we know, two negatives in English make a positive, in this case we propose that the -ve prefixes added to root words with -ve value give us a +ve meaning. So we have negativity that is working positively.

How are these “gorgeous grammatical tropes and figures” working? The reiterated relational structures serve to stress, in a cumulative crescendo, the positive attributes and powers of America, personified, as do the reiterated words ‘strength’ and ‘arms’ as well. Again, sound symbolism is hard to pin-point, though, as we hypothesized, there appears to be a ‘pleasing’ quality of certain sounds, which, in reoccurrence, confer a mnemonic quality. Furthermore, negativity works positively in the reiterated, stressed morpheme *un-*, denoting America’s *lack* of fear, shame and rivals.

The full effect of parallelism in this segment is, as in a certain kind of ‘purple’ poetry, patriotically ‘poignant’ – to the point of being sickly-sweet, but it is clearly not poetry. So besides this ‘poetic’ function then, it seems fair to say that monoglossically churning up hard-to-resist ‘good feelings’ in the addressee (disposing him/her to voting for the speaker in this particular case) would appear to be serving the main rhetorical

(conative) aim of aligning the hearer with the message. Of course to better ‘prove’ this we would need to analyse in detail, from a shared cultural world view, the rich patterns of appraisal being interwoven in the text, which we won’t take time out to do. But cumulatively these are connected to the conventionally +ve-ly appreciated representations of traditional motherhood and child care. And our tactical reading also suggests invoked +ve judgement of the fearless carrying on behaviour of personified-as-mother America: with reference to both propriety, but also capacity and tenacity.

Finally, what other communicative functions can be identified? Linking up to what we said above about Clinton and Trump’s texts, here too the strongly invoked +ve affect of the addresser towards his personified subject matter, *America*, also seems to give the text an emotive function. The referential function is here too, but through a focus on an imaginary America, the Republican construal of which in 1984 proved an immense electoral success.<sup>50</sup>

As we observed above, in ‘*real*’ poetry, or the *literature text*, Miller has argued (e.g., 2016a) that what Jakobson calls *pervasive parallelism* (Jakobson 1966: 423) acts as a consistent and motivated foregrounding device at the second-order level in verbal art. More precisely, it functions to perform what Halliday called the *de-automatization of grammar* (1982/2002) that emerges at the first level and to *symbolically articulate* the deepest meanings of the literature text (Hasan 1985/1989).

But let’s take a look at the phenomenon of GP in a short poem written around 1908-9 by T.E. Hulme (1883-1917).

*The Embankment*

(The fantasia of a fallen gentleman on a **cold**, bitter night)

- 1 Once, in finesse of fiddles found I ecstasy, *a*
- 2 In a flash of **gold** heels on the hard pavement. *b*
- 3 Now see I *c*
- 4 That warmth’s the very stuff of poesy. *a*
- 5 Oh, God, make small *d*
- 6 The **old** star-eaten blanket of the sky, *c*
- 7 That I may **fold** it round me and in comfort lie. *c*<sup>51</sup>

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<sup>50</sup> Remember that this was a speech of an incumbent president going for *re*-election. Four years before, as a challenger, the rhetoric was very different. As said above, then America had to be made great ‘again’.

<sup>51</sup> Available at <https://www.poetryfoundation.org/poems-and-poets/poems/detail/44432> (last accessed 18 October, 2016). For information on the author, see [https://en.wikipedia.org/wiki/T.\\_E.\\_Hulme](https://en.wikipedia.org/wiki/T._E._Hulme) (last accessed 18 October, 2016).

So then, let's start our investigation of GP in this 'fantasia' by noting some striking parallel patterns of sounds. Focus first on the internal rhymes – 'cold', 'gold', 'old', 'fold' – in bold in text above. Note that they run from what might be called the poem's 'subtitle' to its last line, *pervading* it, so to speak. Note also that they are distributed quasi-symmetrically, the first two being in what we can call the first part of the poem – that part corresponding to 'Once', to time past, and the second two appearing in the part dedicated to 'Now', time present. These temporal circumstances are also highlighted as marked Topical Themes (with respect to both clause and Line). Might these internal rhymes be adding to the tension between these two, conflicting, times?

The first three internal rhymes function as Epithets, modifying Things that have key sensory significance in the poem, as does the material Process of the last one, 'fold'. The first NG sets the Temporal Location of the fanciful ruminations of the 'fallen gentleman': 'on a *cold*, bitter night'. The second is part of the NG functioning to qualify what triggered the gentleman's past 'ecstasy': 'a flash of *gold* heels'. The third internal rhyme is part of the innovative NG – 'The *old* star-eaten blanket of the sky' – that inventively conflates two hackneyed and incompatible expressions: the conventional romantic starry sky of the poet and the lacklustre and uninviting moth-eaten blanket. The new NG is the object of the touching, if useless, prayer of the 'I' of the poem, to which we'll come back presently. 'I' is reiterated three times in the poem, twice in the environment of temporal Locations 'Once' and 'Now' – and conspicuously in reversed order of Subject and verb both times ('found I'; 'see I').<sup>52</sup> It occurs but once in Part II, in the crucial closing semantic location of the unattainable appeal: ... 'That **I** may fold it round me and in comfort lie'.

Patterns of alliteration and assonance dominate the poet's memory of past pleasure. Notably the voiceless labiodental phoneme /f/ characterizes both the remembrance and the remember-er in '*fantasia of a fallen gentleman*'. It also functions in the portrayal of the lavish sensory pleasures remembered: the '*finesse of fiddles*' (at balls and dancing?), and the sight of a '*flash of gold heels on the hard pavement*' (of female partners? or, perhaps streetwalkers?). The next noteworthy appearance of /f/ is in Line 4's Fact clause, 'now' being recognized by 'I': 'That warmth's the very *stuff* of poesy'. And it

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<sup>52</sup> Inversion is a literary technique in which the normal order of words is reversed, generally for emphasis of some kind, as it makes a clause grammatically prominent.

may also be relevant that the end rhyme of this Line (/zi:/) is the same as of Line 1's 'ecstasy', seeming to drawing attention to the potential opposition between 'true' poetry and an 'ecstasy' now seen as wearisomely prosaic in contrast.

The final instances of /f/ are in the final Line, in that internally rhyming 'fold', but also in the second syllable of 'comfort', a Line that in its entirety we see as invoking +ve appreciation of the new longed-for 'blanket', as well as +ve judgement of the current, modest, if impossible, desired (irrealis) behaviour, which also clashes with what, in comparison, are the realis, but ephemeral, frivolous thrills of the past, which our tactical reading suggests invoke -ve appreciation: reaction: impact.

The evaluation is 'local' – of Line 1's 'ecstasy' that, rather than signifying bliss, is seen (at least 'Now') as connoting something more like delirium, frenzy, when seen in contrast to the calm well-being of the prepositional phrase in Line 7, 'in comfort', which inscribes +ve appreciation: reaction: quality. And the reiterated voiceless velar stop /k/ of the symmetrically located 'cold' (in the subtitle) and 'comfort' (in the final line) highlight their quasi-antonymy, further stressing these globally conflicting evaluative meanings.

In terms of parallelism of MOOD SYSTEMS, the declarative dominates in the poem, creating a pervasive background to the one instance of imperative Mood, thus foregrounded. The instance occurs in that significant semantic location we've called the prayer, a wild entreaty which is addressed, by means of the only vocative in the poem, to 'God', the voiced velar stop – /g/ – of which echoes, contrastingly, that of 'gold'. This discordant resonance points up further contrast: past worldly prosperity vs. present reliance on other-worldliness for essential needs: the simple warmth which that innovatively construed blanket would bring to the bitter cold of the Embankment – an area of London well-known for its masses of homeless people sleeping rough.

At this point we can say that GP is undoubtedly at work in this text. We might also ask if GP has emerged as sufficiently pervasive to have proven relevant to foregrounding, involving contrast (cf. Mukařovský 1964; Hasan 1985/1989), and so also essential to the symbolic articulation of the text's theme. We think it has – enough to at least propose a theme of the poem that could, we think, be couched in terms more or less along the lines of Ecclesiastes' "Vanity of vanities, saith the Preacher, vanity of vanities; all is vanity" (1: 2). We might even suggest a 'meta-theme', linking up to Line

4's perceived Phenomenon: that 'warmth is the very stuff of poesy' – i.e., that fundamental human needs and desires are the proper themes of the literature text. Of course, in order to adequately demonstrate these conjectures, much more should be said about the poem and its context of creation and reception. As GP is our focus in this section, however, we end our analysis here.

And now, as promised, we turn our attention to another fundamental concept for register theory: Bernstein's *coding orientations*.

### 2.3.3 Coding Orientations

Firstly, recall that, in discussing the differences between register and dialect above (in sub-section 2.2.1), we noted how in many cases there is no unmistakably clear distinction between them and that, indeed, at times they are firmly interconnected. We also pointed out that 'fuzziness', with reference to the category distinction between these varieties, enters in, largely because of social diversity, the division of labour in society leading different social groups to typically take part in different kinds of activities, with the result being that certain social dialects get bracketed together with certain registers, and even that certain registers *demand* certain dialects.

Moreover, again as said above, it is a fact of linguistic life that some people can 'switch' easily from one register, and even one dialect, to another, while others haven't the background social experience that allows them to do so. And even more importantly, not everyone has the same idea of what meanings, or ways of saying, are appropriate in given Contexts of Situation. And, to repeat ourselves again: the theory of Bernstein regarding *elaborated and restricted coding orientations* (e.g. 1971 and 1973; see also Halliday 1978: *passim*), goes a long way towards explaining the reasons for all this.

The coding orientations also link up to the hierarchy/cline of individuation, which we first mentioned when we spoke of socio-cultural subjectivity in terms of what Bernstein called an individual's personal *repertoires* – the result of his or her own individual history as a 'meaner' – and in terms of his/her shared cultural *reservoirs*. These notions were then further discussed at the end of our **TIME OUT** dedicated to the differences between realization/instantiation. There we quoted Bernstein as saying that "[t]here will be differences between the repertoires because of the differences between members

arising out of differences in members context and activities and their associated issues” (Bernstein 1996/2000: 158). The coding orientations are essential to understanding all these differences and so also to understanding the *dissimilar* meaning potential that individuals are able to mobilize.

Although Bernstein’s thought on coding orientations is not easy to synthesize, it is well worth our trying to summarize it for you, and your trying to come to grips with it. The theory of codes is important in and of itself, but especially so in terms of our focus in this course book, because there’s a vital connection between it and register. Halliday, who endorsed Bernstein’s work from the start, puts it this way:

The specification of the register by the social context is in turn controlled and modified by the *code*: the semiotic style, or ‘sociolinguistic coding orientation’ in Bernstein’s term, that represents the particular sub-cultural angle on the social system. This angle of vision is a function of the social structure. It reflects, in our society, the pattern of social hierarchy [...]. (1978: 123, original emphasis)

So then, in Halliday’s account, this sub-cultural take on the social system, which is a function of the hierarchical social structure – in short, this *code* – *is actually what determines register in the final analysis*. This means that when the CC activates the semantic meta-functions, which are then instantiated in and by a set of more or less typical lexico-grammatical options, *it is code that is regulating the whole process*. But remember: Bernstein’s codes are *not* varieties of language in themselves – not in the sense that register and dialect are varieties of language. They are located ‘above’ the linguistic system and are defined in relation to their semantic properties (cf. Hasan 1973: 258). It is through meanings that the codes are made manifest in society, rather than through predetermined and predictable wordings. This is an important point that we’ll be coming back to presently.

As should be clear already, code is a key concept, and not just for register studies. It is a notion that actually helps us to bridge the gap between language and social structure (Hasan 1973: 270). Indeed, Bernstein’s work is rooted in wider considerations concerning the structure of power and the control of knowledge in society – concerns that are much wider than we can elaborate on here.<sup>53</sup> Bernstein began as a sociologist,

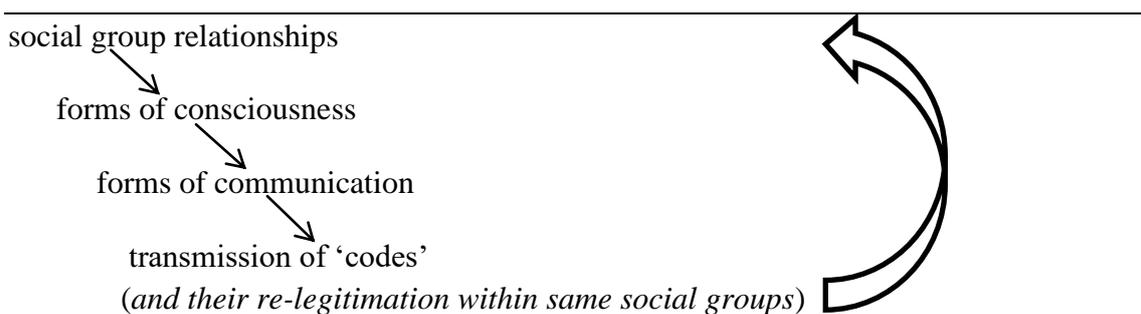
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<sup>53</sup> But recall our mentioning, in the Preface to this new edition, Legitimation Code Theory (LCT). Rooted in Bernstein’s work and initially put forward by Maton, LCT examines how knowledge structures come

but one that was increasingly interested in language, to the point of becoming a sociolinguist. In the course of his continual research beginning around 1960, he developed the concept of code, which proved to be a valuable tool for theorizing the relationship between elements of the social structure and the kinds of language used in communication.

Always attentive to the field of education, Bernstein began with observing that *education failure* in the UK population was not distributed at all evenly. Accumulating research showed that neither was it distributed randomly: such failure indisputably tended to correlate with social class, principally with the lower working-class. At the same time, he also saw that members of different social strata tend to use *different codes* within the *very same social contexts* and asked himself what it is about the structuring of society in itself that appears to require the production of speech structures that are *differently appropriate in analogous situations*.

In his analysis, the relationships within and between social groups appear to generate, distribute, reproduce and legitimate certain *forms of consciousness*, and so also certain *forms of communication*. These forms are then responsible for ‘transmitting’ the prevailing codes by which individuals are ‘positioned’ in society. The codes then feedback, re-legitimated, into the social group relationships, the process taking place as represented in Figure 12 below:



**Fig. 12: The process of social learning and cultural transmission**

More concretely, it is through generalized *situation types*, what Bernstein calls *critical socializing contexts*, that such transmission takes place, that we individuals are ‘positioned’ in the system. The key contexts are the home/family, the classroom and the

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to be valued within and across disciplines and the consequences of these processes for classroom pedagogy – vital issues whose proper investigation, however, lies beyond the scope of our course.

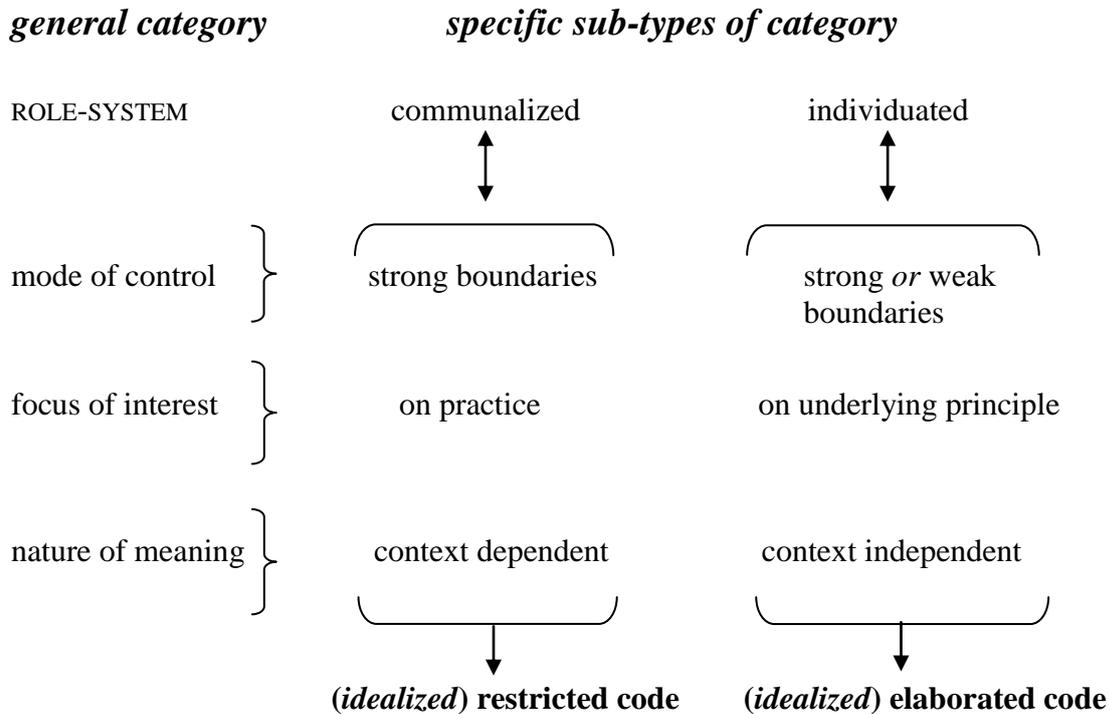
peer group in which we grow up and are ‘socialized’ – assimilating our fundamental information about our social system (which, recall, we can also call a *social belief and value system*, a *world view*, a *cultural paradigm*, or *ideology*). And *which* social category a person gains access to will largely determine *which* coding orientation one tends to acquire. That is, Bernstein saw the process as being to a great degree regulated by one’s class membership, as being, in short, culturally-determined.

He theorized that two basic ‘role systems’ could be said to be at the foundation of all social relations, calling them the *communalized* and the *individuated*. The hypothesis is that each of these tends to produce an orientation to one of his two codes: the *restricted* or the *elaborated*. What follows is an inevitably over-simplified description of these role systems.

Where the communalized role system dominates, we are likely to find rigidly scripted, unambiguous, communal beliefs, value and attitudes at work. Along with these, goes a tendency *not* to analyse or question the principles underlying them. Within this role system, the emphasis is on the concrete social practices, the doings of the community, which manifest the group’s uncompromising belief and value system. As a consequence, personal relations tend to be what Bernstein called ‘positional’ – i.e., what counts is *what* you are – your status – rather than *who* you are, as an individual. For instance, within the communalized family there are likely to be more inflexible modes of parental control than in the individuated. As a further result, interpersonal meanings tend to be treated as ‘givens’ (e.g. parent vs. child), and so realized implicitly. Moreover, all meanings are inclined to be more closely linked to their context – to be, i.e., *context-dependent*. With important qualifications, the code which Bernstein correlates with this communalized role system is the restricted one. Illustration of these features will be offered presently.

Conversely, in an individuated role system, situations are more ‘open’; they are less likely to be particularized and pre-categorized, or ‘framed’, too rigidly, or irrevocably. There is also more of a chance that individual beliefs and values will be taken into account and be allowed to modify interaction. There is more space for the critical scrutiny of cultural paradigms. Questioning is permitted: of categories, classifications, and even of the underlying principles at their basis. As a result, inter-subjective relations tend to be more ‘personal’ (rather than positional) and interpersonal meanings tend to be

more explicit, because less taken-for-granted. In addition, meanings in general are also more context-independent, or self-sufficient. It is the elaborated code that Bernstein correlates with the individuated role system. Again, examples are given below. Figure 13 below represents the relationship of these various factors to code variation:



**Fig. 13: Role system and code variation: adapted from Hasan, in Bernstein (ed.) 1973: 283**

Hasan (1973: 283-284) glosses her Figure as follows:

The first column is labelled ‘general category’; it states general factors relevant to code variation. The second and third columns present the more specific sub-types of the latter general category. Thus, looking across the columns, communalized and individuated role-systems are more specific sub-types of the general category role-system. Looking downwards in columns 2 and 3, we find within braces those specific factors which stand in a causal relation to the specific sub-type of role-system: a two-way arrow is used to indicate the bi-directionality of this relationship. Thus, in the above representation, column 2 may be read out as follows: wherever role-systems are of the communalized type, there is a greater likelihood that the mode of control will utilize strong boundary maintenance, that the focus of interest would be on practice and that meanings would be context dependent <sup>54</sup> [...] The arrow from the lower brace to the idealized code-type

<sup>54</sup> As you’ll recall, if a text is seen to be *context dependent* its meanings depend on an extra-textual awareness of the relevant immediate situation which gave rise to it. In short, the language of the text itself is not sufficient to give us access to its meanings. In an extreme case, one might say that ‘one had to have

shows that in, say, column 2, the combination would correlate with a maximized restricted code.

But do keep in mind that these notions can only be summarized, as we are doing, at great risk! As analytical tools, the categories are highly simplified and idealized, whereas, as Bernstein himself takes great pains to point out, the degree to which individual people are positioned within these categories is actually highly variable. Furthermore, as he also stresses, the codes are not linked to a *deficit* theory (pace Labov's 1970 critiques; cf. Halliday 1978, *passim*). What they point to are *differences* – not in social dialects, as said above, but in social classes, which tend towards different role systems, which in turn tend towards realizing differing modes of meaning.

Having said that, however, we're obliged to confess that, since these codes are supposed to be value-free, Bernstein made an arguably infelicitous choice of terms. In our western society, 'restricted' typically signifies 'limited' (too much so) and so often evaluates what it modifies negatively. Conversely, 'elaborated' usually means detailed, intricate, even the product of effort, so positive in its evaluation – as long as it's not too much so. But despite this perhaps misguided choice of labels, remember that, for Bernstein, neither code is essentially 'better' than the other – the perfectly 'well-rounded' person, indeed, would ideally have access to and be able to exploit both. This is because both codes have their advantages, but also their disadvantages. We'll now state very briefly what these are said to be.

As is evident from what's been said so far, the *restricted code* regulates a language of consensus, and consensus-creation. It gives its users access to a vast and potent variety of cultural meanings. However, since it is rooted in common cultural norms, it does *not* give its users access to the perception of, and the construction of, alternative representations of reality. It does *not* help to cultivate a critical stance towards dominant cultural paradigms.

In fact, in order to be able to question a commonly accepted world view, and to be able to propose alternative ways of thinking and meaning, one needs a language which is regulated by the *elaborated code*. Such a language potentially gives its users the tools for a continuous re-examination and re-formulation of the way things 'are', or rather, as

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been there' to adequately understand it! Again, however, a cline is what is needed: to measure the variable extent to which texts are dependent on their contexts – and the degree to which the features manifest themselves. Examples are offered below.

they are represented as being. As a result, elaborated code users are more prone towards assessing things critically, much more than the user of a language regulated by the restricted code would ever be. And only the elaborated code gives a person access to the grounds of their own socialization processes, and therefore also gives them the possibility for developing a critical stance towards these. We can say that it opens up space for contratextuality and the centrifugal force of heteroglossia, as defined above.<sup>55</sup>

But the elaborated code is *not* common property. Education is set up to demand the elaborated code, and thus any group whose patterns of socialization give them only partial or conditional control over it is at a serious disadvantage. The restricted code's differently-focussed experience is ordinarily disvalued, and may even be demeaned, within schools. But it's not a question of mere coincidence: one of the effects of the class system in many countries is to limit access to the elaborated code, by limiting access to better, and higher, education, where the code gets further refined. This means limiting access to the knowledge that would make students the kind of knowers the system privileges. Therefore, and in a less positive light, the elaborated code must also be seen as a tool in the hands of power and the powers-that-be, the power-ful knowers. And, as Halliday makes clear:

The elaborated code is not merely the code in which the genres of power are written; it is the code in which material and social reality is construed from the standpoint of those who dispose of it. (1992/2003: 152)

And so it is also a semantic style with less positive, more potentially pernicious, aspects. It can be, and often is, mis-used, i.e., used to manipulate and subjugate. In addition, it also carries with it psychological hazards: the risk of psychological alienation, of a dangerous split between feeling and thought, and also between 'self' and 'other' – if, that is, it is not accompanied by the 'warm', communal role obligations and meanings that the restricted code alone, for all of its more 'negative' aspects, gives a person access to. Why should this be? Well, because, as one develops a critical stance

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<sup>55</sup> Such a critical stance implies being able to step outside the typical meaning of the word 'socialization': i.e., as "the process in which people, especially children, learn to behave in a way that is accepted by society" (<http://www.macmillandictionary.com/dictionary/british/socialization> (last accessed 14 November, 2016)). Very interestingly, an explicit link is forged with features of what for Bernstein is the communalized role system, for which such acceptance is of course customary, at <http://www.macmillandictionary.com/thesaurus-category/british/community-and-the-feeling-of-belonging-to-a-community> (last accessed 14 November, 2016).

(good), one also naturally becomes less able to just accept, *uncritically*, that ‘consensual’ way of thinking/behaving/meaning which a sense of community is typically based on. This is a ‘normal’ consequence, but also a possibly hazardous one. As Bernstein found, however, “[c]hildren socialized within middle class and associated strata can be expected to possess *both* an elaborated and a restricted code”. This fact alleviates the risk.

To elaborate on this: as we know, it is the *system* of the language that the text-maker accesses in order to make meaning and to construe ideology, generally speaking. But, as Halliday points out, (1992/2003: 151-152), Bernstein must be credited for having understood that the *specific way* in which the resources within the system are typically deployed, that is, the specific way that the meaning potential is taken up and exploited, is *different* for the two major social structures in our western societies. Members of the working class will typically select for one code – indeed, will typically be limited to the selection of one code: the restricted, while members of the middle class do not only select for the elaborated code; as said, they usually have the possibility of ranging over both. This obviously gives them a privileged linguistic and cultural position.

However, a few words on the class labels Bernstein uses are in order. We need to admit that Bernstein’s labels are temporally and spatially ‘located’: i.e., they are 1970s and British. That is to ask, can the British ‘working class’ be said to exist anymore? The term is certainly “controversial in social usage, and its use in academic discourse as a concept, and as a subject of study itself, is contentious, especially following the decline of manual labor in postindustrial societies”.<sup>56</sup> Be that as it may, the code distinctions are based on inequality of access to economic resources, to education/skills and to cultural interests, and such an imbalance clearly still exists, and not just in the UK. Therefore, the basic insights of the coding orientations theory are, we believe, still valid – call the class what you will.

With reference to register, as we said at the start of this section, when Context of Situation activates the semantic meta-functions which are then realized in and by a set of lexico-grammatical options typical of a functional variety of text, it is code that regulates the whole process. However, it is much less easy to say *which* concrete lexico-

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<sup>56</sup> [https://www.titudorancea.net/z/working\\_class.htm](https://www.titudorancea.net/z/working_class.htm) (last accessed 20 October, 2016)

grammatical features are typically being chosen by speakers having access to these respective codes. For a long time Bernstein and his research group had attempted to do just that, hypothesizing, for instance, “‘syntactic prediction’, according to which elaborated code was characterized by a wider range of syntactic choices, restricted code by a more limited range” (Halliday 1978: 88). Empirical findings did actually show linkage between grammatical variation and social class, especially with reference to NG modification and the use of modality, but reliable generalizations proved almost impossible.<sup>57</sup> As Halliday also notes, clearly “any significant linguistic generalizations that could be made would be at the semantic level” (1978: 88).

Indeed, as anticipated above, Hasan too had suggested early on (1973: 265-66) that it is best to state the distinctive characteristics of each code in terms of semantics, or meanings, rather than formal patterns of lexico-grammar, or wordings – which she too found too difficult to predict accurately for all instances. Halliday (1992/2003: 151-152) proposes that the restricted code gives one an orientation towards *the concrete and particular in ideational meanings* (shunning, e.g., ideational metaphor) and towards *implicit interpersonal meanings*. This makes sense, if we recall that the *focus of interest* in the communalized role-system, tending towards the restricted code, is on *concrete practice* and that this role-system privileges *positional relations*, or status, i.e., what you are, what social role you fulfil, rather than who, personally, and more complicatedly, you may be. An example of such concrete ideational meanings and thoroughly implicit interpersonal ones is this short dialogue between two teenage ‘mates’ shortly before a football match:<sup>58</sup>

- (a) The meet-up’s with Paul down at the pub at 1:00. Plenty of time for a few pints before kick-off. Time enough to lay into some away supporters too. (shared guffaw, i.e., a loud, unrestrained burst of laughter)
- (b) *Right!* (another guffaw)

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<sup>57</sup> With reference to such research, Bernstein (1971) has an interesting chapter on detailed characteristics of ‘A public language’, with which those of a ‘formal’ one are contrasted. The denominations can be seen to correspond to the languages of speakers having, respectively, restricted and elaborated coding orientations.

<sup>58</sup> The dialogue was hastily scribbled down by the author on the London underground in December of 2014, with no attempt to render the social dialect in which it was spoken. Not being expert in dialectology, we presume it was some sub-category of Multicultural London English (MLE). The speaker and his hearer, however, did not belong to any of London’s many so-called ‘visible’ minorities. On MLE see <http://www.lancaster.ac.uk/fss/projects/linguistics/multicultural/index.htm> (last accessed 14 November, 2016).

The text is also somewhat context dependent, as its meanings are fully transparent only to the immediate speaker and intended hearers, and anyone acquainted with the football hooliganism context.

In contrast, Halliday suggests that the elaborated code will give an orientation toward more *ideational abstraction and generalization*, and thus also towards ideational metaphor (the skilful handling of which, as he points out, is often in the service of power), as well as towards *more explicit interpersonal ways of meaning*, because one doesn't/can't take relationships for granted. This too makes sense, the *focus of interest* in the individuated role-system tending toward the elaborated code being on *principles*, rather than on practice, and this role-system favouring *personalities*, with all their complexities, rather than merely the social positions people occupy. An example which illustrates such abstract ideational, and explicit interpersonal, meaning-making is the following:<sup>59</sup>

I feel that sometimes further education is not as useful as you think it is, Donna. I don't think it's an absolutely good thing for everyone. Don't you think it could depend on the person and his [DRM: sic] career aims?

The text is also fully context independent, or self-sufficient, for any reader/hearer coming to it as a product. Even as but one move in a brief dialogue, the preceding text is recoverable: 'not as useful as you think it is'. More will be said about context dependency presently.

Hasan's own empirical studies of natural conversation between mothers and three-year-old children (e.g., 1989/2009) found that working class mothers tend to use an imperative style of controlling their children (e.g. 'do/don't do X'), instantiating implicit and positional taken-for-granted interpersonal meanings.<sup>60</sup> As Bernstein puts it, "This mode of control [...] allows the child only the external possibilities of rebellion, withdrawal or acceptance. The imperative mode is realized through a restricted code" (1971: 156). With reference to reason-ing, the restricted coding orientation would tend,

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<sup>59</sup> The example is based on the author's still distressing memory of a rather disparaging – if extremely polite, even respectful – response a teacher once made to an unqualified defence of higher education for all on the author's part.

<sup>60</sup> As Halliday notes (1992/2003: 153), Hasan's work was not appreciated in certain quarters: "It is not acceptable to show up classism, especially by objective linguistic analysis as Hasan has done, because capitalist society could not exist without discrimination between classes. Such work could, ultimately, threaten the existing order of society".

according to Bernstein (1971: 45), towards categorical statements of fact that are actually made to function as both reason and conclusion. He offers the following example (1971: 57, n. 11):

Mother to child on bus: 'Hold on tight.'  
Child: 'Why?'  
Mother: 'Hold on *tight*'  
Child: 'Why?'  
Mother: 'I told you to hold on tight, didn't I?'

On the other hand, Hasan found middle class mothers much more likely to express point of view with projections, i.e. using subjective explicit Modality (e.g., 'I think you should/shouldn't do X'), leaving room for negotiation. Indeed, they even tended, much more than working class mothers, to ask their children's opinions and to offer further explanations of *why* something should/shouldn't be done. This implicates an elaborated coding orientation to the child as an *individual*, towards him/her as a *person* (Williams 2001: 38), one in which the child's relationship to authority is being mediated by rationality.

In terms of textual meanings, Hasan's research also found that the elaborated code of middle class mothers tended to give us texts having reference that was more endophoric (i.e., textual) than exophoric (i.e., situational). As a result, such texts were more 'self-sufficient', or context *independent*, which means, as said above, that one doesn't need an intimate knowledge of the Context of Situation which activated the text in order to understand it.

Explicitly linking up to Bernstein's restricted code, Halliday and Hasan (1976: 34-35) give us a brilliant example of this with two stories, produced by groups of middle class and working class five-year-olds, respectively, on the basis of a series of four pictures they were given. The (abridged) stories are the following:

- (1) *Three boys* are playing football and *one boy* kicks *the ball* and it goes through *the window* and *the ball* breaks the window and *the boys* are looking at it and *a man* comes out [...]
- (2) *They're* playing football and *he* kicks *it* and it goes *through there* it breaks the window and *they're* looking at it and *he* comes out [...] (our emphasis)

As Halliday and Hasan comment, the first story is free of the context creating it: it is self-sufficient as a text, while the second is much less so. This can be seen in a

comparison of the referring items in italics which, in (1), disambiguate who exactly is doing what, while in (2) they remain ambiguous without the clarification the pictures would provide. The first story is thus context independent and the second context dependent.

At this point it's time for us to make some more connections: this time between Bernstein and Bakhtin. Recall that Bakhtin was a Soviet social theorist writing in the early 20th-century and the theorist of heteroglossia and its two forces, the centripetal and the centrifugal. Bernstein's work came later, in the mid to late 20<sup>th</sup>-century and in the UK. There are authentic similarities between their work, but no full identity between them. In short, the connections between the theorists we now suggest can and should be made, but any failure to differentiate them would be a mistake.

Both Bakhtin and Bernstein were Marxist social theorists who had similar research aims: <sup>61</sup> Bakhtin investigated the existence of diverse voices and discourse types in society and hypothesized heteroglossia, while Bernstein aimed to account for the semantic variation between different social classes that occurs in the same contexts and proposed his theory of coding orientations. That is to say, both these scholars were very much concerned with the language used in social communication. Bernstein is more concerned with explicitly linking the differences he observed to social structure – i.e., to social class, but as the USSR was ostensibly a classless society in Bakhtin's day, this is hardly surprising.

More concretely, there is a link between 'mode of control' framing practices as hypothesized by Bernstein and Bakhtin's mono/heterogloss. Take the following strongly framed authentic assertion:

The only way to take back control and spend our money on our priorities is to Vote Leave  
(Matthew Elliot of the British 'Vote Leave' Movement, 10/03/2016)

This is clearly also an instance of a bare statement, an unnegotiable centripetal monogloss. But let's alter it now:

I believe voting 'leave' might help us to take back control and spend our money on our priorities.

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<sup>61</sup> Coincidentally, Halliday too is said to be a Marxist linguist. See Halliday (2015).

The new version is clearly weakly framed in Bernstein's terms and at the same time a Bakhtinian centrifugal heterogloss.

More globally, and generalizing, there are further connections we can make between Bernstein's role-systems and codes and Bakhtin's forces of heteroglossia. Both the individuated role-system/elaborated code and the centrifugal force can be seen as being *at least potentially* 'liberating': cognitively and culturally. In contrast, both Bernstein's communalized role-system/restricted code and Bakhtin's centripetal force can be said to tend to be cognitively and culturally 'unifying', 'centralizing' (and maybe even at times 'enslaving').

So be aware of the connections but beware of confusing or conflating the two theorists and their theories.

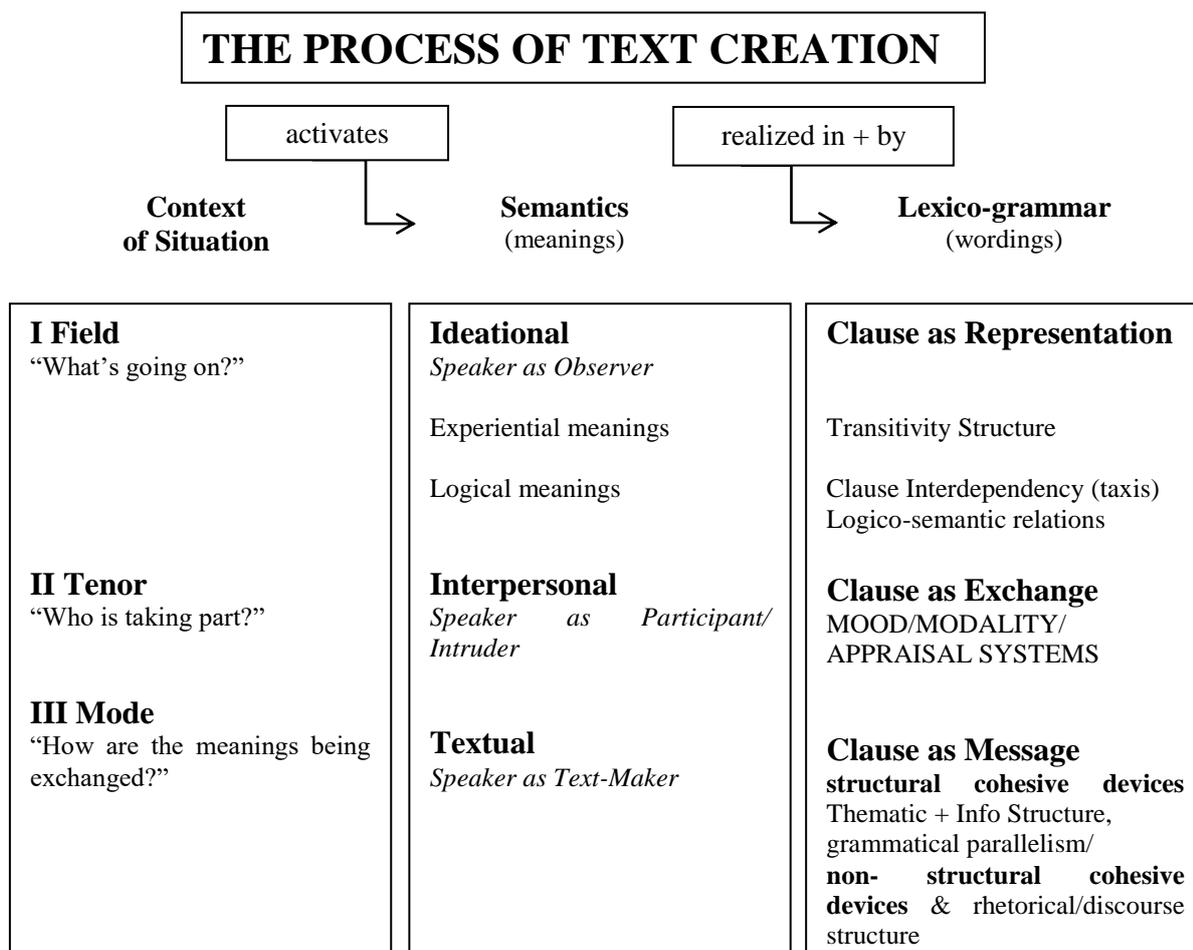
And now we'll be proceeding to a winding up of Part I of this course book in the final section below.

## 2.4 The Process of Text Creation recalled – and parting thoughts

In view of the text analyses coming up in Part II, it's a good idea to review our *model of the process of text creation*, with which you are of course already very familiar. This is reproduced again for you in Figure 14 below, representing language as a *multiple coding system* in which the variables of the Context of Situation are seen as activating select meanings (semantic meta-functions) which are then systematically instantiated/made accessible to us in the wordings (lexico-grammar) of the text itself, with reference to the various functions of the clause. It is also time, however, to introduce another 'fuzzy' aspect of language, and so also, necessarily, another 'fuzzy' aspect of our descriptive model of language.

Essentially then, the Figure represents the way things work 'typically', but it is *not* to be interpreted as a fully automatic 'hook-up' hypothesis among: 1) the three situational components; 2) the three semantic meta-functions and 3) the lexico-grammar of the text as realized in the three functions of the clause: representation, exchange and message (cf. Thompson 1999). It outlines, that is, the 'typical' way that the text creation process works, but it is *not* possible to claim that there is a rigid, invariable, one-to-one

correspondence between the components of the strata. Often, for example, a combination of variables from more than one component of the Context of Situation can be seen to motivate the appearance of some element in the text. It may also happen that one component turns out to be a stronger determinant than any other and so activating more than one kind of meaning, and thus multiple lexico-grammatical features of the text. This is also why we adopt Hasan's notion of the CC, which helps us to keep in mind that we should not try, inflexibly, to relate all aspects of a text's structure to individual situational headings, but rather to concentrate on the concrete instantiation of the relevant contextual parameters. Still, if the need for flexibility is kept in mind, Figure 14 below is useful as a global vision of the text creation process and also serves as the basis of the *Text Analysis Checklist* provided in Appendix 1.



**Fig. 14: The process of text creation: based on D.R. Miller, ‘English Linguistics’ lecture notes: AY 2000-01**

We have now come to the end of Part I on theory but would leave you with some parting thoughts. Firstly, we’d take stock of what we aimed to do in this part. To begin with, we set out to review and refine certain SFL and FG notions which you were already familiar with, but also to add to them, by introducing for example the notion of *choice* and the concepts of *instantiation* and *individuation*. Secondly, we wanted to cover the concept of *register* as thoroughly and as systematically as needed for our – and your – purposes. After a general introduction, we discussed diverse particular aspects of functional varieties, such as those of *verbal art* and *closed/open registers*, the *role of language as action or reflection* and the phenomenon of *register overlap*, and then register seen in tandem with other phenomena: vis-à-vis *dialect*, *genre theory*, the *corpus* and *translation*. In addition, we brought in the notion of *intertextuality*,

contrasted it to *contratextuality*, and juxtaposed these with Bakhtin's notion of *heteroglossia*. We then presented Jakobson's model of *communicative factors and their corresponding functions* as a useful tool for talking about a text's *rhetorical aim* and focussed more at length on one of his functions – the 'poetic' – the distinguishing mark of which is *grammatical parallelism*. Finally, due to its importance for register studies, we attempted an outline of Bernstein's theory of *coding orientations*. Throughout this excursus, we have tried to point up the usefulness of the theories being treated, to exemplify them adequately and to make connections between them where relevant. A selection of exercises on this Part I, with a Key, is provided immediately below.

In Part II of this course book, *From Theory to Practice*, you will be seeing both Top-Down and Bottom-Up analyses being illustrated with instances of different registers. Firstly, we'll work Top-Down, making predictions of probable clusters of meanings and wordings on the basis of a knowledge of the concrete relevant CC of the text. In working Bottom-Up, with still other text-types, we'll move in the opposite direction, beginning with the wordings and the meanings these instantiate and then proposing a description of the relevant CC that can be inferred from them. Exercises on these text-types will also be offered.

We would say one word more, however, before closing this part, and this is with reference to the abstract cultural-contextual dimension we spoke of in our introduction above in section 1: i.e., the social-semiotic system of meanings known as a belief and value system, or a world view, or cultural paradigm, or ideology – which, as we said there, can be broadly defined as the common sense, taken-for-granted assumptions, interests, values, and biases that groups give to, and have towards, their world.

We must, that is, stress the fact that differences between processes of text creation are also the result of differences between the ideologies of text-producers and thus of the functionally-motivated ideologies the texts will construct. All social interactants bring their relative positions of power, their beliefs, their special interests etc., to their texts, i.e., to their roles as speaker-as-observer, as-participant and as-text-maker. And here, in the first part of the course book, we have enhanced this 'fact' by distinguishing between speakers' individual and socio-cultural subjectivity, what Bernstein called, respectively, their *repertoires* and *reservoirs*. None of these dimensions of the process of text creation should ever be overlooked in analysis – because they affect our readings

of text: *tactical, resistant* or *compliant* though they be (Martin and White 2005: 62; cf. Appendix 2). And the individual and socio-culturally rooted nature of readers' (and analysts') world views are another fact of linguistic life to keep firmly in mind.

Bias, however, is ultimately something we can only be aware, and beware, of – and, of course, declare (Miller 2007: 178).

## Exercises on Part I: 70 sample test questions on theory

You will typically get approximately 18 theory questions on any one exam.

1. - 4.	<p>Complete the following by matching the <b>LETTERS</b> in the left-hand column with the appropriate <b>NUMBERS</b> of the endings on the right.</p> <table border="1"> <tr> <td>A) Jay Lemke</td> <td>1 described <b>antilanguage</b> as an extreme illustration of dialectical language variation.</td> </tr> <tr> <td>B) M.A.K. Halliday</td> <td>2 hypothesized a stratum above that of register called '<b>genre</b>', responsible for determining the phased unfolding of text – its 'generic structure'.</td> </tr> <tr> <td>C) James R. Martin</td> <td>3 put forward the concept of <b>intertextuality</b>, recognizing the network of connections existing between texts.</td> </tr> <tr> <td>D) Mikhail M. Bakhtin</td> <td>4 developed the concept of <b>code</b>' to theorize the relationship between members of different classes and the type of language used in social communication</td> </tr> <tr> <td></td> <td>5 first theorized <b>heteroglossia</b>: i.e., what became the basis of the ENGAGEMENT SYSTEM within Appraisal theory.</td> </tr> </table> <p>A) ..... B) ..... C) ..... D) .....</p>	A) Jay Lemke	1 described <b>antilanguage</b> as an extreme illustration of dialectical language variation.	B) M.A.K. Halliday	2 hypothesized a stratum above that of register called ' <b>genre</b> ', responsible for determining the phased unfolding of text – its 'generic structure'.	C) James R. Martin	3 put forward the concept of <b>intertextuality</b> , recognizing the network of connections existing between texts.	D) Mikhail M. Bakhtin	4 developed the concept of <b>code</b> ' to theorize the relationship between members of different classes and the type of language used in social communication		5 first theorized <b>heteroglossia</b> : i.e., what became the basis of the ENGAGEMENT SYSTEM within Appraisal theory.
A) Jay Lemke	1 described <b>antilanguage</b> as an extreme illustration of dialectical language variation.										
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D) Mikhail M. Bakhtin	4 developed the concept of <b>code</b> ' to theorize the relationship between members of different classes and the type of language used in social communication										
	5 first theorized <b>heteroglossia</b> : i.e., what became the basis of the ENGAGEMENT SYSTEM within Appraisal theory.										
5. - 8.	<p>Complete the following, by filling in EACH blank with ONE <b>LETTER</b> corresponding to ONE of the options provided below:</p> <p>A new episode of a crime TV series mostly instantiates ..... meanings and wordings. But for those viewers who regularly watch it and who are passionate about its characters, its wordings and meanings are also in part ..... . Therefore, with reference to these 'expert' viewers, we can locate this text instance towards the ..... of the continuum of <b>closed</b> and <b>open</b> registers, rather than at the ..... .</p> <p>A) middle; B) unpredictable; C) most closed end; D) predictable; E) generalized; F) very open side</p>										
9. - 11.	<p>Choose A or B to complete the assertions, putting the correct letter in the space provided below.</p> <p>Bernstein theorized the coding orientation(s) by which individuals are (1) A) <b>mobile</b>/ B) <b>positioned</b> in society, having observed that individuals of different social classes tend to use different language in (2) A) <b>different</b>/ B) <b>the same</b> social contexts. The codes, however, are <i>not</i> meant to be value-laden; <i>nor</i> are they linked to a theory of (3) A) <b>deficit</b>/ B) <b>difference</b>.</p> <p>1) ..... 2) ..... 3) .....</p>										
12. - 13.	<p><b>“Start now. Find a clock, watch, or timer and keep track of the time.”</b></p> <ul style="list-style-type: none"> <li>The text above can be considered an example of <i>language as reflection</i>.</li> </ul> <p>True <input type="checkbox"/>      False <input type="checkbox"/></p> <p>• Motivate your choice:</p> <p>.....</p> <p>.....</p> <p>.....</p>										
14.	<p><b>“Experience our new Toshiba notebook. Exceptional, Exciting and Easy. Toshiba: Inspiring Innovation. Aspiring to Perfection.”</b></p> <p>According to Jakobson’s model of communicative factors and their corresponding functions, the advertisement above can be seen as a combination of the</p> <p>A) Referential, Conative and Phatic functions      B) Conative, Referential and Poetic functions C) Meta-textual, Phatic and Referential functions      D) Phatic, Emotive and Poetic functions</p> <p style="text-align: right;"><b>A B C D</b></p>										

15.	<p>According to Basil Bernstein, socio-cultural subjectivity can be spoken about in terms of an individual's personal <i>repertoires</i>.</p> <p><b>True</b> <input type="checkbox"/>    <b>False</b> <input type="checkbox"/></p>
16. - 19.	<p>“America has always been a haven for the oppressed. We cannot and must not shirk the historic role of the United States as a protector of vulnerable people fleeing persecution.” (from <a href="https://berniesanders.com/issues/fair-and-humane-immigration-policy/">https://berniesanders.com/issues/fair-and-humane-immigration-policy/</a>)</p> <p><b>With reference to the above text complete the following, by filling in EACH blank with ONE LETTER corresponding to ONE of the options provided below:</b></p> <p>Bakhtin's notion of heteroglossia posits the existence of diverse 'voices' in any given ..... community. Since the Speaker would clearly ..... his/her audience with his/her position on immigration in the fragment of speech above, the 'force' in operation can be said to be the ..... one. <i>However</i>, if we view the text as a challenge to the hegemony of the contrasting and perhaps even currently dominant cultural paradigm of <b>anti-immigration</b>, we'd have to say that the force at work here is actually the ..... one.</p> <p><b>A) centrifugal; B) alienate; C) intertextual; D) discourse; E) centripetal; F) align</b></p>
20.	<p>According to M.A.K. Halliday, it is Bernstein's concept of ..... that ultimately regulates the process which will determine the register.</p>
21.	<p>The notion of closed/open with reference to registers is fundamentally a question of <i>the extent of their</i> .....</p>
22. - 26.	<p><b>Read the text then choose A or B to complete the assertions, putting the correct letter in the space provided below.</b></p> <p>We have long known that loneliness affects physical as well as mental health. But quite apart from its health implications, it is unacceptable that in our society elderly people should go weeks or even months without seeing a friendly face. To tackle this silent killer, it is our duty to reach out to those who would otherwise have no one. (adapted from <a href="http://www.express.co.uk/comment/expresscomment/621607/Express-Comment-Loneliness">http://www.express.co.uk/comment/expresscomment/621607/Express-Comment-Loneliness</a>)</p> <p>The text above can be considered as an example of Bernstein's (1) <b>A) restricted/ B) elaborated</b> code, since it gives an orientation mainly towards (2) <b>A) the concrete and the particular in ideational meanings/ B) ideational abstraction and generalization</b>, as well as towards more (3) <b>A) explicit/ B) implicit</b> interpersonal ways of meaning. Furthermore, in such a text, reference is more endophoric, thus making the text more context (4) <b>A) dependent/ B) independent</b>.</p> <p>1) ..... 2) ..... 3) ..... 4) .....</p> <p>• In the text above, the role that language plays is <b>constitutive</b> rather than merely <b>ancillary</b>.</p> <p><b>True</b> <input type="checkbox"/>    <b>False</b> <input type="checkbox"/></p>
27.	<p>Speaker 'choice' is a largely unconscious act, taking place in text but also always in context. What the speaker chooses <i>from</i> is the overall system of the language, or what is called the speaker's total .....</p>

28. - 31.	<p><b>On the basis of the text below, choose A or B to complete the assertions, putting the correct letter in the space provided below.</b></p> <p><b>Our Father, who art in Heaven, hallowed be thy name...</b></p> <p>The preceding text is (1) <b>A) intertextual/ B) contratextual</b> with a diachronic set of texts belonging to the register of Prayer: sub-type ‘Christian’. It is (2) <b>A) ancillary to/ B) constitutive of</b> the ongoing social activity of praying and exemplifies language as (3) <b>A) action/ B) reflection</b>. For the Christian who has been sufficiently indoctrinated into this type of pre-scripted prayer, the sub-register’s wordings and meanings are highly (4) <b>A) predictable/ B) unpredictable</b>, and thus well to the closed side of the open/closed continuum.</p> <p>1) ..... 2) ..... 3) ..... 4) .....</p>										
32.	<p>An extreme case of social dialectal differentiation is what Halliday has called <i>antilanguage</i>. It is considered to be ‘extreme’ because an anti-language is generated by a closed discourse community, or ..... i.e., “[...] a society that is set up within another society as a conscious alternative to it.” (Halliday 1978: 164).</p>										
33. - 36.	<p><b>Complete the following by matching the LETTERS in the left-hand column with the appropriate NUMBERS of the endings on the right.</b></p> <table border="1" data-bbox="188 824 1501 1323"> <tr> <td data-bbox="188 824 799 931"><b>A) Basil Bernstein</b></td> <td data-bbox="799 824 1501 931">1 theorized the Contextual Configuration (CC), i.e., the sum of the relevant contextual variables of a specific context of situation, seen as one sole configuration.</td> </tr> <tr> <td data-bbox="188 931 799 1003"><b>B) M.A.K. Halliday</b></td> <td data-bbox="799 931 1501 1003">2 argues that we must go beyond clause semantics to discourse semantics.</td> </tr> <tr> <td data-bbox="188 1003 799 1144"><b>C) Ruqaiya Hasan</b></td> <td data-bbox="799 1003 1501 1144">3 described socio-cultural subjectivity in terms of personal <i>repertoires</i> – the result of the individual’s own history as a ‘meaner’ – and also in terms of his/her shared cultural <i>reservoirs</i>.</td> </tr> <tr> <td data-bbox="188 1144 799 1245"><b>D) Bronislaw Malinowski</b></td> <td data-bbox="799 1144 1501 1245">4 made explicit that, since IFG1 was being written specifically for those studying grammar for purposes of text analysis, the systemic part was not included.</td> </tr> <tr> <td data-bbox="188 1245 799 1323"></td> <td data-bbox="799 1245 1501 1323">5 was the first to theorize the notions of context of situation and of culture.</td> </tr> </table> <p>A) ..... B) ..... C) ..... D) .....</p>	<b>A) Basil Bernstein</b>	1 theorized the Contextual Configuration (CC), i.e., the sum of the relevant contextual variables of a specific context of situation, seen as one sole configuration.	<b>B) M.A.K. Halliday</b>	2 argues that we must go beyond clause semantics to discourse semantics.	<b>C) Ruqaiya Hasan</b>	3 described socio-cultural subjectivity in terms of personal <i>repertoires</i> – the result of the individual’s own history as a ‘meaner’ – and also in terms of his/her shared cultural <i>reservoirs</i> .	<b>D) Bronislaw Malinowski</b>	4 made explicit that, since IFG1 was being written specifically for those studying grammar for purposes of text analysis, the systemic part was not included.		5 was the first to theorize the notions of context of situation and of culture.
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37. - 39.	<p><b>Complete the following text by filling in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>Keeping in mind that these categories are highly idealized, in Bernstein’s communalized role-system it is likely that the <i>mode of control</i> will utilize ..... boundary maintenance, that the <i>focus of interest</i> will be on ..... and also that meanings will be .....</p> <p>A) underlying principle; B) strong; C) context independent; D) weak; E) practice; F) context dependent</p>										
40.	<p>System and instance are not two different things; they are the same thing, but seen from two different perspectives. To better understand the distinction between language as system and language as instance, as text, Halliday’s analogy of ‘climate’ vs ‘weather’ is helpful.</p> <p><b>True <input type="checkbox"/> False <input type="checkbox"/></b></p>										

41. - 43.	<p><b>Complete the following, by filling in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>Ruqaiya Hasan’s concept of ..... accounts for the <i>total values</i> of the three components of the ..... , viewed as the sum of significant attributes of the ongoing ..... that is being concretely instantiated in the text.</p> <p><b>A)</b> Behaviour; <b>B)</b> Contextual Configuration (CC); <b>C)</b> Subject matter; <b>D)</b> Context of Situation; <b>E)</b> speech; <b>F)</b> social activity</p>																									
44. - 46.	<p><b>Choose A or B to complete the assertions, putting the correct letter in the space provided below.</b></p> <p>The “[...] instancial construction of meaning in the form of a text [...] in which the potential for creating meaning is continually modified <i>in the light of what has gone before</i> [...] (Halliday &amp; Matthiessen 1999: 18) is called <b>(1) A) realization/ B) logogenesis</b>. This co-textual aspect of meaning-making requires labour-intensive manual scrutiny that the tools of <b>(2) A/ corpus linguistics/ B) applicable linguistics</b> simply cannot provide. And yet, the analyst aiming at reliably identifying the typical conglomeration of linguistic features that a <b>(3) A) register/ B) text</b> displays needs to analyse a very large number of texts.</p> <p><b>1) ..... 2) ..... 3) .....</b></p>																									
47. - 50.	<p><b>Complete the following, by filling in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>A text can be looked at as both <i>a product and a process</i>: as process, attention is on the ongoing ..... speakers make in making meanings. As product, one studies the ‘frozen’ ..... of these, i.e., the result of the ..... . But these are basically two sides of the same coin. All products were once processes; many (though not all) processes become products. Why not all? Because in purely ..... cultures products didn’t/don’t exist.</p> <p><b>A)</b> process; <b>B)</b> oral; <b>C)</b> output; <b>D)</b> choices; <b>E)</b> written; <b>F)</b> input; <b>G)</b> system</p>																									
51. - 54.	<p><b>Presuming the predictors’ familiarity with these registers, decide to what extent the following can be considered closed or open. Tick [✓] your choice on the chart.</b></p> <table border="1" data-bbox="188 1265 1532 1444"> <thead> <tr> <th></th> <th>+++closed</th> <th>+ closed</th> <th>+open</th> <th>+++ open</th> </tr> </thead> <tbody> <tr> <td>A candidate’s speech <i>the night before the elections</i></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>An online get-well-soon card you can edit</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>A serious poker game</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>A face-to-face conversation between two friends</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		+++closed	+ closed	+open	+++ open	A candidate’s speech <i>the night before the elections</i>					An online get-well-soon card you can edit					A serious poker game					A face-to-face conversation between two friends				
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<p>59. - 60.</p>	<p>Jakobson’s model of Factors and Functions of language sees a focus on the Factor of the ‘message’ as corresponding to the ..... Function. The distinguishing characteristic of this Function is grammatical parallelism (GP), whose ultimate importance for Jakobson is that it is also, at the same time, ..... parallelism.</p>										
<p>61. - 66.</p>	<p><b>Complete the following, by filling in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>There is one ..... which is different, special, and so requiring a different model of context. This is the <i>literature text</i>, as Hasan calls it. Such a text, or <i>verbal art</i>, is a kind of language use in a particular ....., as indeed all texts are, but it <i>is not</i> simply a register like any other. Why? Because the context-language connection in verbal art is much more ..... than it is for any other register.</p> <p>There are multiple contexts in play in verbal art: the <i>fictional context</i> created by the text; a ‘real’ context of ..... comprising the language, world view and artistic conventions of the author situated in his/her time/place of writing, and also a <i>context of reception</i> on the part of the ....., all of which require the analyst’s close attention. Most importantly, however, this special text type requires an equally special theoretical and methodological take, one that hypothesizes a ..... order of meaning.</p> <p><b>A) social context; B) writer; C) clear-cut; D) creation; E) text type; F) reader; G) second; H) complex; I) social system; J) secondary</b></p>										

67.	<b>Complete the following by matching the LETTERS in the left-hand column with the appropriate NUMBERS of the endings on the right.</b>	
70.	A) verbal art	1] has been said, by Martin, to specialize meaning potential according to <i>people</i> .
	B) individuation	2] is <b>central</b> to Halliday's model of language. Lukin et al. say that it actually holds the dimensions of Halliday's systemic functional theory together.
	C) the Context of Situation	3] requires a special descriptive-analytical model of what Hasan has called ' <b>double-articulation</b> '.
	D) the concept of register	4] is by no means simply equivalent to, or fully exhausted by, the <b>material</b> situational setting.
		5] relates to real, concrete <b>instances</b> of language use in context – i.e., relates to texts.
	A) ..... B) ..... C) ..... D) .....	

### ***Key to theory exercises***

1. A) 3
2. B) 1
3. C) 2
4. D) 5
5. B
6. D
7. A
8. F
9. B
10. B
11. A
12. False
13. It is rather an example of language as *action*, since interpersonal meaning-making is being foregrounded. The focus is clearly on the actions being demanded.
14. B
15. True
16. D
17. F
18. E
19. A
20. code
21. predictability
22. B
23. B
24. A
25. B
26. True
27. meaning potential
28. A
29. B
30. B
31. A
32. antisociety
33. A) 3
34. B) 4
35. C) 1
36. D) 5
37. B
38. E
39. F
40. True
41. B
42. D
43. F
44. B
45. A

- 46. A
- 47. D
- 48. C
- 49. A
- 50. B
- 51. + closed
- 52. + open
- 53. +++closed
- 54. +++open
- 55. A) 2
- 56. B) 5
- 57. C) 4
- 58. D) 1
- 59. Poetic
- 60. semantic
- 61. E
- 62. A
- 63. H
- 64. D
- 65. F
- 66. G
- 67. A) 3
- 68. B) 1
- 69. C) 4
- 70. D) 2

## **PART II**

### **From theory to practice**

## Working Top-Down

We'll begin our practice in text analysis by working Top-Down. This means we'll be attempting to predict the meanings and wordings that will be likely to result from the relevant features of a concrete CC. Our predictions will surely not exhaust the possibilities for the lexico-grammatical instantiations we'll then find in the text, but enough will be said about the CC to allow us to foresee the most significant of these. The next step is to check our predictions vis-à-vis the text. Finally, we'll be making some further considerations concerning certain theories and notions dealt with in Part I with reference to the text.

The ultimate aim of our analysis is to see to what extent the predictions we made have proved reliable. But remember: what we are doing is identifying the typical conglomerations of lexico-grammatical features of this register but doing so *with reference to the specific CC we describe only*. That is, we are *not* claiming to offer all-inclusive typical characteristics which are valid for each and every text belonging to the register. In doing this work, Figure 14 of the Process of text creation in Part I, along with the Text Analysis Checklist (in Appendix 1), will be fundamental points of reference.

## 1. The ‘Didactic’ Register: one instance

As a way of easing ourselves into our methodology of analysis, let’s take an instance of an *institutional* (as opposed to ‘everyday’) register – one that you are very familiar with already: the *didactic* or *classroom register*, or text-type, or functional variety of text.

Without seeing the text, we’ll begin with a description of the typically relevant values of the CC of the university undergraduate lecture environment – and, in particular, the one that you have been used to in your FG courses. The text comes from the beginning of one lesson from a recent academic year’s course in English Linguistics (Functional Grammar 3). The lesson was audio-recorded at the time and then transcribed, and it is this written transcription as product that we are investigating.

### 1.1 From the CC to predicting wordings/meanings

#### 1.1.1 The Field

The kind of *ongoing social activity* taking place is that of the lesson (teaching/illustrating theory, or as Matthiessen (2015a: 10, *passim*) has it, expounding/explaining it), in the specific lecture spatial setting of the university classroom.

The specific *subject matter* of that lesson is text analysis in an FG perspective.

*As a result, we can predict that:*<sup>1</sup>

The *ideational (experiential) meanings* of the text, instantiated in/by its *transitivity structure*, will be likely to feature the following choices from the speaker’s total meaning potential:

- Regarding *Processes*, linked to the typical cognitive and perceptual activities of the lesson environment, mental types are to be expected. In addition, however,

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<sup>1</sup> In the interests of pedagogical visibility, a caveat is required here: the process of predicting is calibrated to reflect, *as far as possible*, forecasts that would likely be made by students having no prior knowledge of the text. However, clearly ‘our’ predictions are based on years of experience of dealing with this register – and, inevitably, but rather unfairly – also on our prior knowledge of the text. This is obviously true of the following Top-Down text analysis on the procedural register as well.

relational Processes could also be important, as their job is to define, describe and classify, and these are all activities that are also typically linked to the lesson generally speaking, and to the specific subject matter of linguistics as well.

- The *grammatical participants* involved in these Processes will most likely include the animate teacher and students themselves (*I, you, we*) as Sensors of those mental Processes. In addition, we can foresee the inanimate denotational lexis, the meta-language (i.e., language about language), linked to the particular subject matter, that of FG: *language, text, context, meanings, clause, NGs, VGs*, etc., participating in the text. These might be functioning within relational Processes, or even as Phenomena Sensed in mental ones. Meta-language is vital to all aspects of teaching, however, and not just to that of the subject matter, English Linguistics.
- With reference to *circumstances*, we can imagine that they may make the ‘here and now’ *spatial and temporal setting* of the lesson itself explicit. Circumstances might also specify Cause (relating to *why* are we doing what we’re doing) and Manner (concerning *how* we’re going to do it), etc. Tense could feasibly vary: from the past tense denoting past lessons, to the present of general ‘truths’ and the real present (continuous) of here and now didactic activities, or even with reference to what the ‘text’ is ‘doing’, and to the intended future of lessons still-to-come.
- Excessive *experiential grammatical metaphor* is not expected, as it’s important to avoid obscurity and/or indeterminacy for the students.

As far as the *ideational (logical) meanings* are concerned, the *clause interdependencies and logico-semantic relations* that we can expect to find will also most likely be varied.

Clearly, the lecture in English to non-native speakers ideally calls for an attempt at fairly simple, straightforward clause construction. This does not mean that all clauses will be single ones, or that parataxis will dominate over hypotaxis. It *does* mean, however, that the logical connection between them should be clear, whether explicit or implicit. Ambiguity of language, in short, should not add to the difficulties of grasping new notions. If this is true of the language of the lesson, any lesson, for even native

speakers, how much more important it must be for the teacher of EFL students to keep in mind!

### 1.1.2 The Tenor

- The *human participants* taking part in the activity are the teacher and the students. These are their *statuses* (at least semi-permanent social roles), and they are *unequal, asymmetrical*. This inequality is likely to affect the *attitude* that the teacher takes towards the students and the subject matter, and vice-versa of course.
- The *discourse role* (temporary: that of the present activity) of the teacher is sure to be *active* and to involve informing, explaining, illustrating and even implicitly persuading – though surely not all of these in a short lesson introduction. The students have no active discourse role. This is a lecture setting, remember, not a seminar or workshop, in which the students would have an institutionally legitimated active role in the discursive event. Nonetheless, even in the lecture, they can legitimately intervene at certain moments to signal that they would like to partake: to ask a question, to challenge a proposition, etc., sometimes at the invitation of the teacher. Typically the non-verbal gesture of hand-raising will be the way to signal such a desire. But again, we don't expect this to occur in a brief introduction to a lesson.
- The text will be likely to exhibit [-solidarity] and [+distance] between teacher and student, due to the teacher having [+power] than the students. This is the likely result of their respective asymmetrical statuses. And yet, speaker *repertoires* and *reservoirs* are aspects to weigh in: the teacher's own individual, and socio-cultural and institutional, subjectivity can cause differences.<sup>2</sup> In the Italian university, teacher-student relations are still more formal than is typical of the Anglo-American university systems. Such formality may dominate, or, if the teacher is of another culture, say, English or American, then this fact may be the dominant factor in determining the lesser extent to which the semantic value of distance is enacted in the classroom. But the individual teacher may subscribe to, or not, these cultural distinctions. The point is that these factors are flexible, and it is

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<sup>2</sup> See Part I for a discussion of these Bernsteinian terms.

important to keep this in mind. As far as the repertoire of the particular teacher, the speaker in this text, is concerned, a value of [+formality] is preferred.

*As a result, we can predict that:*

*interpersonal meanings* will be likely to be instantiated in terms of the following lexicogrammatical choices:

- Communicative functions and MOOD SYSTEMS: It is predictable that the teacher, having [+knowledge] of the subject matter and [+authority] to impart it, will be the *giver of information*, making *statements* with the indicative: declarative mood, which is likely to dominate. In the course of a full lesson, though, it is also predictable that the teacher will *demand information* at moments, asking *questions*. Most likely these will be ‘rhetorical’ questions, however, and be used either primarily to focus the students’ attention on information that is forthcoming, or to get them to genuinely answer the question – not because the teacher doesn’t know the answer and needs them to provide it, but because making the students come up with it themselves is sound pedagogical practice. At times, such questions may even be used to presume/ elicit the ‘concurrence’ of the students regarding some proposition or proposal. At any rate, rhetorical questions are a complex resource of the APPRAISAL SYSTEM of ENGAGEMENT – and their functions are multiple. Indeed, it is very likely that the resources of this system will be in use in the didactic text.<sup>3</sup>

Besides the indicative mood and the propositions it enacts, we can expect to find *proposals*, enacted by the imperative as well, perhaps more typically in its collaborative form (i.e., ‘let’s’). ‘Goods & services’, of a cognitive/perceptive kind especially, will be *demanded* from the students by the teacher, who may or may not include him/herself in such *commands*. If the ‘let’s’ form is used, the order is ‘softened’ and rendered semantically more like a *suggestion*. Once again, however, the teacher has the institutional authority – and duty – to guide the lesson, determining its contents and the way it is structured.

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<sup>3</sup> See the mini-overview of APPRAISAL SYSTEMS in Appendix 2, and White 2003a, for more details on these notions and categories.

- MODALITY SYSTEMS: As epistemic modality, or modalization, is always semantically linked to propositions, high value probability, or even the speaker certainty entailed in the monogloss, is to be expected on the part of the teacher. Perhaps the subjective: implicit orientation will dominate, but there is no reason to exclude the possibility of other orientations being opted for, or even of lower value probability being chosen, perhaps due to a preference for [+tentative] argumentation. And, as the imperative is always linked to deontic modality, or modulation, all imperatives in the text will be implicit enactments of necessity, and, if they are collaborative, also of a willingness on the part of the teacher to participate in the activities being demanded.
- APPRAISAL SYSTEMS: Classroom discourse is *not* typically the most fertile site of explicit speaker evaluation. That is, despite exceptions to the norm, it is not an environment in which the teacher typically chooses to construe his/her emotional responses (enact affect), express opinions as to the propriety etc. of human behaviour (judgement), or even often to evaluate the quality of objects (appreciation). However, ‘tokens’ of these systems may be seen to be enacted, even simply in the use of the specialist lexis of the subject being taught. In short, we are suggesting that in using such lexis a positive appreciation of the importance of the discipline can be implied, together with positive affect on the part of the teacher in terms of [+interest] in and [+respect] for the discipline, as well as even positive judgement of the ‘propriety’ of teaching it at all, and even of the learning ‘capacity’ of the students. And, as said above, engagement resources can be expected to be in evidence, as the teacher is constantly positioning him/herself vis-à-vis the students and the subject matter of the lesson and even attempting to align the students’ position with his/her own. The use of the non-negotiable monogloss does this, as does the use of contracting heteroglossic mechanisms such as rhetorical questions, as pointed out above. Other resources that will most likely be used include attribution: the use of others’ voices – Halliday’s for instance! – to support the teacher’s own evaluations and speaker stance.

### 1.1.3 The Mode

- The speaker and hearers do *not*, in this setting, share text creation. Meaning-making is the job of the teacher-as-sole-speaker.
- The *channel* of the communication *as a process* was originally basically *phonic*, while the *product* you will see, and we will analyse, is *graphic*. And the visual semiotic is also made use of with additional graphics: slides presenting texts, tables, figures, etc., which originally worked together with the phonic text spoken by the teacher. These we won't be reproducing.
- The *medium* of the register is typically mixed: i.e., coming somewhere between the extreme '*spoken*' and '*written*' ends of the continuum. This is because the lecture is not a spontaneous text-type. Rather it is at least semi-scripted, and so to a certain degree pre-prepared to be delivered. As a consequence, its language will *not* usually be that of genuinely extemporaneous, 'choreographic' talk. Neither, however are the characteristics of the text typically comparable to the extreme 'written-ness' of, say, the fairly 'closed' register of the scientific abstract: i.e., lexically exceptionally dense (meaning having many more lexical content words than grammatical ones per clause) and extremely highly 'packaged' through numerous noun strings and embedding. Nevertheless, the subject matter will dictate the occurrence of a great deal of typical denotational lexis, which pushes medium towards the 'written' side of the cline. This text, also because an introduction to the lesson, may reveal this phenomenon.
- The text is basically *context-independent*, meaning *self-sufficient*, meaning that one can fundamentally understand it, even without having physically been there at its production. Obviously it would be *better* understood if the hearer had the background knowledge of the subject matter that the teacher presumes him/her to have. It would also obviously help comprehension to be able to see the visual semiotic which was originally at work: i.e., the PPT slides that the teacher was simultaneously showing, and even her body language, which always helps to communicate meanings in a culturally-specific way. Still, even without such aids to understanding the text, one can glean enough to call it essentially *context-independent*, rather than *dependent* on its context.

- the *role of language* is *constitutive of the social activity*. So we are dealing with a *talk-oriented* register rather than an *action-oriented* one. In this kind of text one typically finds a predominance of *language as reflection*, even meta-linguistic reflection, as already noted above.
- Again, due to its being in part pre-scripted, the *organization* of the text is more ‘rational’ than not. Its discourse/rhetorical staging and method of development (Thematic Progression) reflect this.

*As a result, we can predict that:*

*Textual meanings*, or the ‘*enabling*’ *textual meta-function*, without which – recall – the ideational and interpersonal meta-functions would not have their realization, will be likely to be instantiated in terms of the following lexico-grammatical choices:

*Structural Cohesive Devices:*

- *Thematic Progression*: A coherent textual organization should give us a ‘method of development’ of the text which is easy for the students to follow, so we predict chunks of text with an identifiable Thematic Progression (Daneš 1974; cf. Checklist in Appendix 1 for other references).
- *Information Structure*: (not dealt with; cf. Checklist in Appendix 1).
- *Grammatical Parallelism (GP)*: Although there is no primary ‘poetic’ function in didactic texts, it is to be expected that some selection of grammatical parallelism, of a reiteration of units, will be made, and with the typical aim that Jakobson hypothesizes: to construe a corresponding reiteration of sense, of meaning. Repetition is, of course, a highly valued pedagogic tool.

*Non-Structural Cohesive Devices: reference, ellipsis/substitution, lexical relations and conjunction* (i.e., *between* sentences, over stretches of text)

- It is impossible to predict precise textual instances of *reference*, but we can foresee that a need for explicitness will mean that there may be more exact reiteration of elements than pronominal reference to them. For the same reason, ellipsis may be avoided. It may be more useful to think in terms of the *reference chains* (Martin 1992a; Halliday 1985a – IFG2) and *lexical strings* that are likely

to come together to form *participant chains* in the text (Halliday 1985a – IFG2: 337), functioning cohesively to ‘chain’ experiential elements throughout the text. Those elements will most likely be the same as those which were predicted under the heading of ‘experiential meanings’ above: the animate and inanimate grammatical participants, the Processes, etc., with diverse lexical relations obtaining among them (synonymy, antonymy, hyponymy, meronymy, and collocation). Explicit conjunction can be expected as well, again for the purpose of making the argumentation as clear as possible for the students. Internal temporal ordering of the steps in the lesson may occur as well – i.e., *first this will be done, then that...* .

- *Rhetorical/Discourse Structure/Staging*: It is difficult to predict with any precision *exactly* what the steps will be, as we said in section 2.2.2 in Part I, when talking about genre theory. And yet, given the coherent organization of the text, some sort of ‘Statement of Intent’ ^ (*followed by*) ‘Elaboration’ of some nature on this intention, is certainly predictable.

## 1.2 The Text

We’ll now see and analyse the authentic text segment whose meanings and wordings we have been predicting on the basis of a description of its CC, also aiming to see to what extent our predictions were accurate. Recall that the following was the beginning of a recent undergraduate lesson in the third year of *English Linguistics*, one that was audio-recorded at the time, and that has been transcribed with traditional punctuation conventions that, however, could have been slightly different <sup>4</sup>. The text is as follows:

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<sup>4</sup> The teacher of the course was Donna R. Miller. Consequently, all reference to the speaker below will be feminine in gender choice. Trump’s speech was made in the primaries season and is at [http://www.nytimes.com/2016/04/28/us/politics/transcript-trump-foreign-policy.html?\\_r=0](http://www.nytimes.com/2016/04/28/us/politics/transcript-trump-foreign-policy.html?_r=0) (last accessed 21 November, 2016).

Good afternoon, everyone. OK now, are we ready to get down to work? Last time we saw each other, we started analysing the interpersonal functions of the clauses containing the NG “Americans” and the Classifier “American”, in Donald Trump’s speech on foreign policy in Washington DC on April 27, 2016. By the end of the lesson, we had probed their MOOD and MODALITY SYSTEMS. Today, I want us to move on to appraisal. Let’s examine the resources of judgement and appreciation in these clauses now. We’re going to be trying to identify the evaluation being enacted in our text – that is to say, being inscribed, but also invoked. Despite our clause by clause focus, at the end we need to be able to say what the dominant semantic prosody is globally, *throughout* the text. So then, let’s start with “Americans” and concentrate firstly on the co-textual environment of the first instance of that NG in our text. First of all, where exactly is it...?

### 1.2.1 The grammar of the clause as representation

We’ll now begin with a look, selectively, at the lexico-grammar instantiating the ideational meanings determined by the Field of the CC of our text, taking experiential meanings first and then logical ones.

#### 1.2.1.1 Transitivity

What are the main Processes and their inherent participants at work in this chunk of text? Well, as predicted, we do have mental Processes: *analysing*; *probed*; *examine*; *identify* and *concentrate*. All of these are cognitive Processes linked to both the text-type, i.e. the register, and to the subject matter of the text. And the Senser of these Processes, as also predicted, is invariably *we*, inclusive of speaker-teacher and hearer-student. Moreover, again as predicted, the Phenomena Sensed are typical participants in a lesson on English Linguistics: *the interpersonal functions...*; *their MOOD and MODALITY SYSTEMS*; *the resources of judgement and appreciation*; *the evaluation being enacted* and *the co-textual environment* (technically a circumstance of Matter). There is also a mental Process of reflexive perception: *we saw each other*, i.e., had a lesson, as well as of desire: *I want us...* .

As we also foresaw, we do find relational Processes, but only three: one of (unknown) identity: the Verbiage of the one verbal Process, *say*: *what the dominant semantic prosody is*; two of attribution: *are we ready?* and also the circumstantial – again unknown: *where is it?* In this segment, the defining and descriptive/classifying

functions are not as important as they might have been, but they do function importantly, to set up the tasks to be performed.

There are also various abstract material Processes that we totally failed to predict, although the wordings are actually typical choices in the didactic text-type. These metaphorically denote the steps of the lesson's activities: *get down to work*; *move on to*; *let's start with*. Neither had we predicted experiential metaphor, and we were right. In fact, these material Processes function in fully congruent grammatical instantiations and the metaphors are only lexical.

Circumstances in the text include various types. As predicted, there are those of Location: Time: *Last time*; *By the end of the lesson*; *Today and now* (second instance) – clearly delimiting the past lesson from the present one. *On April 27, 2016* is clearly 'real world' time, whereas *First of all* signals the temporal order of the tasks now beginning. Typically of the subject matter, Location: Space is also an important circumstance in the text segment, but mainly in terms of *textual space*: *in Donald Trump's speech*; *in these clauses*; *in our text* and *throughout the text*. Abstract Matter is instantiated in *on foreign policy* and *on the co-textual environment*. Also instantiated is a Contingency circumstance: *Despite our clause by clause focus* – unpredicted, but fitting in perfectly with the teacher's need to be precise. Cause, which was predicted, is actually only implied (*let's examine* most likely being causally linked to the next clause's *trying to identify*). Also predicted, Manner is present in *globally*, sub-category Degree. As foreseen, tenses do indeed vary: simple present, past, past perfect (*had probed*); and a typical future of intention, according to the plan of the teacher: *going to be trying to identify*.

#### 1.2.1.2 Clause interdependency and logico-semantic relations

As we foresaw, logico-semantic relations in the text are also varied. We'll now talk about these in terms of both those *within* and those *between* clause-complexes, though the latter are more properly textual in their function. Clause Interdependency will be dealt with at the same time.

The text opens with a salutation/greeting ^ vocative: *Good morning, everyone*, then followed by what is called a 'continuative': *OK now*, which is multi-functional. Firstly, it signals a boundary between a former lesson text and this one, so it works textually

(and intertextually). This lesson is indeed but one ‘instalment’ of a larger ‘text’, which is the whole course. In fact, it is clear that this is not the first time that the students and teacher are meeting so this continuative also functions interpersonally, as a resource to make contact (Jakobson’s ‘phatic’ function), and to indicate that it’s time to start the lesson.

Within sentences, we find predominantly simple single clauses with a certain amount of embedding and numerous circumstantial prepositional phrases, especially in initial position, one following on the other. There are no hypotactically linked clause complexes – *Despite ...* is a phrase. Even parataxis functions between groups rather than clauses, extending, e.g., *the NG “Americans” and the Classifier “American”*. Logico-semantic relations are enhancing, notably with reference to time – i.e. as a result of all those circumstances noted above working within the sentence, but also in a way cumulatively, between them. There is a relation of elaboration with *that is to say*, but rather than work between clauses, it works to explain, in other words, the embedded *being enacted*. Finally, a relation of Cause: Reason may be implied between *We’re going to be trying to identify* and *Despite our clause by clause focus, at the end we need to be able to say* – a kind of ‘our trying is *because of* our need’.

### 1.2.2 The grammar of the clause as exchange

We’ll now pass to an examination of the lexico-grammar instantiating the interpersonal meanings determined by the Tenor of the CC of our text.

#### 1.2.2.1 About ‘we’

The *we* of the text enacts a somewhat ambivalent relation between speaker and hearer. The asymmetrical relationship between these human participants that we spoke of above is always in force, so that this typical marker of speaker-hearer inclusion and identification, ‘we’, does not ‘really’ enact the [+solidarity] it apparently, conventionally, but only ‘cosmetically’, does. As said, in the lecture environment, the didactic activity is carried out under the strict guidance of the teacher, according to his/her plan. Not by accident does she also choose *I*, and in explicitly enacting deontic meaning: *I want*. So, although the speaker has chosen the inclusive form here, it is still

she who is in control of the speech event (and of the text-making process, see Mode above). It is she who announces her intentions vis-à-vis the lesson. It's perhaps also useful to reconsider what was said in n. 41 in Part I, with reference to our own use of 'we' in this course book, which was

[...] meant as an author's 'we', or *pluralis modestiae*, which in part refers to the author as a guide for the reader, and in part to the reader together with the author, aimed at fostering reader agreement/alignment with the principles being put forth.

#### 1.2.2.2 Mood

The indicative: declarative, as predicted, is dominant and used for making statements, giving information. There are two instances of the indicative: interrogative, both rhetorical questions. The first: *are we ready to get down to work?* draws students' attention to the start of the lesson, while the second: *where is it...?* demands information which the teacher is sure to know the answer to, so that the question is posed solely for the purpose of focussing the students' attention on the text and its co-text for the task at hand. We had also expected to find proposals, demands for 'goods & services', enacted with the imperative, and we do, two of them: *let's examine* and *let's start with*. Both are collaborative forms which, as said, 'soften' the order semantically into a 'suggestion' that ostensibly includes speaker and hearers. In addition, the declarative, *I want us...*, functions as a demand for collaborative action as well.

#### 1.2.2.3 Modality

Modality is not a strong feature of the text. There is no explicit modalization in the text, but, as predicted, there is monogloss, and a great deal of it, entailing speaker certainty. The teacher's voice is very much one of conviction and confidence. Recall that modality is always linked to mood, and to the Communicative Functions of language, i.e. to what is being exchanged in the text. As said, the imperative is always linked to modulation, so that our two imperatives in the text enact necessity, and, being collaborative, also willingness on the part of the teacher to take part in the actions being demanded. There is also one explicit instance of modulation, in terms of the objective explicit *we need to be able to say*, where ability, as inclination (readiness), is asserted as being necessary.

And not to be overlooked is the deontic value of the future of speaker intention, *what we are going to be trying to identify*, and again, of the desiderative, *I want*.

#### 1.2.2.4 Appraisal

As foreseen, explicit appraisal is indeed low in this text, apart from the resources of engagement that are selected. However, implicit, or ‘invoked’, or ‘tokens’ of appraisal, are worth commenting. Indeed, due to the specialist lexis adopted globally, along with the ways it is being spoken about that are emerging from analysis, the speaker-appraiser implicitly evaluates the appraised discipline in terms of invoked +ve appreciation: quality, as well as the human intellectual activity of text analysis in general with +ve judgement: social sanction: propriety. More in particular, her inclusion of the hearers in the activities to be carried out (again, through the use of *we*) also ‘tokens’ +ve judgement: social esteem: capacity of the students-as-appraisees. In addition, perhaps even +ve affect towards her discipline can be said to be invoked by the [+serious], [+interested] and [+respectful] attitude enacted by her treatment of both the activity and the subject matter. As is typical in this register, engagement resources are chosen by the speaker to position herself vis-à-vis the students. As said above, the text is primarily composed of a series of monoglosses regarding what has been and will be done and concludes with a collaborative command to start doing it. With her two *let’s*, and her *I want us*, she enters the realm of the heterogloss, but with strong Proclamations, clearly ‘contracting’, i.e., closing the space for negotiating her meanings. These too presume/work for concurrence on the part of the students and their alignment with her wishes.

#### 1.2.3 The grammar of the clause as message

Here we focus on the lexico-grammar instantiating the textual meanings determined by the Mode of the CC of our text.

##### 1.2.3.1 Structural cohesive devices

###### *Thematic Progression, or method of development*

As you’ll recall, in order to trace Thematic Progression across texts, we need to identify the Topical Theme (TT) of each clause. And as you’ll also recall, the TT must

correspond to the first experiential element of a clause: either a participant or the Process or a circumstance. Below we divide the text segment into its ranking (not embedded) clauses below and signal the TT in bold:

- Cl 1 OK now, **are we** ready to get down to work?
- Cl 2 **Last time we saw each other**, we started analysing the interpersonal functions of the clauses containing the NG “Americans” and the Classifier “American”, in Donald Trump’s speech on foreign policy in Washington DC on April 27, 2016.
- Cl 3 **By the end of the lesson**, we had probed their MOOD and MODALITY SYSTEMS.
- Cl 4 **Today**, I want us to move on to appraisal.
- Cl 5 **Let’s** examine the resources of judgement and appreciation in these clauses now.
- Cl 6 **We’re** going to be trying to identify the evaluation being enacted in our text – that is to say, being inscribed, but also invoked.
- Cl 7 **Despite our clause by clause focus**, at the end we need to be able to say what the dominant semantic prosody is globally, throughout the text.
- Cl 8 So then, **let’s** start with “Americans” and concentrate firstly on the co-textual environment of the first instance of that NG in our text.
- Cl 9 **First of all**, where exactly is it...?

*We* is the Topical Theme explicitly only twice (Cl 1 and 6) – also due to the four marked circumstances as TTs (Cl 2, 3, 4 and 7) and the two collaborative imperatives, *let’s* (Cl 5 and 8). However, *we* is only fully missing from Cl 4, where the human participant following the marked circumstance as TT is the only explicit *I* in the text. In Cl 2, 3 and 7 *we* follows the marked TT almost immediately – see the underlined elements above. And, actually, in Cl 7’s circumstance, we do have the possessive deictic form of ‘we’: *our*, while of course *let’s* includes ‘we’ semantically, in objective case. Only Cl 9 is different, another marked circumstance as TT, but this time with reference to the internal ordering of the task, now begun. Thus, as predicted, the text’s method of development – its Thematic Progression – certainly instantiates the rational text organization we expected – and does it by privileging both the prime human participant in the text: *we*, and the temporality that is so important to the text’s meaning-making. The progression type regarding both these elements is essentially parallel, i.e., TT of one clause being re-proposed as TT of the next.

### *Grammatical Parallelism (GP)*

The text is, as predicted, not devoid of instances of parallelism, from small units such as words, to entire clause structures. Let us proceed in ascending order of size:

*Words:* Besides the six instantiations of *we*, there is reiteration of NGs *clause* (two), and its plural, *clauses* (another two – also giving us ‘scatter’); *text* (three), *co-textual* (one – again ‘scatter’). The significance of the reiteration of these units is the corresponding reiteration of their meanings – which makes sense, after all. We’ve already seen how that *we* functions as an important participant in the transitivity structure of the clauses and in the text’s method of development, as well as how *text* and *clause* figure in the circumstances. Now we see these elements functioning at another level. Their significance for the making of meaning in this text is thus reinforced.

*Groups:* There are 13 instances of definite deictic *the* + Thing in the text, reiterating the accent on definiteness being enacted by the speaker.

*Phrases:* Some of the PPs as circumstances noted above are grammatically parallel, having the structure *in/on* + Thing: *in Donald Trump’s speech ... in Washington DC; in these clauses*, and *in our text* (twice), as well as *on foreign policy ... on April 27, 2016*, and *on the co-textual environment*. Five times *of* + NG functions as Qualifier.

*Clauses:* It is again hardly surprising that there should also be a reiteration of the transitivity structure we’ve already noted as dominating in the text: Senser ^ Process: mental: cognitive ^ Phenomenon Sensed. This is intimately linked to the register that the text belongs to, but equally to its specific subject matter.

Recall that, when describing clause structure reiteration, one can make use of the mood or thematic structure as well as that of transitivity. For instance, here we can also speak of the reiteration of Subject ^ Finite for the declaratives. Needless to say, it would be impossible for us to note how the text compounds its own meanings at different levels, multi-functionally, if we were working with a traditional grammatical framework, according to which structure is talked about solely in terms of variations of S(subject) ^ V(erb) ^ O(bject) or C(omplement)!

#### 1.2.3.2 Non-Structural cohesive devices

The text is highly cohesive thanks to non-structural cohesive devices as well. Let us proceed systematically in our analysis of these.

*Reference*: we have various kinds of reference being instantiated: of the *exophoric*, or situational, type there is the first *we*, which refers to the human participants in the speech event who are physically present in the classroom. After this instance, reference through *we* becomes exclusively *endophoric*, or textual, and anaphoric, i.e., referring *back* in the text to this first instance. We have already pointed out the reiteration of *the* + Thing under Grammatical Parallelism. Sometimes *the* or other deictics instantiate exophoric reference, e.g., *the/these clauses* and *the/our text*, which initially refer to the text actually being analysed in class, but also quickly become endophoric/anaphoric with reiteration.

*We* also functions endophorically to construct an important *reference chain*, which is also a vital *participant chain* in the text (Halliday 1985a – IFG2: 337). We'll consider *text* and *clause* under lexical relations below.

*Ellipsis/Substitution*: as predicted, this functional variety of text is not a typical site for even a minimum amount of ellipsis or substitution. No instances are found.

*Lexical Relations*: Halliday includes repetition among the non-structural cohesive devices (1985a – IFG2: 330), but we prefer to consider this phenomenon under the heading of Grammatical Parallelism, as we have already done above. Lexical relations are also at work to make this text cohere.

Synonymy that is only textually-created, i.e., not usually found in dictionaries, is that obtaining between *Last time we saw each other* and the subsequent *the lesson*, with identity of reference.

We spoke of reference chains above. Another kind of participant chain is forged by *lexical strings*. As we saw under GP of words above, our text features reiteration of NGS *clause* and its plural, *clauses* (giving us 'lexical scatter') and also of *text* and *co-textual* (again 'scatter'). This gives us two separate lexical strings which are also participant chains.

Additional lexical relations in the text are: the quasi-synonymous mental Processes: *analysing*; *probed*; *examine*, and the relation of hyponymy (general-specific relation) obtaining between *interpersonal functions* and the specific *MOOD and MODALITY SYSTEMS*

that instantiate these. Hyponymy is also in evidence between the general category of *appraisal* and the specific systems of *judgement and appreciation*, and also between *evaluation* and the specific types: *inscribed* and *invoked*.

Meronymic (whole-part) relations obtain between *text* and *clause(s)* and between *Donald Trump's speech* and *the clauses containing the NG "Americans" and the Classifier "American"*. Oftentimes, especially when dealing with abstractions, there is a certain indeterminacy regarding the categories of hyponymy and meronymy. For instance, one could argue that *appraisal* is the whole class and *judgement and appreciation* are parts of it and so for meronymy rather than hyponymy.

There are no particularly strong instances of collocation in the text, beyond mood/modality and inscribed/invoked, which often, but certainly not always, tend to co-occur.

*Conjunction*: the logico-semantic relations being constructed *between* sentences, and thus functioning textually, are largely implicit. The implied relations throughout the text are extending: we've done this and that and now will do something else. There is also one explicit enhancing relation between sentences: *So then...* in the penultimate sentence – a sort of 'as a result of all I've just said'. And, as commented on above in terms of logical meanings, all those temporal circumstances in initial position work not only within the sentence, but also, in a sense, cumulatively, between them.

*Rhetorical/Discourse Structure/Staging*. At this point we need to consider the steps or sequencing of communicative acts that the text can be broken down into. This is of course a kind of structural cohesive device as well, but one that we treat separately.

We had predicted, globally, some sort of initial 'Statement of Intent', but this does not arrive until Cl 4's "Today, I want us to move on to appraisal". This is then followed by Elaboration, as predicted. But let's attempt a labelling of the local stages:

Cl 1      OK now, are we ready to get down to work?

*Opening move – a sort of Demand for Attention*

Cl 2      Last time we saw each other, we started analysing the interpersonal functions of the clauses containing the NG "Americans" and the Classifier "American", in Donald Trump's speech on foreign policy in Washington DC on April 27, 2016.

*Statement (on past work)*

Cl 3 By the end of the lesson, we had probed their MOOD and MODALITY SYSTEMS.

*Additional Information*

Cl 4 Today, I want us to move on to appraisal.

*Statement of Intent (re the present lesson)*

Cl 5 Let's examine the resources of judgement and appreciation in these clauses now.

*Elaboration (on lesson plan)/Demand for Collaboration*

Cl 6 We're going to be trying to identify the evaluation being enacted in our text – that is to say, being inscribed, but also invoked.

*Additional Information 1 (re intended lesson)*

Cl 7 Despite our clause by clause focus, at the end we need to be able to say what the dominant semantic prosody is globally, throughout the text.

*Additional Information 2*

Cl 8 So then, let's start with "Americans" and concentrate firstly on the co-textual environment of the first instance of that NG in our text.

*Conclusion (of introduction)*

Cl 9 First of all, where exactly is it...?

*Question (initiating activity)*

As we point out in the Checklist in Appendix 1, labelling of the stages is not an 'exact' science! There is general agreement among scholars on many of the labels that are typically used, but there are many quasi-synonymous ways of labelling the same speaker act (e.g.; Statement/Assertion/Proposition...). And there is no reason in particular for excluding a new possibility *a priori*. In short, it's not something you need worry about doing. To note before moving on: this rhetorical structure would not have been predictable – pace Martin.<sup>5</sup> Indeed, even our global structure prediction was not exact!

### 1.3 Additional considerations

As indicated in the Checklist, after our text analysis proper, there are further considerations to be made. We needn't concern ourselves with defining the 'register', as we immediately did this: a didactic text – a lecture at university level on the subject of English Linguistics. But there are things to say about this text with reference to the 'typical' conglomerations of wordings that characterize registers.

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<sup>5</sup> Again, see section 2.2.2 on register vs. genre in Part I, where it is argued that predictability of discourse structure is less possible than Martin would have it.

Recall that, before beginning, we'd said that we are not claiming to offer all-inclusive typical characteristics which are valid for each and every text belonging to the register, which is a fairly 'open' one, even if circumscribed to the level of instruction and general subject matter of our text. Emerging from analysis, however, are certain features of the register which we feel may be considered to be typical, and so register-idiosyncratic (cf. Miller and Johnson 2013, 2014). Among these we may put features which we predicted: the speaker choices of *we/let's*; cognitive mental Processes; temporal circumstances; monogloss and contracting mechanisms; a lack of ellipsis; a speaker/hearer reference and participant chain; GP and meta-language. However, the text also lacks features we predicted would have important functions: e.g., relational Processes and circumstances of Cause and Manner, while it has features that we did not predict, because thought to be less idiosyncratic, e.g., additional kinds of Processes, participants and circumstances, and still others that are in fact fairly unpredictable, e.g., the precise nature of discourse structure components.

So then, the conglomerations of lexico-grammatical features that analysis has revealed are, first and foremost, those of this one specific very short text segment as activated by its particular CC. Secondly, with qualifications, they can also be said to be to some extent idiosyncratic, with reference to the type of teaching/expounding texts this one instance exemplifies: university lectures on the topic of English Linguistics (and in particular, FG!).

With reference to *dialect*, the speaker adopts Standard English (SE) – the prestige variety which is conventionally used (and which the students expect will be used) for teaching purposes in the EFL setting.<sup>6</sup>

Considering the *Rhetorical Aim* of the text in terms of Jakobson's categories, the text clearly focusses on the addressee (included in *we* and *let's*), indicating the text's typical primary *conative* function. But it also focusses on *context* (real world and textual), thus displaying a *referential* function as well. And we've already seen how the text explicitly focuses on the linguistic object of study and the activity of analysis, i.e., how the factor

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<sup>6</sup> This is not the place for elaborating on the subject, but from discussions concerning the reality of English as Lingua Franca in the author's Global English MA classes over the years, students admit to still wanting to be taught, and to achieve competence in, SE – better if British!

of the code – language and text – is also highlighted, giving the text a notable meta-linguistic/meta-textual function. This is of course highly typical of the subject matter of the text. Finally, a minor ‘*poetic*’ function, with focus on the form of the message itself, is brought about by the instances of parallelism identified above. Yet, as said, reiteration of the wordings, and thus of the meanings, of the text is another typical feature of the didactic text-type because seen as a highly valued pedagogic tool.

We turn now to the concept of *intertextuality* and *heteroglossia*. The text is an example of strong intertextuality, as we’ve defined it, in contrast with contratextuality, in section 2.3.1.1 of Part I. In no way does it challenge the conventional ways of making meanings of the hypothetical traditional ‘set’ of classroom texts to which it belongs. As we’ve also seen, engagement is selected for positioning the speaker as [+powerful] and the hearers as being expected concurrenners with the wishes and opinions of the speaker. Again, this way of meaning is thoroughly intertextual with conventional, i.e., not ‘alternative’ (or contratextual) classroom discourse. Therefore, in terms of Bakhtin’s theory of *heteroglossia*, the dominant force at work is the *centripetal*, rather than the *centrifugal*, one. Having said that, there will likely be times in which the speaker-teacher may express meanings that are contratextual with aspects of the dominant western cultural paradigm shared with the students – their common socio-cultural reservoir, which, however, is not a homogeneous monolithic entity by any means.

As far as Bernstein’s *coding orientations* go, the code regulating the teacher’s language choices is unquestionably the elaborated one. As hypothesized with this code, highly abstract experiential meanings are construed, though experiential metaphor is not in evidence. Moreover, the students’ attention is being focussed on the decidedly abstract features of the ‘virtual’ world of text itself (cf. Williams 2001: 42).

And interpersonal meanings are explicit, despite the clearly positional institutional role the teacher adopts. As we’ve seen, mood and engagement choices give us a speaker who frames unmistakably what *we* are going to do. Her power over the agenda: the selection of the activity, its sequencing, pacing, criteria etc., is absolute, non-negotiable, and – despite the conventional use of *we* – unambiguously so. Yet, rather than instantiating the kind of ‘imperative style’ of control (Hasan 1989/2009) that the

restricted code typically orients its users to, we suggest the text should be viewed as an illustration of a clearly *visible* – and so positive style of – pedagogy (Hasan 2001: 65), one that reasonably *explains* not just what is to be done, but also why.

The elaborated code's typical context independency is also an undeniable semantic quality of the text. The total lack of ellipsis, the reiteration of key words and concepts etc. all go towards constructing a text that is fully self-sufficient.

Next we will look at another text-type – the Procedural or 'how to' register, again working Top-Down.

## 2. *The Procedural, or ‘How-to’, register: one instance*

With this second Top-Down analysis we offer you a further example of how, when one knows the specific CC of a text, one can make predictions about the wordings and meanings that will presumably emerge from analysis. Despite not claiming to offer all-inclusive typical characteristics which are valid for each and every text belonging to this register, the subsequent comparison between the concrete findings of our analysis and these predictions will help us to see the linguistic resources chosen to instantiate *this* instance of a ‘How-to’ text. The extent to which such choices might then be considered register-idiosyncratic will be taken up in our closing considerations.

### 2.1 From the CC to predicting wordings/meanings

#### 2.1.1 The Field

The kind of *ongoing social activity* taking place is that of enabling/instructing (Matthiessen (2015a: 9-10, *passim*) those who are in need of/desiring guidelines on how to have a profitable job interview. The text’s title is “Interviewing 101: Tips for a successful interview”; thus the tips are aimed at the novice, not someone with experience of the activity.<sup>1</sup>

The specific *subject matter* is how to conduct yourself in any kind of job interview, and so the *sub-register* that this text belongs to might be labelled ‘a how-to-behave in an interview text’, meant to give advice to inexperienced people about how to behave verbally and non-verbally in a way that will get them the job.

*As a result, we can predict that:*

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<sup>1</sup> “Interviewing 101” alludes to the labels that US university courses are typically given: 101 would be a very basic course that offered the fundamentals of the subject; 201 would ‘flesh out’ those basics; 301 would go into even further detail, etc. The text is the same as offered in the first edition of this book, not only because it is still a valid example of the kind of advice given today (as an online search of ‘Interviewing 101’ will show), but also because the source of the 2003 text – Career Consulting Corner – has a largely identical text currently online at Career Consulting Corner – <http://www.careercc.com/interv3.shtml> (last accessed 29 November, 2016).

The *ideational (experiential) meanings* of the text, instantiated in/by its *transitivity structure*, will be likely to feature the following choices being made from the speaker's total meaning potential:

- Concerning *Processes*, we expect the material type, because this text should tell inexperienced people *how to do* things in the context of the job interview, or better, how to do them successfully. In addition, since an interview usually consists of a conversation between two or more people asking and answering questions, this implies an 'ideal' *verbal exchange*: we therefore also predict verbal Processes. In order to have a "successful interview", as the title of the text itself promises, those who will follow the steps in this procedure will presumably have to learn *how to behave*, so we might predict that this text will also feature one-participant behavioural Processes.
- As for the *grammatical participants*, the text is one in which suggestions and instructions are given to the *addressee*, so we can easily predict that s/he (as 'you') will often figure as the logical Subject in the transitivity structure (e.g., as Actor, Sayer, Behaver...). We might also predict 'Things' related to appropriate dress and demeanour functioning, perhaps as Goals. Also to be reasonably expected are wordings functioning as Verbiages – possibly expressing what the interviewee should/should not say.
- *Circumstances* are likely to define the temporal and spatial setting of this procedure: perhaps being related to a general time and place that the speaker indicates in describing the procedure. We therefore predict contextual circumstances of Location: Space (with possible references to settings like offices, rooms, and the like) and those of Location: Time. These last may also be generalized, since the interview being spoken about is presumably 'virtual', hypothetical, i.e., not taking place in a specified time and place. However, it's possible that time will be divided into pre-interview, interview and post-interview. Temporal circumstances may also function to order the steps of the procedure and so work 'text-internally'. Circumstances of Manner are also to be expected: with reference to *how* to do and say things during an interview. In addition, perhaps circumstances of Matter and Angle can also be predicted, since suggestions might

also concern general topics which may be discussed during the interview and the point of view which should be adopted. Then, as the text may suggest that the interviewee's motivations for applying for the job be made explicit, circumstances of Cause: Reason and/or Purpose may be found as well. As you see, the space for multiple circumstantial instantiation is not lacking! An unduly high incidence of *ideational grammatical metaphor*, in particular of nominalization, is *not* to be expected, since the text should be 'reader-friendly', and so not choose to package its information too-tightly. But some inherently metaphorical ways of saying which are commonplace, and so not problematic for the reader, could appear.

- Regarding *ideational (logical) meanings*, the *clause interdependencies and logico-semantic relations* should be responsive to the register, its subject matter, but also its inexperienced addressee. In short, the text should be easy to follow and therefore, predictably, will be simply structured. We can thus expect simple clauses through which the different steps of the procedure are explained, and/or simple clause interdependency with mainly paratactic extension. And, for the same reasons we've given above for not expecting much ideational metaphor, neither do we predict much embedding. Concerning logico-semantic relations, we may also reasonably expect to find circumstantial enhancing clauses, and for the same reasons as we predicted various types of circumstances above.

### 2.1.2 The Tenor

- The *statuses* of the human participants taking part in the activity include: firstly, that of the at least implied addressee, i.e. young people about to go out and try to find their first employment, and, secondly, a presumably 'disembodied' (never-explicitly-appearing) speaker, who is unidentified, but tacitly acknowledged as expert, as counsellor, with [+knowledge]. More specifically, the assumed addressee is the *soon-to-be-graduate*, of either undergraduate or post-graduate degree courses, and so somewhere between 22 and about 28 years old – as the very title of the text, but also the article accompanying article it, make amply

clear.<sup>2</sup> In sum then, instructor and instructed are the semi-permanent social roles/statuses of the human participants in the exchange. Such asymmetrical statuses will of course influence the *attitude* of the speaker to both subject matter and addressees, about which more will be said presently.

- the *discourse role* of the speaker is typically active and involves first of all advising, though at times it may also inform and even explain. The *inexpert* addressee has no active discourse role in the on-going social activity.
- The *attitude* of the expert speaker to the subject matter is typically [+professional] and [+serious], as getting a job is serious business indeed! And precisely because their statuses are asymmetrical, the attitude of the speaker towards the addressee is typically one of [+distance] and [-solidarity].

So then, *as a result, we can predict that:*

*interpersonal meanings* will be likely to be instantiated in terms of the following lexico-grammatical instantiations:

- Communicative functions and MOOD SYSTEMS: It is predictable that the speaker/informant, having [+knowledge] of the subject matter, will *give information* to the addressee/learner, making propositions in the form of *statements*, instantiated in/by declarative mood clauses. We don't expect that information be demanded from the addressee, and so do not predict interrogatives, though we cannot exclude the choice of 'rhetorical' questions, employed for instructional purposes. Because a procedure is not typically 'negotiated' and is meant to be followed in order to be effective, we can also predict that the speaker

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<sup>2</sup> The newspaper was the May 12, 2003 edition of *The Journal News*, a local newspaper in lower Westchester County in New York State (USA), which, however, largely carries syndicated news that is published in all Gannett-owned newspapers in the US. Gannett is one of the largest newspaper groups (monopolies) in the USA. For an overview of their many 'brands' see <http://www.gannett.com/> (last accessed 29 November, 2016). The paper can be located somewhere towards the 'popular' side of the 'popular'-'quality' newspaper continuum, which means that there is very little in-depth news coverage or attempt at multiple sourcing. It is also basically centre-right and 'middle-of-the-road' in its ideological/political leanings, which, in the USA, fundamentally means it endorses Republican Party candidates and policies. This background is important for 'reading' the text properly, as a 'model' reader would. The word 'model' here is used with reference to the notion of addresser-addressee alignment, i.e., the kind of addressee that has been variously termed the 'intended', 'ideal', 'model' or 'implied' reader/hearer, what Bakhtin himself called the "super-receiver", the ideal recipient whose absolutely appropriate understanding every author more or less imagines (cf. Todorov 1984: 110). For Martin and White(2005: 62), this would correspond to the 'compliant' reader (cf. Appendix 2).

will instantiate his/her [+power] in/by demands for the ‘goods & services’ of certain forms of behaviour, thus exploiting the imperative mood to make proposals about the necessary steps to be made.

- MODALITY SYSTEMS: Mood and modality being semantically connected, we can also make predictions about the use of this second system. Predicting an exchange of information in the form of information being given by the speaker to the addressee, we also predict an implicit use of modalization – possibility but perhaps also usuality. In addition, however, the predictable use of imperative clauses to enact a demand regarding interview behaviour also means the at least implicit selection of modulation on the part of the speaker. More explicit forms of obligation or willingness may also be in evidence, and so also perhaps some metaphors of modality. We do not, however, predict instances of metaphors of mood, due to the need for clear and unambiguous advice-giving.
- APPRAISAL SYSTEMS: As the speaker is likely to be concerned with giving instructions in the simplest, most ‘objectively’ concise, ‘no-nonsense’ way possible, one might predict that instantiation of explicit evaluative language will be low. The speaker is not likely to be a subjective ‘I’, whose subjective evaluations are explicitly voiced. However, we can reasonably expect a certain amount of implicit affect to be enacted by the speaker, who will predictably enact ‘interest’ in the addressee’s success. Moreover, advised behaviour might well be judged as positive, explicitly or implicitly. And it is highly likely that we will find engagement mechanisms working to state ‘barely’, i.e. monoglossically, and/or at least to ‘contract’ the speaker’s meanings and to position the hearer as aligned with them. After all, a procedural text typically presumes that people go to it voluntarily for advice and so are already ready/willing to ‘do the right thing’ in order to have the desired results.

### 2.1.3 The Mode

- The speaker and hearers do *not*, in this setting, share text creation. Meaning-making is primarily the job of the sole-speaker and so the text is monologic.

- The *channel* of the communication is exclusively graphic. This specific text appeared within a highlighting frame which was inserted into the newspaper spread dedicated to the ‘first-job-market’, and thus was part of its original ‘multimodal’ presentation.
- The *medium* of the text is slightly more written than spoken. Compressed ways of saying contribute to a certain degree of lexical density and information packaging. At least in part, this admittedly goes against what we said above concerning a need for ‘reader-friendliness’. However, its ‘telegraphic’ ways of saying here are not particularly difficult to ‘consume’, but inevitably make for a certain degree of information packaging.
- The text is basically *context-independent*, i.e., one is able to understand it easily without extra-textual information. Nonetheless, the intended addressee is presumed to have a certain knowledge of the interview setting, its typical human participants and purposes, etc., though only in generally recognizable terms.
- the *role of language* of the text is constitutive, as far as the written text is concerned. But it is serving to facilitate the social process of *conducting* a successful interview, so is ancillary to a *future performance*. So we have primarily language as action.
- Due to the specific how-to-behave aims for which it was written, the text’s *organization* is functionally ‘rational’, with its discourse/rhetorical staging and method of development (Thematic Progression) reflecting this. Procedural texts are often ordered according to a step by step process. This one is not. We’ll have more to say on this below.

*As a result, we can predict that:*

*Textual meanings, or the ‘enabling’ textual meta-function, without which – again we remind you – the ideational and interpersonal meta-functions would not become text, will be likely to be instantiated in terms of the following lexico-grammatical selections:*

*Structural Cohesive Devices:*

- *Thematic Progression*: as it is reasonable to expect that the ‘method of development’ of this text should be as easy as possible to follow, some identifiable form of Thematic Progression is likely to prevail and serve as the

method of development of the text construction by stages, even if not rigorously step by step. For instance, if imperative clauses dominate, it is possible that a Process as Topical Theme (TT) will be a constant feature, along with the always-implied message of ‘I want you to’ which semantically precedes an imperative. In this case, progression would be parallel.

- *Information Structure*: (not dealt with; cf. Checklist in Appendix 1).
- *Grammatical Parallelism (GP)*: Although no primary ‘poetic’ function can be expected in a procedural text, some prediction about certain kinds of structure repetition – perhaps functioning to make the text easier to follow/remember – can reasonably be made. For instance, once more due to the predicted imperative mood clauses, we can expect to find reiterated Predicator as Theme, along with perhaps a noteworthy reiteration of the addressee as a grammatical participant in the transitivity structure, which may itself be reiterated in terms of a Do X/Do Y structure.

*Non-Structural Cohesive Devices: reference, ellipsis/substitution, lexical relations and conjunction* (i.e., between sentences, over stretches of text)

A high incidence of ellipsis/substitution is not to be expected, once again for reasons of clarity. In addition, we can foresee – on the basis of the description of the CC performed above – the instantiation of *reference chains* constructed through personal pronouns (e.g., ‘you’ referring to the *addressee*), as well as *lexical strings*, perhaps related to the ‘actions’ which one is advised to carry out, or the interview itself. Such chains/strings will function as cohesive *participant chains*.

When speaking of logical meanings *within* clause complexes, we predicted these would be simple and clear. This prediction holds good here at the level of text as well. Indeed, despite a lack of scrupulously ordered steps, we expect that *conjunction* will serve, explicitly or implicitly, to construct a well-articulated text and also that its *rhetorical/discourse structure* will reflect this. It is not easy to predict the local stages in detail, especially as the text lacks a clear-cut step by step organization, but global staging may be expected to have something like: a first series of steps suggesting a proper ‘preparation’ for the interview ^ (followed by) another set of stages in which the

virtual interview will be dealt with ^ a third section containing perhaps some final general or recapping considerations.

## 2.2 The Text

We will now see and analyse the authentic text whose meanings/wordings we have been predicting on the basis of the description of its CC – the “significant attributes of the social activity” which is receiving its expression in a text (Hasan in Halliday and Hasan 1985/1989: 56). Of course, we also aim to see to what extent our predictions were accurate. The text is the following:

### ***Interviewing 101***

#### *Tips for a successful interview*

- Tip 1: Have a Plan** – Research the company and the position, and if possible, the people you will meet with at the interview. Have your facts ready.
- Tip 2: Role Play** – Once you’ve done your homework, begin rehearsing. Write down answers to questions you could be asked, and write down questions you want to ask.
- Tip 3: Eye Contact** – Maintain eye contact with your interviewer and show interest that you want the job.
- Tip 4: Be Positive** – Avoid negative comments about past employers.
- Tip 5: Adapt** – Listen carefully. Be sensitive to the style of the interviewer. Pay attention to details of dress, office furniture and general decor to assist in tailoring your presentation.
- Tip 6: Relate** – Try to relate your answers to the interviewer and the company. Focus on achievements relevant to the position.
- Tip 7: Encourage** – Encourage the interviewer to share information about the company. Demonstrate your interest.

*Source:* Career Consulting Corner

from *The Journal News*  
Monday – May 12, 2003

Cf. text at Career Consulting Corner at <http://www.careercc.com/interv3.shtml#Well>

### 2.2.1 The grammar of the clause as representation

We'll now begin with a selective look at the lexico-grammar instantiating the ideational meanings determined by the Field of the CC of our text, taking the experiential meanings first and then the logical ones.

#### 2.2.1.1 Transitivity

What are the main Processes and their inherent participants at work in this text?

Transitivity analysis confirms to a great degree the predictions we made above. The text features, as foreseen, mostly material Processes, both concrete and abstract: *meet*; *have done*; *begin rehearsing* – a VG complex of the elaborating ‘time-phase’ kind, and we’d predicted temporal setting would need to be defined – *write down* (twice); *maintain*; *pay*; *encourage/encourage to share* – this last one being an example of a causative VG complex, with the addressee as implied Initiator/Agent. Moreover, we had foreseen the addressee as a predominant participant, and s/he is: instantiated, however, largely implicitly, owing to the prevailing imperative mood that we’d also expected, or in down-ranked embedded clauses. Goals, as we predicted, are realized by NGs featuring ‘Things’ and Persons having to do with job interviews generally speaking: e.g., *people*; *your homework*; *answers*; *questions you could be asked*; *questions you want to ask*; *attention*; *information*. There is also a Range as participant: *eye contact*, which reiterates the title of “Tip 3”. Two behavioural Processes are instantiated: *Adapt* and *Listen* – both somewhere between the material and mental types. Also as predicted, the text does instantiate verbal Processes, but, contrary to expectations, they are exclusively of the *symbolic* kind: i.e., *show*, *avoid*, *demonstrate*, which enact the sending of a ‘signal’, and have as their Verbiage the proper signal to be sent out, or not. These Verbiages include: a post-modified NG (*interest that you want the job*)<sup>3</sup> and two pre-modified NGs (*negative comments*, *your interest*). The Sayer, however, is once more only an implied ‘you’, again because these Processes are instantiated in/by imperative mood clauses.

We find three instances of relational Processes, which we did not foresee, but which are certainly *not atypical*: *have* (twice, possessive, both in “Tip 1”), and *be* (again twice,

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<sup>3</sup> It should be noted here that the grammar of this clause, *show interest that you want the job*, is decidedly ‘strange’, i.e., marked; it appears to combine what would be more congruent, co-representational versions of the meanings here: viz. 1) *show interest in the job* or 2) *show that you want the job*. An example of what happens when deadlines must be met?

attributive, in “Tip 4” and “Tip 5”). Again, these Processes are being realized in imperative mood clauses, so both Possessor and Carrier are once more only an implied ‘You’. The Possessed, *a plan* and *your facts*, are typical Things to be told to ‘have’ (‘to have your facts’ could more congruently be represented as ‘to find out what you need to know about something’, so is a kind of experiential metaphor, which we’ll come back to below). The Attributes are *positive* and *sensitive*, qualities seen as enabling the Carrier to, respectively, make a ‘good impression’ as a job applicant and to understand what kind of interview ‘style’ is required. We also find mental Processes, of the cognitive type: *research*,<sup>4</sup> *try to relate* – a VG complex of the ‘trying and succeeding’ category, the semantics of which *should* have really been foreseen as typical of a ‘how to’ text! – and *focus on*. As with the other kinds of Doers, the Senser is again always an implied ‘you’. The Phenomena functioning in these are *the company and the position, and if possible, the people you will meet...*; *your answers*, and *achievements*. Although the *addressee* appears explicitly less than we had foreseen, s/he is always implied or, as here, made otherwise explicit. His/her importance to the ‘goings-on’ in the text was thus rightly predicted.

Regarding circumstances, our predictions in terms of Location: Time (*at the interview*), and Space (*to the position*), construing spatial and temporal setting, were accurate, even though they are scarcer than expected. The text, moreover, is implicitly future-oriented as a result of the prevailing imperative mood clauses – as predicted. We also have at least one example of a circumstance of Manner (*carefully*), and a non-finite enhancing clause of Cause: Purpose (*to assist in tailoring your presentation*), all pertaining to different general aspects of the interview and therefore typical of the grammar of the subject matter of the text. The text also has a large number of those predicted circumstances of Matter: *to questions you could be asked; about past employers; to the style of the interviewer; to details of dress, office furniture and general decor; to the interviewer and the company; to the position; about the company*, all giving specifics about the subject matter and, in particular, about *what counts* in this

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<sup>4</sup> *Research* is actually a kind of ‘hybrid’ process type, involving material activities – actively looking for – as well as mental ones – examining and selecting. Since we consider the latter as predominating, we’ve categorized it as mental. The instantiated second participants preclude, for us if not for all functional grammarians, the choice of ‘behavioural’, which we opted for with *Adapt* and *Listen*.

setting. We also get an instance of a circumstance of Accompaniment (*with your interviewer*), not predicted.

We also didn't expect much experiential metaphor. However, the text does instantiate some ways of saying for which an at least slightly more congruent realization could be offered. One of these we have already mentioned above: *Have your facts ready*. Indeed, 'to have your facts' is to 'discover what it is that you need to know about something', and this seems to be confirmed by the meanings of the following clause in the text: *Once you've done your homework* (i.e., got your facts). The more congruent wording would involve mental activity, rather than simply the result of it, as in the original: possession of the facts. It would also connect up better to our mental interpretation of *research*. Another somewhat metaphorical wording is *Be sensitive to the style of the interviewer*, whose more congruent (but perhaps less 'modern') version would be: *Observe the style of the interviewer*: another cognitive mental Process, instead of a relational one. Still another is the long common way of saying: *Pay attention to details of dress, office furniture and general decor*, whose more congruent realization could be said to be: *Notice details of dress, office furniture and general decor*, thus once again realizing a mental Process, instead of an abstract material one. *To assist in tailoring your presentation* could actually be more congruently reworded as a causative: i.e., 'so that you can help yourself to make your presentation fit the setting'. From the meaning of the material Process 'to tailor' comes the notion of 'fit'. But only this last way of saying involves nominalizations of Processes and none suppresses the assumed Doer. And, with the exception of this last instance, all are typical contemporary ways of saying that are widely recognized/understood – the kind we'd said might appear.

#### 2.2.1.2 Clause interdependency and logico-semantic relations

As we foresaw, the text realizes mainly independent clauses, either single or paratactically extended. We also have instances of hypotactic enhancing clauses, we said we might, and a certain, unexpected, number of embedded clauses, mostly functioning as qualifying post-modifications. All relations are explicit. We'll now itemize these, tip by tip, and in terms of interdependency and logico-semantic relations

both *within* and *between* sentences, though the latter, remember, are more properly textual in their function.

“Tip 1” of the procedure opens with a clause-complex formed by an independent clause to which a dependent, hypotactic enhancing clause is linked (conditional: *if possible*, from which the *it is* is ellipped, as is extremely typical in both spoken and written English and most registers). Then a single clause is instantiated.

“Tip 2” opens with a clause-complex formed by an independent clause, which is preceded by and explicitly linked to a dependent hypotactic enhancing clause, this time temporal: *once you’ve done your homework*. Then we have another clause-complex, formed by two independent clauses in an explicit relation of paratactic extension (the ‘and’ relation), both containing embedded post-modifying clauses (questions *you could be asked* and questions *you want to ask*).

“Tip 3” contains only one clause-complex, which is formed by another two independent clauses. Again these are in a relation of paratactic extension (again, the ‘and’ relation), the second of which contains that rather marked embedded post-modifying clause (interest *that you want the job*) which we spoke of in note 3 above.

“Tip 4” contains only a single clause.

“Tip 5” opens with two single clauses. These are followed by a clause-complex formed by an independent clause to which a non-finite dependent clause is linked by a relation of, once again, hypotactic enhancement (this time of purpose: *to assist in tailoring your presentation*). The latter contains another non-finite clause, a nominalized Act (*tailoring your presentation*). As you’ll recall, Acts are incongruent nominalizations of Processes that are embedded.

“Tip 6”, as well as “Tip 7” contain, respectively, two single clauses.

Notice that, although the text contains embedding, which we didn’t anticipate, only the last instance, *To assist in [[tailoring your presentation]]*, departs in any way from the basically ‘every-day’ language characterizing the text. The co-representational causative version offered above would be less nominalized. The rest are basically typical examples of post-modifying relative clauses (with the relative pronoun deleted, as is typical – generally speaking – in English – in spontaneous conversation as well as legal language!).

## 2.2.2 The grammar of the clause as exchange

And now to examine the lexico-grammar instantiating the interpersonal meanings determined by the Tenor of the CC of our text.

### 2.2.2.1 About the speaker

First of all, as predicted, the speaker in this text never explicitly appears, and is thus always only a disembodied voice, whose asymmetrical relationship with the addressee we commented when sketching their respective statuses above. This relationship enacts a first human participant (the speaker) having [+power] than the second human participant (the addressee). However, s/he does not keep the categorical [+distance] from the addressee predicted, as we'll see better in considering implicit affect below. Neither, however, does s/he enact [+intimacy]. The ongoing social activity is indeed carried out exclusively by the speaker, who is [+expert] and has [+knowledge] and thus absolute control over the interpersonal meaning-making process. The *you* referring to the addressee is explicitly instantiated five times, in addition to its pervasive implicitness due to the large number of imperative and deictic possessive *your* appears six times. These are considerable numbers in such a short text, attesting to the prominence of the inexperienced participant.

### 2.2.2.2 Mood, modality and appraisal

Since they tend to intersect in the text, we'll consider all systems enacting interpersonal meanings together here.

As noted, the text selects almost exclusively for imperative mood clauses (20 instances in all). Although we had predicted a certain number of declarative mood clauses, these are never instantiated in *independent* clauses. Only once is this Mood chosen, and in a fronted, *dependent* clause, construing the passage from one stage of the activity to another: *Once you've done your homework*. The accent in the text is thus overwhelmingly on demanding 'goods & services' rather than on giving information, at least *directly*. Much 'information' is indeed presumed as being shared between speaker and addressee, however. This is linked to the SYSTEM of ENGAGEMENT, and also to the judgement as enacted in/by the text, but also to the whole notion of intertextuality, to which we will come back below. But let's explain this better.

In general it is actually the almost invariable use of the imperative mood of the coercive positive type that helps to enact the *typical non-negotiability* of a procedural text, and this text instance is no exception. Moreover, the continuous demand for ‘goods & services’ through the imperative also gives us, as always, implicit modulation, the predominant modality direction in this text, as noted when we were predicting clause as exchange choices.

But let’s stop and think a moment about what the use of such interpersonal ways of saying suggests. The speaker apparently assumes that the addressee is aligned/concurs with his/her own position. No alternative speaking positions are invoked/acknowledged. This is *not* done through the monogloss, however, or even by means of other typical ‘contracting’ resources of engagement: e.g. the Proclamation or the Denial. It is done much more covertly, simply by the speaker *assuming* the right to make such demands and *presuming* that whoever goes to the text for such advice will ‘naturally’ agree with the speaker’s position and follow his/her instructions. In other words, the ‘Do X/Do Y’ message postulates that Doing X and Y is the *right thing to do*, and that the reader will agree – IF, that is, the reader wants to make his/her interview a successful one, and that much can indeed be safely presumed. We will take this question up again below when considering both the SYSTEM of JUDGEMENT, as well as the wider ideological implications of the text: its ‘intertext’.

As far as additional instances of evaluative language are concerned, analysis shows more or less what we had predicted in terms of APPRAISAL SYSTEMS. The language selected by our disembodied speaker does indeed enact implicit affect: the text, globally considered, presumes, and ‘tokens’, or ‘invokes’, an interest, an ‘investment’ so to speak, on the part of the instructor in the success of the interview. Moreover, the attention paid to the details of how-to-behave amply substantiates such ‘interest’: e.g. *Once you’ve done your homework; Listen carefully; Be sensitive; Try to relate; Encourage the interviewer*, etc. In addition, there is an explicit, *inscribed*, demand for the addressee to at least *appear* to have the same kind of affect as well: *show interest; Demonstrate your interest*. And it is in consideration of such strongly invoked interest that we have now said that the speaker’s attitude towards the addressee is but a qualified [+distance].

Invoked judgement is also enacted. The SYSTEM of JUDGEMENT, recall, draws upon the SYSTEMS of MODALITY/MODULATION, which, as we've said, is overwhelmingly deontic in this text. So – now coming back to the question of the non-negotiability of the text and what we've just said above regarding engagement – we have an implied assumption that the *addressee* is being taught the *proper way* to conduct a job interview. And this assumption gives us globally invoked judgement in terms of the +ve 'propriety' of the recommended behaviour. In short, all the speaker's proposals/demands are being textually legitimated as being socio-culturally proper – and expected – ways of behaving in the interview context. And, in this sense, invoked +ve judgement: normality can also be hypothesized.

### 2.2.3 The grammar of the clause as message

At this point we focus on the lexico-grammar instantiating the textual meanings determined by the Mode of the CC of our text, as described above.

#### 2.2.3.1 Structural cohesive devices

*Thematic Progression, or method of development:* to trace Thematic Progression across texts, we'll now identify the Topical Theme (TT) of each clause. To this end, as we did with the didactic text, we divide the text segment into its ranking clauses below:

- Cl 1     **Research** the company and the position, and [if possible <sup>5</sup>], the people you will meet with at the interview.
- Cl 2     **Have** your facts ready.
- Cl 3     Once **you**'ve done your homework,
- Cl 4     **begin** rehearsing.
- Cl 5     **Write down** answers to questions you could be asked,
- Cl 6     and **write down** questions you want to ask.
- Cl 7     **Maintain** eye contact with your interviewer
- Cl 8     and **show** interest that you want the job.
- Cl 9     **Avoid** negative comments about past employers.
- Cl 10    **Listen** carefully.
- Cl 11    **Be** sensitive to the style of the interviewer.
- Cl 12    **Pay attention** to details of dress, office furniture and general décor
- Cl 13    to assist in tailoring your presentation.
- Cl 14    **Try to relate** your answers to the interviewer and the company.

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<sup>5</sup> Although technically dependent and so ranking, this elliptical clause – which pertains only to the third participant in Process 'research' – will not be analysed separately.

- Cl 15    **Focus** on achievements relevant to the position.
- Cl 16    **Encourage** the interviewer to share information about the company.
- Cl 17    **Demonstrate** your interest.

In Cl 1, the Topical Theme (TT) is the Process: *Research*. In Cl 2, the TT is again a Process, *Have*. In Cl 3, the TT is the reader as participant: *you*. In Cl 4, it is the VG complex: *begin rehearsing*. Cls 5 and 6 construct fully parallel Thematic Progression, both having as TT the exact same Process: *write down*. Cls 7, 8, 9, 10, 11 and 12 all have different Processes as TT: *Maintain; show; Avoid; Listen; Be*, and *Pay*. Cl 13 is a non-finite purpose clause, which we do *not* need to analyse for TT (Halliday 1985a – IFG2: 264-272). If we were to propose a finite paraphrase, however, e.g., as in the causative suggested above: *so that you can help yourself make your presentation fit the setting ...* ‘you’ would be the TT. Cl 14 also has as TT a VG complex: *Try to relate*. Cls 15, 16 and 17 again all have different Processes as TT: *Focus on; Encourage*, and *Demonstrate*.

So then, apart from a single instance of proper parallel progression, each TT is actually different. *And yet*, the implied meaning of ‘I want you to’ preceding these Predicator-imperatives gives the text an implicit parallel semantic progression almost all the way through. In addition, if we look more carefully at the Rhemes, we can see that *you* or *your* appears in 9 of the 17 clauses. This gives us a considerable parallel progression of Rheme as well. As a result, the text can be said to be highly cohesive in terms of its method of development, and so also easy to follow, as we predicted it should, typically, be.

Before leaving Theme/Rheme, observe the cases of multiple Themes. In both Cls 6 and 8 we have *and* as Textual Theme, and, in Cl 3, what is a temporal Mood Adjunct, *Once*, functions as Interpersonal Theme, underlining that the action demanded (*begin rehearsing*) shouldn’t take place before the time is ‘right’. Remember that this dependent clause is also the only declarative mood clause in the text.

#### *Grammatical Parallelism (GP)*

Of course the text has no real poetic function. However, there is GP in the constant reiteration of certain items, linked with a corresponding reiteration of their meanings. In ascending order then:

*Words:* As already noted, the word *you* is repeated five times, and the deictic possessive *your* six times. The fact that this pronoun and deictic possessive are seen to function at various levels of the clause means that they are vitally important to the construction of the text's meanings globally. It underlines the importance of the *addressee* as potential performer of the proposals instantiated in the text. Indeed, the procedure is constructed around his/her figure. Other reiterated words are dealt with under *lexical strings* below.

*Groups:* Accordingly, the group *your* + 'Thing' (*facts, homework, interviewer, presentation, answers, interest*) is also repeated six times, construing a 'personalized' message, so to speak. Specific Deictic *the* + *interviewer* is repeated four times and + *company*, three times, highlighting these indicators of the subject matter.

*Phrases:* Prepositions *to* or *about* head those seven circumstances of Matter: *to questions you could be asked; about past employers; to the style of the interviewer; to details of dress, office furniture and general décor; to the interviewer and the company; to the position; about the company*, again stressing the denotative lexis of the subject matter.

*Clauses:* Due to the predominance of imperative mood clauses, as predicted a specific clause structure is almost always reiterated. We can talk of these in terms of Mood structure: Predicator ^ Complement, which is indeed what we had expected: the reiteration of the Do X/Do Y structure – or in terms of transitivity: material Process ^ participant.

#### 2.2.3.2 Non-Structural cohesive devices

Again, as expected, the typical grammar of this text-type includes a crucial use of *non-structural cohesive devices*:

There is hardly, as foreseen, any *ellipsis/substitution*, which fundamentally consists in the unmarked, because common, deletion of relatives. We expected, however, to find *participant chains* in the text, composed primarily of the addressee, and this is exactly what we get. This is the result of the *reference chain* made up of all those *yous* and *yours*, which we've now noted as having important functions at many levels of analysis. Once again they are significant: here, for making the text cohere around this figure. Their significance for the text's meanings as a whole is thus further reinforced.

The text also features *lexical relations* of quasi-synonymy: e.g. *job* and *position*, and the text itself actually constructs a relation of meronymy (the whole-part relation), obtaining between the interview and what can be seen as its parts: all of the separate tips given about it, and more in particular, the activities being demanded: researching, rehearsing, adapting, relating, and so on. *Lexical strings*, also forming *participant chains*, include reiterated *interviewer* and *company*, noted above under GP, and *collocation*, the tendency of specific lexical items to co-occur, is exemplified in/by the NGs *answers* and *questions*, and *answers* and *interviewer* – typical collocations with respect to the subject matter of the text.

Our expectations regarding *conjunction* were at least in part right: no conjunction *between* sentences takes place, as the physical structuring of the text into separate tips makes it unnecessary, and improbable. Yet, we might hypothesize an implicit extension: addition relation between these: ‘And do X’. However, as noted under Mode, the ordering of the tips, or steps, in the procedure, does *not* consist of a wholly logical or even temporal progression. If the ordering were in part different (among the last four tips in particular), not all that much would change. Radically different from a recipe or how-to-assemble-something text, following the steps in the order they appear is not necessarily mandatory. If, on one hand, we do have clearly distinguishable and recognizable ‘stages’ of some kind, because we get tips that are clearly labelled numerically, on the other, the ordering after a certain point is rather arbitrary.

This reflects on the *rhetorical/discourse structure* of the text as well, which we initially expected to be a lot more ‘ordered’ than in fact it is. We *were* right about the first stage we’d predicted globally, i.e., a proper ‘preparation’ for the interview. Indeed, a proper *pre*-preparation for the job interview is the topic of “Tip”s 1 and 2, related to the ‘ground work’ needed before even arriving on the scene: looking into the company, its job offerings and personnel, and then compiling questions which might be asked and those ‘you’ might want to ask. We were even basically right about what follows this: another set of stages in which the virtual interview is dealt with. But there is no discernible stage in which final general considerations and concluding remarks are made. All things considered then, perhaps ‘procedure’ isn’t the best label for this instance of the register, which remains, however, unmistakably a text-type concerned with instructing on ‘how-to’.

### 2.3 Additional considerations

At this point there are further considerations to be made. We've already dealt with defining the *register*, while the *dialect* the speaker adopts is, typically, Standard English. Again, however, there are things to say about those typical conglomerations of wordings that are said to characterize registers.

Once more, remember that we aren't putting forward typical characteristics which are always valid for each and every text belonging to the register, which is typically fairly closed but varies according to what is actually going on. In short, all that can be said for sure without large corpora studies of the register is that the conglomerations of lexico-grammatical features that analysis has revealed are those of this one specific text. And yet, certain features do emerge which may intuitively be considered to be register-idiosyncratic. Among these are: the predominance of material Processes; explicit/implicit 'you' as essential participant; circumstances of Location (both temporal and spatial) and those of Manner and Cause; the imperative mood clauses which are also vital meaning-making mechanisms in terms of modulation, and also the future-time orientation of language as action; Thematic Progression and GP; a disembodied all-powerful speaker whose voice covertly aligns the addressee with his/her speaking position, and so on. These are largely idiosyncratic with reference both to this type of enabling/instructive register and the subject matter this one instance exemplifies: 'how to' have a successful job interview.

Considering the *Rhetorical Aim* of the text in terms of Jakobson's categories, the functions of the text are, firstly, *conative*, focussing as it does on demanding behaviour from 'you', addressee, and secondly, *representational*, through its focus on the real world context of the interview. In addition however, we find a noteworthy *meta-lingual* function, due to the focus on the linguistic activity of questioning and answering as well. Finally, a minor *poetic* function is the result of the GP which emerged from analysis above, especially that Do X/Do Y clause structure parallelism noted. The concurrent semantic parallelism Jakobson theorizes for GP has an important role here too, as does the related mnemonic function of GP. In Matthiessen's more delicate *registerial cartography* based on Field, this register is seen as being

enabling/instructive– but also potentially expounding (explaining) – and often sequentially (2015a: 9). These particular activities highlight the speaker’s activity – but also the recipient/beneficiary of the activity – the addressee. This text is obviously enabling/instructive; there is, however, no real *explaining* going on. If there were, there would be a certain overlap with the Didactic text-type, i.e., the text would demonstrate hybridity. And, as we’ve seen, neither is obligatory sequence all that vital to its ways of meaning.

We turn now to the concept of *intertextuality* and *heteroglossia*., and so also to the question of the non-negotiability of the text we began to discuss when considering engagement and then judgement. It was highly unlikely that this text could be some kind of contratextual, alternative, or ‘experimental’ instance of its text-type (as note 2 above also pointed out). This particular text is, in fact, a ‘typical’ instance of its text-type: strongly intertextual and an example of Bakhtinian centripetal forces of heteroglossia at work. It re-proposes long-established and unquestioned ways of giving ‘empowering’ advice regarding how to behave in interviews, but also fully re-legitimizes a ‘market model’ of the job-seeker: certainly not ‘new’ but, in a world where the competition for jobs gets only more and more aggressive, increasingly transparent. The tips given here are on how to be the kind of potential employee that a company is seen as desiring: interested, knowledgeable, extroverted, personable, ambitious – someone, in short, who is better than the ‘average’ job-seeker – indeed, the best! This market-world-view construed by the text is wholly unchallenged and fits perfectly into the American Dream’s notion of anything being possible to those who try hard enough to get it. It fits perfectly with the simplistic (and largely fictitious) idea that a huge dose of ambition – and a few to-the-purpose tips – is all one needs to succeed.

Regarding Bernstein’s *coding orientations*, we find a mixed orientation; indeed the wordings/meanings characterizing this instance of the ‘how-to’ register are regulated by the restricted code to a greater degree than perhaps expected. Although the text is addressed to the educated middle class soon-to-be-graduate who has certainly had access to an individuated role system, the semantic directions of the text are also rooted

in the communalized role system, entrenched in a dominant cultural ‘reservoir’ having norms that are to a great extent ‘positional’, rather than ‘personal’.

As a result, *interpersonal meanings* are explicit in terms of the demands clearly being made, but those demands are made within a taken-for-granted speaker-addressee relationship, and *without* ever really explaining *why* they are made. Now, perhaps the ‘why’ is so obvious in this case that it needn’t be elaborated on, but the fact remains that the non-negotiable speaker’s voice in this text would appear to have much in common with the imperative style of control of the mother who commands her child to ‘just do it’ (cf. Hasan 1989/2009). Of course, the potential for such a message to impact negatively on the reader diminishes to the degree that s/he shares the cultural and the material and social context it is produced in and refers to, meaning to the extent s/he too endorses the social value our society attaches to the taken-for-granted role that a successful job-applicant must learn to play.

Likewise, *experiential semantic orientation* is mixed: moving from the concrete and the particular (Things especially: e.g., *interviewer, company, position, people, questions, answers*), towards the abstract and generalized (Processes mainly: e.g., *be sensitive, relate, encourage, demonstrate*). *Textually*, despite its organization being in some ways haphazard – no inter-segment conjunction, no clear ordering of the many tips – the text is context-independent, ‘self-sufficient’, as an elaborated coding orientation would dictate.

Our analysis is now – for our purposes – complete. In the following section, we’ll be looking at illustrations of Bottom-Up analyses, of still other functional varieties of text.

## Working Bottom-Up

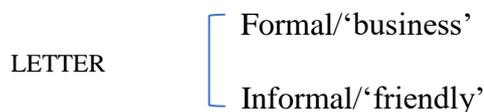
We'll now start our practice in analysing Bottom-Up. As your Checklist in Appendix 1 makes clear, this means that we begin our analysis at the bottom stratum of the multiple-coding realization system, i.e., at the level of the clause, examining the wordings instantiated and their meanings. In doing this work, Figure 14 of the Process of text creation above in Part I, along with the Checklist in Appendix 1, will of course remain fundamental points of reference.

Only afterwards – with our analytical findings in hand – do we attempt to reconstruct the relevant contextual variables of the Situation of Context or, better, of the concrete material and social Contextual Configuration (CC) which has tended to activate these wordings/meanings. As said towards the end of Part I of this course book, there are no simple, one-to-one correspondences between these strata – no hypothesis of an *automatic* 'hook-up' between them. In spite of this, the task of recreating the relevant parameters of the CC on the basis of our results is possible; it can actually be quite exciting as well. And, although it is perhaps clearer when working Bottom-Up as we do now, the same caveat made with reference to the Top-Down analyses we've done must be once again put forth: that is, we are *not* claiming to offer all-inclusive typical characteristics which are valid for each and every text belonging to the register, but only those emerging from analysis of the single instance. Having said that, however, many of these mechanisms – together with the CC we then reconstruct – may be hypothesized as being to some extent register/sub-register-idiosyncratic.

As we did with our Top-Down analyses, further considerations concerning theories and notions dealt with in Part I will also be made in closing.

### 3. *The Letter Register: one instance of the ‘formal letter’ sub-register – the CV cover letter*

The text we propose here is an instance of the general register category of the ‘letter’, which in itself is a fairly open register. In addition, however, it is an instance of the sub-register, the ‘formal letter’, which is contrasted with the ‘*informal letter*’, so its openness is delimited. Another common label for the ‘formal’ sub-type is ‘business’ (meant in a fairly wide sense), while informal letters are often also known as ‘friendly’ ones, as in the figure below:



**Fig. 15: The letter as register/sub-register**

The two types can be distinguished according to many of their contextual parameters and typical wordings/meanings, as one would expect. For instance, the formal letter typically has addressees that are unknown to the writer, while the informal one has readers like family members and friends: hence the term ‘friendly’. Semantically, this makes for [+distance] between interlocutors in the formal variety, which in turn tends to make for various other of its characteristics as well: e.g., higher context *independency*, a more ‘written’ medium, etc. Variations, of course, will occur as a result of the specific CC variables of the concrete text being instantiated: its subject matter; its interactants, and so on. Our text is a CV cover letter, so its register is even further circumscribed, less open, but in no way is it highly closed.

#### 3.1 The Text

Our text instance is reproduced below:

[Your Name] [Address]
[Hiring manager's name] [Hiring manager's company name] [Company address]
[Today's Date]
<p>Dear Mr/Mrs/Miss/Ms <b>[Hiring manager's name – if not known, simply Sir/Madam],</b></p> <p>I wish to apply for the role of <b>[Job Title]</b>, currently being advertised on <b>[website url]</b>. Please find enclosed my CV for your consideration.</p> <p>As you can see from my attached CV, I have recently completed my <b>[most recent qualification – e.g. GCSE's, A-levels]</b>, and am expected to earn a <b>[projected grades]</b> in <b>[relevant subjects]</b>, which I believe I can put to practical use in this role.</p> <p>This position particularly interests me because of my passion for <b>[Subject]</b>. During my studies, I researched topics such as <b>[topics or modules relevant to the position]</b>, which helped build my knowledge around the subject.</p> <p>I further added to my interest in this field independently. For example, recently I have <b>[completed work experience/attended an event/volunteered]</b> which helped me expand upon, and start practically applying, what I've learned in my studies.</p> <p>I see the role of <b>[Job Title]</b> as the perfect position for me to make the most of my passion and enthusiasm, and also build the foundations for a successful career in the <b>[X industry]</b>. Despite my limited work experience, I believe my eagerness to learn, coupled with my <b>[relevant skills]</b> will help <b>[company name]</b> build upon their reputation as <b>[state their position in market – learned through your research]</b>.</p> <p>Thank you for your time and consideration. I look forward to meeting with you to discuss my application further.</p> <p>Yours sincerely/Yours faithfully <b>[Use sincere if you have used the hiring manager's name, if not known, use faithfully],</b>          [Your name]          [Contact phone number]          [Signature - if desired]          From <a href="https://www.reed.co.uk/career-advice/school-leaver-cover-letter-template/">https://www.reed.co.uk/career-advice/school-leaver-cover-letter-template/</a></p>

Note that the text is a 'facsimile' of the CV cover letter, and in particular of the 'school leaver' variety, meaning it's the kind of letter someone who has just completed his/her studies and is applying for a first job is being advised to write. Also bear in mind that the facsimile is formulated to be completed by the applicant, so that theoretically there is room for modification of the results of analysis below.

Let's start our analysis with ideational meanings (experiential and logical), as instantiated at clause level by the 'Speaker as Observer', thus looking at the clause as representation.

## 3.2 The grammar of the clause as representation

### 3.2.1 The instantiation of experiential meanings

With reference to Processes and participants, the text features primarily material Processes of an abstract nature, among them being: *apply* (make application); *completed*; *earn*; *put to practical use*; *build*; *added to*; *expand upon*; *start practically applying* (using); *make the most of*. These are exploited for representing the actions and activities of the writer – from the motive for writing, to his/her accomplishments and undertakings, and also his/her faith in his/her personal potential for doing. Such Processes can be said to be typical of those which this specific kind of letter would instantiate, as it needs to represent the writer as worthy of consideration for the job.

The leading Actor is, again typically, the writer of the letter, the applicant. Goals (suggested insertions in the facsimile included) are, once again typically, related to the applicant's qualifications, achievements and aims: e.g., *the role*; *qualification*; *my interest in this field*; *qualification*; *work experience*; *passion and enthusiasm*; *the foundations for a successful career*, and so on.

Mental Process selections also contribute to a positive representation of the applicant's person: the desiderative proposal *wish* (to apply); *see* (from my CV); *interests*; *researched*; *learned*; *see* (the role); the twice projecting *believe*, and the conventional *look forward*. Senses once more feature the applicant (exception: *you*, addressee, who *can see*). Phenomena Sensed also add to the applicant's self-promotion, among which: *topics...* (which *helped build*) *my knowledge*; *the role as the perfect position for me...*, and what is *believ[ed]*.

Relational Processes do *not* figure in the text, which is actually strange, as they are typically chosen in this text-type to describe the applicant and his experience. This writer achieves this in/by other choices.

There are two instances of overt causation, almost identical in their wording: one is realis – (applicant's topics research) *helped build* (knowledge), and another irrealis – (my qualities) *will help* (the company) *build* (upon their reputation). These function once again to paint an overall positive picture of the candidate's worthiness.

Circumstances are few. Some are fairly pre-scripted ways of saying: e.g., Location: (chiefly abstract) Place – *on* (website); *in this role* (also interpretable as circumstance of Role); *in my studies* (also a kind of Manner: Means); Location: Time: Extent – *during my studies*. Considering tense/time, the text is basically oriented towards experiences in the recent past (through simple past and present perfect tenses), but is also future-oriented (what the writer believes his qualities *will help* the company do). The interpersonal value of such ways of saying is discussed below.

A Manner: Means circumstance is selected in *the perfect position for me to make the most of my passion...*, while a Cause: Reason circumstance gives us the second instance of an interesting speaker choice: ‘passion’ – *because of my passion*. As the current ‘top definition’ of the word at Urban Dictionary online tells us:

Passion is when you put more energy into something than is required to do it. It is more than just enthusiasm or excitement, passion is ambition that is materialized into action to put as much heart, mind body and soul into something as is possible.<sup>1</sup>

Currently having passion/being passionate is very much in vogue. Be that as it may, it is a lexical selection whose superlativeness is presumably aimed at enhancing the applicant’s high-grade self-portrait. The Contingency circumstance *Despite my limited work experience* actually functions analogously, by following up this apparently modest move with its immediate minimization: adding what more first-rate qualities *will help* to do.

Noteworthy ideational grammatical metaphors are not in evidence, though some nominalization is. The last circumstance of Contingency is one instance. Its congruent version would be *Despite the fact that I am not very experienced*. But the original is *not* an atypical way of saying in this kind of text. Speaker choices that show that the writer is adept at wielding nominalization to a limited extent are often highly valued, and so very typical indeed.

### 3.2.2 The instantiation of logical meanings

The text also amply demonstrates the writer’s ability to manipulate the intricate clause-complex. For instance, the second paragraph consists in one sentence, which begins

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<sup>1</sup> <http://www.urbandictionary.com/define.php?term=Passion> (last accessed 5 December, 2016).

with a hypotactic clause of enhancement (manner) *As you can see...*, then continues with the main clause, *I have recently completed...*, which is paratactically linked to another, *and am expected to earn...*. The Goal of this clause is then hypotactically extended with a non-defining relative clause, *which I believe ...*, which in turn contains hypotactic projection: *I can put to practical use in this role*. Hypotactic relations are constructed five other times in the text.

Embedded clauses are only two, the first of which is only potential, as it comes after a suggested insert and could thus become elaborating *non-defining*: *I have [completed work experience/attended an event/volunteered] [[which helped me...]]*. The second is the non-finite clause elaborating on *the perfect position*: *I see the role of [Job Title] as the perfect position [[for me to make the most of my passion and enthusiasm, and also build the foundations for a successful career in the [X industry] ]]*. Hypotaxis is thus the preferred tactic relationship. Intrasentential logico-semantic relations include predominantly elaboration – three if not four non-defining relative clauses – and extension – two clause relations of addition (and others at the level of the group).

Continuing to work at clause level, let's move on to the clause as exchange and see what kind of interpersonal meanings are being instantiated in the text by the speaker as a participant in/'intruder' into his/her text.

### 3.3 The grammar of the clause as exchange

Remember that, when the clause as exchange realizes interpersonal meanings through selections made in MOOD SYSTEMS, MODALITY SYSTEMS (modulation/modalization) and APPRAISAL SYSTEMS, it does so with a considerable and constant overlapping of the meanings being realized. In particular, these systems, *working together*, enact the *attitude* of the speaker, both towards the *subject-matter* of the text and towards the addressee. Moreover, the human participants functioning as important grammatical participants in transitivity with reference to the clause as representation obviously also function interpersonally to enact the relationship between speaker and addressee (what

Halliday (in Halliday and Hasan 1985/ 1989: 33) calls PERSON SYSTEMS). Let's have a look at Mood in our text first.

#### MOOD SYSTEMS

The text is made up in effect entirely of indicative: declarative mood clauses, which means that *information* is being given here through statements. This choice is typical of the register (letter), sub-register (formal letter) and specific type of text (CV cover) that we're investigating. *Please find enclosed* is of course a conventional polite imperative – the only imperative mood clause – and implies, as the imperative coercive enacting a proposal always does, modulation: obligation. In this instance, however, the semantics of the mood and modality are attenuated by the formulaic/ritualistic nature of this 'proposal'.

#### MODALITY SYSTEMS

There is a great deal of subjective implicit modalization in this text, starting with high value, subjective implicit probability, which is always implied in the bare declarative, or monogloss (e.g.: *I wish to apply...*). The statements indeed move between monogloss and contracting Proclamation (e.g., *I see the role...; I believe my eagerness to learn*), better examined under appraisal below.

But on the whole explicit modality is low. 'Will' predicts, but only once, while the only other modal verb in the text is 'can', once with reference to the addressee's 'seeing' and once only to the writer's capabilities: *which I believe I can put to practical use in this role, I believe* instantiating subjective explicit probability twice in the text. Even the modulation category of 'willingness', typically instantiated explicitly in these texts by wordings in closing such as "I'd be willing to meet with you at your earliest convenience...", is missing. Or, we can see it as 'replaced' with a bolder monogloss: *I look forward to meeting with you...*, which represents the meeting almost as a *fait accompli*.

#### APPRAISAL SYSTEMS

The text selects for both inscribed and invoked appraisal, and of different kinds. *Affect* is twice inscribed by the applicant, typically with reference to the job in terms of +ve

interest: *This position particularly interests me* and *I further added to my interest in this field*. Affect is also inscribed in/by the two instances of *passion*, as well as *enthusiasm* and *eagerness* – enacting +ve affect: interest, but also desire, and confidence. Inscribed +ve appreciation: reaction: quality is enacted with *perfect position*, and +ve appreciation: valuation, with *successful career* and *practical use*, whereas -ve appreciation: valuation is inscribed in *my limited work experience*, which, as noted above, is admitted, and then immediately countered.

Typically, *self-judgement* is positively *invoked* with reference to the applicant's capacity, in/by: *which I believe I can put to practical use in this role; which helped build my knowledge....; which helped me expand upon, and start practically applying...* and so on. Also invoked globally in/by the text is +ve self-judgement: tenacity with reference to getting the job the applicant has decided s/he wants – and so perhaps also a +ve judgement: propriety with reference to applying for it.

*Graduation* is not explicit, but 'passion' as superlative can be seen as a case of implicit scaling, with 'aspiration' and 'desire' as possible low and medium force options. *Engagement*, as briefly remarked above, is enacted throughout the text by the large number of monoglosses and contracting Proclamations, which simply state the speaker's interest and aptitude and thus assert his/her non-negotiable self-confident stance. Indeed, s/he comes across as very 'sure of him/herself', which is of course what is typically, socio-culturally, required in this kind of text. In short, it is indeed how a job applicant is supposed to come across: confident, self-assured, *but* stopping short of being *too-proud*, *over-confident* – at least typically – although the parameters for deciding what 'too' means are increasingly slippery.

So then, this specific text instance is a good illustration of how overlap in the three main interpersonal systems function to reinforce the enactment of interpersonal meanings.

Let us now turn to the textual metafunction, instantiated within the clause as message.

### 3.4 The grammar of the clause as message

The clause as message realizes textual meanings, and when we talk about textual meanings, we're talking about *texture*: that is to say, we consider all those linguistic devices that make a text what it is. Texture is the quality a text must have in order to be considered both as text and as discourse (Halliday 1985a – IFG2: 334-339). Recall that such texture is created, firstly, through *structural cohesive devices* (Thematic Structure, Information Structure – which we do not examine – and Grammatical Parallelism), i.e., those devices where *structures* of different kinds are used to make a text cohere. It is also achieved through *non-structural cohesive devices* (reference, ellipsis/substitution, lexical relations, conjunction), those devices that give a text 'cohesive harmony' without involving the use of structures.

#### 3.4.1 Structural cohesive devices

Let's begin with tracing *Thematic Progression* in the text through the mapping of the Topical Theme (TT) of its ranking (i.e., non-embedded) clauses:

- Cl 1     **I** wish to apply for the role of [**Job Title**],
- Cl 2     [**which** is] currently being advertised on [**website url**].
- Cl 3     Please [**I** want you to] **find** enclosed my CV for your consideration.
- Cl 4     As **you** can see from my attached CV,
- Cl 5     **I** have recently completed my...
- Cl 6     and [**I**] am expected to earn a ...
- Cl 7     **which** I believe
- Cl 8     **I** can put to practical use ...
- Cl 9     **This position** particularly interests me...
- Cl 10    **During my studies**, I researched topics...
- Cl 11    **which** helped build my knowledge...
- Cl 12    **I** further added to my interest
- Cl 13    For example, **recently** I have...
- Cl 14    **which** helped me expand upon...
- Cl 15    **I** see the role of [**Job Title**] as...
- Cl 16    **Despite my limited work experience**, **I** believe
- Cl 17    **my eagerness to learn**...
- Cl 18    [**I**] Thank you
- Cl 19    **I** look forward...

There is a clear combination of different kinds of progression here. Between Cls 1 and 2 progression is linear – the Rheme of Cl 1 being re-proposed as the Theme of Cl 2. Cl 3 breaks the progression with the Predicator as TT (including its implied semantics): *[I want you to] find*.

Cls 4 and 5 can be seen as a kind of split theme, *you* picking up part of the implied meanings of Cl 3 and *I* another part. The implied TT of Cl 6 (*I*) creates parallel progression with Cl 5. In Cl 7 the TT is the Rheme of the preceding clause, so the text goes back to linear progression. In Cl 8 the TT dominating thus far – *I* – is again TT.

Cl 9's TT re-proposes the TT of Cl 2 by returning to the job/position. Cl 10 is a marked TT, a circumstance, which connects up to the Rhemes of Cls 4 through 8: the applicant's studies. The TT of Cl 11 (*which*) picks up the Rheme of Cl 10, again constructing linear progression, and the return to *I* as TT in Cl 12, linking up to the *my* of Cl 11's Rheme, continues this progression. Cl 13 breaks this linear progression by again selecting for a marked circumstance as TT, though *I* follows immediately in the clause. Cl 14 – which we're analysing as though *not* embedded – picks up linear progression once again with the relative pronoun referring to the experiences to be completed in the Rheme of Cl 13.

Cl 15 returns to *I* as TT and, since Cl 16's marked circumstance as TT also includes *my*, a parallel progression of sorts begins, and then continues through the remainder of the text.

The blend of progression types is clear, Cls 1-14 of the text being dominated by linear (and one case of split) progression and the latter part (Cls 15 through 19) by parallel. More importantly for the global semantic direction of this text, however, is that a full six times *I* is explicitly the TT, but also implicitly or partially so another six times. In second position as TT is the job/position being applied for, followed by the applicant's studies, experiences and personal qualities. That this should be so is typical of the CV cover letter.

*Grammatical Parallelism* (GP) can also be seen to be functioning as a structural cohesive device, and not only. In many cases, we get a significant contemporaneous reiteration of meaning.

With reference to the reiteration of *words*: the personal pronoun *I* is instantiated ten times in the text, and the possessive deictic *my*, a full 13 times, together forming the key *reference chain* in the text, as we'll see again below. Thus GP is also semantic parallelism by which the chief human participant in this 'exchange' is once again focussed, this time in/by parallelism. The personal pronoun *you* is instantiated three times, and the possessive deictic *your*, twice. The process *build* is instantiated three times, as is the NG *role*, while *position* and *CV* occur twice. Also selected twice are *passion*, *studies* and *believe*.

At *group* level, *my* + NG functions, again 13 times, to identify the applicant in terms of qualities and qualifications: *my CV*; *my passion*; *my studies*; *my interest(s)*; *my eagerness*, etc. *Phrase* structures include three circumstances of abstract Place starting with preposition *in*, with others 'suggested' in the facsimile. Twice we have *specific deictic + role + of* + [Job Title].

*Clause* structure parallelism consists in the transitivity structures of those dominant material Processes noted above when examining experiential meanings: I-as-Doer ^ Process: material ^ Goal (applicant's qualifications, achievements and aims). Similarly, we have mental Process clause structures: I-as-Senser ^ Process. Mental ^ Phenomenon Sensed (these being once again the applicant's qualities/qualifications).

In sum then, the text is highly textured by means of structural cohesive devices which, however, confer additional semantic significance, in particular to the writer of the text.

### 3.4.2 Non-structural cohesive devices

Rather than treat *reference* and *lexical relations* separately, we'll talk about their interactive functions, focussing on the *participant chains* running through the text that are made up of *reference chains* and *lexical strings*.

As already pointed out, one vital reference (and participant) chain is created by the reiteration of the overriding first person pronouns we've observed to be functioning importantly at numerous levels of our analysis so far: *I/my*. Thus their global impact on the predominant meanings in the text is further reinforced.

Lexical strings that are also participant chains are less noteworthy and comprise the reiterated words pointed out under GP above and also the phenomenon of *lexical*

*scatter*, which includes *interest/interests* as well as a set of words having to do with the activity of we might label ‘job-seeking’: *apply/applying/application*.

The text may also be said to create a meronymic relation between the applicant as the ‘whole’ and his/her qualities, qualifications, achievements and aims.

The writer decidedly avoids *ellipsis* and *substitution*, perhaps typically, since the giving of clear and unambiguous and even reiterated information is a typical aim in this kind of text. The deleted relative + finite (i.e., ‘which is’) in the first clause complex is a very typical phenomenon, and *not* only in letters of this type.

Interestingly, as far as *conjunction between* sentences (working textually) is concerned, logical relations are only implicit.

As an exercise, we might hypothesize the following logical expansions, in square brackets [...] and bold below:

I wish to apply for the role of **[Job Title]**, currently being advertised on **[website url]**. **[Enhancement: Cause: Purpose: To that end...]** Please find enclosed my CV for your consideration.

As you can see from my attached CV, I have recently completed my **[most recent qualification – e.g. GCSE’s, A-levels]**, and am expected to earn a **[projected grades]** in **[relevant subjects]**, which I believe I can put to practical use in this role.

This position particularly interests me because of my passion for **[Subject]**. **[Elaboration: Clarification: In fact..., or To illustrate...]** During my studies, I researched topics such as **[topics or modules relevant to the position]**, which helped build my knowledge around the subject.

**[Extension: Addition: Moreover...]** I further added to my interest in this field independently. For example, recently I have **[completed work experience/attended an event/volunteered]** which helped me expand upon, and start practically applying, what I’ve learned in my studies.

**[Elaboration: Clarification: To sum up...]** I see the role of **[Job Title]** as the perfect position for me to make the most of my passion and enthusiasm, and also build the foundations for a successful career in the **[X industry]**. Despite my limited work experience, I believe my eagerness to learn, coupled with my **[relevant skills]** will help **[company name]** build upon their reputation as **[state their position in market – learned through your research]**.

Thank you for your time and consideration. I look forward to meeting with you to discuss my application further.

These theorized relations would give us the following discourse or rhetorical structure of the full text:

- formal salutation ^ motivation for the writing of application letter ^ conventional invitation to read the enclosed CV for the purposes of the application (physical paragraph 1);
- report on the speaker's education ^ additional information (belief) (paragraph 2)
- reasons for his/her interest in a position in this field/qualifications ^ clarification (paragraph 3)
- more additional information ^ exemplification (paragraph 4)
- elaboration/summing up (on passion etc.) (paragraph 5)
- formal thanks for attention ^ implicit appeal for job interview ^ (suggested formal closing ^ contact number ^ signature ) (paragraph 6).

### 3.5 The Contextual Configuration (CC)

Now that we've completed the analysis of this text in a Bottom-Up perspective, we can proceed to reconstruct its CC through a description of its three parameters: Field, Tenor and Mode. To do this, we draw upon the results of the analysis we have performed of clause as representation, exchange and message. Our aim here is to, firstly, make the semantic meta-functions (ideational, interpersonal and textual meanings) of the lexico-grammar being instantiated in the clauses, and thus also in the text, more explicit, but primarily to link these even more strongly to the specific material and social situation, i.e., the contextual determinants (Field, Tenor and Mode) which triggered the text.

#### 3.5.1 The Field

*What is going on in this text?: i.e., what is the nature of the social activity going on in the speech event instantiated in/by this text, and what is its specific subject matter?*

The *social activity* of the CV cover letter can be said to be writing a formal letter (accompanying a CV) in order to (successfully) apply for a job advertised online. In Matthiessen's Field-linked classification (2015a: 7, 9-10, passim), it is seen in large part as expounding: explaining and documenting, and perhaps also in part as sharing (information considered essential to the activity) with an interlocutor.

The particular *subject matter* can be said to consist in the specificity of the job being sought and of the writer's experiences and skills that are reported as being relevant to that job. A peculiarity of our facsimile text is that many of these details are not already specified, but rather are left for the individual writer to fill in.

Typical of the subject-matter are the material Processes instantiated in this text, where the Actor is invariably the speaker, as applicant, and the Goals construe what he has done/wants to do. The active voice, which characterizes all these Processes, constructs the speaker's role as 'Doer' in the first person – and of course active and efficient agency is a highly-valued personal characteristic in the dominant Western capitalistic world view, within which this text functions. The writer, again typically, gives the addressee as much pertinent information as possible about him/herself: qualities, experiences etc., representing these as relevant to the specific job being sought. In similar fashion, the positive representation of the applicant's person is construed through the mental Processes, whose Sensers are almost invariably once more the applicant.

Circumstances, though few and largely a question of conventional ways of saying, further specify the abstract Place and the Time of the applicant's studies and his/her *passion*. As said above, the text is basically oriented towards experiences in the recent past (through simple past and present perfect tenses), but is also future-oriented.

Thus the experiential meanings that are construed can be seen to have been activated by the need to write a concise personalized introduction to the applicant's more detailed CV. The logical meanings are similarly determined by the writer's decision to choose the intricate clause-complex, rather than packaging with nominalization and embeddedness, and by a tendency to expand through elaboration.

### 3.5.2 The Tenor

Let us now see what relevant features of Tenor can be seen to have activated the interpersonal meanings of this text, which we have seen instantiated in the clause as exchange.

*Who is taking part in the exchange enacted by this text?*

The *speaker* (the *applicant*) in this text is not identified as a particular person, again because the text is a facsimile, but is repeatedly instantiated in the text. His/her (at least

temporary) *status* is ‘job-seeker’, and one who has the particular *discourse role* to provide the reason(s) why s/he’s applying for a job and pertinent information in terms of experience and qualifications. As this information must ultimately help to ‘sell’ him/herself as a viable employee, it must be persuasive. So then, his/her overall discourse role can be said to be: to explain (the purpose in writing); to inform (with reference to qualifications for the job) and to persuade (X to grant an interview and, hopefully, the job).

Neither is the *addressee* a particular person but is instantiated explicitly as *you/your* in the text, though s/he has no active discourse role. The speaker is one only: *I*. The text is therefore ‘personal’, that is to say that both speaker and addressee are explicit, if not specifically identified.

The applicant’s text instantiates a position of [-power], as is typical, since it is s/he who is asking for something from someone else who is in a position to give it to him/her. Due to a legitimated institutional position of power, the addressee is obviously [+powerful], though s/he does not participate in the activities of the letter. The relationship between speaker and addressee is therefore asymmetrical, due to their at least semi-permanent statuses.

It follows – and the text indeed enacts these meanings – that the speaker’s *attitude towards the subject matter* (getting the job), is [+serious] but it is also [+passionate]. S/he does what needs to be done in this formal, ‘business’ setting, but stresses his/her enthusiasm. As we have seen, the prevailing indicative: declarative mood functions, typically, also given the discourse roles as described above, to give information. Modality options were seen as enacting high value speaker subjective implicit probability, enacting [+confidence] concerning the speaker’s capacities. Such confidence – also a highly valued characteristic in our Western culture – is also enacted in the declarative statements. There are no instantiations of wordings enacting [+tentativeness] or [+deference] as an *attitude towards the addressee*, despite the speaker’s [-power]. Confidence rules.

Appraisal analysis showed inscribed +ve affect: interest, as well as desire, and, again, that prevailing confidence of the speaker. Also enacting this confidence is the self-judgement positively invoked with reference to the applicant’s capacity.

Engagement mechanisms throughout the text include the large number of monoglosses and contracting Proclamations mentioned above, which simply state the speaker's interest and aptitude and thus also enact/compact his/her non-negotiable self-confident stance. As remarked above, self-confidence is socio-culturally required in this kind of text. But an applicant typically stops short of being *over*-confident, by enacting *some* deference and flexibility in order not to come across as being 'too' brazen. In this case, to speak in Bernstein's terms, the dominant cultural *reservoir* may be out-weighted by the individual's *repertoire*. And of course, the norms of a cultural reservoir are not inflexible or unchangeable, meaning that contemporary CV cover letters are apparently semantically moving towards [+confidence]. As noted above, the parameters for deciding what 'too' means are increasingly slippery.

Be that as it may, the Tenor we have reconstructed from this text is on the whole highly typical of the CV cover letter, meaning that essentially the wordings enact interpersonal meanings typical of a situation in which a candidate who is applying for a job, and job interview, has to convincingly demonstrate his/her eligibility for that job, to whomever is responsible for deciding whether or not s/he *is* a suitable candidate for employment, or not.

### 3.5.3 The Mode

Let's now think about the Mode which has tended to determine the textual meanings of this text, but not only. Recall that the textual meta-function is the 'enabling' meta-function: i.e., without it, there could be no explicitly expressed ideational or interpersonal ones.

Following the various points to consider as given in your Checklist (Appendix 1), firstly, the *process of text creation* is not shared. It is the applicant's monologue, which, however, is explicitly addressed to a reader. The text's *channel* is exclusively graphic, while its *medium* could use some examining.

Let's take the same paragraph we looked at above with reference to taxis and calculate now its *lexical density*, which is a quality of the written medium and is *equal to the number of lexical content words (vs. grammatical ones) divided by the number of ranking (i.e., not embedded) clauses*:

||| As you can **see** from my **attached CV**, || I have **recently completed** my [**most recent qualification – e.g. GCSE’s, A-levels**], | and am **expected to earn** a [**projected grades**] in [**relevant subjects**], || which I **believe** || I can **put to practical use** in this **role**. |||

The first ranking clause has three lexical words (in **bold** in text), so we say its density is 3. Clause 2 instantiates two lexical words but would clearly have *at least* a third, according to suggested additions in square brackets, and most likely even more. Clause 3 would have at least four, for the same reason; clause 4 has only one lexical word (*believe*), and the final clause has four. The paragraph is fairly low in density.

There are other sentences in the text with much higher density, however, e.g.:

||| Despite my **limited work experience**, I **believe** || my **eagerness to learn, coupled** with my [**relevant skills**] will **help** [**company name**] **build** upon their **reputation** as [**state their position in market – learned through your research**]. |||

- where the first clause, going up through *I believe*, gives us four lexical words, but the next (long reported idea) clause has a full nine (counting only the *minimum* of the facsimile’s suggestions as being inserted). A density of 9 is quite high. These examples indicate that the text *tends* towards a low-median density, with exceptions. Embedding of course adds to lexical density, but, as we’ve seen, the text has only two embedded clauses. As we’ve also seen, hypotaxis is privileged, as it is in the spoken medium (1985a – IFG2: 224; Halliday 1985/1989). So that even without a clause by clause calculation, it seems that the text’s medium is somewhere between the extremes of the written-ness vs. spoken-ness continuum.

But to continue with our sum-up of Mode: the text is thoroughly *context-independent*. The role that language is playing is fully *constitutive*: language here construes the activity going on in the social speech event, i.e., the text is the whole of the relevant activity. This is *language as reflection*. The text’s organization as probed above shows it’s highly organized and cohesive: a self-contained text with strong internal texture. And now it’s time to summarise the CC.

### 3.5.4 The CC – a schematic overview

At this point an overall outline of the relevant aspects of the three register variables activating the meanings instantiated in/by this specific instance of the sub-register, i.e.,

this specific CV cover letter, can be sketched in the following schematic fashion:

#### FIELD

*Social activity*: that of a job-seeker who is writing a cover letter to send with a CV to a firm with the aim of obtaining a position.

*Subject matter*: the applicant's interest in and suitability for the job being sought.

*Denotational lexis of subject matter*: position, CV, interest(s); apply/applying/application ...

*Temporal setting*: tense: present; recent past; future. Circumstance of Location: Time during my studies.

*Spatial Setting*: mostly abstract place: e.g., on (website); in my studies.

#### TENOR

The relationship between the speaker and the addressee is *asymmetrical* in terms of status and their discourse roles are divergent. This impacts on the attitude which is enacted towards the subject matter and also towards the addressee, towards which the applicant's lack of typical deference is noted above.

	<b>Speaker</b>	<b>Addressee</b>
<i>Status</i> :	Applicant	Hiring manager
<i>Discourse role</i> :	explain/inform/persuade	none
<i>Speaker attitude</i> :		
<i>to subject matter</i>	[+formal] [+serious] [+interested] [+confident]	
<i>to addressee</i>	[+confident] [-deferential]	

#### MODE

Context-independent letter (formal CV cover letter). Pre-prepared monologue. Graphic channel. Medium: between written-ness and spoken-ness. Role of language: constitutive. Highly organized and cohesive, self-contained text with strong internal texture.

And now we'll conclude our analysis with our usual further considerations, again following the outline in your Checklist.

### 3.6 Additional Considerations

We've labelled the *register* (letter) and *sub-register* (formal letter) and *specific type* of this (CV cover letter) several times thus far. We've also broached the topic of the register-idiosyncratic quality of our findings in general when introducing Bottom-Up analysis. There we stressed that the results of our analysis are *not* fully valid for each and every text belonging to the register (and also sub-register), but only for the single instance. Nevertheless, on the whole the wordings/meanings we have identified may be hypothesized as being *CV cover letter-idiosyncratic*.

The *dialect* is prestige Standard English, as the activity conventionally calls for it.

The *rhetorical aim* of the text is, in Jakobson's terms, principally conative – despite the low incidence of explicit 'you' in the text. The rhetorical stages of the opening paragraph make this quite clear. The referential function is also an important one, as the factor of context, i.e., 'reality' (in this case, the speaker's 'reality'), is repeatedly focussed on. Furthermore, we also have – as a result of the high incidence of the pronoun *I* and the enactment of affect – an emotive function. And a minor meta-lingual/meta-textual function results from the focus on the CV enclosed with the letter. Finally, grammatical parallelism, as we've seen, functions to reiterate many wordings (and also their meanings) that are encoded in/by the text, and so, although this is certainly not poetry, a minor poetic function must also be identified. Indeed, the only communicative aim that is wholly missing is the phatic!

The text functions *intertextually*, rather than *contratextually*. It consistently fits into the dominant cultural paradigm which values this kind of text. This means that the speaker presents his/her achievements and qualifications according to the conventions which the belief and value system s/he is operating within attach importance to. This cultural reservoir dictates the ways of saying and meaning of the text, ways of behaving linguistically that show the speaker adeptly playing his/her social and discourse role in

the culturally institutionalized social activity going on in this text. For these reasons, the sample CV cover text is ‘empowering’ for those who go to it, as it would enable a job-applicant to play by the rules, and win. Only one minor exception to such intertextuality has been noted: the lack of conventional ways of saying enacting some degree of deference towards the addressee.

Compatibly, according to Bakhtin’s theory of the conflicting forces of *heteroglossia*, the force at work here is essentially *centripetal*. It instantiates the language of one who acknowledges the unified and unquestioned socio-cultural and economic structure which s/he is aspiring to work within.

With reference to Bernstein’s theory of *coding orientations*, the text basically selects for the *elaborated code*, as one would expect it would. Its lexico-grammar instantiates generalized abstract experiential meanings (e.g. the applicant’s *passion, knowledge, interest, enthusiasm, eagerness...*; the Processes *earn, build, expand upon, make the most of, researched, learned ...*). Agency is explicit and active. And yet, concrete particulars are also instantiated in recounting the experiences which have gone into making the applicant, in his/her opinion, able to put his/her experience *to practical use*.

Interpersonal *I – you* meanings are also for the most part explicit, but not always. The applicant confidently gives clear and concise information about him/herself through declarative mood clauses whose Subject is very often the personal pronoun *I*. Explicit modality, however, is low, the implicitly subjective dominating. Appraisal instantiations are also a mixture – in part inscribed and in part only invoked.

Analysis has shown the text to be highly organized and coherent. Reference is for the most part endophoric (textual). Thus it is context-*independent*, a fully self-sufficient text.

So then, globally considered, the code that is at work in speaker selections in this text is the elaborated one, which typically regulates the social practice of writing this kind of ‘ritualized’ letter, a practice which is routinely taught to students of higher education in the Western liberal cultural context, and which fits perfectly into its dominant cultural paradigm. In short, the code here is governing grammatical selections that efficiently re-propose and re-legitimate that paradigm.

In the following section, a ‘hybrid’ text is proposed for Bottom-Up analysis.

#### 4. A Hybrid Register: one instance of an informative/promotional text

Here we'll again work Bottom-Up, as done with the preceding text: the CV Cover letter. However, the text we propose this time is an instance of a *hybrid register*, meaning that it has a *blend* of rhetorical aims and thus also of the wordings/meanings instantiating them. It's a good example of what Hasan (2000: 44) calls the *permeability* of the boundaries between contexts (cf. Part I, section 2.1). As we'll be seeing, this written monologue operates simultaneously within two different and clearly identifiable contexts of use, which, however, are made to function together. Again we'll make use of Matthiessen's (2015a) Field-related registerial mappings in describing what the dual social activities performed by the text are. And we'll talk about these now – rather than waiting for their 'proper' slot below.

The first activity is the *informing* one; Matthiessen also calls it: “**reporting**: contexts where the flow of particular human events are chronicled to help readers or listeners construct, keep up with or review events” (2015a: 7, original emphasis). This activity combines such *chronicling* with *surveying* particular places (as in Guide Books) (cf. 2015a: 10, original emphasis).

In addition, but certainly no less importantly, the text performs the activity of 'recommending'. As Matthiessen stipulates, this category has to do with:

**recommending** people to undertake some activity, thus very likely foreshadowing a 'doing' context — either by **advising** them (recommendation for the benefit of the addressee, as in consultations) or **inducing** them (promotion: recommendation for the benefit of the speaker, as in advertisements) [...] Advising means recommending some course of action (e.g. medical treatment, financial investment) with the addressee as the beneficiary (at least ostensibly!), whereas promoting means recommending some course of action (e.g. buying a medical product, subscribing to a health service) with the speaker as the beneficiary. The two types obviously shade into one another. (2015a: 10; 27, original emphasis)

The two types not only 'tend' to shade into each other in our text, but we actually have a *fusion* of the advising and promoting activities. Indeed, with reference to what immediately emerges as the 'green' paradigm, *both* speaker and addressee can be said to be beneficiaries of the course of action being recommended in/by the text. Why?

Because, according to the text, the foremost immediate beneficiary is not human, but rather the environment in which we humans live. Moreover, the activity of *warning* can also be added to this social activity ‘melting pot’, and is fitting to the specific nature of the kind of recommending going on.<sup>1</sup> And, speaking of beneficiaries: we mustn’t forget the practical advertising aspect of the text: that the Esk Valley Railway undoubtedly stands to make money from its advertised eco-friendly journeys.

But now to go on to our text, which is an example of *neither* a highly closed *nor* a highly open register. However – *for the reader who has experience with the subject matter and the discourse of environmentalism, or ‘green’ politics* in general – it is more to the closed side of the continuum. For such a reader, when given the CC, prediction of many ways of saying/meaning would be highly doable.

#### 4.1 The Text

Our text instance is reproduced below:

##### **Esk Valley Railway - Go Green**

Travelling by train is less carbon-intensive than travelling by car. Rail is the environmentally friendly and socially responsible travel option.

More than 90% of visitors travel to the North York Moors National Park by private car. However, cars harm the beauty and tranquillity of our countryside.

Local people think that increasing road traffic poses the greatest single threat to the special qualities of this area.

CPRE (Campaign to Protect Rural England)’s tranquillity maps demonstrate that there are only a few really large areas of tranquillity left in England. Tranquillity is threatened by the steadily increasing urbanised area, the development of the road network, the growth in road and air traffic and the expansion of energy infrastructure. The **Esk Valley Railway** provides easy access to some of the most tranquil areas in North Yorkshire.

Speeding traffic along some roads is causing the death of many wild animals, game and farmers’ livestock. If traffic levels continue to increase on the North Yorkshire Moors (as is predicted by the Department of Transport and the Countryside Commission), it will cause physical damage (e.g. destruction of verges, land permanently taken for car parking and road widening), loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects. Taking the train helps the environment.

(from <http://www.eskvalleyrailway.co.uk/green.html>)<sup>2</sup>

<sup>1</sup> Cf. note ‘m’ on page 41 of Matthiessen’s 2015a essay, where he observes that other minor motifs often emerge from analysis, e.g., *warnings* in ‘recommending’ contexts.

<sup>2</sup> The text is available at the url above, but functions within a larger tourism website at <http://www.eskvalleyrailway.co.uk/green.html> (both sites last accessed 13 December, 2016).

Note that the text's title immediately construes the environmental pitch (*Go Green*), linked to the advertised *Esk Valley Railway*, spotlighting the dual topic it will develop.

Let's start our analysis with ideational meanings (experiential and logical), as instantiated at clause level by the 'Speaker as Observer', thus looking at the clause as representation.

## 4.2 The grammar of the clause as representation

### 4.2.1 The instantiation of experiential meanings

By far the main *Process* to be instantiated in/by the text is the material type. Starting with the title: *Go Green*, there are nine, four of which also semantically entail *causation*. These are: *go*; *travel*; *harm* (cause damage to); the passive *is threatened by*; *provides*; *causing*; the time-phase VGC *continue to increase*; *cause*; and *helps* (causes improvement to).

The Actors and their respective Goals/Ranges in these Processes are an implied 'you' (Green); *visitors* (travelling); *cars* (harming *the beauty and tranquillity of our countryside*); *the steadily increasing urbanised area, the development of the road network, the growth in road and air traffic and the expansion of energy infrastructure* (threatening *tranquillity*); *Esk Valley Railway* (providing *easy access to some of the most tranquil areas in North Yorkshire*); *Speeding traffic along some roads* (causing *the death of many wild animals, game and farmers' livestock*); *traffic levels* (which, if they continue to increase, will cause *physical damage* (e.g. *destruction of verges, land permanently taken for car parking and road widening*), *loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects*), and finally, the Act of *taking the train* (which means helping *the environment*). One needn't wait for appraisal analysis to perceive the 'warning' activity at work here. Notice how the non-human Doers invariably entail human ones being held responsible for the harm being caused – e.g. *cars*, which need drivers (yes, even in the present-day driverless/autonomous car age, someone needs to be behind the wheel!).

There are also three relational Processes, one of the *a is an attribute of x* type: *Travelling by train is less carbon-intensive than travelling by car*; and two of the *a is the identity of x* type: *Rail is the environmentally friendly and socially responsible travel option* and *increasing road traffic poses the greatest single threat to the special qualities of this area*. Though a less frequent process type, their describing/defining functions are clearly crucial to the meanings of the text. One mental Process, *think*, projects the subsequent clause. A final clause type is the verbal: one is symbolic, which takes a Fact clause: *tranquillity maps demonstrate* ^ Fact; another is the passive *is predicted by*. These too have their roles to play.

*Circumstances* are few. The main ones are of Manner: Quality – *steadily*; *permanently* (also a kind of Location: Time: Extent), and the significant Manner: Means: *by train*, *by car*, *by private car*. Location: Space is typically construed by phrases indicating destinations of the advertised Railway: *to the North York Moors National Park*, *to some of the most tranquil areas in North Yorkshire*. Causation, as we've seen, is an integral part of the semantics of many Processes but is not construed by explicit circumstances.

An obvious case of *ideational metaphor* – besides the numerous nominalizations at the level of the group – is the clause: *increasing road traffic poses the greatest single threat to the special qualities of this area*. We propose a congruent version that has two clauses rather than one and unpacks the NGs for their innate Processes, thus making explicit the Doers: i.e., *increasing numbers of people who are driving on the roads threatens the special qualities of this area || more than any other phenomenon does*. The value of the title's *Go Green* is obscure. Is it a figurative way of saying 'travel ecologically'? If so, the Process is still material, plus circumstance. Or is the sense 'make environment-friendly choices'? In that case, it would be mental, as to make choices is to choose. Or does it mean 'become ecological' – a Process: relational: attributive? With metaphor, interpretation isn't always trouble-free.

#### 4.2.2 The instantiation of logical meanings

The text is basically made up of one-clause sentences with some embedding within them: e.g., sentence 1's

[[Travelling by train]] *ACT embedded as Head* (is less carbon-intensive) ^ [[than [[travelling by car]]]] *embedded comparison clause containing another embedded ACT*.

Then there is the first sentence in paragraph 4:

CPRE (Campaign [[to Protect Rural England]] *embedded Purpose clause* 's tranquillity maps demonstrate ^ [[that there are only a few really large areas of tranquillity left in England]] *embedded FACT*.

Finally there is another embedded ACT in the last clause, symmetrically situated, and semantically comparable, with respect to the first sentence of the text:

[[Taking the train]] *ACT embedded as Head* helps the environment.

When there is more than one ranking (not embedded) clause to a sentence, hypotaxis is privileged: e.g., in the projected reported thought: *that increasing road traffic poses the greatest single threat to the special qualities of this area*, just analysed above for its experientially metaphorical ways of saying, and in that very long clause complex, whose logico-semantic relations are also glossed below:

|||*If* traffic levels continue to increase on the North Yorkshire Moors **Hypotactic conditional clause** || *as* is predicted by the Department of Transport and the Countryside Commission **Hypotactic Manner: Comparison clause**, || it will cause physical damage (e.g. destruction of verges, land permanently taken for car parking and road widening), loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects) **Main Clause**. |||

Continuing to work at clause level, let's now move on to analyse the clause as exchange and investigate the kind of interpersonal meanings being instantiated in this text, considering the speaker as participant in/'intruder' into his/her text.

### 4.3 The grammar of the clause as exchange

As we've seen time and again, the meanings enacted by choices within the SYSTEMS OF MOOD, MODALITY (modulation/modalization) and APPRAISAL regularly overlap and,

*working together*, enact the *attitude* of the speaker, both towards the *subject-matter* of the text and towards the addressee.

But let's begin with Mood.

#### MOOD SYSTEMS

The text is entirely made up – with one sole exception – of indicative: declarative mood clauses, which means that *information* is being given here through statements. This is typical of the informative/reporting activity of the text. The only exception is in the title – a significant semantic location – where we find an instance of the imperative mood in *Go Green*: evidence of its inducing/promotional nature.

#### MODALITY SYSTEMS

There is a great deal of high value, subjective implicit probability enacted in this text, which, as we've seen, is always implied in the bare declarative, or monogloss, of which there are many. There is only one instance of a subjective explicit *metaphor of modality*: *Local people think...* The one conditional clause complex is really the only explicit sign of the speaker being *between* yes and no! – as we'll see better below in talking about engagement. It is in this clause complex that we find the only explicit modal auxiliary in the text: *will*.

To the one instance of the imperative is linked, as always, implicit modulation, obligation, but, as is typical of advertising, this enacts more of an invitation than a constraint. As is also typical of advertisements, the addressee isn't being told to do anything that is not, presumably, in his/her better interests to do. And remember: the addressee has willingly come to the text, i.e., is freely reading it.

#### APPRAISAL SYSTEMS

The text features a massive use of APPRAISAL SYSTEMS, in particular of the SUB-SYSTEM of ATTITUDE: appreciation, both inscribed and invoked. But anyone with a solid prior knowledge of environmental – or 'green' – discourse would be likely to read *as inscribed* even what is 'technically' only invoked! And, if we consider the 'contagion', or 'knock-on' effect of what we've called the 'cumulative groove' of evaluation in the

text – its overall semantic prosody (see section 2.3.1 in Part I) – then reading the evaluation as being inscribed as one reads on also becomes increasingly likely.

Some single words can be considered pretty much ‘neutral’, if taken on their own: *train*; *car*; *rail* and *visitor*, for instance. But it is *not* helpful to consider these, and others, separately. What is much more valuable and important is to see how the speaker *typically* eulogizes the product being promoted, giving the addressee the positive qualities of the area in which the Esk Valley Railway runs (and the ease with which it takes you there). This the text does by means of +ve appreciation: reaction: quality and/or valuation. Moreover, the positive qualities of rail travel are implicitly enhanced by a -ve appreciation: valuation of the consequences of travelling by car (and also through simultaneous invoked -ve judgement of those who do so!).

But since appraisal in this text is exceptionally dense, let’s go it through systematically and in detail:

*Travelling by train is less carbon-intensive than travelling by car* [IF you are aware of environmental discourse’s -ve appreciation of *carbon-intensive*, there is **inscribed +ve appreciation: valuation** of train, and -ve of car, plus **invoked +ve judgement: propriety** of travelling by train and **-ve** of travelling by car].

*Rail is the environmentally friendly and socially responsible travel option* [again, **inscribed +ve appreciation: valuation** of rail as travel option, plus **invoked -ve appreciation: valuation** of doing so by car]<sup>3</sup>.

*More than 90% of visitors travel to the North York Moors National Park by private car* [coming after the above statements: **invoked -ve judgement: propriety** of visitors travelling by private car].

*However, cars harm the beauty and tranquillity of our countryside* [**inscribed +ve appreciation: reaction: quality** of the countryside, plus **-ve appreciation: valuation** of cars, and again **invoked -ve judgement** on their drivers].

*Local people think that increasing road traffic poses the greatest single threat* [**inscribed -ve appreciation: valuation** of that increase] to the *special qualities of this area* [**inscribed +ve appreciation: reaction quality** of those qualities]. Whole clause complex: **invoked -ve judgement: propriety** of the drivers who are ‘increasing road traffic’ and so also **invoked +ve judgement: propriety of these local people’s thinking**.

*CPRE (Campaign to Protect Rural England)’s tranquillity maps demonstrate that there are only a few really large areas of tranquillity left in England* [tranquillity is always ‘good’:

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<sup>3</sup> See the discussion, in the appraisal overview provided in your Appendix 2, of the frequent overlap that occurs between appreciation and judgement.

**inscribed +ve appreciation: valuation**; clause complex as a whole: **invoked -ve . appreciation: valuation** of FACT that *there are only a few...*].

*Tranquillity is threatened by the steadily increasing urbanised area, the development of the road network, the growth in road and air traffic and the expansion of energy infrastructure* [threaten: usually ‘bad’: so **inscribed -ve appreciation: valuation** of all these things that threaten – and **invoked -ve judgement: propriety** of those who bring about these things!].

*The Esk Valley Railway provides easy access* [**inscribed +ve appreciation: quality**] *to some of the most tranquil areas* [**inscribed +ve appreciation: valuation**] *in North Yorkshire* [so, overall: **invoked +ve appreciation: valuation** of EVR – and **invoked +ve judgement: propriety** of those who are responsible for having planned it this way!].

*Speeding traffic* [**inscribed -ve appreciation: impact/valuation**] *along some roads is causing the death* [**inscribed -ve appreciation: valuation**] *of many wild animals, game and farmers’ livestock* [**Generally: inscribed -ve appreciation: valuation** of speeding traffic and what it’s doing and also **invoked -ve judgement: propriety** of those driving the cars and causing death...]

*If traffic levels continue to increase on the North Yorkshire Moors (as is predicted by the Department of Transport and the Countryside Commission), it will cause physical damage (e.g. destruction of verges, land permanently taken for car parking and road widening), loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects* [although in a ‘conditional’ clause complex, overall we have: **inscribed -ve appreciation: valuation** of increasing traffic levels and what it’s doing (each single effect evaluated in itself with **inscribed -ve appreciation: valuation** and **invoked -ve judgement: propriety** of those who are driving the cars)].

*Taking the train helps the environment* [at this point: obvious **inscribed +ve judgement: propriety** of those who take the train – because helping the threatened environment has clearly been shown to be a good thing to do!]

We should have a better idea now of how evaluation works in this text, also with reference to the hybrid register it belongs to. First of all, we’ve seen how different APPRAISAL SYSTEMS repeatedly overlap. We can think of the phenomenon in terms of what Thompson (2014) suggests are multiple layers of evaluation, functioning one inside the other, much like Russian Dolls. Concerning how appraisal impacts on the hybrid activities going on in this text, the informative reportage paints a sad picture of what *irresponsible* (wo)men are doing to their environment and, at the same time, endorses/promotes the Railway (that will take you to those few still unspoiled areas) as being eco-friendly.

## GRADUATION

Graduation can be said to bump up (raise the volume on) the evaluation being locally/globally enacted. Examples of Force choices in the text (many involving quantification) include: *less* carbon-intensive; *greatest* single threat; *only a few really* large areas of tranquillity; *most* tranquil areas; *many* wild animals, game and farmers' livestock; *more* danger, etc.

## ENGAGEMENT

As we noted above in discussing modality, there are few explicit signs of the speaker positioning him/herself *between* yes and no! On the whole, with particular reference to the reporting/informative activities the text performs, speaker choices are of statements of bare facts that 'mean' more or less "This is the way it is". It is the non-negotiable monogloss that enacts such meaning.

Heteroglossic mechanisms can be seen in the two Attributions in the text: what local people think and what CPRE's maps demonstrate. Normally, Attribution functions as an expanding mechanism but, as said in your Appendix 2 on appraisal, when the speaker clearly supports the proposition being Acknowledged, the function of such Attribution is *contracting*, rather than expanding, and called Endorsement. And this indeed is how it's functioning here. On the whole, the speaker appears to presume the addressee's concurrence with his/her responsible ecology-minded position, though no overt linguistic signs of Concurrence are instantiated.

But now it's time to turn to the textual metafunction, instantiated within the clause as message.

### 4.4 The grammar of the clause as message

The clause as message realizes textual meanings, and, as we've stressed repeatedly, when we talk about textual meanings, we're talking about *texture*: all those linguistic devices that make a text what it is. Firstly, we look at how such texture is created through *structural cohesive devices* and then at how it is achieved by means of *non-structural cohesive devices*.

#### 4.4.1 Structural cohesive devices

As usual, let's start with tracing *Thematic Progression* in the text through the mapping of the Topical Theme (TT) in its ranking (i.e., non-embedded) clauses. Below we also note in italics the type of formal/informal progression obtaining between clauses.

##### *Thematic Progression:*

- Cl 1** **Travelling by train** is less carbon-intensive than travelling by car.  
**Cl 2** **Rail** is the environmentally friendly and socially responsible travel option. (*parallel – between Cls 1 and 2*)  
**Cl 3** **More than 90% of visitors** travel to the North York Moors National Park by private car. *NEW TT*  
**Cl 4** However, **cars** harm the beauty and tranquillity of our countryside. (*linear – between Cls 3 and 4*)  
**Cl 5** **Local people** think *NEW TT*  
**Cl 6** that **increasing road traffic** poses the greatest single threat to the special qualities of this area. (*this TT links up semantically with Rhemes of Cl 1 and Cl 3 and TT of Cl 4*)  
**Cl 7** **CPRE (Campaign to Protect Rural England)'s tranquillity maps** demonstrate *NEW TT – partial link with Rheme of Cl 4*  
**Cl 8** that **there are only a few really large areas of tranquillity** left in England.  
**Cl 9** **Tranquillity** is threatened by the steadily increasing urbanised area, the development of the road network, the growth in road and air traffic and the expansion of energy infrastructure. (*linear between Cls 8 and 9 – and link again to Rheme of Cl 4, and Classifier in TT of Cl 7*)  
**Cl 10** **The Esk Valley Railway** provides easy access to some of the most *tranquil areas* in North Yorkshire. *NEW TT – Rheme linking back to Rheme Cl 8 and TT Cl 9*  
**Cl 11** **Speeding traffic along some roads** is causing the death of many wild animals, game and farmers' livestock. (*Not totally new – links back to Rhemes in Cls 1 and 3, to TT of Cls 4 and 6, to Rheme Cl 9 – and to TT below*)  
**Cl 12** If **traffic levels** continue to increase on the North Yorkshire Moors (*parallel – between Cls 11 and 12*)  
**CL 13** (as **is predicted** by the Department of Transport and the Countryside Commission), (*more or less parallel*)  
**Cl 14** **it [traffic levels continuing to increase]** will cause physical damage (e.g. destruction of verges, land permanently taken for car parking and road widening), loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects. (*idem – parallel*)  
**Cl 15** **Taking the train** helps the environment. (*TT – perfect closure: symmetrical with Cl 1*)

Analysis shows that the text is tightly woven in its Thematic Progression. Although we have perfect linear progression only twice before a constant parallel progression sets

in towards the end, in Cl 12, there are still continuous links with preceding clauses, as we've identified them above. The pathway of *tranquillity/tranquil* is a good illustration. Towards its dénouement, the text's method of development becomes tighter, more 'perfect', now in a parallel fashion. And, as noted, the TT of the final clause closes the text with admirable symmetry: *Taking the train* taking us back to where it began: *Travelling by train*.

*Grammatical Parallelism* (GP) functions as a structural cohesive device, but in many cases we also get a significant contemporaneous reiteration of meaning, i.e semantic parallelism. There is a notable reiteration of *words*: *traffic/car*, four times each; *travel/travelling*, twice each; *train*, twice; *rail*, once; *railway*, once; *tranquillity* appears four times, *tranquil* once, and *countryside* twice. These hammer the message home, so to speak, laying emphasis on the both the informative and the promotional activities going on.

*Groups*: except for a few instances of  $\emptyset$  deictic NGs, one non-specific deictic 'a' and one demonstrative 'this', 18 NGs are specified with 'the'. Half of these are pre-modified with Epithets and/or Classifiers (many being attitudinal), while seven of these are post-modified with Qualifiers (more on which below); only two are unmodified. And post-modification occurs twice with NGs lacking deictics too. Thus definite and detailed description emerges as vital to the text's informative activity.

*Phrases*: There are a total of 11 'of X's functioning as Qualifiers of NGs: e.g., *the beauty and tranquillity of our countryside*; *a few really large areas of tranquillity*; *the development of the road network*; *the growth in road and air traffic and the expansion of energy infrastructure*. These embedded structures add to the lexical density of the text, as we'll be seeing presently.

*Clauses*: The key reiterated clause structure is Actor ^ Process: material ^ Goal, of which there are six, four of which entail causation. Three times these have negative polarity. So again, but now in terms of cohesion, we see the meaning-making significance of the process type.

#### 4.4.2 Non-structural cohesive devices

There is a remarkable *lack* of reference relations in the text, also due to the fact that neither speaker nor addressee are explicit in the text. An exception is the extended anaphora of *it* in the fifth physical paragraph, referring back to that conditional continuing increase of traffic levels on the North Yorkshire Moors, predicted by the Department of Transport and the Countryside Commission. Neither does *ellipsis/substitution* figure in the text, which evidently prefers to select for repetition, as we've seen above.

*Other lexical relations* include: the *synonymy* obtaining between *train/rail*, *damage/destruction*, and a textually-created quasi-synonymy between *countryside* and *tranquillity*.<sup>4</sup> There is also a strong text-created *antonymy* between *train* and *car* upon which the text depends. Instances of *lexical scatter* are various: *railway/rail*; *environmentally/environment/environmental*; *tranquillity/tranquil* and *threat/threatened*. Finally, a relation of *hyponymy* between the general category of *damage* and the types spoken about – notably those between parentheses in paragraph 5 – can be identified.

In the same way as with the GP of words, these lexical relations go towards creating *lexical strings* which are at the same time *participant chains* in the text. The main ones are: *traffic*; *car*; *train/rail/railway*; *tranquillity*; *environment*; *threat*; *damage/destruction*.

Explicit *conjunction between* sentences is limited to *However* in paragraph 2 below. Again, let's hypothesize the apparently implied logical expansions, as suggested in square brackets below:

##### **Esk Valley Railway - Go Green**

Travelling by train is less carbon-intensive than travelling by car. **[Elaboration: Clarification: In fact...]** Rail is the environmentally friendly and socially responsible travel option.

**[Elaboration: Clarification: particularizing: More especially...]** More than 90% of visitors travel to the North York Moors National Park by private car. **[explicit Extension: Adversative] However**, cars harm the beauty and tranquillity of our countryside.

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<sup>4</sup> The similarity between the terms is of course created by the text for well-off city-dwellers who travel to the countryside to relax and breathe fresh air. Those who must live in the 'country' itself have always had a hard and often impoverished life – unless, of course, wealthy landed gentry.

**[Elaboration: Clarification: *Indeed...*]** Local people think that increasing road traffic poses the greatest single threat to the special qualities of this area.

**[Extension: Addition: *And...*]** CPRE (Campaign to Protect Rural England)'s tranquillity maps demonstrate that there are only a few really large areas of tranquillity left in England].

**[Enhancement: Matter: *Apropos, In this respect*]** Tranquillity is threatened by the steadily increasing urbanised area, the development of the road network, the growth in road and air traffic and the expansion of energy infrastructure. **[Enhancement: Condition: concessive: *All the same, Still...*]** The **Esk Valley Railway** provides easy access to some of the most tranquil areas in North Yorkshire.

**[Extension: Addition: *Moreover...*]** Speeding traffic along some roads is causing the death of many wild animals, game and farmers' livestock. **[Extension: Addition: *Furthermore...*]** If traffic levels continue to increase on the North Yorkshire Moors, as is predicted by the Department of Transport and the Countryside Commission), it will cause physical damage (e.g. destruction of verges, land permanently taken for car parking and road widening), loss of peace and tranquillity, more danger for pedestrians, cyclists, horse-riders and other motorists, air pollution, intrusive and unpleasant noise and other social and environmental effects.

**[Enhancement: Result: *Consequently*]** Taking the train helps the environment.

These theorized relations contribute towards mapping the following discourse or rhetorical structure/staging of the full text. Remember that the labels being used could be replaced by others with similar meanings – or even with different ones! Where logical relations are *not* explicit, readers' perceptions do occasionally differ. One always needs, however, to be able to argue the case for one's opinions, especially if contrary to the majority's!

- TITLE: recommendation ^
- Para 1: proposition 1 ^ additional information ^
- Para 2: particularizing proposition 2 ^ contrasting assertion ^
- Para 3: clarifying information (*attribution a*) ^
- Para 4: additional information (*attribution b*) ^ enhancing statement ^ proposition 3 (link to title) ^
- Para 5: additional information 1 ^ additional information 2 (on one aspect of threat) ^ consequential closing statement

Essentially the text makes a single point which is supported by offering additional information – and others' opinions. Much of that information consists in largely unverified, if common sense, 'evidence', presumably aimed at getting the addressee's concurrence with that argument, as well as his/her favourable response to the proposal to *Go Green*.

## 4.5 The Contextual Configuration (CC)

As we did for the CV cover letter, we can reconstruct its CC through a description of its three parameters: Field, Tenor and Mode, drawing upon the results of the analysis we've performed of clause as representation, as exchange and as message. Once again, our aim here is to, firstly, make the semantic meta-functions of the lexico-grammar being instantiated in the clauses, and thus also in the text, more explicit, but also, and importantly, to link these even more strongly to the specific material and social situation, i.e., the contextual determinants which prompted the text.

### 4.5.1 The Field

*What is going on in this text?: i.e., what is the nature of the social activity going on in the speech event instantiated in/by this text, and what is its specific subject matter?*

The *social activity* of the hybrid register we've been examining is, as we anticipated at the start, two-fold: to inform and also to advertise. Making use of Matthiessen's Field-based classification, we spoke of these as 'reporting' and 'recommending' activities, with the latter further broken down into 'advising' and/or 'promoting'. We also said that these two sub-types were conflated in our text, with an additional 'warning' activity going on as well. We've seen how the text exemplifies these multiple activities going on to construe the environmental *cum* advertising message.

The *subject-matter* of course is also dual: on one hand, the general environmental issue and the more specific need to limit car traffic to protect the ecosystem, and on the other hand, the 'promotional' 'solution' – that of taking the Esk Valley Railway to visit one of the few remaining peaceful areas in North Yorkshire.

Without replicating the findings of our analysis above, it's clear that the experiential meanings that have emerged as being construed in the text have been activated by the Field, by both its various ongoing social activities and its subject matter.

### 4.5.2 The Tenor

*Who is taking part in the exchange enacted by this text?*

At this level, we typically see those human participants functioning as grammatical participants in transitivity also functioning interpersonally to enact the relationship between speaker and addressee. This text is an exception, however, as neither speaker nor addressee explicitly appear in the text.

The *speaker's* voice is thus 'disembodied', which is not atypical for an advertisement. S/he is implied once – in the always implicit semantics of the imperative of the title: *I want you to do X*. His/her (at least temporary) *status* is informer/reporter and recommender (adviser/promoter), and one who has the analogous *discourse roles* of informing/reporting and recommending by advising and promoting – and warning. The text enacts the speaking position of an expert on the subject, monoglossically giving information, and advice, to those who are less knowledgeable.

Neither does the *addressee* explicitly appear in the text, less typical for an advertisement, which usually features 'you'. Again, however, the implicit semantics of the imperative of the title implies him/her. The text is highly *impersonal* indeed. The implied temporary status of the addressee is 'learner'. S/he has no active discourse role. The relationship between speaker and addressee is therefore asymmetrical.

It follows – and the text indeed enacts these meanings – that the speaker's *attitude towards the subject matter*, but also *towards the addressee*, is [+serious] and [+respectful]. Regarding the subject matter it is also clearly [+concerned]. Such an attitude perfectly fits the currently politically correct Western cultural *reservoir* (in Bernstein's terms, see Part I, passim) regarding 'green' issues, amply instantiated in/by APPRAISAL SYSTEMS in the text – in particular the +ve valuation of what's good for the environment and -ve judgement of those whose behavior is bad for it.

#### 4.5.3 The Mode

And now to reflect on the Mode. Before starting, we'd also ask you to remember Matthiessen's observation (reported in section 2.1 of Part I) concerning the enhancement of the phenomenon of hybridity of texts which has been the result of the modern technological revolution. In particular, he notes the radical transformation of the nature of 'channel' within Mode (2015a: 34). The text's *channel* as we have it is exclusively graphic, as it is online. But the text is also part of an intricate multimodal web of hyperlinks (see note 2 above).

Following the points to consider as listed in your Checklist (Appendix 1), first of all we note that the *process of text creation* is not shared. It is the disembodied speaker's monologue, addressed to an unidentified reader.

Its *medium* needs some systematic consideration. Let's calculate once again the *lexical density* of the text – that quality of the written medium which is equal to the number of lexical/content words (vs. grammatical ones), divided by the number of ranking (i.e., not embedded) clauses. Below we examine the density, including the symbols for embedding (which, as we've said, adds to density) and displaying the total number of lexical words in bold at the end of each clause:

[[**Travelling by train**]] *ACT embedded as Head* is less **carbon-intensive** *embedded comparison* [[than **travelling by car**]]. 5

**Rail** is the **environmentally friendly** and **socially responsible** travel option. 7

More than 90% of **visitors travel** to the **North York Moors National Park** by **private car**. 9

However, **cars harm** the **beauty** and **tranquillity** of our **countryside**. 5

**Local people think** 3

that **increasing road traffic** poses the **greatest single threat** to the **special qualities** of this area. 10

CPRE (**Campaign to Protect Rural England**)'s **tranquillity maps demonstrate** *embedded Fact* [[that there are only a few **really large areas** of **tranquillity left in England**]]. 13

**Tranquillity** is **threatened** by the **steadily increasing urbanised area**, the **development** of the **road network**, the **growth** in **road** and **air traffic** and the **expansion** of **energy infrastructure**. 16

The **Esk Valley Railway** provides **easy access** to some of the most **tranquil areas** in **North Yorkshire**. 10

**Speeding traffic** along some **roads** is **causing** the **death** of many **wild animals**, **game** and **farmers' livestock**. 10

If **traffic levels continue** to **increase** on the **North Yorkshire Moors** 7

(as is **predicted** by the **Department of Transport** and the **Countryside Commission**), 5

it will **cause physical damage** (e.g., **destruction** of **verges**, **land permanently taken** for **car parking** and **road widening**), **loss** of **peace** and **tranquillity**, more **danger** for **pedestrians**, **cyclists**, **horse-riders** and other **motorists**, **air pollution**, **intrusive** and **unpleasant noise** and other **social** and **environmental effects**. 28!!

[[Taking the train]] *ACT embedded as Head helps the environment.* 4

As is evident, the lexical density of the text is on the average extremely high: 10.07. This is due to its many long noun strings, including a great deal of modification, and also to those non-ranking embedded clauses that are counted as part of ranking ones. i.e., are not counted separately. The most dense clause is that with 28 lexical/content words – owing to the long illustrative parenthesis containing a series of ‘Things’, each having many content words. The medium of the text is thus decidedly to the ‘written’ extreme of the cline, more typical for the informing activity than for the promotional one.

And now back to our overview of the Mode: the text is completely *context-independent*. The role that language is playing here is *constitutive* of the social speech event. In short, the text is the whole of the relevant activity – with the exception of the explicit recommendation to ‘go green’ – a future proposed action. Notwithstanding, this is essentially *language as reflection*. The text has also emerged as being *highly organized and cohesive* from our examination of its Thematic Progression and discourse structure. As we’ve seen, GP adds to that cohesion, but also to the text’s semantic reiteration, while non-structural devices play a significant cohesive role as well. And now we’ll recapitulate the CC.

#### 4.5.4 The CC – a schematic overview

What follows is an overall outline of the relevant aspects of the three register variables activating the meanings instantiated in/by this specific instance of a hybrid register:

##### FIELD

*Social activity*: two-fold: to inform/report and also to recommend: advise/advertise, and warn.

*Subject matter*: again two-fold: environmental issue, especially the need to limit car traffic, and so taking the Esk Valley Railway to visit a remaining peaceful area in North Yorkshire.

*Denotational lexis of subject matter*: substantially those participant chains noted in speaking of lexical relations: *traffic; car; train/rail/railway; tranquillity; environment;*

*threat; damage/destruction, and Esk Valley Railway.* As we've seen, however, these are also connotative – evaluational – either in and of themselves or due to textually-created meanings.

*Temporal setting:* tense: present of general truths dominates; one instance of the 'real' (continuous) present and one of the future.

*Spatial Setting:* *the North York Moors National Park/some of the most tranquil areas in North Yorkshire/a few really large areas of tranquillity left in England.*

## TENOR

The *asymmetrical* relationship between the speaker and the addressee in terms of status and discourse roles impacts, as is typical, on the attitude enacted by the speaker towards the subject matter and the addressee.

	<b>Speaker</b>	<b>Addressee</b>
<i>Status:</i>	the informed expert	the implied learner
<i>Discourse role:</i>	inform/recommend...	none
<i>Speaker attitude:</i>		
<i>to subject matter</i>	[+serious] [+concerned] [+respectful]	
<i>to addressee</i>	[+serious] [+respectful]	

## MODE

Context-independent hybrid text online. Pre-prepared, highly organized and cohesive monologue. Graphic channel. Medium: high degree of written-ness. Role of language: constitutive. Language as reflection. A self-contained text with strong internal texture.

And now it's time to finish off our analysis by making our further considerations, following the outline in your Checklist, as usual.

## 4.6 Additional Considerations

We've spoken amply about the nature of this concrete instance of a hybrid register. In addition, when we first introduced Bottom-Up analysis, we spoke briefly and in general about the register-idiosyncratic quality of our findings, stressing that the results of our analyses can't be considered fully valid for each and every text belonging to a register, but only for the concrete instance being investigated. Indeed, the linguistic mechanisms which have emerged from our analysis of this text should be identified as idiosyncratic of the informative/promotional hybrid text-type *only* – and indeed *only in part*. If we change the subject matter, naturally much else will change as well.

The *dialect* of the text is prestige Standard English, as the activities going on require it.

The *rhetorical aim* of the text, in Jakobson's terms, is principally referential, the factor of context being the primary focus of the text. A secondary function is the conative – despite the atypical total lack of an explicit 'you' in a promotional text. The title is enough to give us the only, but important, imperative, and so also the promoting activity, and so also give us this conative/persuasive function. A minor poetic function is also in evidence in the noteworthy incidence of GP in the text, functioning not only to reiterate lexico-grammar but also to reiterate meaning.

The text can be said to function *intertextually*, rather than *contratextually*, at least with reference to the contemporary cultural paradigm which highly values this kind of environmental discourse. We have seen how this 'green' paradigm is continuously construed and enacted in/by the ways of saying in the text. Of course, for those readers whose individual *repertoire* is cool towards, or even anti-, ecology, the text will be perceived as *contratextual*.

Compatibly, in relation to Bakhtin's conflicting forces of *heteroglossia*, the force at work in this text is essentially *centripetal*. It instantiates a unifying discourse of eco-awareness. The unqualified monogloss prevails and functions to enact the knowledgeable monologic voice of the text, aiming to align the addressee by making the speaker's position largely unarguable, not open to debate. However, again, for the anti-green reader, the text will be centrifugal, operating to propose ways of

thinking/meaning that are conflictual and alternative to his/her own. Nonetheless, the text's arguments could possibly prove persuasive even with such a reader!

In connection with Bernstein's theory of *coding orientations*, the text semantically selects for a coding orientation that is a mixture of the elaborated and the restricted.

In part, its lexico-grammar instantiates generalized abstract *experiential meanings* (e.g. social responsibility; peace: beauty; tranquillity; threat...), as we'd expect the elaborated code to. But numerous concrete particulars are also instantiated while reporting what the dangers and damages of *speeding traffic* etc. are/could be for the environment.

*Interpersonal meanings* are exclusively *implicit* – a restricted code feature – except for that one imperative. As noted, explicit modality is extremely low, the implicitly subjective dominating. Appraisal instantiations are technically a mixture – in part inscribed, and in part invoked.

Textually, analysis has shown the text to be highly organized and coherent, but, recall, basically without endophoric reference. Nonetheless, its other cohesive devices function to make it context-*independent*, i.e., a fully self-sufficient text.

So then, globally considered, the code that is at work in speaker selections in this text is, as it were, a 'hybrid' one.

In the following, and final, section, a literature text will be analysed in its special 'double-articulation' perspective.

## 5. *One instance of a ‘special’ register: Verbal Art, or the literature text*

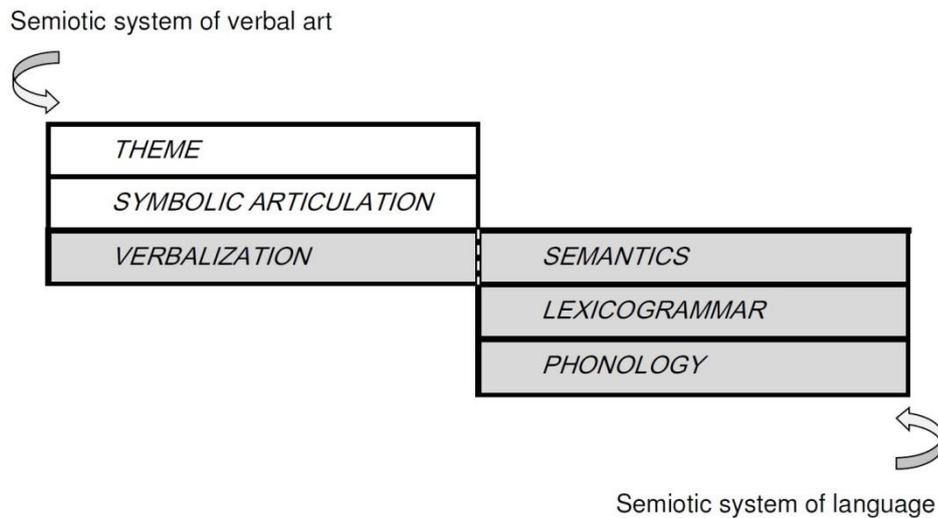
### Preliminaries:

In section 2.1.1 of Part I of this course book, we introduced the ‘special’ nature of *verbal art*, according to the Systemic Socio-Semantic Stylistics (SSS) perspective we adopt, first put forth and developed by Hasan (e.g. 1985/1989); an analogous overview is offered in Appendix 1.

As we pointed out there, just like all registers, verbal art *is* a kind of language use functioning in a particular social context, but it is *not* a register just like any other. The foremost reason we gave for this fact is that the context-language connection in verbal art is much more complex than it is for any other register (Hasan 2007: 22).

As also said there, this complexity has to do with the multiple contexts which are in play in verbal art: 1) the *fictional context* which is created by the text; 2) a ‘real’ *context of creation* comprising the language, world view and artistic conventions of the author in relation to those of his/her time/place of writing, and also 3) a *context of reception* which involves the reader. As we stressed, all of these impact on the text and its interpretation and so require the analyst’s very close attention. In this unit, we’ll be illustrating these several contexts with reference to our reading of one short poem.

Before doing that, however, we’ll be probing that poem systematically, according to the equally special methodological approach which we also quickly sketched for you in Part 1 and again in Appendix 1. The analytical model, also presented, is one of ‘double-articulation’, whose visual representation we re-propose here below:



**Fig. 16: The ‘double-articulation’ model for the analysis of verbal art: based on Hasan 1985/89: 99**

Again, as already said very briefly, the model clearly proposes for the literature text two related but distinct orders of meaning – two semiotic systems: the ‘lower’ one being the *semiotic system of language* and the ‘higher’ one being that ‘special’ one, that of verbal art. It may look complicated, but it’s really not! And we’re going to keep it as simple as possible – which IS possible, as the beauty of the model lies in its having captured the intricacies of the meaning-making process in verbal art in a straightforward framework.

We begin our analysis of the literature text in the semiotic system of language – *which is exactly where we start for any text of any other register when we are working Bottom-Up*. Moreover, at that level we follow *exactly the same analytical procedure* as we always do. Proceeding systematically, we examine the wordings of the text in the clause which is typically considered, respectively, as representation, exchange and message, linking these to the meanings they construe/enact. At the end of that very familiar process, we are able to say basically what the text is about and are also be able to talk about the *fictional context* that it has created.

*But we don’t stop there*. We then go beyond, to the second order of semiosis in the Figure above. Look at that Figure once again and note that there are also three strata, or levels, within the *semiotic system of verbal art*. The first is labelled ‘verbalization’, which in the Figure can be seen to ‘contain’ the whole lower level – the semiotic system

of language. The outward signs of this inclusion are two: 1) the background shading, which is the same for verbalization and the three levels of the system of language, and 2) the broken line between them, symbolizing the uninhibited passage between them. So then, into the semiotic system of verbal art go *all* the findings of our analysis at the lower level. Nothing is left behind, though some things typically prove more significant at this higher level than others.

The next stratum up is that of *symbolic articulation*. This is where it all happens, so to speak. But *what*, precisely?

Looked at from ‘below’, symbolic articulation is the place where the first order meanings are ‘added to’, or ‘expanded upon’, or ‘heightened’, or ‘enriched’, or ‘deepened’, or whatever metaphor one prefers, and are thus made ‘art’. *How* it does this is through *foregrounding* (Mukařovský 1964: 17-30): the process by which the patterns of wordings/meanings resulting from the analysis we perform within the semiotic system of language are symbolically turned into signs, for the purpose of expressing a *theme*. The theme is simply a deeper meaning than any that we are able to reveal working with the semiotic system of language alone.

But there’s no ‘magic’ involved in the process. Let us recapitulate: the level of symbolic articulation is the place where Hasan hypothesizes that the first order meanings we have brought to light through analysis are made art. How? By being re-patterned through a process of what Mukařovský called *foregrounding*, which – we now add – involves *contrast*. But for Hasan, in order to be significant, i.e. to ‘count’, such contrast must be *semantically consistent* and also *motivated*. But what do ‘consistent’ and ‘motivated’ mean?

To be semantically consistent merely means that the contrasts *are pointing in the same meaning direction*, while ‘motivated’ simply means that the foregrounding needs to be working towards using language in a special way and for a special purpose: to *symbolically articulate a theme*.

Now, let’s connect up with the familiar notion of accessibility between strata, e.g., wordings making meanings accessible, etc., and reflect on the fact that the stratum of symbolic articulation makes the theme accessible to us. Indeed, *in the very same way* that – in the semiotic system of language – the lexico-grammar makes the semantics, i.e.

the stratum 'above' it, accessible to us, in the semiotic system of verbal art it is symbolic articulation that gives us access to the literature text's theme.

We've said above that the theme is a deeper meaning than any we can reveal with the semiotic system of language alone. We now add that it is the text's *deepest meaning* and also that it is akin to a *generalization on the nature of human existence*. Without this 'theme' and its 'symbolic articulation', there is, for Hasan, no verbal art (1985 [1989]: 100).

Now then, as also anticipated in Part 1, Miller's research suggests that the symbolic articulation of theme is equivalent to what Jakobson calls *pervasive parallelism* (PP). To put it another way, her conviction is that, where there is consistent and motivated foregrounding, symbolically articulating a literature text's theme, PP is bound to be a vital means of its construction.

So in our analysis below, we'll also be discussing consistent and motivated foregrounding, or symbolically articulated patterns, precisely in terms of PP.

## 5.1 The Text

Many of you may already be familiar with the poem that we've chosen to analyse, since it appears in several Italian High School syllabuses online.<sup>1</sup> If so, that's fine. Hopefully you liked it! In any case, if you've done it in a literature class, you'll most likely have spent most of the time talking about its author and his socio-cultural context, but very little reflecting on the wordings/meanings of the text itself. In any case, here it is:

### **Siegfried Sassoon's *Does it Matter?* (1918)**

- 1 Does it matter? – losing your legs?...
- 2 For people will always be kind,
- 3 And you need not show that you mind
- 4 When the others come in after hunting
- 5 To gobble their muffins and eggs.
  
- 6 Does it matter ? – losing your sight?...
- 7 There's such splendid work for the blind;
- 8 And people will always be kind,
- 9 As you sit on the terrace remembering
- 10 And turning your face to the light.
  
- 11 Do they matter? – those dreams from the pit?...
- 12 You can drink and forget and be glad,
- 13 And people won't say that you're mad;
- 14 For they'll know you've fought for your country
- 15 And no one will worry a bit.

## 5.2 The semiotic system of language

We'll now analyse the poem as we would any text – working at the level of the semiotic system of language, and starting with the wordings of the clause as representation.

### 5.2.1 The grammar of the clause as representation

#### 5.2.1.1 The instantiation of experiential and logical meanings

As the poem is full of idiomatic ways of saying, and is also short!, we'll take time to go through it stanza by stanza. Relevant logico-semantic relations will also be noted as we

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<sup>1</sup> Just for example, see [www.liceonolfi.it/download/programmi/5B.soc.prog2016.docx](http://www.liceonolfi.it/download/programmi/5B.soc.prog2016.docx) (last accessed 26 December, 2016).

go along, both those within clause-complexes (logical meanings) and between them (textual).

What process type do we have in the first line's reiteration of the title, *Does it matter?* Since it's an idiomatic way of saying, it may be helpful for us to paraphrase it, i.e. to hypothesize a co-representational version, such as *Is it important?* In this case, we'd have a relational: attributive Process with *important* as Attribute and *it* as its Carrier. Alternatively, we could hypothesize a mental: emotive one such as *Does it worry you?*, which has the advantage of focusing attention on *you* as Senser – only implied of course in the text. However, it is a benefit we think becomes clearer as our findings emerge.

But what is the Carrier, or Phenomenon Sensed, *it*? Since the reference is cataphoric, here we need to jump ahead to the non-finite Act which follows: i.e., *losing your legs*. This nominalized Process is a material one, but one that represses the causation necessarily involved: meaning that someone or something (e.g., a serious illness, a terrible accident etc.) must clearly *cause* one to lose one's legs.

Then comes the first reason for having asked the question: *For* (a kind of 'because', so expansion with an enhancing Cause: Reason clause) *people will always be kind*. Here the Process is relational: attributive with *people* as Carrier and *kind* as Attribute.

Next we get the additive (another reason why it doesn't matter): *And you need not show that you mind*: a modalized symbolic verbal Process projecting *that you mind*, as Verbiage. *Mind* is a mental Process of emotion that means more or less to dislike and/or to resent something. The Senser is *you* and the Phenomenon, only implied – i.e., *what you need not show you mind* is presumably the fact of having lost your legs, but it may also include the dependent enhancing temporal clause which follows: *When the others come in after hunting to **gobble** their muffins and eggs* – i.e., that you *mind* not being able to be a heathy and active part of the group. This temporal clause contains two enhancing non-finite clauses, the first being temporal and the second one of purpose. The two Processes in bold above are both material, while *hunting* is another nominalized Process, an Act.

Stanza 2 begins, in parallel fashion to stanza 1, with *Does it matter?* Thus, according to our hypothesized rewordings, we have either another relational: attributive Process,

or a mental: emotive one. Here, *it* refers, again pointing ahead, to *losing your sight*, another nominalized Act, again suppressing inherent causation. The Cause: Reason for asking the question this time is that, after all, *There's such splendid work for the blind*: an existential Process whose Existent is the entire NG: *such splendid work for the blind*, the prepositional phrase being a Circumstance of Behalf – i.e., work for the blind to do.

The next clause extends the reason for *it* not mattering – with a reason we've seen before: *And people will always be kind*. The next clause-complex is enhancing: temporal, and tells us when they'll be kind: *As you sit on the terrace remembering and turning your face to the light*. Here there are two non-finites – *remembering* and *turning* – whose finite versions would be *and [you] remember/and [you] turn*. *Sit* is a Process: behavioural, of the material type,<sup>2</sup> while *remembering* is a mental: cognitive, and *turning*, material. *You* is the Doer of all three Processes: Behaver, Senser and Actor. *Face* is the only second participant instantiated, a Goal, but just what is being painfully remembered can at this point be imagined: the circumstances in which the legs and sight were lost.

The third stanza begins in a similar parallel fashion to the prior two: *Do they matter? – those dreams from the pit?* With our suggested paraphrase of *Is it important?*, we'd get another relational: attributive, this time with a plural Carrier: *they*, pointing forward to *those dreams from the pit*.<sup>3</sup> Alternatively, if we opt for the mental: emotive Process reading – *Do they worry you?* – *they* becomes the Phenomenon Sensed by Senser, *you*. Again we can theorize implicit causation, with *the pits* being the Initiator Instrument of making *you* have/dream bad dreams.

Once again what follows are explicit or implicit enhancing Cause: Reason clauses saying why those *dreams* don't matter. Firstly: *You can drink and forget and be glad* – three coordinated VGs: a behavioural: material type; a behavioural: mental type, and a relational: attributive. Again the first participant is always *you*. Once more the following clause extends the reason for them not mattering: also because *people won't say that you're mad*, a verbal Process projecting what people won't say, containing a relational:

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<sup>2</sup> The choice for interpreting a process as behavioural is based, first and foremost, on it having one sole participant; otherwise material or mental readings are made. In certain cases, even with a sole participant, material or mental interpretations may be preferred, as with *come in* as material.

<sup>3</sup> The 'pit' is synonymous with the trenches. These are long, narrow excavations that have been dug out in the ground, the earth from which is thrown up and packed down in front as a shelter from enemy fire or attack. World War I was conducted primarily with trench warfare.

attributive Process clause with *you* as Carrier of Attribute *mad* (i.e., crazy/insane). What comes after is yet another enhancing clause complex of Cause: Reason, this time for their *not* saying so: *For they know that you've fought for your country*. The first clause has a mental: cognitive process which takes a Fact with *you* as Behaver ^ Process: behavioural ^ Circumstance of Behalf. The final line of the poem further extends the reasons for those dreadful dreams not mattering, with *And no one will worry a bit*: another mental: cognition Process.

In sum then, process types are extremely various. The dominant types are material and mental, followed closely by relational and behavioural types. Finally there are 2 verbal Processes and one existential.

The dominant Doer, as already noted above, is evidently *you*, but to say this doesn't really say all that much. It's more revealing to compare the Doer roles of *you* with those of the other human participants in the poem, who we'll put together and label 'not-you'. What follows in Table 1 includes both the explicit and implicit Processes which have come out through analysis:

**Table 1: *you* vs. *non-you* Doer roles**

<i>you</i>	<i>not-you</i> (people, others...)
(something/one caused you to) lose your legs	will always be kind – twice
need not show you mind	come in/(hunt)/gobble
(something/one caused you to) lose your sight	won't say
sit	know
remember	won't worry
turn your face to the light	
(the pits cause you to) have nightmares	
can drink/forget/be glad	
(may show signs of being?) mad	
have fought for your country	

Although *you* undeniably does more, the quality of those doings is much less 'active' than the little that *the others* do. Many of his 'actions' are those of an infirm person only. Indeed, three times *you* is the implied object of what we have hypothesized as intrinsic cause, which only becomes clearer at the end with his only 'real' action: having

fought, the Behalf Circumstance construing that he was a soldier.<sup>4</sup> Moreover, *you* doesn't act *upon* anything except his face, and in a quasi-unconscious manner, as if drawn to the light. But neither do the others act upon anything, except an implied fox (by *hunting*), and their *muffins and eggs*. The non-doing of the others is in fact underlined by negative polarity: they *won't say*, or *worry* – not even *a bit*.

We'll consider the meanings construed by these findings further when we discuss the semiotic system of verbal art below.

### 5.2.2 The grammar of the clause as exchange

The *Mood* of the poem is primarily indicative: declarative, but these statements are strictly tied to the interrogatives that head each of the stanzas (an important semantic location), the nature of which will also be further addressed below.

The *Modality* selected is mostly epistemic/modalization, and mostly implicit. Five times we have high subjective explicit probability: 3 positive *wills* and 2 negative *won'ts*. Usuality is enacted with the two instances of mood/modal adjunct *always*.

Modulation is instantiated with *need not* (with the apparent meaning of not being obliged to), and also with *can*: capacity (also, as often is the case, interpretable as modalization: possibility).

*APPRAISAL SYSTEMS* which are seemingly enacted in the text include the inscribed +ve judgement: social esteem: capacity that is enacted with that *can drink and forget and be glad* – a capacity, however, essentially to become an imbecilic drunkard. Then, an awareness of typical British upper class ways of saying/meaning tells us that we may actually have invoked -ve judgement: social sanction: propriety of our soldier's showing he *minds* – i.e., rather than meaning not being obliged to, that *need not* could well be advice *not to complain* (i.e., not to be a bore). With *people will always be kind* apparently we have inscribed +ve judgement: social esteem: normality, and perhaps also invoked +ve judgement: social sanction: propriety. Finally, and again apparently, +ve appreciation: reaction: quality is enacted in/by *splendid work for the blind*.

*To gobble* also has attitudinal value in itself: it means to eat hurriedly – and noisily – to consume greedily, in pig-like fashion, and so clearly invokes a negative evaluation of

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<sup>4</sup> As fighting soldiers in World War I were strictly male, we pass to the exclusive use of the masculine pronoun.

the action and of the person who performs it as well: -ve judgement: social sanction: propriety.

Global evaluation of *you's* leg and sight loss and nightmares is, *seemingly*, -ve appreciation: valuation, since, from what on the surface is being cheerfully and categorically (monoglossically) asserted, they just don't matter/aren't important/shouldn't worry him. As this is far from the end of the story, however, we'll have more to say about evaluation below as well. But now to examine the grammar of the clause as message.

### 5.2.3 The grammar of the clause as message

#### 5.2.3.1 Structural cohesive devices

Here we customarily investigate *Thematic Progression* and *GP*.

In a poem, theme is often more a question of the point of departure of the line rather than in the clause. In our poem, these essentially coincide. Topical Themes by line are in bold below.

- 1 **Does it** matter? – losing your legs?...
- 2 For **people** will always be kind,
- 3 And **you** need not show || that you mind
- 4 When **the others** come in || after **hunting**
- 5 || **To gobble** their muffins and eggs.
  
- 6 **Does it** matter ? – losing your sight?...
- 7 **There's** such splendid work for the blind;
- 8 And **people** will always be kind,
- 9 As **you** sit on the terrace || **remembering**
- 10 | And **turning** your face to the light.
  
- 11 **Do they** matter? – those dreams from the pit?...
- 12 **You** can drink and forget and be glad,
- 13 And **people** won't say || that **you're** mad;
- 14 For **they'll** know [[**you've** fought for your country]]
- 15 And **no one** will worry a bit.

There is no need to go through the poem line by line/clause by clause, since it's quite obvious that there are two main interwoven TTs and that these correspond to the two contrasting grammatical participants in the text: *you* and *the others* – whose importance

for the meanings of the text is again highlighted. The third significant TT is the Finite and Subject of the yes/no interrogatives that begin each of the three stanzas, in parallel fashion.

GP will be probed with reference to *pervasive parallelism* at the level of *the semiotic system of verbal art*.

#### 5.2.3.2 Non-structural cohesive devices

We have already noted the cataphoric *reference* in those same lines at the start of each stanza. We also have anaphoric reference: between the possessive deictic *their* in Line 5 and *the others* in line 4, as well as between *they* in line 14 and *people* in line 13. These form a *reference chain* that is also an important *participant chain* in the text, once again highlighting those *non-you Doers*. Although *you/your* constructs the most important reference (and participant) chain in the text, these have no explicit referent in the text itself.

*Ellipsis* and *substitution* in the poem don't pose issues.

Noteworthy *lexical relations* include the *quasi-synonymy* among those 'non-you' participants: *people*, *the others* and *no one*, which are in a textually-created relation of *antonymy* with *you*. Another instance of antonymy is the *light* that *you* searches out (and presumably its warmth) and *the pit*, notoriously a place of darkness and damp. Abstract *hyponymy* can be hypothesized with 'fighting for one's country' as the general event and losing one's legs, one's sight, and having nightmares as its co-hyponymic specific consequences. Perhaps what remains that *you* can still do might also be included as co-hyponyms: *drink and forget and be glad*.

As noted at the start of section 5.2.1.1 above, in addition to the logico-semantic relations within clauses, we also considered those between sentences that work over larger stretches of text. Essentially these were of explicit and implicit Cause: Reason, which give us a clue to the global discourse structure of the poem: thrice-reiterated query ^ reason(s) for asking.

The results of our analysis at the three levels of the clause: as representation, exchange and message allow us to talk now about the fictional context that the text has created.

### 5.3 The fictional context created

#### 5.3.1 The Mode

We're taking up Mode first, atypically, for the simple reason that this contextual parameter is not 'fictional', has not been created in/by the text, not in the same way as those of the Field and Tenor.

This World War I poem is an informal, conversational, but clearly pre-prepared and self-contained literature text that is context-independent, in its surface meanings, if not fully with respect to its deepest ones. As the analysis of Thematic Progression has shown, it is an organized and cohesive monologue, addressed to a hearer, *you*. Its channel is graphic, while its medium is to the 'spoken' extreme of the continuum: no ranking clause has more than 3 lexical content words and many have only 1. The role of language is constitutive: language here functions as reflection.

#### 5.3.2 The Field

So then, what can be said about what's going on in this poem, in terms of *the nature of the ongoing social activity* created by the text and its *subject matter*?

Sticking to the surface, as we've done so far, we can say that the activity is: 1) to pose a series of questions to a presumed ex-soldier concerning the aftermath of his fighting and, 2) to cast doubt on the importance of those aftereffects by offering reasons for their insignificance. The subject matter is apparently war and its consequences for the wounded veterans coming home from the front.

*Denotational lexis of subject matter: losing your legs; losing your sight; blind; those dreams from the pit; drink and forget; fought for your country.*

*Temporal setting:* Tense/time construe *then* vs. *now*, but also *the time still to come*. Belonging to the past are: having lost legs and sight; having fought for your country. Linked to the present and a future of indefinite duration we have: with reference to *people*: (*always*) being kind; gobbling after hunting; not saying/worrying; and with reference to *you*: being able, although blind, to do useful work; sitting on terrace and remembering and turning face to catch light; drinking, forgetting, being glad.

*Spatial Setting:* Unlike most war poems, this one has nearly nothing to do with the battlefield, except for mention of *the pit*. Talk of *the terrace*, and implied hunting

grounds and dining room indicate that the veteran is now at (his rather impressive) home.

### 5.3.3 The Tenor

The relationship between the disembodied speaker and the explicit addressee is totally *asymmetrical*. The results of our analysis of the clause as exchange give us the following:

	<b>Speaker</b>	<b>Addressee</b>
<i>Status:</i>	encouragement source	the mutilated veteran
<i>Discourse role:</i>	cheer/reassure	none
<i>Speaker attitude:</i>		
<i>to subject matter</i>	[+flippant] [+dismissive]	
<i>to addressee</i>	[+intimate] [+carefree] [+cheery]	

### 5.3.4 A first formulation of theme

We have intentionally, if not easily, stuck to the surface meanings of the text thus far. The theme at this level would apparently be something like: *War can cause pain, but its cruel consequences can be overcome*. There would even be poetic precedent for such a reading, in, e.g., William Wordsworth's famous *Ode on Intimations of Immortality from Recollections of Early Childhood* (1803-06). Listen to this segment:

Though nothing can bring back the hour  
Of splendour in the grass, of glory in the flower;  
We will grieve not, rather find  
Strength in what remains behind;  
In the primal sympathy  
Which having been must ever be;  
In the soothing thoughts that spring  
Out of human suffering;  
In the faith that looks through death,  
In years that bring the philosophic mind.

But even if this *were* the theme of the text, surely the speaker's stance would be much more serious, more 'philosophic', so to speak, whereas the happy-go-lucky attitude

which is enacted in/by the writer's choices in the text is obviously wholly improper, given the subject matter. If our speaker really means what s/he says – i.e., that what has happened to the soldier truly does *not* matter – we have not only a heartless representation of the ex-soldier's sufferings, but a full approval of *the others'* complacent and indifferent social way of reacting to them. However, most contemporary readers would find this a rather unconvincing, and perhaps even unfair, reading of the speaker's meanings. Therefore, we must presume a fiercely critical *irony* to be at work here, giving us a radically different theme, to whose *symbolic articulation* we now turn.

#### 5.4 The semiotic system of verbal art

We will now address the ways in which the text's patterns of wordings/meanings may be seen to foreground the 'real' theme of the poem; we will be speaking, as anticipated, in terms of PP. Firstly, let us say that by far the most consistent significant *global* contrast, or foregrounding, in the text is between its ironic surface wordings/meanings and what it is actually saying/meaning. This ironic contrast is perhaps not difficult to decipher, but the textual mechanisms exposing it are surely harder to identify.

But at least a few words on irony – about which volumes could be, and indeed have been, written<sup>5</sup> – are in order. According to APPRAISAL SYSTEMS theory, exploring irony is possible through the notion of what Martin has called 'discordant couplings', either between appraisal selections and what is being appraised, or even among the appraisal variables themselves (2000: 163-164). Recall that the global appraisal we identified as being enacted at surface level (in section 5.2.2 above) was -ve appreciation: valuation of *you's* leg and sight loss and nightmares, since, from what on the surface is being cheerfully asserted, they just *don't* matter. As already intimated, we feel that it's obvious that this appraisal selection is an inadequate evaluation of – is indeed in cruel conflict with – what is being appraised, and so a perfect illustration of the first type of 'discordant coupling'. And we'll now see better just how this is so, by re-sorting the findings of our analysis at the lower level of the semiotic system of language in terms

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<sup>5</sup> See just for example, Colebrook (2004), a delightful and useful introduction to the topic in a diachronic perspective.

now of the *symbolic articulation* of the ‘real’ *theme*. And this also means now turning our attention to *pervasive parallelism* and to seeing how it acts as a consistent and motivated foregrounding device at the second-order level of verbal art.

#### 5.4.1 Symbolic articulation through foregrounding/pervasive parallelism

Let’s first of all recall what we know about GP (discussed in section 2.3.2.1 of Part I): how, for Jakobson, GP is “the empirical criterion of the poetic function” in a text, and how it can also be seen to give us semantic parallelism, especially when going well beyond what may be needed to create cohesion, when, i.e., it is notably *pervasive*. Let’s start with the instantiated parallelism of *sounds* in the text.

The slippage between surface and ‘real’ meaning actually begins in the domain of verse with rhyme and metrical patterns. We have a fixed ABBCA pattern of end rhyme in all three stanzas, as well as what is basically anapestic trimeter,<sup>6</sup> with, however, a consistent variant: an ‘extra’ unstressed syllable at the end of the fourth line of each stanza.

These patterns work to create an apparently tension-less, sing-song, limerick-style rhythm and rhyme scheme, which adds to the flippant speaker attitude we’ve seen being enacted. It is, however, only a deceptively reassuring background, which complements the surface meanings but contrasts profoundly with the real message of the poem.<sup>7</sup>

The PP of *words* again highlights the central, conflicting, human participants which are in constant tension throughout the poem: *you* and *the others*, as we’ve seen in section 5.2.1.1 in terms of transitivity, and again in section 5.2.3.2, with reference to participant chains, and as the analysis of Thematic Progression in 5.2.3.1 also pointed up. And again: the more levels of analysis at which the function of an element emerges as noteworthy, the more significant for the global meanings of the text that element is.

A key reiterated parallel *group* structure is possessive deictic ^ Thing: *your legs* and *your sight*, but also *your face* and *your country*. Also foregrounded are the various parallel nominalized Acts. Several of these function together with the NGs just noted;

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<sup>6</sup> An anapest is a three-syllable foot consisting of two unstressed (x x) syllables followed by a stressed (/) one. A poetic line consisting of 3 feet is called trimeter.

<sup>7</sup> A limerick is a short poem of five lines having an AABBA rhyme structure and a metrical pattern of anapestic trimeter. Interestingly, according to Wikipedia – [https://en.wikipedia.org/wiki/Limerick\\_\(poetry\)](https://en.wikipedia.org/wiki/Limerick_(poetry)) – “the form is essentially transgressive; violation of taboo is part of its function”, something to keep in mind regarding the final theme as it emerges.

they all intensify the contrast and conflict between *you*, ex-soldier, and *the others*. On one side, there is *you*'s twice reiterated *losing*. Its also reiterated semantics of deprivation, of causing to no longer have – where the Depriver is only implied at the end of the text as warfare itself – highlights the ex-possession of the protagonist (*legs* and *sight*), as well as what little remains to him: his *remembering* and *turning*. On the other side, there is the only vigorous material action in the text and, as such, something only *the others* can do: *hunting*, prior to (rather distastefully, as noted above in 5.2.2) *gobbl[ing]*.

*Clause* parallelism is also marked, beginning with the interrogative in the significant semantic location of the title, which is then reiterated three times in other key locations: the first line of each stanza. We compared the transitivity structures in which *you* and *not-you* are involved in section 3.2.1.1 above; now we'll be focussing on the meanings the parallel structures can be said to, *motivatedly*, highlight: in particular on how, pervasively, *people* in the poem do, and are, nothing special, and how they neither feel, nor perceive, nor understand the mutilated soldier's loss.

Besides their two material actions of *hunting* and *gobbl[ing]*, people are said to be, in two fully parallel clauses in lines 2 and 8, *kind*. Superficially this may seem a positive evaluation, as analysed in 5.2.2 above, but we need to be aware that being 'kind' is often an extremely facile, superficial and low-cost thing to be – irreconcilable with genuine empathy. Such a reading is, we believe, reinforced by the function of twice reiterated negative polarity, in/by which *they* are construed as *non-Sayers* (line 13) and *non-Sensors* (line 15). *They* are predicted Sensors solely of a (back then still generally unquestioned as 'noble') behaviour: line 14's Fact of *you* having *fought for your country*. Accordingly, as the final line – another typically significant semantic location – tells us: *no one will worry a bit* – a clichéd way of saying that 'de-responsibilizes' everyone.

We also need to reflect on the ambivalent semantics of 'will': in *people will always be kind*, but also in the negative *people won't say that you're mad* and *no one will worry a bit*. On one hand, it is apparently a simple future tense, encoding high probability, but on the other hand, it may be enacting *determination*, *persistence*, and/or *willfulness* – as 'will' often does – in this case, perhaps a resolve to ignore the uncomfortable costs of war.

Recapping the significant parallel structures regarding the ex-soldier himself, we recall that he is consistently construed only as a *potential* Doer: Actor, Behaver, Senser and Carrier, though never a Sayer. Indeed, the only things he effectively, wordlessly, *does* in the present time of the poem are also largely passive: to *sit* [...] *remembering and turning* [his] *face to the light* (lines 9 and 10) – ‘light’, as noted above, contrasting with the darkness of *the pit*, which saw his only ‘real’ explicit action in the poem: his past fighting for his country, and also contrasting with the darkness of his lost sight. His total silence also contrasts powerfully with the flow of mindless chatter being directed at him by the speaker – and emphasizes its hollowness.

A final reflection on the significance of PP and the soldier: but now in terms of a *missing* element: the Phenomenon Sensed, in three significant semantic locations. As we remarked above, the reader is not plainly told: firstly, in stanza 1: *what* it is that *you need not show that you mind* – though in considering experiential meanings, we hypothesized that it was presumably *losing your legs*, and also possibly *the others’* carefree *hunting* and *gobbl[ing]* from which *you* is excluded. Then, in stanza 2, we’re not informed *what*, precisely, it is that *you* is *remembering* – which we said, however, is highly imaginable. Finally, in stanza 3, there is no explicit instantiation of *what* it is that *you can* [...] *forget*, which we can assume at that point also includes the horrors of *the pit*.

What we’re subjectively suggesting here is that these only implied Phenomena would seem to work cumulatively, as the poem progresses, like a crescendo – to intensify those miseries, and the reader’s reactions to them. In short, these inexplicit wordings might be seen to function to help keep the reader alert to the soldier’s sufferings and to stimulate his/her imagining, and perhaps also empathy. At least that’s how they work for us.

But none of these deeper meanings, enacted by the PP scrutinized above, is clearly inscribed in the poem, in which, on the surface, *it* is simply, if incredibly, not a problem. Yet, as White notes, exaggeration of this kind may in and of itself strongly provoke negative judgement of the person exaggerating: in this case, of our speaker, whose surface voice then becomes a wholly unreliable one.<sup>8</sup>

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<sup>8</sup> Cf. [www.grammatics.com/appraisal/appraisalguide/stage4-intertextuality.doc](http://www.grammatics.com/appraisal/appraisalguide/stage4-intertextuality.doc)

At this point we can say that our first formulation of the theme (in section 5.3.4 above) has surely been overturned. Despite the dominant surface semantic direction construing the numerous reasons why *it* doesn't matter at all, the three interrogatives are asking yes-no questions to which no rational person would answer 'no'. The permanent physical and psychological effects of war on soldiers are, of course, customarily believed to 'matter' very much indeed. And, as is customary, so is it here. In a reading assuming irony which is grounded in an analysis of PP, the apparently heartless representation of the ex-soldier's sufferings as unimportant, and seemingly full approval of *the others'* complacent and indifferent social way of reacting to them, are transformed into a strong critique of war, of the suffering it causes and of the (then wide-spread) lack of social attention to that suffering. So we now propose that the veteran's disabilities are being implicitly appraised in terms of +ve appreciation: valuation – overturning the -ve surface evaluation proposed in 5.2.2 and again in 5.4 above. The speaker now becomes a deeply sarcastic voice who is asking 'Do these things matter?', and saying, 'Well, to *you*, of course they do!'

PP as symbolic articulation of theme in the text has consistently pointed up how the text's deceptive nonchalance is actually being slowly eroded, line by line. In Jakobson's terms then, we have an unquestionably primary poetic function. This, however, is intimately tied to an equally fundamental conative function. That is to say that PP also reveals for us the aim of this poem to "exhort to some sort of social or ethical ideal or action" (as we put it at the end of section 2.3.2 in Part I). In addition, the poem also has a referential function, owing to a focus on both real, socio-historical and fictional context.

Before formulating a final theme, we now move to examining the context of creation and reception of the poem, to test the extent to which our irony-informed interpretation holds up. An understanding of these contexts is important, because, as Hasan has put it, "literature is not a self-motivated activity, divorced from the concerns of the community in which it is created", even though, as she also insists, "the text itself provides cues for deciding what extra-textual phenomena are relevant to it, if they are" (1985/1989: 101).

#### 5.4.2 The context of creation of the text

Let's begin with our research findings concerning how Sassoon is positioned with reference to the *poetic language and literary conventions* of his time. Even keeping firmly in mind that, as Karas notes, “[t]he relationship of the Great War to the development of literary modernism is a vast and contested topic, and the role of war poets like Sassoon in the evolution of modernist poetry is similarly unwieldy and debated”, there *are* certain critical opinions that may still serve the purpose of putting our interpretation to the test.<sup>9</sup>

According to Lewis, Sassoon's war poetry contributed substantially to a modernist rejection of conventional 'poetic diction' (2007: 110). More particularly, Aufhauser tells us that, “[o]n a linguistic level, Sassoon strives to find a balance between rhyme, lyricism, and a new mode of violent expression demanded by the realities of war”. Karas also points out that Sassoon was adept at wielding both irony and speech voices, which he blended into a mainly monologic mode. Analysis has shown that most of these characteristics are indeed observable in *Does it Matter?* and observably at work to symbolically articulate its theme.

Research into Sassoon's *world view* and how it 'fits' with that of the dominant cultural paradigm of his place and time is also useful, as it provides extra-textual evidence of the motives for what we read as the poem's decidedly *ante litteram* (ahead of its time) denunciation of war.

We discover that Sassoon had enlisted voluntarily in the military at the start of World War I, in 1914. However, he fast became outraged, not only by the horrors of the trenches, but also by the widespread lack of social attention to the shell-shocked and mutilated victims of those trenches, and by the patriotic pomposity of those who were responsible for the war's continuing. He was a genuine dissenter, one who spelled out his anti-war stance in the 'protest' he wrote, entitled *Finished with the War – A Soldier's Declaration*, the background to, and text of, which follows:<sup>10</sup>

*In July of 1917, mid-World War I, following a period of convalescent leave during which he had decided to make a stand by not returning to duty, celebrated poet Siegfried Sassoon sent the following open letter to his commanding officer and refused to return to*

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<sup>9</sup> Quotes from both Karas and Aufhauser are taken from [https://modernism.research.yale.edu/wiki/index.php/Siegfried\\_Sassoon](https://modernism.research.yale.edu/wiki/index.php/Siegfried_Sassoon).

<sup>10</sup> <https://voxpopulisphere.com/2014/12/21/siegfried-sassoon-public-statement-of-defiance/>

*the trenches. The reaction was widespread, thanks to copies of the controversial letter — titled “Finished with the War: A Soldier’s Declaration” — reaching local newspapers, the House of Commons (where it was read out by Hastings Lees-Smith), and eventually the London Times.*

*Indeed, Sassoon didn’t return to the war and only escaped a court-martial as a result of his being declared unfit for service and treated for shell-shock.*

*Here is the letter, published in The Times on July 31, 1917. Since Siegfried Sassoon was a war hero, publication of the letter caused a furor and questions were asked in the Houses of Parliament:*

I am making this statement as an act of wilful defiance of military authority, because I believe the war is being deliberately prolonged by those who have the power to end it.

I am a soldier, convinced that I am acting on behalf of soldiers. I believe that this war, upon which I entered as a war of defence and liberation has now become a war of aggression and conquest. I believe that the purposes for which I and my fellow soldiers entered upon this war should have been so clearly stated as to have made it impossible to change them, and that, had this been done, the objects which actuated us would now be attainable by negotiation.

I have seen and endured the suffering of the troops, and I can no longer be a party to prolong these sufferings for ends which I believe to be evil and unjust. I am not protesting against the conduct of the war, but against the political errors and insincerities for which the fighting men are being sacrificed.

On behalf of those who are suffering now I make this protest against the deception which is being practised on them; also I believe that I may help to destroy the callous complacency with which the majority of those at home regard the continuance of agonies which they do not share, and which they have not sufficient imagination to realise.

From the context of creation, our *contratextual* (in Martin’s terms) reading of the poem has acquired undeniable support.

#### 5.4.3 The context of reception

Hasan rightly points out that “the greater the distance between the context of creation and reception, the more inaccessible the meanings of the text become” (1985/1989: 101). The distance between *Does it Matter?* and us as contemporary readers in temporal terms is nearly 100 years, but, socio-culturally, in many ways it is trifling. Let’s begin with Sassoon’s contemporary reading public.

The military establishment may not have been best pleased by Sassoon’s outspoken protest, yet his 1918 collection of anti-war poems, *Counter-Attack*, was received enthusiastically by both the critics and the general public (read: the literate poetry-reading public of the time). He continued to use his increasingly prominent voice to attack military and popular complacency and/or indifference through his poetry and, after the war, also through his equally popular autobiographical writings. These may

have helped shape the increasingly widespread British view, still prevalent today, that the war was indeed a senseless waste of human life.

What Sassoon did was to use language to place before the audience of the time the crude reality of the effects of the war, both physical and psychological, challenging it to re-think conventional social perceptions of the glorious nature of war and patriotism. In Bernstein's terms, his individual *repertoire* took precedence over his socio-cultural *reservoir*, with which it was in conflict. By the end of the war, many people were open to Sassoon's anti-military establishment, contratextual position.<sup>11</sup> Of course, today's audience, amply conditioned by the discourses of continuous anti-war and peace movements since at least the 1960s' anti-Vietnam war protests, is even more responsive to what Bakhtin would see as the positive, socially useful, centrifugal force of heteroglossia at work in Sassoon's texts.

These few findings regarding the context of reception also clearly reinforce the validity of our final reading of *Does it Matter?*. It only remains for us to formally articulate a final theme for the poem – which we'll now proceed to do.

#### 5.4.4 The theme: a final formulation

We suggest that the deepest theme of *Does it Matter?* is something like 'Society's propaganda-fuelled view of war as glorious and its callous lack of awareness of its terrible realities must be exploded, and counteracted, by exposing its lasting physical and psychological effects on soldiers'. This is, in fact, what Sassoon's poem does, through irony, or, better, scathing sarcasm. In closing, we are so bold as to hope that we've managed to show that/how, rather than seriously asking if these things matter, the poem skilfully tells us that they very much do.

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<sup>11</sup> See <http://www.iwm.org.uk/history/how-the-first-world-war-shaped-the-poetry-of-siegfried-sassoon>.

**Exercises on registers investigated in Part II:  
The Didactic, How-to, CV Cover Letter, Hybrid and Literature text-types  
Facsimiles of exam texts and questions**

	<p><b>Text 1:</b> Good morning, everyone! Now then, yesterday we concentrated on the ENGAGEMENT SYSTEM mechanisms in the CV cover letter text type. By the end of the lesson, we had examined all explicit resources for intersubjective positioning. Today, I want us to investigate evaluation in the ATTITUDE SYSTEM, i.e., those resources the speaker makes use of for the purpose of enacting his/her affect, judgement and appreciation. Our aim here is to be able to completely identify what can be seen to be the ideological speaking position. So then, first of all, let's think about possible signs of both inscribed and invoked evaluation in the opening paragraph. I want us to focus on the very first clause of the text: i.e., "I would like to express my sincere interest in the advertised position as editorial assistant [...]".</p>
<p>1. - 2.</p>	<p>In this setting, speaker and hearer can be said to share text creation.</p> <p><b>True</b> <input type="checkbox"/>                      <b>False</b> <input type="checkbox"/></p> <p><b>Explain the reason for your choice.</b></p> <p>.....</p> <p>.....</p>
<p>3. - 6.</p>	<p><b>Fill in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>In the text segment above, the kind of ..... concerning the speech event taking place is that of a university lesson, while the specific ..... is that of a lesson in English Linguistics and, specifically, on APPRAISAL SYSTEMS. Since resources for making meanings appear to be highly conventional for this functional variety of text, we can say that strong patterns of ..... are at work. For Bakhtin, the text would illustrate his ..... 'force'.</p> <p><b>A)</b> discourse role; <b>B)</b> centripetal; <b>C)</b> social activity; <b>D)</b> intertextuality; <b>E)</b> contratextuality; <b>F)</b> subject matter; <b>G)</b> centrifugal</p>
<p>7. - 8.</p>	<p><b>Fill in the blank with the appropriate word:</b></p> <p>This text features many instances of ..... <b>Processes</b>, i.e., of VGs such as <i>concentrate</i>, <i>examine</i>, <i>think</i>, etc. (<b>Give type and sub-type</b>)</p> <p>Is this Process type <i>typical</i> of this register <i>and</i> subject matter? <b>Answer and say why/ why not?</b></p> <p>.....</p> <p>.....</p>
<p>9.</p>	<p><b>Fill in the blank with the appropriate word:</b></p> <p>The 'continuative', <i>Now then</i>, works textually since it signals conjunction with a former text. However, it can also be said to function interpersonally, since it works to make contact with the hearer, thus illustrating Jakobson's ..... function.</p>
<p>10. - 12.</p>	<p><b>Fill in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>Despite linguistic mechanisms such as the use of the first person plural possessive deictic 'our' and the ..... imperative 'Let's do X', the teacher enacts [+authority] through demands for 'goods &amp; services', very typical of the register this text belongs to, which can be labelled ..... . An incongruent form of command is the declarative: <i>I want us to do X</i>, which is a Metaphor of .....</p> <p><b>A)</b> coercive; <b>B)</b> didactic; <b>C)</b> Modality; <b>D)</b> collaborative; <b>E)</b> Mood; <b>F)</b> political</p>



**TEXT 3**

24 Hawthorne Circle  
West Drayton, Middx

Copywriting Division  
Russell Miller & Partners - London

Dear Ms. Green,

Confused by commas? Puzzled by parenthesis? Stumped by spelling? Perturbed by punctuation? Annoyed at the apostrophe? (And alliteration?)

Well, you're certainly not alone. Indeed, fewer and fewer people seem able to write. Unfortunately, there are still a lot of people who are able to read. So they'll spot a mistake from a mile off. And that means it's a false economy to write your own materials – or to let clients do it for themselves.

To have materials properly copywritten is, when you consider the whole process of publishing materials and the impact that the client wishes to make, a minor expense. Sloppiness loses clients.

There is an answer: me. You can see some of what I do on my multilingual website at <http://...> . If you'd like, I can get some samples out to you within 24 hours. **And, if you use me, you'll have some sort of guarantee that you can sleep soundly as those thousands of well-written copies are rolling off your presses.**

With kindest regards,  
Denise Tipton

adapted from <http://careers.theguardian.com/covering-letter-examples>

<p>1. - 5.</p>	<p><b>Choose <u>A</u> or <u>B</u> to complete the assertions (put the correct letter in the spaces provided below):</b></p> <p>This letter is a/an (1) <b>A. typical/ B. atypical</b> example of a 'CV Cover letter'. Firstly, it does not begin with a conventional (2) <b>A. motivation for writing/ B. formal salutation</b>, but rather a series of (3) <b>A. coercive imperatives/ B. minor interrogative clauses</b> whose function is presumably to immediately get the reader's attention. Moreover, instead of then proceeding to report the writer's (4) <b>A. availability/ B. relevant background and qualities</b>, it spends time (paras 2 &amp; 3) describing the addressee's sector's supposed (5) <b>A. mistakes/ B. difficulties</b> before unconventionally providing a surprisingly explicit solution: <i>There is an answer: me.</i></p> <p>1) ..... 2) ..... 3) ..... 4) ..... 5) .....</p>		
<p>6. - 9.</p>	<p><b>Fill in EACH blank with ONE <u>LETTER</u> corresponding to ONE of the options provided below:</b></p> <p>Interpersonally, the respective statuses of the interactants are ..... , as one is clearly, if creatively!, a ..... and the other is apparently in a position to provide employment. The ..... of the speaker is to impress and convince the addressee that she is a worthy applicant. Thus, although she is basically in a position of [-power], she must show she is ..... – and certainly does!</p> <p><b>A) job-aspirant; B) discourse role; C) social role; D) symmetrical; E) asymmetrical; F) [+confident]</b></p>		
<p>10.</p>	<table border="0"> <tr> <td data-bbox="167 1592 1332 1854"> <p>“And, if you use me, you'll have some sort of guarantee that you can sleep soundly as those thousands of well-written copies are rolling off your presses.” (para 4, in bold in text) construes what type of appraisal <u>with reference to the applicant's personal skills?</u></p> <p><b>A) inscribed -ve appreciation: valuation</b>                      <b>C) invoked -ve judgement: propriety</b>  <b>B) invoked +ve judgement: capacity</b>                         <b>D) inscribed +ve affect: happiness</b></p> </td> <td data-bbox="1332 1592 1520 1854" style="text-align: center; vertical-align: middle;"> <p><b>A B C D</b></p> </td> </tr> </table>	<p>“And, if you use me, you'll have some sort of guarantee that you can sleep soundly as those thousands of well-written copies are rolling off your presses.” (para 4, in bold in text) construes what type of appraisal <u>with reference to the applicant's personal skills?</u></p> <p><b>A) inscribed -ve appreciation: valuation</b>                      <b>C) invoked -ve judgement: propriety</b>  <b>B) invoked +ve judgement: capacity</b>                         <b>D) inscribed +ve affect: happiness</b></p>	<p><b>A B C D</b></p>
<p>“And, if you use me, you'll have some sort of guarantee that you can sleep soundly as those thousands of well-written copies are rolling off your presses.” (para 4, in bold in text) construes what type of appraisal <u>with reference to the applicant's personal skills?</u></p> <p><b>A) inscribed -ve appreciation: valuation</b>                      <b>C) invoked -ve judgement: propriety</b>  <b>B) invoked +ve judgement: capacity</b>                         <b>D) inscribed +ve affect: happiness</b></p>	<p><b>A B C D</b></p>		
<p>11.</p>	<p>On the whole, in terms of lexical-density, the text exemplifies an extremely 'written' medium.</p> <p><input type="checkbox"/> <b>True</b>    <input type="checkbox"/> <b>False</b></p>		
<p>12.</p>	<p>There is a lexical relation of ..... obtaining between the copywriting job the writer is looking for and the particular tasks required to guarantee a proper use of commas, parenthesis, spelling, punctuation, the apostrophe etc. (cf. paragraph 1).</p>		

**TEXT 4: Come to our truly 'Absolute Sanctuary' and leave your stress behind**

With the winter cold and the stress of life grinding you down, don't you think it's time to recharge your body, relax your mind and book in some well-deserved 'me time' for yourself? Our Absolute Sanctuary retreat is the ideal place to do all this. It's got a super-welcoming atmosphere, luscious food – but especially just fantastic yoga!

There's unlimited yoga of all styles and at all levels offered in this package, and you also get the luxury of a daily Thai stretch massage at the SPA. This extra bit of pampering really allows your body to release tension and helps get rid of all the stress you have when you arrive.

There are many SPA holidays and retreats in the world where you can go to unwind, get pampered and do yoga, but unfortunately most come with a huge price tag! So the first thing you need to know about a yoga holiday at Absolute Sanctuary is: not only is it very affordable, but it's also really worth it!

So then, if you're a fan of yoga, sunshine, delicious healthy food, and fresh fruit smoothies that can't do anything but bring a huge smile to your face - then this is the place for you! In fact, getting away from the 'grind' has never been as easy as it will be during your time at this idyllic retreat. Don't you think it's time to get away from it all and totally relax? Get in touch with us today.

(Based on <http://www.healthandfitnesstravel.com/destinations/asia/thailand/absolute-sanctuary/absolute-sanctuary-de-stress-unwind/>)

1. - 2.	<p><b>Provide the missing words below:</b></p> <p>The text above offers information about the many benefits of 'Absolute Sanctuary'. Apart from being informative, however, it specifically employs promotional strategies to persuade the reader to spend some time there. Thus, in terms of text-type, it is also clearly a/an ..... . Because of this twofold nature, the text can be considered an instance of a/an ..... register.</p>
3.	<p>The logico-semantic relations constructed between clause-complexes in the text are mainly implicit and of the extension type, contributing to the speaker's accumulating praise of the SPA. We do find an <i>explicit</i> instance of the enhancing: consequence kind, which is realized by the <b>conjunctive expression</b> ....., located at a textual boundary, where it introduces the concluding recommending stage.</p>
4. - 8.	<p><b>Fill in EACH blank with ONE LETTER corresponding to ONE of the options provided below:</b></p> <p>The text implicitly and globally functions as an/a ..... to the addressee of the ..... which make up its <b>subject matter</b>. This means that the subject matter, i.e., a feature of the variable of Field, can be said to overlap with features of the ....., which typically activate the interpersonal meanings which are then realized in the clause as exchange. Among the systems with which the speaker-as-expert engages the addressee at that level is Mood. Although ..... Mood clauses dominate, the initial and final imperatives, as well as the two instances of ....., function to enact an attitude of [+intimacy] between the human participants in the text.</p> <p><b>A) Tenor; B) 'offer'; C) Indicative: declarative; D) demand; E) Indicative: interrogative; F) 'goods &amp; services'; G) you</b></p>
9. - 12.	<p>APPRAISAL SYSTEMS feature strongly in this text, in particular the sub-system of attitude: appreciation, both inscribed and invoked. In particular, the speaker <i>typically</i> praises the positive qualities of the SPA, by enacting +ve appreciation: reaction: quality. At the same time, those +ve traits are enhanced by -ve appreciation of what the reader will be leaving behind.</p> <p><b>With reference to each of the clause-complexes below, (A) and (B), say (1) whether it evaluates the SPA or what one escapes from or BOTH of these AND also say (2) whether evaluation is inscribed or invoked</b></p> <p><b>(A) It's got a super-welcoming atmosphere, luscious food – but especially just fantastic yoga!</b></p> <p>(1) ..... (2) .....</p> <p><b>(B) Don't you think it's time to get away from it all and totally relax?</b></p> <p>(1) ..... (2) .....</p>

**TEXT 5**

**Harlem [Dream Deferred] – Langston Hughes (1951)**

What happens to a dream deferred?

Does it dry up  
like a raisin in the sun?  
Or fester\* like a sore—  
And then run?  
Does it stink like rotten meat?  
Or crust and sugar over—  
like a syrupy sweet?

Maybe it just sags\*\*  
like a heavy load.

Or does it explode?

\***fester**: to become infected/enflamed; get worse; \*\***sags**: droops; sinks  
<https://readalittlepoetry.wordpress.com/2011/05/12/a-dream-deferred-by-langston-hughes/>

<p>1. - 5.</p>	<p><b>Choose A or B to complete the assertions (put the correct letter in the spaces provided below):</b></p> <p>This poem is an instance of the text-type known as (1) <b>A. literature/ B. memoire</b>, whose characteristics have been theorized over the years by (2) <b>A. Jakobson/ B. Hasan</b>. The special nature of this text-type is mirrored in its equally special approach, involving (3) <b>A. two/ B. three</b> separate but related levels, or orders, of analysis. What is distinctive for this text-type is the semiotic system of (4) <b>A. language/ B. verbal art</b>, where patterns of wordings/meanings are (5) <b>A. covertly / B. symbolically</b> turned into signs for the purpose of expressing a theme.</p> <p>1) ..... 2) ..... 3) ..... 4) ..... 5) .....</p>		
<p>6. - 10.</p>	<p><b>Fill in EACH blank with ONE LETTER corresponding to ONE of the options provided below:</b></p> <p>The main Mood instantiated in this text is the ..... . It repeatedly enacts demands for ..... which, however, is never provided. The reiteration of the Mood structure, Finite ^ Subject, and also the ..... constructed in/by the reiteration of that Subject throughout the text, instantiates ..... in the poem. Accordingly, the primary function of the text, in Jakobson’s terms, can be said to be .....</p> <p><b>A)</b> reference chain; <b>B)</b> pervasive parallelism; <b>C)</b> declarative; <b>D)</b> information; <b>E)</b> interrogative; <b>F)</b> referential; <b>G)</b> lexical string; <b>H)</b> poetic; <b>I)</b> goods &amp; services</p>		
<p>11.</p>	<table border="1"> <tr> <td data-bbox="167 1603 1334 1872"> <p>The reiterated Process ^ Circumstance of comparison structures in the poem are highly evaluative, in particular, ‘fester like a sore’ and ‘stink like rotten meat’. What type of appraisal do these repeatedly enact, <b>with reference to the appraised: a ‘Dream Deferred’?</b></p> <p><b>A)</b> invoked -ve appreciation: quality <b>B)</b> invoked +ve judgement: capacity</p> <p><b>C)</b> inscribed -ve judgement: normality <b>D)</b> inscribed -ve affect: misery</p> </td> <td data-bbox="1334 1603 1527 1872" style="text-align: center; vertical-align: middle;"> <p><b>A B C D</b></p> </td> </tr> </table>	<p>The reiterated Process ^ Circumstance of comparison structures in the poem are highly evaluative, in particular, ‘fester like a sore’ and ‘stink like rotten meat’. What type of appraisal do these repeatedly enact, <b>with reference to the appraised: a ‘Dream Deferred’?</b></p> <p><b>A)</b> invoked -ve appreciation: quality <b>B)</b> invoked +ve judgement: capacity</p> <p><b>C)</b> inscribed -ve judgement: normality <b>D)</b> inscribed -ve affect: misery</p>	<p><b>A B C D</b></p>
<p>The reiterated Process ^ Circumstance of comparison structures in the poem are highly evaluative, in particular, ‘fester like a sore’ and ‘stink like rotten meat’. What type of appraisal do these repeatedly enact, <b>with reference to the appraised: a ‘Dream Deferred’?</b></p> <p><b>A)</b> invoked -ve appreciation: quality <b>B)</b> invoked +ve judgement: capacity</p> <p><b>C)</b> inscribed -ve judgement: normality <b>D)</b> inscribed -ve affect: misery</p>	<p><b>A B C D</b></p>		
<p>12.</p>	<p>On the basis of the parallel structures indicated above, propose a <i>brief</i> and <i>simple</i> formulation of the <b>theme</b> of the poem here below:</p> <p>.....</p> <p>.....</p>		



## ***Key to registers exercises***

### **Text 1**

1. False
2. The teacher is completely in charge of the process of text creation here (the text is monologic).
3. C (social activity)
4. F (subject matter)
5. D (intertextuality)
6. B (centripetal)
7. mental: cognitive
8. Yes, it's typical, because the teacher in a didactic text invites the students to analyse/reflect upon the subject matter, which in this case is English linguistics.
9. Phatic
10. D (collaborative)
11. B (didactic)
12. E (Mood)

### **Text 2**

1. Procedural/How-to
2. Indicative: declarative & imperative
3. The latter, i.e., imperative, because the procedural register is mainly about providing the addressee with instructions on how to do something, and these are typically instantiated in text in/by imperative clauses.
4. you
5. your
6. addressee/reader
7. B (ideational)
8. E (elaborated)
9. C (concrete)
10. F (restricted)
11. C (+ve appreciation: valuation)
12. CV

### **Text 3**

1. B
2. A
3. B
4. B
5. B
6. E
7. A
8. B
9. F

10. B
11. False
12. hyponymy (general – specific relation)

#### **Text 4**

1. advertisement
2. hybrid
3. So then
4. B
5. F
6. A
7. C
8. E
9. the SPA
10. inscribed
11. Both
12. invoked

#### **Text 5**

1. A
2. B
3. A
4. B
5. B
6. E
7. D
8. A
9. B
10. H
11. A
12. What happens to dreams whose fulfilment is put off is bad, and bad for the dreamers.

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## APPENDIX 1

### Text Analysis Checklist <sup>1</sup>

#### ◆ Working Bottom-Up: From Text to Context

To analyse a text from the Bottom-Up perspective, we begin our analysis at the bottom stratum of the multiple-coding realization system, i.e., at the level of the clause, investigating the wordings (lexico-grammar) instantiated therein and their meanings (semantic meta-functions). Only afterwards do we reconstruct the relevant contextual variables of the Situation of Context or, better, of the concrete material and social Contextual Configuration (CC: ‘real’ or ‘invented’), which can be said to have activated these wordings/meanings.

As you know, the three categories of the Context of Situation – Field, Tenor, Mode – are what ultimately, and contemporaneously, tend to determine the text: its ‘meanings’, and its ‘wordings’. But, as working Bottom-Up demonstrates, the text also ‘creates’ the context. We need to remember, as said towards the end of Part I of your course book, that there are no simple, one-to-one correspondences between these strata – no hypothesis of an automatic ‘hook-up’ between them. Furthermore, a word may express one kind of meaning, its morphology another and its position still another. And any single element will typically have more than one functional role. Indeed, considerable overlap and multi-functionality is the norm. And the more often any element is seen to be functioning – say, e.g., within transitivity, and to evaluate, and as a cohesive device – the more important it is to the meaning-making of the text.

Connecting up to our **Process of Text Creation** Figure (n. 14 in Part I), we can set out our analytical tasks as follows. This, however, is a FULL analysis checklist, meaning it covers all aspects of lexico-grammar and semantic meta-function and also takes into account many of the additional considerations on and around register that have been covered in this course book. However, we may often be interested in focussing only on a more circumscribed number of wordings/meanings, depending on our research questions, and also in disregarding any further considerations we don’t feel are relevant to these.

**I Clause as Representation:** probing the grammar of *what is going on*.

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<sup>1</sup> This is the most recent, 2016, version of a Checklist that we’ve been using with students for many years now. We recommend that you also make good use of the excellent and useful Glossary of SFL terms in Bloor and Bloor (2013).

Here we investigate what **IDEATIONAL (EXPERIENTIAL + LOGICAL) MEANINGS** appear to have been *instantiated* by the Speaker-as-Observer of ‘reality’ and *activated* by the **FIELD** of the CC.

a) To investigate the construal of **EXPERIENTIAL MEANINGS**, we analyse the lexico-grammar with reference to its **transitivity structure**:

That is, we probe, *clause by clause*:

- the **PROCESS TYPES** (material, mental, relational, verbal, existential, behavioural) instantiated in the text;
- the grammatical ‘participants’ (both animate and inanimate, and also nominalizations and grammatical ‘Facts’<sup>2</sup>) present in the text and functioning as inherent participants in the Processes as, e.g., the Actor, Goal, Range, Beneficiary, Senser, Phenomenon Sensed, Identified, Identifier, Carrier, Attribute, Sayer, Verbiage, Receiver, Existent, Behaver, etc.; and
- the ‘circumstances’ (e.g., of Location, Manner, Cause, Accompaniment, etc.) that are expressed in the text.

In addition we ask ourselves what can be said about:

- the relationship between ‘participants’ and ‘Processes’ constructed in the grammar (i.e., is there a prevailing active voice (“X did Y”) or passive voice (“Y was done by Z”));
- any causative relations (e.g., “X allowed/made/forced Y to do/be/say etc. Z”);
- possible *ideational grammatical metaphors* in a clause’s way of saying. In such a case, we need to be able to propose what the ‘congruent’ lexico-grammatical forms might be.<sup>3</sup>

What is more, we’re interested in establishing evidence for *the spatial and temporal settings* made explicit in the text (in terms of *circumstances*, but also with reference to *tense*).

b) To investigate **LOGICAL MEANINGS**, one analyses the clause-complexes in terms of their interdependency, which is a question of either *expansion* (through parataxis or hypotaxis), or of *projection*. One also analyses its logico-semantic relations in terms of clause *elaboration*, *extension*, or *enhancement*, and the sub-categories thereof.

■ After investigating ideational meanings, we see what we can say about *the relevant Field of the CC* that triggered this process of text creation.

The **FIELD** has two distinguishing features, the first of which – in order of importance and definition – is *the nature of the ongoing social activity of the speech event*. This aspect is a wide one, not unconnected to the text’s global rhetorical aim. The second property of Field is the specific ‘subject-matter’ of the text. This we can arrive at

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<sup>2</sup> On ‘Facts’ see Thompson 1996/2004/2014: 205-206.

<sup>3</sup> On grammatical metaphor, see Thompson 1996/2004/2014 (chapter 9).

through an examination of the denotative lexical items in the text, which will also be performing as participants, Processes and circumstances in the transitivity structures.

## **II Clause as Exchange:** probing the grammar of *who's taking part?*

Here we ask what **INTERPERSONAL MEANINGS** are *instantiated* by the Speaker-as-Participant/'Intruder' in his or her text and *activated* by the TENOR of the CC.

To investigate these meanings, we analyse the lexico-grammar in terms of instantiations of the linguistic mechanisms that are working inter-subjectively. We do this by examining how these are concretely enacted in the text in/by MOOD, MODALITY (MODALIZATION/MODULATION) and APPRAISAL SYSTEMS.

In other words, we probe, clause by clause:

- **MOOD SYSTEMS**, to see what is being 'exchanged' in the text: information or 'goods and services', asking in what Mood the text is predominantly instantiated: indicative: declarative or indicative: interrogative, or imperative? That is:

- Is information being given? (statement  $\Rightarrow$  typically declarative mood)
- Is information being demanded? (question  $\Rightarrow$  typically interrogative)
- Are 'goods & services' being given? (offer  $\Rightarrow$  variously construed)
- Are 'goods & services' being demanded? (command  $\Rightarrow$  typically imperative)

The semantic function of the first two of these (statement and question) in the exchange of information is called a *proposition*, while the semantic function of the latter two (offer and command) in the exchange of goods & services is called a *proposal*.

As with Experiential meanings, we want to investigate possible grammatical metaphors in a clause's way of saying, this time *interpersonal*, here of Mood. Again, in such a case, we need to be able to propose what the 'congruent' lexico-grammatical forms might be.

- **MODALITY SYSTEMS**: Modality is of course a prototypical way by which speakers intrude into their texts. This they do with forms of modalization (epistemic modality: probability or usuality) or modulation (deontic modality: obligation/necessity or inclination/willingness/readiness), explicitly or implicitly, subjectively or objectively, with high, median or low value and with yes/no polarity.

Remember that the SYSTEMS of MOOD and MODALITY are distinct, and are not to be confused, but that there *is* a semantic overlap between them. The speech function of proposition overlaps with modalization, and that of proposal with modulation.

And, again, it is vital to investigate possible interpersonal grammatical metaphors in a clause's way of saying, this time of Modality.

- APPRAISAL SYSTEMS: <sup>4</sup> The language of evaluation that enacts speaker attitude locally, but more importantly, logogenetically across a text is also to be carefully probed. We need to be able to identify predominating SYSTEMS of ATTITUDE (AFFECT, APPRECIATION AND JUDGEMENT) and whether their instantiations are inscribed (explicitly encoded) or invoked (implicitly expressed). We also need to examine instances of Graduation and evidence of Engagement mechanisms at work.

■ After investigating interpersonal meanings, we aim to recreate *the relevant Tenor of the CC* that triggered this process of text creation. To do this, we ask:

- Who is taking part in the exchange? i.e. who is the speaker and who is the addressee? Are these roles ‘fixed’ throughout the text or freely (inter)changeable?
- Are the speech participants (speaker(s) and addressee(s)) explicit in the text, or not? (i.e., is the text ‘personal’ or ‘impersonal’)?
- What is the *status* (the relevant permanent – or semi-permanent – attributes) of the speaker(s) and addressee(s)?
- And what is the *discourse role* of these speech participants (i.e., what is their discourse *doing*: affirming, denying, explaining, recounting, exhorting, promising etc.)? Remember, only speakers who are explicit in the text can have active discourse roles.
- What is the attitude that the speaking participants take in the text: towards both: 1) the addressee(s) (e.g., one of [+/- power] or one of [+/- solidarity]?) and 2) the subject matter of the text (e.g., [+/- interest]; [+/- knowledge])?

### III Clause as Message: *probing how the meanings are being exchanged.*

Here we probe what TEXTUAL MEANINGS are being instantiated by the Speaker as Text-Maker and apparently activated by the MODE of the CC.

To investigate textual meanings, one analyses the lexico-grammar in terms of its creation of ‘textuality’/‘texture’ by means of *cohesive* devices: both 1) structural and 2) non-structural. As Hasan (in Halliday and Hasan, 1985/1989: 71) points out however, texture is first and foremost *a question of meaning relations*.

In other words, clause by clause, one asks how the text is organized from the point of view of:

1) *its structural cohesive relations*, including:

- Thematic structure

Within the single clause, we ask which element(s) constitute(s) the Topical Theme and which the ‘Rheme’, and see whether there are any interpersonal and/or

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<sup>4</sup> Cf. Appendix 2 for a mini-overview of APPRAISAL SYSTEMS.

structural/textual Themes. Then, over *stretches* of text, we see if any *pattern(s)* of *Thematic Progression* (of ‘method of development’) can be identified.<sup>5</sup>

- Information structure

Within the single clause of *spoken text* in particular, and over stretches of it, we identify which element(s) constitute(s) the ‘Given’ information and which the ‘New’. However, we are only concentrating on aspects of written text in this course, so won’t be doing an analysis of the prosodic features that would be needed to deal properly with this structural cohesive device. Therefore, we merely ‘presume’, as one does, the typical unmarked overlap that the Given has with the clause’s Theme, and its New with some part of its Rheme. Clearly, though, such an assumption will not reveal the ‘creative’ use that a speaker may make of the freedom to prosodically accent any element s/he wishes for the purpose of highlighting New. Again, this structural cohesive device will not be analysed in the ‘practice’ part of the book.

- Grammatical parallelism

Here we look for a noteworthy reiteration of elements, at all levels of the rank scale: in ascending order these include morphemes, words, groups (e.g. Deictic ^ Epithet ^ Thing...), phrases, and clauses (e.g., Actor ^ Material Process ^ Goal, or Finite ^ Subject, etc.).<sup>6</sup>

## 2) *its non-structural cohesive relations*

These comprise: reference; ellipsis and substitution; conjunction (NB! *between*, rather than *within*, sentences, which we have with the logical meta-function); lexical relations: including lexical ‘scatter’; synonymy; antonymy; meronymy; hyponymy, and collocation.

We also aim at identifying ‘participant chains’ (Halliday 1994: 337), constructed by means of what are called *reference chains* and *lexical strings* running through the text.<sup>7</sup>

Finally, we consider the:

### discourse/rhetorical structure/staging/sequencing

This is *an aspect of the text*, not of the clause, though single stages can often be seen to coincide with clauses and/or clause-complexes.

Here we examine what kind of ‘global’ discourse (or rhetorical) structure (or ‘staging’ or ‘sequencing’) can be identified in the text. This will be connected to

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<sup>5</sup> On this important point, see., e.g., Daneš 1974, Fries 1981: 135; Williams 1988; Halliday 1985a – IFG2: 67; Martin 1992a: 434-448; Thompson 1996/2004/2014: 171-180; Bloor and Bloor 1995/2004/2013: 90-94; Eggins 1994/2004: 324-326).

<sup>6</sup> See the discussion of GP and the semantic parallelism it brings about in Part I of the course book. The symbol ^ stands for ‘followed by’.

<sup>7</sup> For more on these, see note 48 in Part I.

the register the text can be said to belong to, but will not be automatically predictable on the base of its register.<sup>8</sup>

Such structure is of course also linked to how the text is organized from the point of view of its physical presentation (headings, chapters, sections, paragraphs – physical and/or conceptual, stanzas...). It may also be seen to work closely together with – and even be explicitly signalled by – logico-semantic relations in the text.

An example of global staging:

proposition ^ critique ^ conclusions

and of more ‘local’ sequencing:

opening statement ^ counter-statement ^ amplification ^ corroboration ^  
exemplification ^ concluding generalization

Labelling of the stages is certainly not an ‘exact’ science! There is general agreement among scholars on many of the labels that are typically used, but there are many quasi-synonymous ways of labelling the same speaker act (e.g.; Statement/Assertion/Proposition...). And there is no reason in particular for excluding a new possibility *a priori*.

■ After investigating textual meanings, we *reconstruct the Mode of the CC*. To be kept in mind is that the textual meta-function is different from the Ideational and Interpersonal ones, inasmuch as it is the ‘*enabling*’ function – meaning simply that, *without it*, there would be no explicitly expressed ideational or interpersonal ones.

The aspects of the text’s Mode that we need to identify are various. We ask ourselves:

- Is the process of text-creation shared by speaker and addressee (is it, e.g., a dialogue, or is it a monologue?)
- How does the addressee come into contact with the speaker’s message? That is, what is the *channel* of communication being used: *phonic* (e.g., via face-to-face communication, radio, phone...), or *graphic* (e.g., book, pamphlet, newspaper, SMS messages...), or some combination of the two (e.g., DVD, internet, and lectures that make use of slide shows...)?
- Is the *medium* of the message +/- *written*, or +/- *spoken*, e.g., is the text more lexically ‘dense’ (high incidence of lexical vs. grammatical words per clause) and ‘packaged’ (in, e.g., noun strings), or is it more lexico-grammatically intricate and ‘choreographic’ (constructing, e.g., long clause-complexes with elaborate logical relations between the clauses)? Medium will be the result of various factors: e.g., of whether the text is truly spontaneously spoken, or written-to-be-read (silently), or even written-to-be-spoken (aloud), and thus in this case pre-prepared, or at least semi-scripted, to ‘sound’ spontaneously delivered.

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<sup>8</sup> See the discussion of genre and generic structure in Part I of the course book.

- Is the text context-*independent* (self-sufficient) or is it context-dependent, i.e., does it rely on a first-hand knowledge of the Situation of Context in which the text is being created to be understood, or not? In short, does the reader/hearer need to have participated in, or at least witnessed, the text's creation in order to fully understand it?
- What is the role that language is playing? Is it *constitutive* of the communication or merely *ancillary* (less important) to it? This is linked to whether or not language is being used more for *action*, or for *reflection*, i.e., whether the text is more *action-oriented* (as in a recipe) or more *talk-oriented* (as in a speech or lecture). But it is also linked to whether or not there are other semiotic means by which meanings are also being contemporaneously made, e.g., the visual; and so is also a question of *Multimodality*.<sup>9</sup>
- What can be said about the text's organization? This is largely a question of its discourse/rhetorical structure/staging/sequencing, as discussed above, but also of its method of development (its Thematic Progression).

At this point we need to briefly consider what it means if we are

### ◆ Working Top-Down: From Context to Text

As has been made clear, when we start from the 'top' – i.e., from the context – and move 'down' – to the wordings/meanings – we begin with a knowledge of the relevant contextual variables of Field, Tenor and Mode that – when we're working Bottom-Up – we only have at the end of our analysis.

What do we do with such knowledge? *We predict*. On the basis of our knowledge of a particular CC, predictions of typical ways of saying/meaning that are likely to have been triggered/activated/determined by the CC can be made. Those ways of saying/meaning are the ones listed for Bottom-Up analysis above.

We are able to do this because we know, even just intuitively, how language 'works', how context 'creates' text. Indeed, as speakers of a language, we're experts, if largely unconscious of our expertise! We have that command of the language which – since shared – makes communication possible. What SFL helps us do is to transform intuition into explicit knowledge/expertise.

The next step is then to compare our predictions – if possible – with the text that was created in/by that CC. At times, the CC description may not have been delicate enough

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<sup>9</sup> As summed up at <https://www.learning-theories.com/multimodality-kress.html> (last accessed 23 November, 2016), "Multimodality is a theory which looks at how people communicate and interact with each other, not just through writing (which is one mode) but also through speaking, gesture, gaze, and visual forms (which are many modes). [...] The theory of multimodality can be found in writings and discussions related to communication theory, linguistics, media literacy, visual literacy, anthropological studies, and design studies". An online text is invariably multimodal, but so is any printed text with images – or even particular graphics such as graphs, figures etc.

to prompt totally correct or complete predictions. It should, however, have elicited a number of wordings/meanings that are essentially accurate.

### **Additional Considerations:**

On the basis of the analysis at all three strata of the text, there are additional reflections that we can make – among which are:

- REGISTER: As Register is the prime topic of our course book, on the basis of our analysis we need to ask certain questions:
  - Can the **register** (or text type or functional variety of text) be identified? e.g.: can the text be defined as being procedural/‘how to’; a service encounter; a formal or ‘friendly’ letter; an advertisement; a tourism text; a humorous text; an informal conversation; a lecture; a news report or editorial; a political speech, etc. etc. ...?
  - Likewise, is it possible to further classify the text according to a *sub-register*? For instance, if it is a procedural text, is it a recipe, or a how-to-assemble-something text? and so on...
  - Furthermore, what can be said about the *purity* or *hybridity* of the text’s register – hybridity being something which is more and more common as time goes on, and for many reasons, first among them the massive increase in computer-mediated communication. To keep in mind is that:
    - the extent of *registerial hybridity* is also signalled by the extent of the overlap in the general rhetorical aims of a text;
    - it may also be signalled by the degree to which the ‘conventions’ of the register are more or less adhered to by the text, or not. That is, can we say that its linguistic mechanisms demonstrate that it’s basically ‘register-idiosyncratic’? Or does the text ‘flout’, or perhaps even creatively re-invent such typical ways of saying/meaning, maybe even borrowing from the typical wordings/meanings of other registers? This is also a question of the degree to which the following of conventions by the text-maker is ‘critical’ or ‘uncritical’, meaning inter- or contratextual.
- DIALECT: On the basis of the analysis of the text, we’re also concerned with examining any evidence of language variety according to *user* that has emerged, remembering that register and dialect are not mutually exclusive.
- RHETORICAL AIM: We can work out which broad ‘rhetorical’ category the text, on the whole, can be assigned to. This means identifying what its primary overall rhetorical aim is. Using Jakobson’s (admittedly limited) categories of the *factors and functions of language* (1960), we will classify its function as *mainly* ‘emotive’ (‘expressive’), or ‘referential’, or ‘conative’ (‘persuasive’), or ‘poetic’, etc. and then what other functions are in play, in addition. Remember that overlap in functions is the norm, though a principal one is ordinarily identifiable.

A consideration of rhetorical aim, of course, is inseparable from our enquiry into the register of the text.

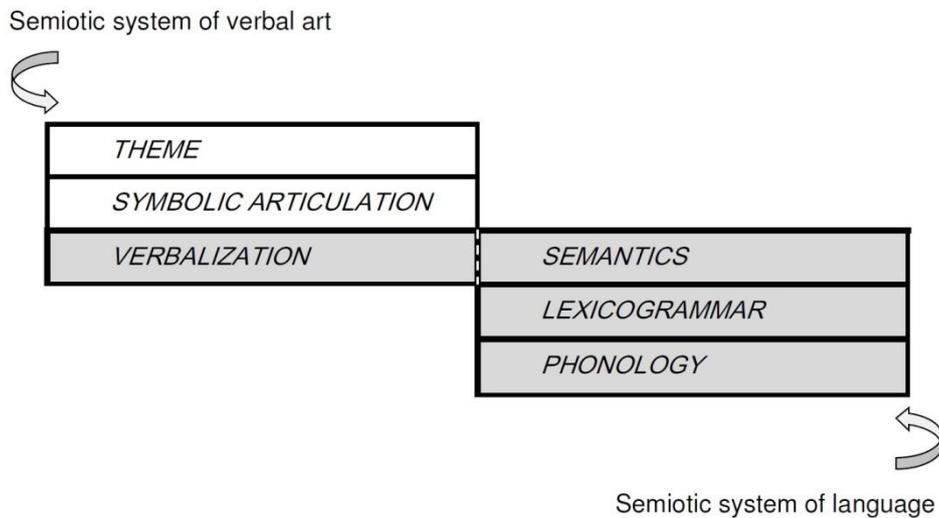
- INTERTEXTUALITY, OR CONTRATEXTUALITY: In the SFL model, all texts are seen to be intertextual to some extent, or we wouldn't be able to understand them, but we should still pinpoint noteworthy instances of *intertextuality*, or *contratextuality*, in either a synchronic or diachronic sense, which may be seen to be constructed in/by the text, and even trace patterns of these.
- THE 'FORCES' OF HETEROGLOSSIA: Connecting up to inter- and contratextuality, we also need to consider if textual evidence of Bakhtin's *centripetal* or *centrifugal* forces of *heteroglossia* can be pointed to.
- CODING ORIENTATIONS: And also, we ask if the process of text creation can be said to be regulated principally by Bernstein's *elaborated* or the *restricted* variety of code.

*Overlap* between/among the foregoing theories and/or categories is also – and always – to be considered.

***Give, as always, textual evidence for any and all of your findings.***

VERBAL ART: A case apart is that of the *literature text*, or *verbal art* (Hasan 1985/1989), which is 'special': although indisputably a kind of language use in a particular social context, it is *not simply a register like any other*. This is because the context-language connection in verbal art is fraught with complexities which other registers are not heir to (2007: 22-23). As pointed out in section 2.1.1 of Part I, and the analysis of text 5 of Part II, with verbal art we have multiple contexts in play: the fictional context created by the text; a 'real' context of creation – a question of how the writer relates to the language, world view and artistic conventions of his/her time: intertextually/contratextually?, and also a context of reception of the reader, all of which impact on the text and its interpretation and require the analyst's close attention (Hasan 1985/1989: 101-103; cf. Hasan 1996: 50-54).

Analysis follows the Bottom-Up approach according to the following Figure (number 6 in part I):



**Fig. A: The ‘double-articulation’ model for the analysis of verbal art: based on Hasan 1985/89: 99**

As we described in Part I, section 2.1.1, and illustrated in the fifth text analysis offered in Part II, we begin analysis at the semiotic system of language, which is *the same as for any text belonging to any register*. Subsequently, we arrive at the second order of semiosis, the critical criterion of the literature text: the semiotic system of verbal art. This is where the meanings at the first order of language are foregrounded (de-automatized – Halliday 1982) and thus turned into signs having a deeper meaning, i.e., this is where the literature text’s ‘theme’ is symbolically articulated. As Miller (e.g., 2016) proposes, analysis of such symbolic articulation also involves attention to what Jakobson calls *pervasive parallelism* (1966). The hypothesized theme is then confirmed or modified on the basis of subsequent research into the text’s context of creation and reception.

## APPENDIX 2

### A mini-overview of APPRAISAL SYSTEMS, exemplified from British Parliamentary Debates on the 1992 Maastricht Treaty<sup>1</sup>

#### 1. Preliminaries

**I** We need in fact an axiological discourse analysis that will trace the construction of value-orientations and orientations to other explicit and implicit discourse voices in a text. It will include analysis of the grammatical systems for lexical choice [...] and the wider value-orientations of social heteroglossia [DRM: Bakhtian theory being referred to here] *however* expressed in the semantics of a text. (Lemke 1990: 446-447)

**II** *The term appraisal is defined as:*

[...] the semantic resources used to negotiate emotions, judgements and valuations, alongside resources for amplifying and engaging with these evaluations. (Martin 2000: 145)

**III** *The goal of appraisal theory is to trace:*

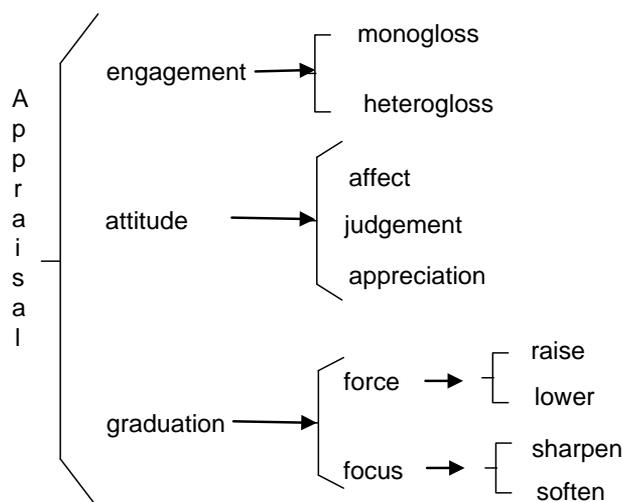
[...] a comprehensive map of appraisal resources that we could deploy systematically in discourse analysis, both with a view to understanding the rhetorical effect of evaluative lexis as texts unfold, and to better understanding the interplay of interpersonal meaning and social relations in the model of language and the social we were developing, especially in the area of solidarity (i.e. resources for empathy and affiliation). (Martin 2000: 148)

#### 2. APPRAISAL SYSTEMS

An overview of the APPRAISAL SYSTEMS is offered below in Figure a:

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<sup>1</sup> The electronic Hansard corpus of 749,759 words which all examples are taken from is relatively small, but arguably representative, at least of this one circumscribed universe of discourse. The corpus is spread over 26 documents, broken down into 16 debates, 8 Statements to the House and 2 full House Committee sessions, all taking place between 4 November 1992 and 29 March 1999, and all on the subject of European Union. The debates centred largely on UK sovereignty: an issue that was also at the heart of the The United Kingdom European Union membership referendum, also known as the EU referendum and the Brexit referendum (23 June 2016). By a slim majority, the vote was to leave the EU. For more on the Maastricht Treaty – officially known as the Treaty on European Union (TEU) –the issues involved and the UK’s stance, see <http://www.euro-know.org/europages/dictionary/m.html> (last accessed 4 November, 2016).The corpus that examples are taken from



**Fig. a: An overview of appraisal resources: from Martin and White 2005: 45**

### 2.1. The major ATTITUDE SYSTEM: AFFECT, JUDGEMENT, APPRECIATION

The following categories are illustrated primarily with attitudinal lexis. However, as we made clear in Part I of the course book, speaker evaluation is *not* merely a question of single linguistic items working separately, here and there, in a text. It is rather a question of the simultaneous use of various systems enacting, implicitly as well as explicitly, together and at the same time, various kinds of culturally-rooted speaker attitude and speaker stance. In short, enacted evaluation in text ultimately relies on co-text (logogenesis), its semantic prosody across the text, but it also relies on con-text and on inter-text too – and any one of these can alter the ‘reading’ of the single word.

In addition, the systems are not only explicitly inscribed in texts. That is to say that they can be also only be implicitly ‘invoked’. In the case of explicit appraisal, specified appraisers use specific linguistic mechanisms which can be seen to be overtly evaluating either a specified Thing (the appraised) or a specified person (appraisee). In implied or invoked (or ‘token-ed’) appraisal, such specification is lacking. In closing this overview, more will be said on this.

Ultimately, however, the interpretation of both types of appraisal is also strongly conditioned by the belief and value system, the cultural paradigm or world view, within which the text is being produced and which it can be seen to re-propose, re-legitimate, or *not* (cf., e.g., Martin 2000; Martin and White 2005; White 2002, 2003a and 2003b; Miller 2006, 2007, 2016b; Miller and Turci 2006; Miller and Johnson 2013, 2014; Miller and Luporini 2015, forthcoming).

◆ AFFECT, as Martin and White put it, “is concerned with registering positive and negative feelings: do we feel happy or sad, confident or anxious, interested or bored?” (2005:42). So it is a resource for enacting the emotional responses of participants to phenomena: un/happiness; in/security; dis/satisfaction. The attitudinal lexis triggering these, and all systems, can be of different categories, e.g.:

Epithets/ Classifiers: e.g., *happy; glad; impressed; worried...*

Circumstances: e.g., *proudly; freely; strongly; passionately...*

Processes: e.g., *declare; pledge; claim; support; suspect...*

Things (as in the abstract categories of the emotions themselves: e.g., *I shall look with **interest**...; I have no **confidence** in ...; I have expressed the **fear** that ...).*

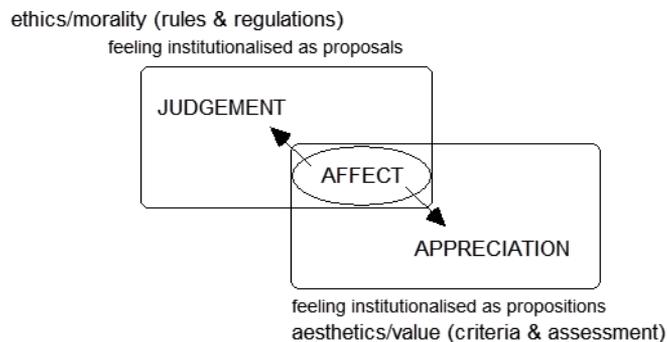
Affect is seen as being the ‘core’ ATTITUDE SYSTEM, and at the heart of institutional feelings: Why should this be? Martin and White argue that:

Emotion is arguably at the heart of these regions since it is the expressive resource we are born with and embody physiologically from almost the moment of birth (Painter 2003). We will refer to this emotive dimension of meaning as **affect**. (2005: 42, original emphasis)

They then elaborate on the ‘institutionalisation’ of affect:

One way to think about **judgement** and **appreciation** is to see them as institutionalised feelings, which take us out of our everyday common sense world into the uncommon sense worlds of shared community values. In these terms, **judgement** reworks feelings in the realm of proposals about behaviour – how we should behave or not; some of these proposals get formalised as rules and regulations administered by church and state. **Appreciation** on the other hand reworks feelings as propositions about the value of things – what they are worth or not; some of these valuations get formalised in systems of awards (prices, grades, grants, prizes etc.). (2005: 45)

An outline of this orientation to affect being at the heart of institutionalised feelings is offered in Figure b below.



**Fig. b: Judgement and appreciation as institutionalized affect: from Martin 2000: 147; Martin and White 2005: 45**

#### ◆ JUDGEMENT

As Martin and White put it:

With **judgement** we move into the region of meaning construing our attitudes to people and the way they behave – their character (how they measure up). In general terms **judgements** can be divided into those dealing with ‘social esteem’ and those oriented to ‘social sanction’. **Judgements of esteem** have to do with ‘normality’ (how unusual someone is), ‘capacity’ (how capable they are) and ‘tenacity’ (how resolute they are); **judgements of sanction** have to do with ‘veracity’ (how truthful someone is) and ‘propriety’ (how ethical someone is). (2005: 52, original emphasis)

Judgement draws upon Halliday’s account of the English systems of MODALIZATION/ MODULATION (i.e., the variables of probability, usuality, obligation, inclination and ability). For a review of these categories, cf. Thompson (1996/2004/2014. 70 ff.).

(i) ‘Social Sanction’

(a) ‘ethics’, or ‘propriety’ (linked to obligation):

Epithets/ Classifiers: e.g., *right; proper; fair; just; justified; sacred; wrong; perverse...*

Things: e.g., *democracy; racism; bigotry, accountability; principle; integrity; precedence; legitimacy; tradition; the rule of law...*

Processes: e.g., *to protect British influence and safeguard British interests; to look after the people of this country...*

Circumstances: e.g., *correctly; fairly; in fairness; rightly...*

(b) 'veracity' (linked to probability):

Epithets/ Classifiers: e.g., *real; forthright; candid; frank; true; false; dreamt up...*

Things: e.g., *facts; realities; myth,<sup>2</sup> illusions; lies...*

Processes: e.g., *enlighten; deceive...*

Circumstances: e.g., *honestly; frankly; openly...*

OR

(ii) 'Social Esteem'

(a) 'normality' (linked to usuality):

Epithets/ Classifiers: e.g., *expected; normal; usual...*

Circumstances: e.g., *frequently; always; forever; traditionally; normally; usually; regularly...*

Things: e.g., *common practice*

(b) 'capacity' (linked to ability):

Epithets/ Classifiers: e.g., *an effective European Union; able to make our own laws; incapable of responding to the British people...*

Circumstances: e.g., *We try weakly, stupidly, and ineffectively to defend our fast-disappearing parliamentary sovereignty; the point made so brilliantly...*

(c) 'tenacity' (linked to inclination)

Processes: e.g., *refuse; defy; surrender; defend; hold on to; stand firm; intend; see X through...*

Things: e.g., *the willingness to co-operate; the resolve of nations...*

#### ◆ APPRECIATION

Martin and White tell us that:

With **appreciation** we turn to meanings construing our evaluations of 'things', especially things we make and performances we give, but also including natural phenomena – what such things are worth (how we value them). In general terms **appreciations** can be divided into our 'reactions' to things (do they catch our attention; do they please us?), their 'composition' (balance and complexity), and their 'value' (how innovative, authentic, timely etc.). (2005: 56, original emphasis)

So appreciation enacts the evaluation of concrete or abstract objects and products (rather than human behaviour), with reference to *either* aesthetic principles, such as:

(i) the 'balance' and 'complexity' of composition: e.g., *clear definition; powerful arguments* or to:

(ii) 'reaction':

(a) 'impact' (notice-ability): e.g., *the dramatic turnabout; a surprising ally; an incredible mess...*

(b) 'quality' (like-ability): e.g., *disturbing circumstances; sovereignty is an outdated, weak, concept; the backward-looking old-fashioned anti-Europeanism of the Conservative Front Bench; we are defending the old-fashioned concept of sovereignty* or to:

(iii) 'valuation' (social significance): e.g., *catastrophic policies; crucial significance; profound implications; irreversible step...* (+ examples under 'quality' above)

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<sup>2</sup> 'Mythical', in the sense of someone being awesome/astonishing, would enact social esteem, probably in terms of normality, but depending on the co- and con-text, it could be positive or negative.

**NB: There is often overlap between judgement and appreciation. As Martin and White (2005: 67-68) put it:**

Recognition of inscribed and evoked **attitude** means that we might allow for double codings of the borderline categories [...]. Where players are explicitly judged in a role, an invoked **appreciation** of their accomplishments might be recognised; similarly, where an activity is explicitly appreciated as a thing, an invoked **judgement** of whoever accomplished it might be invoked.

Some examples they give are:

*inscribed judgement & invoked appreciation*

he proved a fascinating player  
he proved a splendid player  
he proved a balanced player

*inscribed appreciation & invoked judgement*

it was fascinating innings (impact)  
it was a splendid innings (quality)  
it was a balanced innings (balance)

Also see Thompson (2014) for his advice, when in doubt, to ‘Trust the text’, by which he means to analyse firstly the concrete surface wordings to decide which system is being inscribed, before asking yourself whether another is being invoked. Remember too that language has the potential of treating humans as objects – notably commercial goods. Conversely, objects can be given activities to perform which might metaphorically humanize them. But again, ‘Trust the text’ – paying close attention to the surface targets of the evaluation enacted. And keep in mind with reference to register analysis that different Fields and their typical text types tend to use particular wordings that are typical of that Field.

## 2.2. The two ‘attendant’ SYSTEMS: GRADUATION and ENGAGEMENT:

### ◆ GRADUATION

A question of raising or lowering the volume (Force) or of blurring or sharpening (Focus).

(i) FORCE: gradable scaling raising or lowering the intensity of:

the whole utterance: e.g., *I fully accept that [...]*; or a part of it: e.g., the Process: *people do not fully understand*; or the already modified Attribute: e.g., *Europe is not fully democratically accountable*

Other ‘high’ force options: *major pooling*; *key matters*; *terminal loss*; *stark contrast*; *complete and utter shambles*; *desperately serious point*; *deeply unpleasant group*...

‘Low’ force: e.g., *rather alarmed*; *pretty certain*...

But beware of possible ironic understatement that raises rather than lowers the volume: *If that is the basis on which the whole of the official Opposition are invited to oppose the Bill’s Second Reading, it is a pretty flimsy basis indeed.*

*implicit scaling in single words is also frequent*: e.g., *preposterous* (rather than ‘implausible’, or even ‘far-fetched’).

Force can also be a question of quantification.

(ii) FOCUS: making something that is inherently *non-gradable* gradable, by narrowing or broadening, and/or sharpening or softening, the boundaries between things, i.e., between the semantics of category membership:

‘Sharp’: e.g., *absolute barrier*; *genuine freedom*; *denial incarnate*; *British interests*...

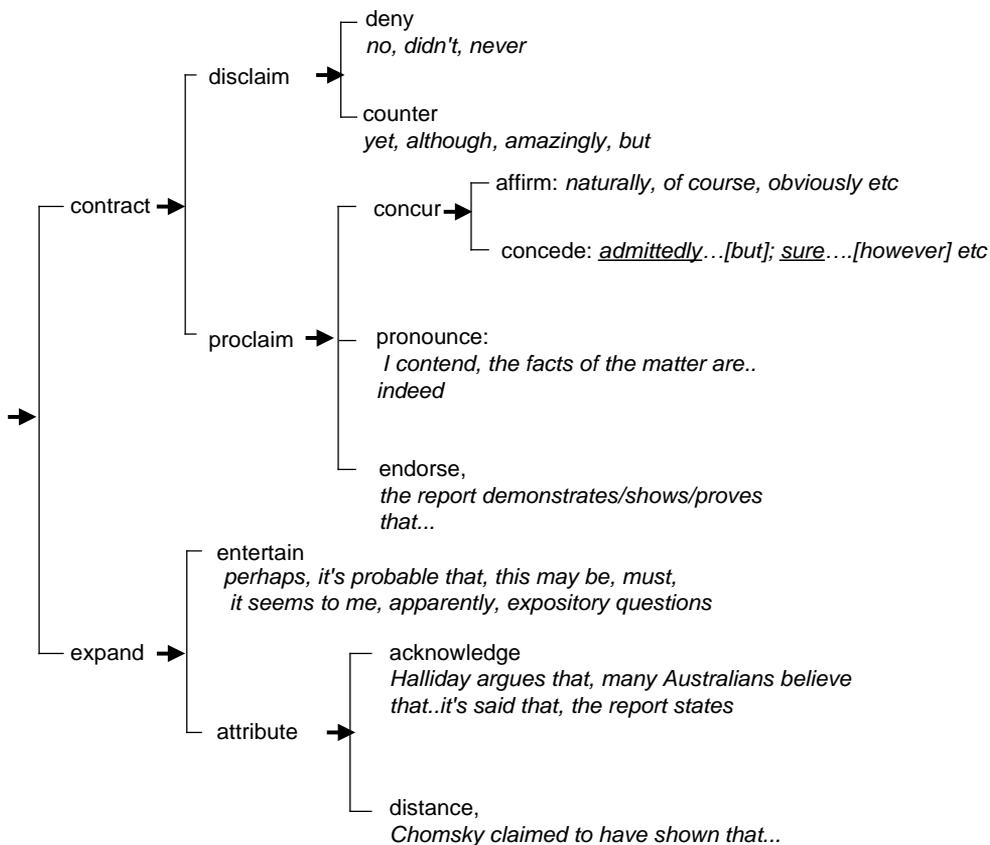
‘Soft’: *a loosely construed concept of subsidiarity* (vs. *proper and true subsidiarity*); *variable geometry*; *fledgling federalism* and *a looser and non-federal European Union*...

◆ ENGAGEMENT

**The Heterogloss:**

Engagement is *not* just a question of a contrast between a monogloss and a heterogloss. If a clause is heteroglossic, the next level of delicacy to be investigated is that of ‘contract’ vs ‘expand’. That is to say that heteroglossic engagement acknowledges alternative positions *to a degree which can vary greatly*, either acting to dialogically contract (i.e. to reject, counter, rule out, etc.) alternative voices, or to expand (i.e. entertain, acknowledge, be open to, etc.) them.

In short, the distinction between these is a question of the extent to which a speaker’s text allows space to dialogically alternative positions and voices (*expansion*) or, instead, acts to challenge or restrict the space of such positions and voices (*contraction*). Clearly contraction is closer to a monogloss than expansion, and only expansion really opens up the speaker’s meanings to negotiation. Within each of these categories there are then other options to choose from. The overall network is offered in Fig. c:



**Fig. c: Engagement: the heterogloss broken down: from Martin and White 2005: 122**

Some explanation, with examples:

(i) *Contraction:*

1) *Proclamation:*

a) Pronouncements are formulations involving explicit and/or emphatic speaker interventions. e.g., *I must also point out that [...]* and *There is not the slightest doubt that [...]*... or, as in this example, next highly intensified by grammatical parallelism:

This issue is all *about* the **sovereignty** of the House of Commons, *about* who governs this country and *about* the role that Back Benchers play on behalf of the constituents whom we look after. [21.3.96]

Of course engagement often works closely with other APPRAISAL SYSTEMS. Here what the three Matter circumstances clearly do is to invoke +ve appreciation of valuation concerning the House of Common's keeping its sovereignty.

(b) Concurrences involve formulations that overtly announce the speaker as agreeing with or sharing knowledge with some imagined dialogic partner, through, e.g., wordings such as *of course*, and 'rhetorical questions' which seek to align the hearer:

Is it not correct that the people of this country should be governed by laws passed in this House, the other place and the Queen in council? If the European Court's laws infringe on those laws, the **sovereignty** of Parliament should take precedence. [21.3.96]

To probe the appraisal being enacted above, we need to take into account the Pronouncement following the question itself; *together* they enact -ve judgement – in terms of the *impropriety* of European intervention in British law making.

(c) Endorsement involves formulations which bring in external sources that are construed by the authorial voice as valid, correct or thoroughly warrantable, e.g.:

I find all the talk of **sovereignty** nonsensical. Bernard Crick said some time ago that **sovereignty** was an idea dreamt up by those who wanted to retain power for themselves, to frighten the smaller nations into believing that London knew best, and that anyone who put a foot out of step was in danger of doing damage. [9.6.97]

Here Crick is endorsed and used to perform a pro-EU deduction. A -ve appreciation: valuation of those defending the UK's sovereignty results.

## 2) Disclamation

(a) Denial (negation) is a way for the speaker to introduce the alternative positive position, thus acknowledging it, but for the purpose of rejecting it. e.g.:

*I happen not to believe in the Treaty of Rome.* [12.11.92]

The speaker implies the belief others do have in the Treaty of Rome, responding to it. This kind of 'creed discourse' is also a resource for construing speaker attitude, notably affect and/or judgement. Here the speaker's -ve affect regarding the Treaty is inscribed, a -ve judgement: (im)propriety with reference to the EU being as a result invoked.

(b) Countering includes formulations which represent a proposition as replacing or supplanting, and so 'countering', another proposition which might have been expected to appear in its place. Countering is typically expressed by means of, for example, conjunctions (*however, but, yet*), and continuatives that adjust expectancy such as *still, only* and *even*. Counters are similar to

denials as they both project onto the addressee certain beliefs or expectations. In the following example the idea suggested is then implicitly Countered – as not being worth thinking about. Of course, any reader who happens not to agree will be alienated by the intervention.

Let us consider subsidiarity. Subsidiarity comes from a dogma of the Roman Catholic church, which I know little about. It is devolution of power from the hierarchy to the lower regions. Who made so many countries in Europe the hierarchy? When did they get such power? [4.11.92]

The speaker here invokes -ve appreciation: valuation of ‘subsidiarity’, or, better, of the right to confer it, and, in the UK cultural context, its source being Roman Catholic Church dogma compounds this. The rhetorical questions, which contract the speaker’s meanings and presume hearer concurrence, further invoke -ve judgement of implied authoritarian EU behaviour.

**Table a: An overview of Contraction: from White 2003a**

<b>Dialogic Contraction:</b>	
Proclaim:	
•	Pronounce
•	Concur
•	Endorse
Disclaim:	
•	Deny
•	Counter

(ii) *Dialogic Expansion:*

1) Entertain:

These are wordings that indicate that the speaker’s position is only one of a number of possibilities, creating space (‘entertaining the possibility of’) another way of thinking. It does this by means of

(a) deductive wordings

e.g., reality-phase: *seems, appears, suggests...*

(b) polarity and epistemic modality resources, e.g.:

modal operators such as *must, will, may, might*, etc.

modal and comment adjuncts like *surely, certainly, obviously, in truth, in reality, apparently, presumably, perhaps, possibly* etc.

(c) ‘quasi-real’ questions (Martin and White 2005: 98), which show greater openness to contemplating others’ opinions, in contrast to ‘leading’ rhetorical questions, which contract. Hence they are close to being ‘real’ questions. But one needs to be careful in analysing these, e.g.:

Why does Europe need a stability pact, except as part of a bureaucratic, socialist, centralising, federalist state? [11.12.96]

One might have the initial impression that this is an instance of Entertaining Dialogic Expansion, leaving space for the possibility that there be another feasible answer besides the speaker's somewhere out there. But the highly negative Epithets in the 'exceptive' circumstance here ironically belie that possibility and construe a contraction which is also a token of intensely -ve appreciation: valuation of the 'stability pact', seen as being "part of a bureaucratic, socialist, centralising, federalist state".

(2) Attribute

(a) Acknowledge: where there is no explicit indication of where the speaker stands with respect to the proposition.

e.g., 'hearsay': *It is said that...; ...or so it is said...*

and projection: *The President of the Bundesbank said...*

*However*, when the speaker clearly supports the proposition being Acknowledged, the function of such Attribution is contracting rather than expanding and called Endorsement (see 1) c) above).

(b) Distance: where there is explicit distancing of the speaker from the proposition, due to wordings/meanings explicitly marking the authorial voice as separating itself from the external voice.

e.g., *The honourable gentleman claims...; ...what has been reported to be...; ...an allegedly pro-European party*

**Table b: An overview of Expansion: from White 2003a**

<b>Dialogic Expansion:</b>	
Entertain:	
•	Deductive wordings
•	Modality/ Polarity
Attribute:	
•	Attribute/ Acknowledge
•	Attribute/ Distance

**3. More on invoking Attitude:**

As said above, even in the absence of explicit attitudinal lexis that tells us directly if/what kind of evaluation is going on, evaluation is often solely invoked, or tokened. For example:

- ideational meanings are said to 'afford' attitude;
- intensifications, to 'flag' attitude;
- and lexical metaphor, to 'provoke' it (Martin and White: 2005: 62-68)

Concerning invoked appraisal, Martin and White (2005: 62, our emphasis) have this – importantly – to say:

At first blush it might seem that analysing the evaluation evoked by ideational selections introduces an undesirable element of subjectivity into the analysis. On the other hand, avoiding

evoked evaluation of this kind amounts to a suggestion that ideational meaning is selected without regard to the attitudes it engenders – a position we find untenable. In this context it is important to distinguish between individual and social subjectivity – between readers as idiosyncratic respondents [DRM: with their individual repertoires] and communities of readers positioned by specific configurations of gender, generation, class, ethnicity and in/capacity [DRM: by their reservoirs]. *When analysing invoked evaluation it is certainly critical to specify one's reading position as far as possible with respect to the latter variables; and also to declare whether one is reading a text compliantly, resistantly or tactically.*

By a **tactical reading** we refer to a typically partial and interested reading, which aims to deploy a text for social purposes other than those it has naturalised; **resistant readings** oppose the reading position naturalised by the co-selection of meanings in a text [DRM: contratextually], while **compliant readings** subscribe to it [DRM: intertextually].