

**LANGUAGE, IDEOLOGY AND CONTROL: A FUNCTIONAL LINGUISTIC  
INVESTIGATION INTO THE LANGUAGE OF LITERARY CRITICISM**

by

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## ABSTRACT

This study uses the framework of systemic functional grammar to conduct the stylistic investigation of extracts from two texts of literary criticism written by F.R. Leavis and Paul de Man. The aims of the study are:

- i) to identify the characteristic features of the type of text known as professional literary criticism, and interpret the ideological significance of the textual features thus identified;
- ii) to identify the characteristic features of two specific registers of literary criticism, liberal humanist criticism and deconstruction, and interpret the relationship between linguistic and ideological variation -as exemplified in the texts which are analysed- and power.

The features which make systemic functional grammar a powerful tool in stylistic analysis are identified, and a review of the applications of systemic grammar to text analysis is presented. A model of the relationship between text and context is presented, and its key terms and their relationship (discourse, ideology, genre, register, language) are discussed.

The analysis of extracts from literary critical texts is conducted according to the three main features of the context of situation as identified in systemic grammar: field (subject matter of the discourse), tenor (participants in the discourse) and mode (medium of the discourse).

Finally, the study considers the implications and applications of the conclusions drawn, particularly those that relate to the academic institution within which literary critical texts are produced and read.

### Key terms

Systemic functional grammar; genre theory; register analysis; ideational meanings; interpersonal meanings; textual meanings; literary criticism; liberal humanist criticism; deconstruction criticism; professional academic writing.

## TABLE OF CONTENTS

### CHAPTER 1: INTRODUCTION

1.1	Field of study.....	1
1.2	Aims of the study.....	3
1.3	Methods of study.....	6
1.3.1	The analytical framework.....	6
1.3.2	The data.....	7
1.3.2.1	The texts to be analysed.....	7
1.3.2.2	Contextual information.....	8
1.4	Structure of the study.....	9

### CHAPTER 2: THE ANALYTICAL FRAMEWORK

2.1	Introduction.....	12
2.2	Systemic grammar.....	12
2.2.1	Historical background.....	12
2.2.2	The goals of systemic grammar.....	14
2.2.3	Important concepts in systemic grammar.....	16
2.2.3.1	Feature.....	16
2.2.3.2	System.....	16
2.2.3.3	System network.....	17
2.2.3.4	Delicacy.....	17
2.2.3.5	Functional analysis.....	18
2.2.3.6	Rank.....	21
2.2.3.7	The metafunctions.....	22
2.2.4	The stratal organisation of systemic grammar.....	23
2.2.4.1	The semantic stratum.....	24
2.2.4.2	The grammatical stratum.....	26
2.2.4.3	The phonological/orthographic stratum.....	27
2.3	Applications of systemic grammar.....	28
2.3.1	The applicability of systemic grammar.....	28
2.3.2	Artificial Intelligence.....	30
2.3.3	Educational linguistics.....	30
2.3.4	Stylistics.....	31
2.4	Conclusion.....	33

**CHAPTER 3: FUNCTIONAL STYLISTICS: THE APPLICATIONS OF SYSTEMIC THEORY TO TEXT ANALYSIS**

3.1	Introduction.....	35
3.2	Applications of systemic grammar to text analysis.....	36
3.2.1	Review of developments in stylistics.....	36
3.2.2	Evaluations of stylistics.....	45
3.3	The text/context relationship.....	51
3.3.1	Martin's model.....	51
3.3.2	The concepts of text and discourse.....	53
3.3.3	The concepts of register and genre.....	55
3.3.3.1	Register.....	56
3.3.3.2	Genre .....	61
3.3.4	The concept of ideology.....	71
3.4	Conclusion.....	75

**CHAPTER 4: LITERARY CRITICISM: GENRE, REGISTERS, TEXTS**

4.1	Introduction.....	77
4.2	Investigations of literary criticism.....	78
4.3	The relationship between text and context: a model .....	82
4.3.1	Genre, register, language.....	83
4.3.2	Ideology and discourse.....	83
4.3.3	The question of reading.....	84
4.4	Literary critical texts and their context of production/interpretation.....	86
4.4.1	The academic institution and the discourse of English Studies.....	87
4.4.1.1	The institution and the discourses it produces.....	87
4.4.1.2	The discourse of English Studies.....	89
4.4.2	Literary criticism as genre.....	96
4.4.3	Registers of literary criticism.....	99
4.4.3.1	Register 1: liberal humanist criticism....	100
4.4.3.2	Register 2: deconstruction.....	101
4.4.4	The two texts to be analysed.....	103
4.5	Conclusion.....	106

## CHAPTER 5: THE IDEATIONAL FUNCTION

5.1	Introduction.....	108
5.2	The grammatical analysis.....	109
5.2.1	Transitivity.....	109
5.2.1.1	Types of processes.....	110
5.2.1.2	Participants.....	114
5.2.2	Grammatical metaphors.....	120
5.2.3	Nominal groups.....	123
5.2.4	Lexical cohesion.....	126
5.3	Discoursal characteristics of the literary critical field.....	129
5.3.1	The object of discourse: literary texts.....	130
5.3.2	Belief in the peculiarity of literary language....	132
5.3.3	The value of close reading.....	133
5.3.4	The literary critical terminology.....	135
5.4	Generic characteristics of the literary critical field...	137
5.5	Registerial field characteristics.....	140
5.5.1	The evaluative dimension of literary criticism....	140
5.5.2	The question of meaning.....	143
5.5.3	Textual analysis and the role of theory.....	147
5.6	Text-specific field characteristics.....	152
5.7	Conclusion.....	155

## CHAPTER 6: THE INTERPERSONAL FUNCTION

6.1	Introduction.....	157
6.2	The literary critic and his audience.....	158
6.3	The grammatical analysis.....	161
6.3.1	Interactional features.....	161
6.3.1.1	Clause functions.....	161
6.3.1.2	Identification of participants.....	162
6.3.2	Interpersonal features.....	163
6.3.2.1	Modality.....	163
6.3.2.2	Attitudinal modifiers.....	168
6.4	The text by Leavis.....	169
6.4.1	Participant identification.....	169
6.4.2	Evaluation of propositions.....	172
6.4.2.1	Attitudinal modifiers.....	172
6.4.2.2	Unmodalised expressions.....	173

6.4.2.3	Modalised expressions.....	174
6.4.3	Interactional and interpersonal meanings.....	177
6.5	The text by de Man.....	179
6.5.1	Participant identification.....	180
6.5.2	Evaluation of propositions.....	183
6.5.2.1	Attitudinal modifiers.....	183
6.5.2.2	Unmodalised expressions.....	184
6.5.2.3	Modalised expressions.....	184
6.5.3	Interactional and interpersonal meanings.....	186
6.6	Conclusion.....	187

## **CHAPTER 7: THE TEXTUAL FUNCTION**

7.1	Introduction.....	189
7.2	The grammatical analysis.....	191
7.2.1	Cohesive resources.....	191
7.2.2	Structural resources: thematic and information structures.....	193
7.2.3	The role of grammatical metaphors and passivisation.....	195
7.2.4	The interaction of thematic and information structures.....	197
7.3	The text by Leavis.....	200
7.4	The text by de Man.....	210
7.5	Conclusion.....	217

## **CHAPTER 8: CONCLUSION**

8.1	Introduction.....	220
8.2	Professional literary criticism as genre.....	221
8.3	Two registers of literary criticism.....	224
8.4	Implications and applications of this study.....	227
8.4.1	The field of register analysis.....	227
8.4.2	The uses of register analysis in the educational context.....	229

<b>BIBLIOGRAPHY.....</b>	<b>236</b>
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## APPENDIX

APPENDIX A: GRAMMATICAL ANALYSIS OF TEXT BY LEAVIS.....	251
A-1 EXTRACT FROM TEXT.....	252
A-2 CLAUSES.....	255
A-3 TRANSITIVITY.....	261
A-3-1 PROCESS TYPES.....	261
A-3-2 RELATIONAL PROCESSES.....	264
A-3-3 MATERIAL PROCESSES.....	265
A-3-4 EXISTENTIAL PROCESSES.....	265
A-3-5 MENTAL PROCESSES.....	266
A-3-6 VERBAL PROCESSES.....	266
A-4 GRAMMATICAL METAPHORS.....	267
A-4-1 CATEGORIES OF GRAMMATICAL METAPHORS.....	268
A-5 NOMINAL GROUPS.....	270
A-6 LEXICAL SETS (NOMINALS ONLY).....	274
A-7 INTERPERSONAL FEATURES.....	275
A-7-1 MODALITY.....	275
A-7-2 IDENTIFICATION OF PARTICIPANTS.....	277
A-7-3 ATTITUDINAL MODIFIERS.....	278
A-8 THEME.....	280
A-9 VOICE.....	283
A-10 CONJUNCTIVE RELATIONS.....	284
APPENDIX B: GRAMMATICAL ANALYSIS OF TEXT BY DE MAN.....	285
B-1 EXTRACT FROM TEXT.....	286
B-2 CLAUSES.....	289
B-3 TRANSITIVITY.....	298
B-3-1 PROCESS TYPES.....	295
B-3-2 RELATIONAL PROCESSES.....	298
B-3-3 MATERIAL PROCESSES.....	299
B-3-4 EXISTENTIAL PROCESSES.....	300
B-3-5 MENTAL PROCESSES.....	301
B-3-6 VERBAL PROCESSES.....	301
B-4 GRAMMATICAL METAPHORS.....	302
B-4-1 CATEGORIES OF GRAMMATICAL METAPHORS.....	304
B-5 NOMINAL GROUPS.....	306
B-6 LEXICAL SETS (NOMINALS ONLY).....	309



B-7 INTERPERSONAL FEATURES.....	310
B-7-1 MODALITY.....	310
B-7-2 IDENTIFICATION OF PARTICIPANTS.....	312
B-7-3 ATTITUDINAL MODIFIERS.....	313
B-8 THEME.....	314
B-9 VOICE.....	317
B-10 CONJUNCTIVE RELATIONS.....	318

## CHAPTER 1

### INTRODUCTION

#### 1.1 Field of study

The object of this linguistic investigation is a particular kind of written text known as *literary criticism*, which plays a central role in the English departments of educational institutions. The explicitly stated aim of literary criticism is the interpretation of literary texts, but the work of interpretation itself reflects the beliefs and values of the English Studies community and the power structures of the institution in which literary criticism takes place. Hence, the issues involved in a linguistic study of literary criticism are, inescapably, socio-institutional.

Since the release of Nelson Mandela in February 1990, South African society at all levels has undergone a process of tremendous change, felt most keenly in the educational sector. In particular, many university English departments are in the process of re-thinking and reassessing the fundamental assumptions of their discipline, as English Studies are now felt to be too Eurocentric and thus not wholly suited to the new situation in South Africa. In a special issue of the Journal of Literary Studies (1992), most contributors advocate a move away from English Studies towards a Cultural Studies model, and the Department of English at the University of Natal in Durban actually implemented this change in their first-year course in 1993. Although this study is not directly concerned with educational issues, the analysis of literary critical texts brings to light a number of key ideological assumptions and effects implicit in the current practice of English Studies, and this might, though indirectly, help explain the reasons behind most academics' dissatisfaction with the present English Studies model.

The writers and readers of texts concerned with the analysis of a literary text are usually found in such institutions as schools and universities. In these institutions, the aim of literary

criticism is said to be the development of "literary competence", described by Culler (1975:x) as 'expectations about the forms of literary organisation, implicit models of literary structures, practice in forming and testing hypotheses about literary works'. Scholars and their teachers/lecturers read a literary text and then write about the text, articulating their response to and analysis of it. What they produce, however, could be said to belong to two different kinds of writing. On the one hand, there is professional literary criticism, that is, texts which are written by certificated members of the academic community: teachers and lecturers in English departments, whose texts are published in accepted academic journals or by publishing houses. On the other hand, there is what could be called "student" literary criticism: the various pieces of work which students produce in order to comply with the requirements of their courses, and which will be read by their teachers only.

This study will be concerned with professional literary criticism, which is central to the discipline of English Studies, and one of the major vehicles for the power struggles which take place in the field of literary studies in educational institutions. The domain of criticism is composed of schools which distinguish themselves from one another, overtly, by their interpretative methodologies and the kinds of textual readings they produce. These readings reflect and maintain different ideologies of culture - what 'literature' is, how it should be read, why and by whom - and in so doing strengthen relationships of domination and power within the institution.

The relationship between student and professional literary criticism is an important one, and constitutes the starting point for one of the very few linguistic analyses of professional literary criticism, that of Peck MacDonald (1990), which will be reviewed in this study. This relationship, however, does not fall within the scope of this study, which seeks to establish the characteristic features of professional literary criticism, as one of the main carriers of the ideology of literary discourse to which students are exposed.

As literary criticism is a social phenomenon, it appears that characteristics of its linguistic features cannot be discussed separately from a consideration of the social practices which they accomplish and the institutional and cultural control which they strive to achieve. The main concern of this study is thus to attend to the play of social power within language itself: how the inscription of social power within the language of literary criticism can be traced in the lexical, syntactic and textual structures of literary critical texts.

This study is thus based on the following assumptions:

- (1) Literary criticism is a social and economic practice through which cultural values are created, transmitted, reinforced, challenged. It is a body of texts which encode and transform belief systems within educational institutions, and beyond these, society as a whole. These literary-critical texts are thus regarded as socially situated discourse, which implies the notions of linguistic variety and linguistic function.
- (2) Varieties of linguistic usage are both products of socio-economic forces and institutions, and practices which are instrumental in forming and legitimating these same social forces and institutions.
- (3) Language use is thus effective in the formation and reproduction of ideologies, rather than simply reflecting a stock of pre-existing ideas independently formed within the culture.

## 1.2 Aims of the study

The starting point for this study is the following comment made by the literary critic Terry Eagleton:

All that is being demanded is that you manipulate a particular language in acceptable ways. Becoming certificated by the state as proficient in literary studies is a matter of being able to talk and write in certain ways.[...] Nobody is especially concerned about what you say, with what extreme, moderate, radical, or conservative positions you adopt, provided that they are

compatible with, and can be articulated within, a specific form of discourse.[...] Literary theorists, critics, and teachers, then, are not so much purveyors of doctrine as custodians of a discourse. (Eagleton 1986:260)

Eagleton is here specifically pointing to the manipulation of 'a particular language', hence identifying the field of literary studies as the production of a particular kind of text.

What Eagleton seems to be referring to, then, is what linguists call a "register", variously defined as a variety of language according to use (Halliday in Halliday & Hasan 1985:41), or 'a set of beliefs, attitudes or expectations about what is or is not likely to seem appropriate and be selected in certain types of contexts' (de Beaugrande 1993:18).

This study thus falls squarely in the field of what Matthiessen (1993) loosely calls 'register analysis', based on the idea that texts produced in the same context of situation (which includes such elements as purpose and topic of interaction, relationship between participants, and channel of communication) show significant grammatical similarities and are said to be of "the same type".

The aims of this study are:

- (1) *to identify the characteristic features of the type of text known as (professional) literary criticism, through the close analysis of two such texts. The point of this analysis, however, is to interpret the ideological significance of the textual features which are identified.*

The assumption upon which this aim is based is that if two literary critical texts show a certain number of key similarities, then the features thus identified may be construed as typical of the kind of text known as literary criticism, or, as is argued in this study, of literary criticism as genre. Whenever possible, comparison is made with the features which research has shown to characterise other professional academic written genres. The limitations of such comparison, however, are that the academic genres

most often analysed up till now are those whose audience is explicitly pupils or students, such as history textbooks (Eggins et al 1993) or science textbooks (Wignell et al 1989; Halliday & Martin 1993), rather than fellow academics, as is the case with literary critical texts.

- (2) *to identify the characteristic features of two specific registers of literary criticism.* Two texts which are representative of different schools of literary criticism have been chosen for analysis. The point of this analysis is to interpret the relationship between linguistic and ideological variation - as exemplified in the texts to be analysed - and power.

Cultural power in educational institutions includes the capacity to impose and maintain in place a particular register in a position of dominance. Registers thus are not only ideologically expressive, they are also ideologically productive. A comparative study of texts encoding different cultural/literary ideologies brings to light some of the processes of socio-semantic change as evidenced in the genesis of new registers. Consequently, another important concern of this study is the process of change from one literary critical register to another.

Hence, this study contributes to the growing field of register analysis in several ways:

- i) it provides a partial analysis of a genre which has not received much attention from linguists, thus adding to the understanding of language variety;
- ii) it contributes to the clarification of the linguistic implications of the concepts of genres and registers;
- iii) it contributes to the clarification of the social implications of genres and registers, as it shows that both solidarity and dominance are important factors in the use of the literary critical genre and some of its registers;
- iv) it helps account for linguistic/cultural power in the academic world, and the process of socio-semantic change, as

changes in textual patterns are reflections of changes in the academic world and society more generally;

- v) it helps identify the features of a particular linguistic model of analysis which are in need of development, in those instances where the model cannot usefully account for what are perceived to be characteristic features of texts.

### 1.3 Methods of study

In order to meet the aims outlined above, a model of grammar is needed which not only enables the identification of characteristic textual features, but makes the socio-cultural interpretation of such features possible. In addition, texts which are deemed to be representative of well-established literary critical registers must be chosen.

#### 1.3.1 The analytical framework

The analytical framework which appears to be most relevant for the purpose of this study is Halliday's (1985a) systemic functional grammar. In it, the fundamental components of meaning in language are functional components, and its orientation is to language as a social, rather than an individual, phenomenon. Halliday sees language as a system of meanings, accompanied by forms through which the meanings can be expressed. In other words, he does not ask the question "what do these forms mean?", but reverses the process of investigation of language, to ask "how are these meanings expressed?" In addition, Halliday (1985a:xx) explicitly states that his aim is to develop a grammar 'for the interpretation of texts of a broad variety of registers in modern English'.

The emphasis on text and its relationship with context, and the constant stress on the meaning relations which underlie linguistic form, make systemic functional grammar an extremely powerful tool for textual analysis. In addition, the various modifications and developments of Halliday's model effected by Martin (1986;1991; 1992;1993) and Kress (1989a;1989b) enable the study of texts from a dynamic text production perspective which highlights the

interaction between text and context, the ways in which language events reciprocally influence and alter the contexts of situation which called them into being in the first place.

As far as the specific process of register analysis is concerned, there have been two approaches to interpreting register within systemic linguistics. The first approach is that of Halliday, McIntosh & Strevens (1964), Halliday (1978), Halliday & Hasan (1985), whereby register is interpreted in terms of a separate dimension of variation within the language system; it is a variety of language determined by a number of situational constraints. The second approach is that of Martin (1986;1992) who builds on the concept of variation, but interprets register as the first semiotic 'plane' above language, together with two other planes, genre and ideology. As is explained in Chapter 3, Martin's approach is adopted in this study, as his model enables the interpretation of the ideological significance of a particular register in a more principled way than Halliday's approach.

### 1.3.2 The data

The data for this study consists of two literary critical texts and contextual information which helps the interpretation of textual features.

#### 1.3.2.1 The texts to be analysed

This study presents a comparative analysis of texts representative of two main schools of literary criticism which have been highly influential in academic circles in the twentieth century.

The first text is the chapter entitled 'Shelley' in F.R. Leavis's Revaluation. Tradition and Development in English Poetry, published in 1936. Leavis's role in the development of English studies in England in the first half of the twentieth century is aptly summed up by Eagleton (1983:31) thus: 'In the early 20's it was unclear why English was worth studying at all. By the early 30's it had become a question of why it was worth wasting your time on anything else.' Leavis's influence has 'permeated a whole



literary culture and a national educational system' (Belsey 1982: 121) to such an extent that, to the present day, 'if the Leavisites have gone, Leavisism lives on' (Wright 1979:37).

The second text is Paul de Man's paper entitled 'Shelley Disfigured', which first appeared in the collective volume Deconstruction and Criticism edited by Bloom et al in 1979, and was subsequently included in The Rhetoric of Romanticism, a collection of essays published in 1984. De Man has been a major influence on American literary criticism and theory since the 1960s through his teaching at Cornell, Johns Hopkins and Yale, and he rose to special prominence in the 1980s, when his writings were seen as leading texts in the major critical movement of 'deconstruction'.

Both Leavis and de Man have been, and still are, enormously influential in the field of literary criticism. In addition, the choice of texts for this study was determined by the fact that Leavis's writings, to a large extent, *established* the field of literary criticism, while deconstruction has been seen as posing a fundamental *threat* to the field. In the words of Felperin (1985:259), 'deconstruction transgresses the communal rules of the language game known as literary criticism while continuing to play it [...] The deconstructive transgressors are playing to win and have one eye firmly fixed on the institutional stakes.'

#### 1.3.2.2 Contextual information

Register analysis is essentially the analysis of language in context, as it attempts to uncover the general principles which govern the ways in which 'the language we speak or write varies according to the type of situation' (Halliday 1978:32). Hence, it is essential that the textual features which are identified as being salient in the production of meanings should be related as closely and accurately as possible to the elements of the context of situation.

In a crucial way, the significance of a register relates to the users of the linguistic system, the groups who use that register.

It is recognised that many people often command registers that they could not describe very well, yet they know intuitively when particular formulations fit or do not fit with their and other users' expectations. De Beaugrande (1993:22) advises analysts to 'consult in great depth and detail with people who, by some reasonably secure measure, are recognized as skilled users of a given register', and explains the various ways in which he believes such 'register experts' could help in the process of interpretation of textual features.

For this study of literary critical texts, expert help was readily available, as literary critics themselves have commented at length on their own practices, although, as is discussed in Chapter 4, mostly from the point of view of propositional content, rather than through analyses of the language of literary criticism. Hence, these insider insights have been used, whenever possible, to help determine the value and potential effect of textual features, thus complementing the (informed) outsider viewpoint evident in the analysis.

#### 1.4 Structure of the study

Chapter 2 presents in more detail the analytical framework to be used, and in particular it identifies the features of systemic grammar which make the grammar such a powerful tool in such applications of the theory as educational linguistics, Artificial Intelligence and stylistics. It also introduces and explains a number of concepts from systemic linguistics that are used at a later stage in the analysis of the two literary critical texts.

In Chapter 3, a review of the applications of systemic grammar to text analysis is presented. The purpose of such a review is to identify the various theoretical and methodological concerns in the field of text analysis influenced by, or based on, systemic grammar, from Halliday's (1971) seminal analysis of William Golding's novel The Inheritors to the more recent work of critical linguistics on a variety of texts and registers. This review also shows the constant interweaving and simultaneous development of

theory and practical applications in the field of systemic grammar.

Chapter 4 focuses on the field of literary criticism. A review of the sparse linguistic studies of literary critical texts is provided, which enables the identification of the most serious weakness of such studies: the lack of adequate contextualisation of the literary critical texts being considered. Consequently, the chapter presents a model of the relationship between text and context, based on Martin's (1986) model, and then the key terms of that model (language, register, genre, ideology and discourse) are related to the domain of literary criticism. The two texts by Leavis and de Man are presented briefly, and the methodological steps in the analysis of the texts are outlined.

The next three chapters are devoted to the systematic analysis of grammatical features of the literary critical texts in the context of production and reception of these texts, according to the three main features of the context of situation as identified in systemic grammar: field, tenor and mode. Chapter 5 analyses the ideational meanings which relate to the situational feature of field and are expressed through the grammar of transitivity and lexical cohesion. This analysis enables the identification of some of the key ideological assumptions which underlie the task of literary criticism, that is the interpretation of literary texts within the academic institution. In Chapter 6, the interactional and interpersonal meanings relating to the situational feature of tenor are contrasted, through the analysis of participant identification and modality in the texts. This analysis makes clear the very different roles that the liberal humanist critic and the deconstructionist see for themselves and their audience. Finally, Chapter 7 analyses the textual meanings related to the situational feature of mode. The chapter shows how key characteristics of structure and texture reflect and co-ordinate the main ideational and interpersonal meanings made in the texts by Leavis and de Man.

Chapter 8 concludes the study by reviewing the main features of the professional literary critical genre, and the two registers of

liberal humanist criticism and deconstruction. It also considers the implications and applications of the conclusions drawn, particularly those that relate to the academic institution within which literary critical texts are produced and read, from the perspective of both professional critics and their students. The limitations of this study are identified, and suggestions for further research are made.

## CHAPTER 2

### THE ANALYTICAL FRAMEWORK

#### 2.1 Introduction

The purpose of this chapter is to introduce and motivate the concepts from systemic linguistics that play a significant role in the rest of the study. The chapter thus presents a brief historical survey of the development of systemic linguistics, and then explains a few key concepts that will be used in the analyses of two literary critical texts for, as is shown in this chapter, systemic grammar is essentially a grammar of use.

#### 2.2 Systemic grammar

##### 2.2.1 Historical background

The origins of systemic linguistics lie in the work of the anthropologist Malinowski (1923). From Malinowski came two ideas that have shaped systemic theory. The first is the idea that language cannot be isolated from its social and cultural context, and the second is the idea that language is 'functional': it is used to perform certain functions in society, it is regarded 'as a mode of action rather than as a countersign of thought' (quoted in Butler 1985:4). Meaning, then, is seen in terms of the function of utterances, or even of whole texts, in their contexts of situation and culture.

The linguist Firth took Malinowski's key notion of meaning as function in context, and built it into a specifically linguistic theory. Three major principles of that theory were to be developed later by Halliday. First, Firth (1957) took Malinowski's notion of context of situation further, by adding the dimension of 'levels'. The idea was that words or sentences could not just be related directly to a general context, but rather the context had to be divided up into different levels, somewhat 'like the dispersion of light of mixed wave-length into a spectrum' (quoted in Monaghan 1979:31). Meaning, then, was to be accounted for in

various abstract contexts, or levels: lexical meaning is the function of one lexical item in the context of other lexical items, and grammatical and phonetic meanings are functions of the relevant units in their own context. Thus, each level of linguistic organisation (grammatical, lexical, phonological) contributes its own 'mode of meaning' to the text. At a further level, then, the text itself was contextualised, that is, brought into relation with the context of situation, which Firth (1957:182) described as a 'group of different categories at a different level from grammatical categories but rather of the same abstract nature'. Such categories included the relevant features of participants, their verbal and non-verbal actions, relevant objects, and the effects of the verbal actions.

Secondly, Firth (1957) developed the concept of 'system', from which systemic theory gets its name, a set of linguistic choices in a specific linguistic context. Within each mode of meaning, or level, Firth saw language as organised along two axes, syntagmatic and paradigmatic. Elements in syntagmatic association formed 'structures' at the level concerned, while events in commutative relation at a particular place in a structure constituted a 'system'. One example could be the system of number in any language. Firth (1957:227) explained that a singular in a two-number system has different grammatical meaning from a singular in a three-number system or a four-number system such as in Fijian which formally distinguishes singular, dual, 'little' plural and 'big' plural. Firth insisted that 'linguistic analysis must be polysystemic. For any given language there is no coherent system ... which can handle and state all the facts' (quoted in Butler 1985:9).

Thirdly, Firth observed that the general situation types described by Malinowski resulted in a 'multiplicity of languages' within a language as a whole (Kress 1976a:xiv). He insisted that techniques of linguistic description should be applied, not to a language as a whole, but to a 'restricted language', which 'serves a circumscribed field of experience and can be said to have its own grammar and dictionary' (quoted in Butler 1985:5). This insight later led Halliday to the important concept of 'register'.

In addition to the works of Malinowski and Firth, Halliday (1978) also acknowledged his debt to Hjelmslev and Whorf. From Hjelmslev came the important 'realisational' view of language, the notion that elements at one level can be recoded or 'realised by' elements at a lower level. Whorf's notion of the 'cryptotype', the semantic patterns submerged below the surface of the grammar (quoted in Birch & O'Toole 1988:viii), and his conception of how grammar models reality, also influenced Halliday's systemic theory of language.

Halliday brought these various insights together to form a linguistic theory that eventually became known as 'systemic grammar'. The remainder of this section outlines some of the key concepts of Halliday's grammar on which the analyses of this study are based.

### 2.2.2 The goals of systemic grammar

The previous section has shown that Halliday's perspective is one which derives from the ethnographic-descriptive tradition in linguistics. As Halliday (1978:3) puts it, the main aim of systemic grammar is 'to interpret linguistic processes from the standpoint of the social order'.

From this standpoint, one of the goals of systemic grammar is the description of the functions of language: 'The structure of sentences and other units is explained by derivation from their functions ... Language is as it is because of the functions it has evolved to serve in people's lives' (Halliday 1978:4). Hence, the key questions asked are: What are the social functions of language? How does language fulfil those functions?

There are several levels at which this description must be made. Halliday's (1985a:xiii-xiv) starting point is that there are two general purposes which underlie all uses of language: the first one is to make sense of the environment, the ideational function, and the second one is to relate to and act on the others in it, the interpersonal function. In addition, there is a third

function, the textual function, which relates to the medium used for communicating, either written or spoken. Thus, one goal of systemic grammar is to capture the subtle relationships between the different functions of language, and the forms language takes to express those functions.

Another related goal of systemic grammar is the classification of both social meaning and linguistic forms, since, in order to understand linguistic structures in functional terms, 'we have to proceed from the outside inwards, interpreting language by reference to its place in the social processes' (Halliday 1978:4).

A third goal that is crucial to this study is one which Halliday (1985a:xv) expresses thus: 'The aim has been to construct a grammar for purposes of text analysis: one that would make it possible to say sensible and useful things about any text, spoken or written, in modern English'. What is meant by 'text', and the various kinds of 'sensible and useful things' Halliday and his followers have said about texts will be discussed in a later chapter. For the moment, it must be kept in mind that Halliday has always seen systemic grammar as text-oriented: the grammar is here to help both understanding and evaluation of a text (Halliday 1985a:xv).

This orientation towards the text is inscribed in the general, overarching goal of systemic grammar, which is to be a 'grammar of use'. Halliday (1985b:7) writes that 'the value of a theory lies in the use that can be made of it, and I have always considered a theory of language to be essentially consumer-oriented', and later tells P.J. Thibault in an interview (Thibault 1987:623): 'I've always been interested in applications of linguistics, and never seen any real gap between theory and practice, or theory and application'. Furthermore, 'the applications themselves are an important source of feedback: a theory is constantly re-examined in the light of ideas suggested in the course of its application' (Halliday, McIntosh & Strevens 1964:139). This close link between theory and practice, and the applications of systemic grammar, will be further explored in a later section of this chapter.



### 2.2.3 Important concepts in systemic grammar

A brief look at the history and goals of systemic grammar has been presented, and an introduction to the theory itself will now be given. This will not be a thorough linguistic treatment, but will attempt to provide some insight into the concepts from systemic grammar that play a significant role in the remainder of this study. Only a brief exposition of the key terms in the grammar will be given, as a more detailed explanation will be presented when each aspect is studied later on.

#### 2.2.3.1 Feature

One of the goals of systemic grammar is classification, and a feature can be defined as the name of a class. Some features of a clause (i.e. classes to which a clause may belong) are 'finite', 'declarative', 'negative', 'interrogative', etc. These features are not independent. If a clause has the feature 'declarative', then it cannot also have the feature 'interrogative'. Similarly, if a clause is 'negative', then it cannot also be 'positive'. Some features may combine with others as, for example, a clause may be both 'declarative' and 'negative'. Discussion of features leads us naturally on to the concept of 'system'.

#### 2.2.3.2 System

A system is a mutually exclusive set of classes (or features) and thus represents a choice or 'potential'. But a particular choice is not always applicable; for example, not all linguistic items can be 'declarative' or 'interrogative'. Thus, some sort of context must be introduced to determine when particular choices are relevant. For Firth, the context was a structural one - the relevant choices were directly dependent on the structure of the linguistic item. Halliday, however, defines the context in terms of other choices. For instance, the choice between 'declarative' and 'interrogative' is only appropriate if the clause is 'indicative' as opposed to 'imperative'. Often, a choice will depend on a combination of features instead of on just one. The features that must be present for a system to be appropriate are

called the 'entry conditions' of the system. The system and entry conditions relationships can be illustrated by drawing a 'system network'.

### 2.2.3.3 System network

System networks display graphically the relationship between features in the grammar. A T intersection (  $\perp$  ) indicates disjunctive choice (either...or) and braces ( { } ) indicates simultaneous choice (both...and). An example of a system network is provided in Figure 2.1.

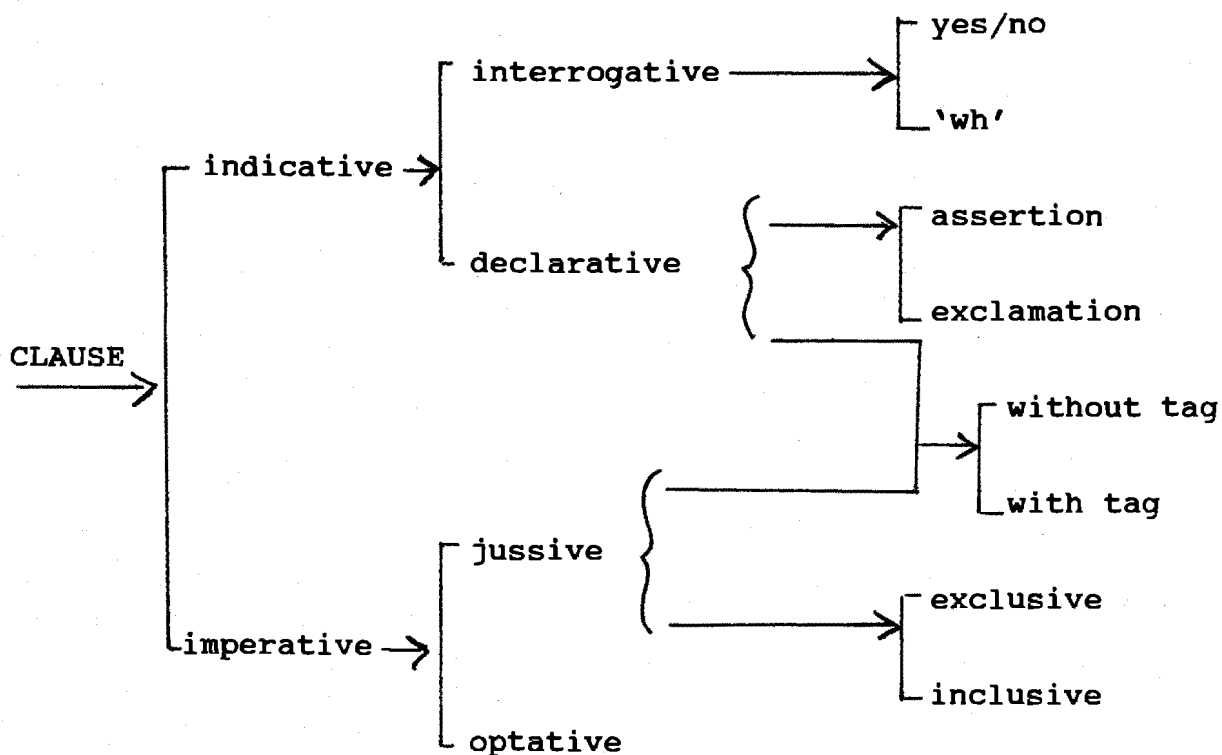


Figure 2.1: A network for mood (Butler 1985:44)

### 2.2.3.4 Delicacy

Delicacy refers to a scale of complexity of descriptions; it is a cline running from least delicate to most delicate. The more precise, or delicate, the classification, the more information is available about the object. Delicacy applies to features and systems, and is clearly illustrated in system networks which

increase in delicacy from left to right. Some of the delicacy relations in Figure 2.1 are: the feature 'yes/no' is more delicate than the feature 'interrogative'; the features 'yes/no' and 'wh' are of equal delicacy.

### 2.2.3.5 Functional analysis

A crucial concept in systemic linguistics is the idea of 'function'. Functional analysis in systemic grammar consists in more than just labelling linguistic items with terms like 'Subject' and 'Agent'. The theory provides for analysis of several functional dimensions simultaneously, and indeed a large part of the linguistic description consists of relating these analyses. The example which follows shows three functional analyses of the same clause, in terms of the various meanings of the clause: interpersonal (mood), ideational (transitivity), textual (theme).

	In this job Anne we 're working with silver			
Mood	vocative		subject	finite
Transitivity	locative		actor	process manner
Theme	Theme		Rheme	

Two functional analyses will now be presented briefly: the distinction between transitivity and ergativity in the ideational component, and Theme in the textual component, as these will constitute a very important part of the analyses performed later in Chapters 5 and 7. For reasons which will be explained later in Chapter 6, the mood system of the clause in the interpersonal component is not used in this study.

#### a) Transitivity and ergativity

Transitivity refers to a network of clause systems in the ideational component (see later in Chapter 5) which selects the type of 'process', 'participants' and 'circumstances'. The core analysis of transitivity is an analysis of 'process', or 'what is going on' in a clause. The first type of process is 'material'

(Halliday 1985a:102-6), a process of 'doing' or 'happening'. The primary functions are Actor and Goal.

	The lion	sprang
Transitivity	Actor	Process:material

	The lion	caught	the tourist
Transitivity	Actor	Process: material	Goal

The second type of process is 'mental' (Halliday 1985a:106-12), a process of 'sensing', which can be further subdivided into 'seeing', 'feeling' and 'thinking'. The primary functions are Senser and Phenomenon.

	I	believe	you
Transitivity	Senser	Process: Cognition	Phenomenon

	Can	you	feel	that throbbing
Transitivity		Senser	Process:perception	Phenomenon

	I	don't like	it
Transitivity	Senser	Process:affection	Phenomenon

There are two kinds of 'relational' processes (Halliday 1985a:112-128), processes of 'being', each with its own set of functions. There are 'attributive' processes which involve an Attribute and a Carrier.

	Sarah	is/seems	wise
Transitivity	Carrier	Process:relational attributive	Attribute

There are also 'identifying' processes which involve the functions Identifier and Identified.

	Tom	is/plays	the leader
Transitivity	Identified	Process:relational identifying	Identifier

In addition to these three principal types of process, Halliday (1985a:129-131) identifies three subsidiary types: behavioural processes (processes of 'behaving'), verbal processes (processes of 'saying') and existential processes (processes of 'existing').

	She	wept
Transitivity	Behaver	Process:behavioural

	I	'm always praising	you	to my friends
Transitivity	Sayer	Process:verbal	Target	Recipient

	There	's	a man	at the door
Transitivity		Process:existential	Existent	Circumstance

Halliday (1985a:144-157) has, however, argued that the majority of high-frequency verbs that can be either transitive or intransitive yield pairs such as *The tourist woke*

*The lion woke the tourist*

in which the relationship isn't really transitivity at all, but one which involves the question of whether the process was 'caused' or not - ergative or non-ergative processes respectively.

	The tourist	woke
Transitivity	Actor	Process
Ergativity	Medium	Process

	The lion	woke	the tourist
Transitivity	Actor	Process	Goal
Ergativity	Agent	Process	Medium

These examples show that in transitive terms, 'the tourist' is Actor in the one structure and Goal in the other; yet it is the

tourist who stopped sleeping, in both cases. In the ergative interpretation, 'the tourist' is Medium, in both cases. The functions used for the ergative analysis are thus reduced to three: the Process, the Agent, the Medium. In this type of grammatical interpretation of the clause, 'the Medium is the nodal participant throughout... the one that is critically involved, according to the particular nature of the process' (Halliday 1985a:147). Both types of analyses (transitivity and ergativity) are useful, and both will be used in Chapter 5.

b) Theme

Theme, which will be analysed in Chapter 7, is that element of structure which comes first in the clause. Semantically, it is what is being talked about, the point of departure of the clause in a message. The analysis of Theme (Halliday 1985a:38-67) involves several layers of functions: at the top are the functions Theme (what starts the clause) and Rheme (the rest of the clause). The Rheme is not expanded further, but the Theme is expanded into the Textual, the Interpersonal, the Topical. These are expanded further in Halliday (1985a) but the further subdivisions are not used in this study. An interesting feature of the analysis of Theme is that a Theme may be multifunctional, as is shown in the following example:

	In other words	to be honest	they	are bad
Theme	Textual	Interpersonal	Topical	
	Theme			Rheme

2.2.3.6 Rank

Although the emphasis in systemic grammar is primarily on the functional issues of language, it still must relate this function to structure. Systemic grammar identifies a small number of groupings called 'units', related to each other hierarchically through the scale of rank. These units are, from the largest to the smallest: the clause-complex, the clause, the group, the word, and the morpheme. Halliday (1985a:193) defines a sentence as a clause-complex, and does not see the term 'sentence' as a grammatical category: 'a sentence is a constituent of writing,

while a clause-complex is a constituent of grammar'. It must be noted that the bottom rank of 'morpheme' will not be used in this study.

It is important to distinguish between 'rank' and 'delicacy'. The feature 'nominal group' is not more delicate than the feature 'clause'; they are each the least delicate features at their respective ranks. As Figure 2.1 above shows, starting at the feature 'clause' and increasing in delicacy to 'indicative' to 'interrogative', the description is not moving towards smaller constituents, but to finer distinctions between classes of clauses.

#### 2.2.3.7 The metafunctions

There are three highly generalised metafunctions which are simultaneous, though functionally differentiated, perspectives on the linguistic system. Each of these will be discussed more fully in Chapters 5, 6 and 7.

The 'ideational' metafunction is concerned with ideation; it provides the speaker with the resources for interpreting and representing 'reality'. This metafunction is further divided into two sub-types: the 'experiential' and the 'logical'. The experiential function of language is to communicate ideas. In operating this function, the speaker refers to actions, states, events, people, objects, circumstances. The logical function relates the ideas to each other on an equal or subordinate basis. In Chapter 5, only the experiential function will be analysed.

The 'interpersonal' metafunction provides the speaker with the resources for expressing roles in the discourse. It, too, is subdivided into three sub-types: the 'social' function enables the speaker to establish and maintain social relations with the listener; the 'instrumental' function enables the speaker to influence people's behaviour; and the 'personal' function enables the speaker to express his feelings, attitudes and opinions.

The 'textual' metafunction enables the speaker to present ideational and interpersonal information as text in context. It is the function which gives coherence and cohesion to a text.

Each of the functions is distinct in its own right, but it must be emphasised that in most texts language performs more than one function simultaneously. Although the metafunctions can be correlated with the different functional analyses, they have their basis in the paradigmatic description. The relationship between function and metafunction can be explained thus: a functional analysis involves viewing the text as intertwined sets of syntactic functions such as Agent, Process, Goal, Theme, etc...; a metafunctional analysis involves an understanding of the functions these sets of syntactic functions serve in communication.

#### 2.2.4 The stratal organisation of systemic grammar

Halliday sees language as a tristratal system: semantics, grammar, phonology. It must be pointed out that 'grammar' here refers to lexicogrammar, i.e. it includes vocabulary. Also, 'phonology' should be expanded to 'phonology/orthography', to include writing as well as speaking.

The potential of language is a meaning potential. This meaning potential is the linguistic realization of the behavioural potential; 'can mean' is 'can do' when translated into language. The meaning potential is in turn realized in the language system as lexicogrammatical potential, which is what the speaker 'can say'. (Halliday 1973:51)

This quotation succinctly summarises Halliday's view of language as behaviour. As members of a particular culture, with a particular social structure, we have available to us a range of behavioural options (a 'behaviour potential') for use in certain types of social context. This is what we 'can do', linguistically and non-linguistically. Halliday is interested in what we can do with language, i.e. what we 'can mean', the range of 'meaning potential' available to us. This meaning potential is thus the linguistic realisation of part of the 'higher' behaviour potential. The meaning potential is in turn realised in the actual forms of language (lexical items and syntactic constructions) as what we 'can say'. Finally, the lexicogrammar itself is realised



as combinations of phonological/orthographic elements. This is represented schematically in Figure 2.2. ↓ is the sign conventionally used for the realisation process.

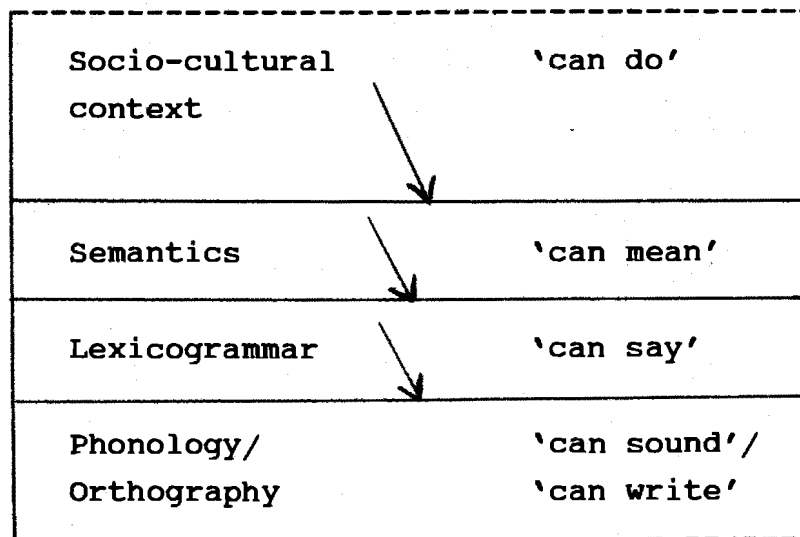


Figure 2.2 The tristratal organisation of systemic grammar

Each of the three strata will now be considered in turn, starting with the way in which the socio-cultural context feeds into the semantic stratum.

#### 2.2.4.1 The semantic stratum

The semantic stratum represents a resource for meaning. As Matthiessen & Bateman (1991:62-3) note, 'meaning is a functional/rhetorical/communicative notion rather than a formal/logico/philosophical one', and this is reflected in two ways that have already been discussed: the stratum is multifunctional and it is a semantics of text. Text, rather than words or sentences, is the unit of communication.

Figure 2.2 shows that the importance of the semantic stratum lies in its position in the overall representation of meaning: it acts as the interface between extra-linguistic context and lexicogrammatical features. Thus, in systemic grammar the context becomes the key to the semantics. As a result, the stratum above grammar is not treated as one semantic system, but as a repertoire of different semantic systems, adapted to different contexts of use, i.e. 'as a repertoire of socially specialized communicative

strategies' (Matthiessen & Bateman 1991:65). In contrast, lexicogrammar is treated as one highly generalized system, serving the range of different semantic systems in different contexts of use.

The input to the semantics, then, is a set of contexts and settings. The linguistic output is seen in terms of the functional component networks of transitivity, mood and Theme which constitute the lexicogrammar. Consequently, the extra-linguistic context needs defining, and this Halliday does with the concept of 'register'. Register will be discussed again fully in Chapter 3, as it is one of the concepts of systemic grammar which has been modified and is still under modification, particularly in its relationship with the concept of 'genre'. For the moment, the concept of register as originally devised by Halliday (1978; Halliday & Hasan 1985) may be outlined as follows:

The notion of register is at once very simple and very powerful. It refers to the fact that the language we speak or write varies according to the type of situation. This in itself is no more than stating the obvious. What the theory of register does is to attempt to uncover the general principles which govern this variation, so that we can begin to understand *what* situational factors determine *what* linguistic features. (Halliday 1978:31-2)

The three respects in which situations differ are termed field, 'what is happening'; tenor, 'who is taking part'; and mode, 'what part the language is playing'. Field, tenor and mode are useful conceptual groupings that play a similar role to that of the metafunctions at the lexicogrammatical stratum.

The field is the socially recognised physical setting in which the text occurs, including the activities in progress, and the topics referred to. The relation between the setting and the topic varies considerably from situation to situation. The physical setting in which a written text is produced and read, for instance, is usually not relevant to the field. But when a written text is used as part of an activity like teaching, then both the physical setting of the classroom and the subject matter of the text will be of relevance to the field.

The tenor is the characterisation of the relationship between speaker and listener or writer and reader. This includes their respective social positions, discourse roles, personal attitudes, and their explicit or implicit goals in interacting.

The mode is the role played by language itself in a given context of situation. Mode is a matter of the conditions of and for communication. It is situational in the sense that it exerts constraints as to how the resources of language may be deployed. Thus, the most important contrast in the study of mode is that between speech and writing; another aspect of mode includes the symbolic organisation of the text.

Field, tenor and mode define the register of a social context. The semantic stratum is represented as a system network that specifies the choices available in field, tenor and mode, i.e. it is a paradigmatic description of register.

As an illustration, Halliday (Halliday & Hasan 1985:13-14) describes the register of a radio talk by the Bishop of Woolwich as follows:

- Field: Maintenance of institutionalised system of beliefs; religion (Christianity), and the members' attitudes towards it; semi-technical
- Tenor: Authority (in both senses, i.e. person holding authority, and specialist) to the audience; audience unseen and unknown (like readership), but relationship institutionalised (pastor to flock)
- Mode: Written to be read aloud; public act (mass media:radio); monologue; text is whole of relevant activity; lecture; persuasive, with rational argument

#### 2.2.4.2 The grammatical stratum

The grammatical stratum is a resource for wording meanings, i.e. for expressing them by means of structures and lexical items. Lexicogrammar includes lexis (vocabulary) as well as syntax and morphology. The grammatical stratum has already been discussed in some detail in this chapter. It must be remembered that lexicogrammar is semantically natural and thus functionally

motivated; its categories are grammaticalisations of semantic categories.

Figure 2.2 above shows clearly the relationship between semantics and grammar: the two strata are related by realisation statements: semantics is 'realised by' lexicogrammar. This means that the realisations of semantic options can be distributed across different grammatical contexts (clause-complexes, clauses, groups, etc.), which gives rise to the phenomenon of 'grammatical metaphor' (Halliday 1985a:Ch.10). Certain selections at the semantic stratum can be realised either congruently (e.g. as a clause: *the Roman Empire fell*) or metaphorically (e.g. as a nominal group: *the fall of the Roman Empire*) at the grammatical stratum. Halliday's contribution to the field of metaphor studies has been to demonstrate that metaphors are not simply lexical, but that there is a strong grammatical element in rhetorical transference: meanings represented grammatically in one way are re-represented as if they were of another kind; processes are represented as if they were things, modalities as if they were thoughts, commands as if they were questions, etc. The analysis of grammatical metaphors will prove an important one in Chapters 5 and 7.

#### 2.2.4.3 The phonological/orthographic stratum

The phonological/orthographic stratum is a resource for 'sounding' or 'writing' meanings. Only phonology has been discussed by Halliday. The stratum includes intonational resources, which serve to realise grammatical choices directly, as well as resources of rhythm and of syllabic and phonemic articulation, which are not in a direct realisation relation to grammar. As far as written texts are concerned, typical choices at this stratum would be, for instance, what punctuation features to use.

Now that the key concepts of systemic grammar that will be used in this study have been briefly explained, it is necessary to consider why the grammar has been used so extensively in a variety of applications, and which features have been found most useful.

## 2.3 Applications of systemic grammar

In this section, the features that make systemic grammar eminently usable are listed, and the domains of application of the grammar are briefly reviewed.

### 2.3.1 The applicability of systemic grammar

It has already been pointed out (2.2.2 above) that the general goal of systemic grammar is to be a grammar of use, and that Halliday has always considered theory and practice, theory and applications, together.

What is perhaps a unifying factor among these [sic] who work with this framework is a strong sense of the social accountability of linguistics and linguists. Systemic theory is designed not so much to prove things as to do things .... Systemic theory is explicitly constructed both for thinking with and for acting with .... It is a way of thinking about language and of working on language. (Halliday 1985b:11)

Systemic grammar, then, is seen as centrally geared to application. Butler (1985:228-30) has argued that there seem to be four fundamental aspects of systemic grammar which contribute to its applicability:

i) *The emphasis on text and its relationship with context.*

This is the Malinowskian concept of language as a mode of action. The text is regarded as a construct which is negotiated between the language producer and his interlocutors and audience, within a specific situational and cultural context. The different kinds of situations that collectively constitute a culture engender different kinds of texts. Halliday's original concept of register, incorporating the notions of field, tenor and mode, provided an initial conceptual framework for characterising the situation and moving from the situation to the text. Subsequent developments of this framework will be considered fully in the next chapter, as much current work in systemic grammar is directed toward the construction of an adequate model of register and genre, taking into account the context of situation, the rhetorical structure of the text, and the higher-level semiotics that make up the context of culture.

ii) *The emphasis on the meaning relations which underlie linguistic form.*

A language is a semiotic system; not in the sense of a system of signs, but a systematic resource for meaning, what Halliday has often called a 'meaning potential'.

iii) *The explicit statement of paradigmatic relations.*

What distinguishes systemic theory is that its basic form of synoptic representation is not syntagmatic but paradigmatic; the organising concept is not structure, but system. Since language is a semiotic potential, the description of a language is a description of 'meaningful choice'.

iv) *The functional orientation of the theory.*

Halliday's theory is functional in three related senses. First, it reflects the extralinguistic functions which language is called upon to serve: the expression of 'ideas' or 'content', the taking up of communicative roles and expression of attitudes, and the organisation of linguistic messages into coherent texts. Secondly, these functions are built into the grammar itself, in terms of organisation through three functional components: 'function' is not seen as something imposed from outside - it is a fundamental factor in the design of the linguistic core. Thirdly, each component specifies an array of functional roles constituting a layer which is mapped onto the layers contributed by the other components, to form a final integrated surface structure.

Three major areas of applications of systemic linguistics have been in evidence since the early 1970s: stylistics, educational linguistics, and the computerised understanding and generation of discourse, known as Artificial Intelligence (AI). Only a very brief survey of these applications will be presented here: educational linguistics and AI work are not the concern of this study, and applications and developments in the field of stylistics will be dealt with in detail in the next chapter.

### 2.3.2 Artificial Intelligence

Butler (1985:206-12) has reviewed some of the most successful programmes for the simulation, by computer, of human linguistic processes, based on systemic theories (see also Mann & Thompson 1986,1988; Patten 1988). The overall aim is to get the computer to function as a writer for some fairly restricted task: given a need for text, the computer will produce text automatically in response to this need. An example of such text generation is given by Matthiessen & Bateman (1991:2): one might want to build a text generator to automate the production of weather forecasts. The generation process would involve finding the relevant information about yesterday's, today's and tomorrow's weather, organising this information according to the format of weather forecasts, and then wording this information by means of grammatical structures and lexical items.

An interesting offshoot of the interaction between systemic linguistics and AI is the two-way process of influence and use. It was mentioned earlier that applications of systemic theory feed back to the theory and help develop it further. Matthiessen & Bateman (1991:47) have recently identified one area of systemic theory that is in need of further development when they argue that there are few process accounts in systemic linguistics, and see 'a clear need to explore dynamic models'.

### 2.3.3 Educational linguistics

While recognising that the division is somewhat artificial, Butler (1985:201-206) nevertheless identifies three strands in the contribution made by systemic linguists to educational linguistics. One is concerned with the teaching of language (L1 and L2), a second involves the place of language in the socialisation and education of the child, and a third is concerned more specifically with the way in which children learn their native language.

Since Butler wrote his review of the applications of systemic linguistics, there has been a considerable output of publications

by British and Australian linguists concerned with the applications of the theory to the field of language teaching and language development. They have argued that systemic linguistics provides a basis for planning a programme for language development that takes account of how language is used for different purposes in different contexts of situation, and thus offers a model for a programme that aims to develop learners' abilities to use language in a wide range of situational contexts. The suggestions for language teaching programmes made by Christie (1983,1985,1987, 1991), Drury (1991), Drury and Gollin (1986), Lemke (1985,1987, 1990), Martin (1989,1990,1991), Martin et al (1985), Melrose (1991), Rothery (1989) are all based on the key concepts of language as a resource for meaning, and the importance of context, that have been discussed earlier. A recent collection of essays edited by Halliday, Gibbons & Nicholas (1990) entitled Learning, Keeping and Using Language, provides fresh evidence of the constant interaction between theoretical development and educational applications in the field of systemic linguistics.

In addition, there is a body of publications which focus on the place of genre in learning and language learning (Hammond 1987; Painter & Martin 1986; Reid 1988; Kress 1982,1985c,1986; Hasan & Martin 1989), thus paralleling the ongoing theoretical developments which attempt to integrate the concepts of genre and ideology with Halliday's original notion of register (see Chapter 3).

#### 2.3.4 Stylistics

Throughout the 1970s, the use of linguistic concepts to analyse literary works was still based largely on transformational grammar, as is evidenced in, among others, the collections of essays edited by Ching et al (1980) and Freeman (1970,1981). In the 1980s, however, systemic grammar started influencing stylistics, a logical development when one considers the extent to which Halliday has always insisted on the importance of text analysis in the theory (see 2.2.2 above).



The seminal work in this area is undoubtedly Halliday's (1971) analysis of the style of William Golding's novel The Inheritors. Halliday (1971:339) makes it clear that he regards function as being the key concept in linguistic stylistics:

...a feature that is brought into prominence will be 'foregrounded' only if it relates to the meaning of the text as a whole. This relationship is a functional one; if a particular feature of the language contributes, by its prominence, to the total meaning of the work it does so by virtue of and through the medium of its own value in the language - through the linguistic function from which its meaning is derived. Where that function is relevant to our interpretation of the work, the prominence will appear as motivated.

In his analysis of The Inheritors, Halliday focuses on the ideational network of transitivity options, and demonstrates that the shifts in viewpoint in the novel are achieved mainly through changes in the transitivity patterns of clauses which relate in a crucial way to the overall meaning of the novel.

Another early stylistic analysis of Halliday's focused on 'the de-automatization of grammar' in Priestley's play An Inspector Calls. In this analysis, Halliday (1982:135) reiterates his belief that 'the patterning of words and structures enables them to make their own distinct contribution to the meaning' and shows how the two themes of time and social obligation are grammatically realised through patterns of tense, modality and modulation. His concluding paragraph announces much of what was to become 'critical linguistics' in the late 1980s and the early 1990s:

It is the de-automatization of the words and the grammatical structures that projects such ideological constructs [the two themes previously mentioned] into the microsemiotic encounters of the protagonists on the stage. In the present instance, this is achieved through the foregrounding of those elements of the linguistic system in which the complex interrelationships of obligation, personality and time are built in to the everyday give-and-take of dialogue, and so become part of what Berger and Luckmann refer to as the "ordinary, taken-for-granted world" (Halliday 1982:158).

Kennedy (1982) prefaces his analysis of two short passages from Conrad's The Secret Agent and Joyce's Dubliners by stating that he wishes to show 'that Halliday's system can be used for analysis of a much broader range of texts to bring out the significance of passages and the author's intention by revealing a semantically

motivated pattern of language functions' (Kennedy 1982:86). This article was one of the first in a long series of similar analyses, as the principles articulated in Halliday's papers were taken up in later work by other systemicists, as is evidenced in the collections of essays edited by Aers, Hodge & Kress (1981), Carter (1982a), D'Haen (1986), Birch & O'Toole (1988), and, more recently, Toolan (1992), as well as in many journal articles throughout the 1980s. Critics have followed Halliday's lead and concentrated largely on transitivity relations, deixis and modality, in their analyses of Donne, Shakespeare, Milton, Dickens, George Eliot, Orwell, to name but a few. The achievements and weaknesses of these analyses will be discussed in Chapter 3, in the review of what has come to be called 'critical linguistics'.

Critical linguistics is indeed foreshadowed in Kennedy's comment quoted above that 'Halliday's system can be used for analysis of a much broader range of texts', as principles of systemic grammar have also been used to discuss non-literary texts such as newspaper reports or service encounters. Such work is at the root of the present study, and will be discussed in detail in the following chapter.

#### 2.4 Conclusion

This chapter has introduced a number of key concepts of systemic grammar that will be used in this study. The origin of many of these concepts can be traced back through Halliday, Firth and Hjelmslev to Malinowski. Description of the functions and metafunctions of language, first observed by Malinowski, is facilitated by the paradigmatic and realisational descriptions of Firth and Hjelmslev. Malinowski's emphasis on the social and cultural environment of language led to Firth's notion of "multiplicity of languages" within a language, and to Halliday's work on register and the semantic stratum of systemic grammar.

The primary goal of systemic grammar was then identified as the goal of constructing a grammar of use, supported by the goals of functional description and classification, and the paramount

importance in the theory of text analysis. Important concepts in systemic grammar which will be used in later chapters were then briefly outlined, and the three strata of systemic grammar, i.e. semantics, lexicogrammar and phonology/orthography were presented.

The main applications of systemic linguistics were then briefly reviewed in the domain of Artificial Intelligence, educational linguistics and stylistics. Developments in the field of stylistics and critical linguistics will be reviewed in the next chapter, as these constitute the starting point of the present study.

## CHAPTER 3

## FUNCTIONAL STYLISTICS:

## THE APPLICATIONS OF SYSTEMIC THEORY TO TEXT ANALYSIS

## 3.1 Introduction

The previous chapter showed Halliday's view of systemic theory as centrally geared to application, and that one of the main areas of application of systemic theory has been stylistics. Stylistics has traditionally been defined as the linguistic analysis of literary texts:

By 'stylistics' I mean the study of literary discourse from a linguistics orientation and I shall take the view that what distinguishes stylistics from literary criticism on the one hand and linguistics on the other is that it is a means of linking the two. (Widdowson 1975:3)

Developments in both systemic theory and discourse analysis, however, have helped change this definition, so that nowadays stylistics is understood as the linguistic analysis of literary and non-literary texts. The aims of this study are to analyse two texts of literary criticism in order to identify those features of the texts which help characterise the genre to which they belong, and those features which mark the process of socio-semantic change from one literary critical register to another. This chapter will review those stylistic applications of systemic theory which bear on these aims.

Two features of applications of systemic theory to stylistics must be borne in mind. First, the field itself (i.e. 'systemic theory and its applications') is not homogeneous. Largely as a result of the varied concerns of its participants in such areas as Artificial Intelligence, education and stylistics, systemicists have developed the theory in many different ways, from Fawcett's 'cognitive-functional grammar' (Fawcett 1980) to Gregory's 'communication linguistics' (Gregory 1985,1988). Such variations in theory are necessarily reflected in the applications of theory. As far as the applications to stylistics are concerned, in the field of what has been called 'functional stylistics', there are, again, different approaches to the study of text, based on

different models of systemic grammar. What these different approaches do have in common, though, is the basic framework of systemic grammar as outlined in Chapter 2.

Secondly, a striking feature of most work done within the general framework of systemic theory from the mid-1980's onward is the constant 'mix' of theory building/extending and text analysis. Theory illuminates an understanding of text and at the same time the theory is being refined by being tested against text. This is the 'theory-description-use-theory cycle' mentioned by Fawcett (Halliday & Fawcett 1987:ix), reinforced by the frequent simultaneity of the two processes in the same text: a conference paper or journal article proposes a new development to a feature of the theory while using this revised framework to analyse a text, and often modifies the analytical method as well, in order to match the revised theoretical framework. A good example of this process can be seen in Martin's (1986) seminal paper on "Grammaticalising ecology" which will be examined in detail in this chapter. Consequently, it is not easy to mark clear dividing lines between 'theory/developments of theory' and 'applications/developments of applications to stylistics', as the two are so closely interwoven.

For reviewing purposes, however, a division will be made in this chapter: section 3.2 will consider specific emphases in text analysis, and evaluate them, while section 3.3 will review those developments of key terms in the theory which impact on text analysis and are important in this study.

## 3.2 Applications of systemic grammar to text analysis

### 3.2.1 Review of developments in stylistics

Chapter 2 has shown that the systemic functional grammar developed by Halliday takes as its base the functionally organised networks of meaningful choice available to a writer/speaker, and that Halliday's analysis of Golding's The Inheritors showed persuasively that an examination of various areas of systemic

choice in a literary text could prove fruitful in the field of stylistics.

What Widdowson's words (quoted in 3.1) reflect is the fact that the early applications of linguistics to the study of literary texts did not challenge in any way the traditional assumptions and goals of literary criticism. In other words, systemic insights were used, as Transformational Generative grammar concepts were, in order to interpret, evaluate, or advance the readers' appreciation or understanding of the meaning of a literary text. These goals are explicitly stated by Halliday himself, in his Foreword to Cummings & Simmons's (1983) introductory textbook, The Language of Literature. A Stylistic Introduction to the Study of Literature. Halliday (1983:x) writes that the goals of stylistic inquiry are 'to show why and how a text means what it does, ... why the text is valued as it is' and he concludes that 'because a work of literature is largely constitutive of its own environment, the text itself must occupy the central place in our attention... in the analysis of a literary work we can get straight down to business, confident that the meaning is there in front of us in the text' (Halliday 1983:xiv).

Consequently, the first applications of systemic theory to literary text analysis seem to be based on this somewhat oversimplified view of literary meaning; they all follow the same pattern of demonstrating the linguistic process of interpretation, i.e. examining the conditions of meaning under which interpretations of meaning are made. This is what Halliday does in his analysis of The Inheritors and An Inspector Calls, and Kennedy does the same when he analyses clause types and constituents of transitivity relations in passages from The Secret Agent and Dubliners (see 2.2.4). Kennedy (1982:96) ends his analysis with the comment that 'by using certain elements of systemic grammar, patterns can be isolated from a text which will provide an objective linguistic basis for interpreting a work'. Burton (1982) follows the same analytical method in her study of an extract from Sylvia Plath's The Bell Jar in which a woman recounts her first experience of receiving electric shock treatment for depression. Using transitivity networks, once more, Burton classifies the

processes in the extract, and examines the identities of the actors and the participants affected by the actions. Her process study shows that the majority of actions are performed by the nurse and the doctor, who are in control, and that the patient is, consequently, helpless. The participant study shows that the nurse and the doctor affect the patient, either directly or indirectly through the use of equipment, but the patient herself affects nothing. Burton's conclusion, then, is that the linguistic processes of the text encode the power relationships between medical staff and patient, and between male and female participants.

If Burton's analytical method is the same as Halliday's and Kennedy's, her goals, however, are markedly different. She explicitly rejects the assumption that stylistic analysis is neutral, objective, and an end in itself. Instead, she argues that analysts should take an explicit active, political standpoint with regard to the texts they discuss, the functions of the analytical activities they engage in and their role as teachers. Her opening paragraph is worth quoting in full, since the sentiments expressed in it will be echoed and re-echoed in many different ways throughout this chapter and the study as a whole:

And where do you go from here? You've taken some poem or convenient sized piece of prose. You've spent time and effort mastering a sensible descriptive grammar of English. You've meshed understanding and knowledge of both to produce a rigorous analysis of the language used to construct your text, together with a "relevant" sensitive interpretation. You have talked about "effects", "foregrounded features", "overall impressions", and so on. Very nice. Very satisfying. But what are you going to do with it? What now? (Burton 1982:195)

Burton's call for a more socially and politically aware stylistics was answered throughout the 1980s, largely under the influence of a University of East Anglia team of linguists who published in 1979 two seminal volumes: Language as Ideology (Kress & Hodge 1979) and Language and Control (Fowler et al 1979). The last chapter of Language and Control is entitled 'Critical Linguistics', and the term has been used to describe the goals and methodology in both volumes (see Simpson 1993:2-7). In both volumes, the debt to Halliday's systemic-functional model lies in

the general orientation towards language, rather than in a specific analytical method. The writers start from the premise that 'the grammar of a language is its theory of reality' (Kress & Hodge 1979:7), and argue that linguistic structures are neither neutral nor arbitrary: they are selected according to the communicative purposes that they serve. Language is seen as a reality-creating social practice: language forms determine, rather than simply reflect, reality for members of a community. Hence, the aim of text analysis is to see through the language to the positions and intentions which determine linguistic form, while at the same time understanding how the linguistic forms themselves shape our perceptions.

What makes the linguistic analysis 'critical' is that its explicit aim is to explore 'ideology' in language, defined as 'a system of concepts and images which are a way of seeing and grasping things, and of interpreting what is seen or heard or read' (Fowler et al 1979:95). In other words, the argument is that syntactic and lexical choices throw a certain slant upon the presentation of 'reality', and hence are indicative of ideology. As a consequence of this 'critical' orientation, the UEA linguists extend the domain of stylistic analysis to include non-literary as well as literary texts, and offer critical readings of texts as diverse as newspaper reports, political propaganda, swimming-pool regulations, university guidelines on student enrolment, and an extract from Chomsky's Syntactic Structures.

Another important feature of 'critical' linguistics is one which is not apparent from the neutral definition of ideology quoted above, but one which can be construed when examining the terms the linguists use to describe the process of text analysis, and the analyses themselves. In just over half a page in Language and Control (Fowler et al 1979:196), the process of critical linguistics is described thus [underlining added]:

Interpretation is the process of recovering the social meanings expressed in discourse [...]  
 An activity of unveiling is necessary in this interpretation, or, [...] an activity of demythification [...]  
 So the resistance which critical linguistics offers to mystificatory tendencies in language [...]  
 It is a critique of the structures and goals of a society which has impregnated its language with social meanings many



of which we regard as negative, dehumanizing and restrictive in their effects.

In other words, the theory of critical linguistics is not as 'value-free' as Fowler (1987 : 483) maintains a few years later when he asserts that 'although the theory of critical linguistics is a value-free theory of representation, of "language as social semiotic", in practice the instrumentality of the model is reformative'. There is, in fact, a clear socio-political slant in the critical linguistics enterprise, apparent in the extension to the theory of language proposed by Halliday (i.e. the link of language to ideology), in the choice of texts for analysis, in the goals of the linguistic analysis ('to expose misrepresentation and discrimination' (Fowler 1987:483)), and in the analyses themselves.

The texts used to expose the 'mystificatory tendencies' in language are all short texts, often extracts, and the tools for analysis are an eclectic selection from a variety of sources. Burton's 'What now?' is answered in the explicit educational aim of critical linguistics, which is 'to equip readers for demystificatory readings of ideology-laden texts' (Fowler 1987:485). To this effect, the linguists provide checklists of categories of structures that seem to figure prominently in the linguistic practice of mystification (Fowler et al 1979:198-213; Fowler 1980:21-26, 1981:40-44, 1985:68-74; Kress 1990:90-92). Those checklists show that from Halliday's model, the UEA linguists use the grammar of transitivity, to which they add a transactive/non-transactive model, the concepts of relexicalisation and overlexicalisation (from Halliday 1978:164-182), and those of modality and cohesion. From other linguistic models they use speech-act theory, and transformations such as nominalization and passivization (from Chomsky's early transformational model of Syntactic Structures (1957) and Aspects of the Theory of Syntax (1965)).

Two brief examples of the kind of analysis performed in critical linguistics will help to illustrate both the aims and the techniques used. Firstly, in Language as Ideology (Kress & Hodge 1979:17-23) the linguists analyse the sentence

*Picketing curtailed coal deliveries*

from an editorial in The Guardian, the place in a newspaper where the paper's ideology is clarified and re-established, and where 'the paper speaks most directly to its readership'. The sentence, they assert, results from two consecutive nominalizations:

*Strikers picket a factory ==> picketing*

*someone [rail drivers] delivers coal ==> coal deliveries.*

They argue that the transformation has obliterated the identities of the actors in the process (strikers and rail drivers) and that because 'the focus of the expression has been altered by the speaker, our vision has been channelled and narrowed'. In addition, they discuss the connotations of *curtail*: the verb is a comparative, meaning roughly *provide not as much X as before*. They then argue that the sentence *Picketing curtailed coal deliveries* corresponds to the deep structure

[Miners] picket [mines and coal depots so that rail drivers do not] deliver as much coal as before [the start of the dispute to power stations] (where brackets indicate what has been deleted and italics indicate things present in the surface) (Kress & Hodge 1979:22)

Their conclusion is that the 'commuters on the 8.05 from Brighton' would not have the energy to perform the mental gymnastics required to recover all the entities which have conveniently disappeared from the surface structure, and therefore would 'see' the miners' strike and its consequences through distorting lenses:

Reducing the complexity of an argument and limiting the terms which it can contain is a drastic intervention. Showing less means someone else seeing less. And seeing less means thinking less. (Kress & Hodge 1979:22)

The second example, which has been widely referenced, is Trew's (1979:94-116) analysis of the coverage of an event of civil disorder in pre-independence Zimbabwe. Trew examines the headlines and opening sentences of two British newspapers, The Guardian and The Times, reporting the events over a period of several days. In particular, he focuses on the transitivity model of material process clauses, in which the functions are Actor-Process-Goal-Circumstance. A clause like *Police shoot 11 dead in Salisbury riot*, the Guardian's first headline, is composed of

a Process (action or event): *shoot dead*

an Actor (or Agent: someone or something who performs the action): *police*

a Goal (or Affected: someone or something on whom the action is performed): 11

a Circumstance (details of the manner, time or location of the action): *in Salisbury riots.*

Trew demonstrates how, over successive reports in The Times, the presentation of the events shifts through different formulations involving passivization and agent deletion:

ACTIVE:	<i>Police shoot 11 dead in Salisbury riot</i>
PASSIVE:==>	<i>Rioting blacks shot dead by police</i>
AGENT DELETION:==>	<i>13 Africans were killed in Sunday's riots</i>
and finally:	<i>The rioting and sad loss of life in Salisbury are warning that...</i>

Trew argues that the rhetorical effects of these shifts is to displace agency away from the police, and that, in the end, it looks as though the riots themselves are the cause of death. Trew then concludes that these reformulations give evidence of the newspaper's right-wing ideology, since 'The picture which The Times presents in the end is right in line with the view which has been used to justify white rule in Africa' (Trew 1979:105).

This review of subsequent developments in text analyses which use Halliday's theory, partly or wholly, comes up against a problem of terminology, which itself reflects the increasingly widening range of stylistics in the 1980s and early 1990s. Fowler introduces the term 'linguistic criticism' (1986 and elsewhere) alongside 'critical linguistics', and appears to use the former more often when discussing literary texts, although his goals do not seem to differ significantly, whether he is analysing poetry or newspaper reports. The term 'critical linguistics' seems to be used almost solely to refer to the analyses offered in Kress & Hodge (1979), Fowler et al (1979) and the volume of essays on Nukespeak edited by Chilton (1985). Kress (1990:88) refers to critical linguistics as one major component of 'critical discourse analysis', which appears to be a very broad classification of a variety of approaches which share an 'openly political and therefore potentially contentious' goal, and which do not always relate to systemic grammar. Fairclough's (1989) Language and Power, Fowler's (1990) Language in the News: Discourse and Ideology in the Press,

Lee's (1992) Competing Discourses and Simpson's (1993) Language, Ideology and Point of View, which share the goal of revealing the workings of power and ideology in texts through a variety of linguistic theories, would fit into this category. Finally, the term 'social semiotics', another component of critical discourse analysis, is used for analyses of a wide range of communications phenomena which include film, TV news reports, photographs, cartoons, etc. and whose link with systemic grammar is very tenuous (Hodge & Kress 1988).

Consequently, the following review will mention only those critical works which offer close linguistic descriptions of texts, based explicitly on the framework of systemic grammar as outlined in Chapter 2. A satisfying umbrella term for such works, whether openly politically engaged or not, seems to be 'functional stylistics': the linguistic analysis of literary and non-literary texts which uses Halliday's systemic-functional grammar as basic framework. Perhaps the salient difference between critical linguistics and functional stylistics is that the latter's aim is 'to interpret linguistic processes from the standpoint of the social order' (Halliday 1978:3), whereas the former interprets social processes from the standpoint of linguistics.

The variety of approaches to be found in functional stylistics testifies to the dynamism of the model, and the critics' concern with theoretical issues, while they are describing a particular textual phenomenon and furthering stylistic concerns. Few critics have continued studying only one functional component in texts, as Halliday, Kennedy and Burton had done in their early analyses which focused on the transitivity system. Only a few linguists keep to this strategy, evidenced in Weber's (1984,1989) analyses of modality in two full length novels: Graham Greene's The Honorary Consul and Dickens's Hard Times. In the latter study, Weber demonstrates that a particular type of modality is foregrounded in the speech of each of the major characters in the novel. Basic opposition in Hard Times, he contends, is a distinction between the narrative worlds of Stephen, Rachael and Sissy, which incorporate a moral or axiological dimension expressed through high-value modalities, and narrative worlds

lacking in such a dimension: Gradgrind's deontic world of 'constriction', expressed through high-value modulations, and Bounderby's alethic world of 'turbulence', expressed through low-value modalities.

Functions of Style (1988), the collection of essays edited by Birch & O'Toole, marks a turning point in functional stylistics. With the exception of Durey who looks at George Eliot's Middlemarch, the critics choose a variety of short texts for their analyses: poems, extracts from newspaper reports and the 'agony aunt' column, from Darwin's The Origin of Species, from an advertisement, a Mills and Boon romance, a play by Harold Pinter, a chapter from Halliday's Language as Social Semiotic, a short story. Each of the essays presents a detailed linguistic description of the text(s) chosen, looking at a variety of features from all three metafunctions, in order to establish a metafunctional profile of the text(s), rather than isolating particular realisations of one individual metafunction.

In addition, the majority of essays explore the notion of intertextuality, in answer to Halliday's question 'Is there a wider context, a further level of the social semiotic, in which this passage has to be interpreted?' (1988a:40). Thus, the analysis of single texts is abandoned, and connections of 'ways of meaning' are established across a variety of different texts. Hence, for example, Threadgold (1988b) looks at the differences and generic relations amongst three 'stories of race and gender': the sources used by Thomas Keneally (1978) for the novel The Chant of Jimmy Blacksmith, an account of racism in the newspaper reports of gruesome murders, and these reports themselves. Similarly, Halliday explores aspects of the discourse of science through the contrast between the central passage in Tennyson's 'In Memoriam', in which the lexicogrammar constructs 'a semiotic universe at the intersection of science and poetry' (1988b:44), and an extract from Darwin's The Origin of Species. Kress (1988a), concerned with the social motivations of text, considers the role of the institution of medicine in the creation and perception of two texts which articulate the discourse of medicine in very different ways: an advertisement for a drug, aimed at the medical

practitioners' market, and an extract from a doctor-nurse Mills & Boon romance.

Central to all the contributions in Functions of Style is the goal of showing the power and versatility of the systemic model when applied to the stylistic analysis of texts. However, functional stylistics has remained a fairly marginal endeavour, which does not seem to extend much beyond a small circle of Australian and British systemicists. For example, in the recent Language, Text and Context collection of essays edited by Toolan (1992), only one contribution, by Francis & Kramer-Dahl, falls within this category. In order to account for this lack of interest in functional stylistics, one should therefore turn to the criticisms which have been levelled at critical linguistics and the applications of systemic theory to text analysis.

### 3.2.2 Evaluations of stylistics

The two volumes Language and Control and Language as Ideology have attracted numerous reviews. Most reviewers have applauded the books as 'exciting' and 'stimulating', and have welcomed the endeavour to show how linguistic structures can direct emphasis toward or away from aspects of the events being described, in accord with the writers' ideology (see for example Durkin 1983). Many criticisms, however, have also been levelled at critical linguistics. To the extent that critical linguistics has influenced many subsequent endeavours in the field, including the present study, it is essential to consider those criticisms in detail.

First, the reviewers have criticised the linguists' method of analysis and objected to the use of 'dissociated fragments' (Sharrock & Anderson 1981), and the eclectic, sketchy, loose collection of analytic tools (Durkin 1983), used in a narrow fashion. The argument is that the selection of short fragments of texts, looked at from one angle only (e.g. transitivity), while perhaps necessary for the authors' purposes, produces unbalanced and narrow interpretations. For example, while Kress & Hodge provide the full editorial concerning the 1973 coal miners' strike

and the British government's subsequent decision to impose a three-day working week for industry, only a few fragments of the text, such as *Picketing curtailed coal deliveries*, are held up for interpretive analysis, yet these form the basis of their judgement concerning the newspaper's ideology. This might explain the related criticism made by Grimshaw (1981a,1981b) and Murray (1981) who both argue that critical linguistics presents far-fetched interpretations, in which imagination plays a large part, despite the linguistic apparatus being deployed.

The bulk of the objections to critical linguistics, however, has centered on the linguistic determinism evident in the interpretations of linguistic structures. The linguists themselves have repeatedly affirmed that 'there is no predictable one-to-one association between any one linguistic form and any specific social meaning' (Fowler et al 1979:198) and that 'significance (ideology) cannot simply be read off the linguistic forms that description has identified in the text, because the same form (nominalization, for example) has different significances in different contexts' (Fowler 1987:488). However, many of the interpretations offered in both volumes do seem to make rigid correlations between forms and functions.

This is evidenced most clearly in the writers' treatment of the processes of nominalization and passivization, which involve the deletion of agents. Invariably, such processes are viewed as strategies for masking the perpetrators of some unpleasant activity, as can be seen in the examples (*Picketing curtailed coal deliveries* and *13 Africans were killed in Sunday's riots*) mentioned earlier (3.2.1): the conclusion always reached is that suppression of agency implies concealment of some unpalatable fact. Kress and Hodge do indicate this clearly, when they assert that 'The typical function of transformations is distortion and mystification, through the characteristic disjunction between surface form and implicit meaning' (1979:35). But, as Simpson (1993:114) argues, 'not all agentless passives are deployed so nefariously and so insidiously', and Kies (1985) has demonstrated that passivizations and nominalizations may perform a variety of functions in texts, such as cohesion and thematization. Lee (1989)

makes the same point when he shows that one important function of the agentless passive is to focus on the process: in this light, the non-specification of the agent is a consequence rather than the motivating factor behind the choice of the passive form. In other words, a key criticism of critical linguistics is that the model oversimplifies the nature of the factors determining textual structure, and linguistic processes are functionally more heterogeneous than the model claims.

This oversimplification of the link between form and function can be ascribed partly to the sketchiness of the linguistic procedures which are followed, and the lack of an integrated model of language use to underpin the stylistic analyses. Eclecticism might provide varied angles from which to consider the processes of meaning making, but the price to be paid is the superficial bittiness apparent in many of the critical linguistics analyses. If one considers the examples of nominalization and passivization just mentioned, one can see clearly the dangers of mixing approaches, or rather, mixing theories of language. The transformation approach, taken from Chomsky's pre-1970 TG grammar, is based on the premise that there exists a 'deep structure', to which various transformations are appended, in order to produce a 'surface structure'. The (crude) implication of this process is that the surface structure does not show what the 'base' form was, nor the transformations, i.e. the surface structure 'conceals' or 'hides' the 'real' form of the sentence contained in the deep structure. From this standpoint, then, it is easy to treat linguistic structures as 'hiding' or 'concealing' some 'real' meaning which the critical analyst, by working backwards as it were (i.e. revealing the transformations) will 'uncover'; images of concealment and revelation abound in the arguments offered in critical linguistics, and can be observed in the extract from Language and Control in 3.2.1. In contrast, Halliday's systemic grammar considers such phenomena as grammatical metaphors (see 2.1.4.2), i.e. the realisation of a semantic option across different ranks (see 2.1.3.6). This implies that, for example, a passive clause is not seen as a derivation from an underlying form of transcription of the real, but as an alternative text, constructed according to different, but neither more nor less



'true' or 'real' protocols of validity. When the theory of transformations is linked to functional concepts, and linguistic categories are seen as being inherently ideological (see Frow 1984), the resulting text analyses can be naively deterministic.

In addition to the linguistic methods employed, lack of adequate contextualization is also responsible for the linguistic determinism evident in the analyses. Pateman (1981:25) concludes his review of Language and Control and Language as Ideology by saying 'Where they [the writers] fail is, essentially, in not having an adequate theory of the relationship between texts and contexts'. As this will be the subject of the next section, only those elements of 'context' relevant to the criticisms levelled at critical linguistics will be briefly mentioned now. Three issues have been raised: the context within which the text being examined was produced, the analysts' own assumptions, knowledge, political bias, and the interpretations of lay readers.

Although the UEA linguists do acknowledge that meaning is context dependent, their critics have argued that they have relied too much on syntactic arguments alone (Thompson 1984), and have failed to provide a relevant 'contextualization of [...] text within appropriate cultural frameworks' (Richardson 1987:151). Conventions of journalistic reporting and editorial writing (i.e. registerial and generic frames) are, for example, never mentioned when examining the various newspaper items, and only very sketchy explanations of the background to the 1973 miners' strike and the Guardian editorial are given. Similarly, the few analyses of literary texts (an extract from the 'Rime of the Ancient Mariner' and Donne's 'A Nocturnall upon St Lucie's Day') are made purely in terms of syntactic structures. For instance, intra- and intertextual relations of Coleridge's text, such as the place of the extract in the ballad as a whole, and the use of the ballad form, are never made. Fowler (1987:488-89) has acknowledged this lack of adequate contextualization, and suggests that linguists should 'link with history': 'I think it is about time we stopped saying "lack of space prevents a full account..." What are needed are, exactly, full descriptions of context and its implications for beliefs and relationships'.

Related to the question of the description of context and the interpretation of linguistic forms is the position of the analyst himself. Critical linguistics aims to make present-but-concealed meanings visible through analysis of linguistic forms, and plays down 'any idea of analysis as constitutive of ideological meaning' (Richardson 1987:148). In other words, the analysts' own political bias and ideological motivations are not sufficiently acknowledged, neither to explain the choice of texts to be analysed, nor to inform the methods used and the conclusions reached. No theory of language, no application of that theory, is free from ideological bias, and analysts should acknowledge this fact as an important component of the analytic process. As Simpson (1993:115) puts it, 'writing about ideology does not automatically mean release from ideology'.

This question of the analysts' own assumptions is linked to the broader problem of readership, identified by Fowler (1987:485) in these terms: 'the original theory [as offered in the two 1979 volumes] ... privileges the source of texts, ascribing little power to the reader because the reader simply is not theorized'. Richardson (1987) argues that, just as the analysts' non-linguistic knowledge is not acknowledged, critical linguists have not paid enough attention to the intuitive responses of lay readers of texts, in other words, to the relation between linguistic and non-linguistic knowledge in interpretation. 'This approach', she concludes, 'reinforces the stance of meaning-discovery at the expense of the meaning-construction position' (Richardson 1987:151).

Overall, then, criticism of critical linguistics has centred on questions of methodology and the lack of an adequate contextualization of the productive and interpretive processes. The linguists' basic contentions that linguistic structure is not arbitrary, but is determined by the functions it performs, and that ideological viewpoints are encoded in linguistic forms, are not seriously challenged. Indeed, the major contribution that critical linguistics has made to the field of stylistics is the enduring concept of '"seeing through" language when language is

the mask or cover of underlying purposes and ideologies' (Carter & Nash 1990:vii).

Developments in functional stylistics have not attracted much criticism, whether positive or negative, which in itself is indicative of the lack of interest in this branch of stylistics. To some extent, some of the shortcomings of critical stylistics have been addressed in the essays published in Birch & O'Toole (1988). The eclectic, magpie approach of Kress & Hodge (1979) and Fowler et al (1979) has been replaced by a strict focus on systemic grammar; texts are analysed in terms of all three metafunctions; and attempts have been made to contextualize the analyses from a production or reception point of view, though not both.

The aims of the contributions in Birch & O'Toole (1988) are varied. They range from the strict elucidation of how texts mean (Hasan, Butt), to the investigation of the links between linguistic structures and power/ideology (Kress, Fairclough, Thibault), and the development, through textual analysis, of theoretical issues such as the role of register (Reed) and genre (Threadgold), the concept of intertextuality (Halliday, Threadgold) and the extension of the model to include earlier varieties of language, such as Early Modern English, in order to make wider options in reading available (Birch).

The one feature that stands out, from both the analyses and the theoretical discussions, is that the earlier belief that stylistic analysis provides an 'objective' method for discovering 'the' meaning of a text has been abandoned. Instead, the contributors present functional stylistics as one powerful tool for explaining reader decisions, 'to show HOW, WHY and WHERE [...] interpretations came from' (Birch & O'Toole 1988:11).

Hence, the next section will review attempts in functional stylistics to broaden and at the same time tighten the scope of analyses by providing a contextual model to account for the interpretations of 'language as social semiotic'.

### 3.3 The text/context relationship

Kress opens his contribution to the Chilton volume on Nukespeak with a challenging question which echoes Burton's (quoted above in 3.2.1):

There is now a significant and large body of work which enables us to see the operation of ideology in language and which provides at least a partial understanding of that operation. Some, perhaps the major problems remain. I take these to be around the question 'what now?'. Having established that texts are everywhere and inescapably ideologically structured, and that the ideological structuring of both language and texts can be related readily enough to the social structures and processes of the origins of particular texts, where do we go from here?(1985b:65)

In the remainder of the chapter, Kress reiterates his belief in the social responsibility of stylistic analysis, and offers as one way to go forward the conscious focus on enabling readers to recognise and, where necessary, resist the reading positions that texts create through particular uses of language. This aim has involved the development of the relationship between texts and contexts (largely ignored in the critical linguistics analyses previously mentioned, and many of the early functional linguistics analyses), and the extension of the systemic model originally proposed by Halliday, as well as specific developments in the area of educational linguistics.

This section will review the developments in the theories offered to account for the link text/context, as well as the text analyses which have made use of and helped promote such theories.

#### 3.3.1 Martin's model

In order to illustrate his belief that text must be looked at as both process and product, Martin (1985) offers a revised systemic model. First, he alters Halliday's tri-stratal model of language in the following way:

CONVERSATIONAL STRUCTURE CONJUNCTION REFERENCE LEXICAL COHESION	TRANSITIVITY THEME MOOD group      LEXIS & word systems	TONALITY TONICITY TONE foot & syllable prosodies phoneme systems
<i>discourse</i>	<i>lexicogrammar</i>	<i>phonology</i>

Figure 3.1 Martin's tri-stratal systemic functional grammar  
(Martin 1985:249)

The fundamental unit on each stratum is the phoneme, the clause and the text, respectively. The phonology stratum will not be discussed, as the focus of this study is written texts. What needs to be noted is that Martin distinguishes between elements at the clause level, which he places in the lexicogrammar, and elements beyond the clause, which form part of what he calls *discourse*. In contrast, Halliday's model sees conjunction, reference and lexical cohesion as part of the lexicogrammar, in the textual metafunction. Martin's concept of conversational structure is based on the work of Sinclair & Coulthard (1975) and Berry (1981).

In addition to this semiotic system, Martin proposes first two further semiotic systems, those of *register* and *genre*:

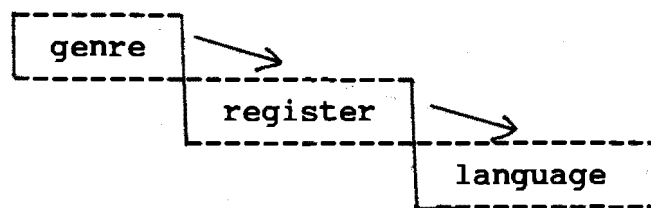


Figure 3.2 Relationship between language, register and genre  
(Martin 1985:250)

Finally, the further level of *ideology* is added to the model, as Martin claims that concepts of genre and register alone cannot account for all of the systematic variation we find in texts:

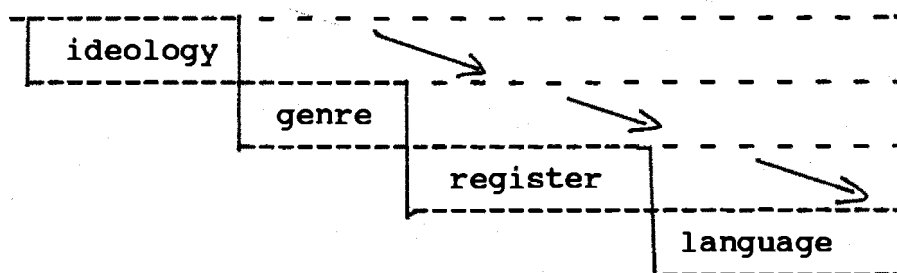


Figure 3.3 Ideology in the semiotic model  
(Martin 1986:227)

This model represents an attempt to show how the grammatical choices in texts are foregrounded as the expression not only of genre and register choices, but also particular ideological stances. Thus, in Martin's account, ideology constrains genre, which in turn controls the choices in register which will involve 'fashions of speaking'.

As each term in the model has been debated and its meaning sometimes modified, the model is now going to be analysed level by level, starting from the bottom (language) upward. Such a procedure is not without difficulties, as the terms themselves are closely linked, but it seems the most productive way of accounting for changes in systemic theory and its applications to text analysis, and of beginning the task of outlining which model of the text/context relationship, and which use of terminology, will be used in this study.

### 3.3.2 The concepts of text and discourse

Martin's (1985) model posits text as the unit of discourse, characterised by inter-clause relations which are viewed separately from the lexicogrammar. There are two problems with this view. First, discourse is not defined, and secondly, it seems difficult to separate clause and inter-clause relations, given the importance of interconnectedness of grammatical functions in systemic grammar.

Thus, Halliday's and Hasan's views of text appear to be preferable. A text is 'a social event whose primary mode of

unfolding is linguistic' (Hasan 1978:229), a 'semantic unit' which is both product and process (Halliday in Halliday & Hasan 1985:10). Furthermore, Hasan (1978, Halliday & Hasan 1985) makes the important observation that a text is characterised by its unity, of two major types: unity of structure, and unity of texture. The concept of structure may involve Martin's 'conversational structure', although the concept is broader, as will be noted later, when discussing genre. Texture is the term Hasan uses to refer to the fact that the lexicogrammatical units representing a text 'hang together' - that there exist meaning relations of cohesion and coherence, and that reference, conjunction and lexical links, or chains, are important determinants of texture.

Text, then, is best viewed as a stretch of language that is functional, that is playing some part in a context of situation, and which constitutes the fundamental unit of analysis in stylistics. Its configuration is best described by the tri-stratal model outlined in Chapter 2: semantics, lexicogrammar, phonology/orthography.

Discourse, on the other hand, is 'a category that belongs to and derives from the social domain [whereas] text is a category that belongs to and derives from the linguistic domain' (Kress 1985a: 27). Kress stresses that the relation between text and discourse is one of realisation: discourse finds its expression in text. Kress (1985a:27), however, adds that 'any one text may be the expression or realisation of a number of sometimes competing and contradictory discourses'.

This concept of discourse is not to be confused with the term discourse as used by sociolinguists for whom it refers to, roughly, 'any extended piece of language'. Discourse for Kress, and in this study, is a term borrowed from Foucault (1980,1981), which refers to the fact that social groupings, or institutions, produce specific ways of writing or talking about those areas of social life which are related to them. Discourse, in this sense, covers a broad range of meaning relations and meaning making practices which are specific to particular groupings or

institutions, but are not to be equated with any specific text, or text-types, although they will be realised in texts. Discourse is not text, but any discourse contains a number of specific constraints on what kinds of meanings may be made in texts, what kinds of lexicogrammatical features may be selected in texts. For example, one may talk about 'medical discourse', 'legal discourse'. One is then referring to the ways in which the institutions of medicine and law, in a particular culture, produce and control meaning making practices. This will apply both to situations specifically related to and regulated by the institutions of medicine and law (e.g. in the production and reception of a medical report, or a legal contract) and to any other situation in which the values, beliefs, etc. of medicine or law are brought in (e.g. a doctor-nurse Mills & Boon romance in which the discourse of medicine, among others, is mapped on to a particular genre).

It is in this sense that this study will discuss the 'literary critical discourse' of the academic institution, and the ways in which this discourse is realised in specific literary critical texts. Discourse is not to be equated with 'ideology' either, as will be made clear later in this chapter.

### 3.3.3 The concepts of register and genre

In systemic functional grammar, the concepts of text and context are inseparable. Hasan (Halliday & Hasan 1985:117) writes that 'text is language operative in a context of situation and contexts are ultimately construed by the range of texts produced within a community'. While 'context of situation' has proved a relatively stable concept in functional stylistics, the notion of 'range of texts' has been, and still is, hotly debated. In this instance, the discussion centres round the terms 'register' and 'genre', and whether there is, in fact, a need for both terms to be used. Thus, this section will consider the arguments proposed by those systemicists who conflate the two terms, and those who insist that there is a distinction to be made between register and genre.



### 3.3.3.1 Register

The term "register" implies the recognition of systematic and functional variation in language. A register is no 'special language', but a way of matching language use to the requirements of a particular situation. Halliday writes that

A register is a semantic concept. It can be defined as a configuration of meanings that are typically associated with a particular situational configuration of field, tenor and mode. But since it is a configuration of meanings, a register must also, of course, include the expressions, the lexico-grammatical and phonological features, that typically accompany or REALISE these meanings. (Halliday & Hasan 1985:38)

The following diagram shows how the field, tenor and mode (see 2.2.4.1 in Chapter 2) act collectively as determinants of the text through their specification of the register; at the same time, they are systematically associated with the linguistic system through the functional components of the semantics (see 2.2.3.7 in Chapter 2).

SITUATION: Feature of the context	(realised by)	TEXT: Functional component of semantic system
Field of discourse (what is going on)		Experiential meanings (transitivity, naming, etc.)
Tenor of discourse (who are taking part)		Interpersonal meanings (mood, modality, person, etc.)
Mode of discourse (role assigned to language)		Textual meanings (theme, information, cohesive relations)

Figure 3.4 Relation of the text to the context of situation  
(Halliday in Halliday & Hasan 1985:26)

The totality of the particular value of the contextual variables (i.e. field, tenor and mode) in a specific situation is termed the contextual configuration (Hasan 1978). One speaks of a particular register when a comparison of a number of texts which are alike in the most prominent features of contextual configuration reveals a similar linguistic patterning.

Register is a social convention, a norm that obtains in a particular language community (Ure & Ellis 1977): given a situation X, speakers and writers have to select a number of combinations of lexical and grammatical features in order to produce meanings. But, as Ure (1982:6) points out, a text does not merely reflect the characteristics of the situation in which it takes place, it also helps create that situation. For example, the sentence *Add the eggs one at a time, beating well in between* positions the writer and reader within the 'cookery book' register (Halliday in Halliday & Hasan 1985:37-8). As people start selecting specific lexicogrammatical combinations from the total meaning potential of the language, they create the situation in which those selections are appropriate; the situation, in turn, will constrain subsequent choices.

In addition, the category of register varies from 'closed' to 'open', i.e. in certain registers the total number of possible meanings is fixed and relatively unalterable, whereas in other registers, the range of meanings is much less constrained. Vatnsdal (1987:45) calls them 'marked' (or, to use Firth's term, 'restricted') and 'unmarked' respectively. Marked registers, which leave little scope for personal variation, include knitting and sewing patterns, weather forecasts, cookery book recipes, for example. At the other end of the scale, unmarked registers, which show a much wider range of options, include various transactional registers, like those of buying and selling, and casual conversations. Halliday points out, however, that no register is entirely open: 'We are never selecting with complete freedom from all the resources of our linguistic system. If we were, there would be no communication' (Halliday & Hasan 1985:40).

A study by Cloran (1987) has in fact shown that, even in the most unmarked register, that of casual conversation with friends or family members, it is not possible to negotiate a new context for interaction through language. The experimenter tried to alter one important value of the field variable (purpose of the interaction) in a variety of direct and indirect ways, and each time the attempt to negotiate a new conversational context was blocked by the other participants. In other words, it seems that once a

particular pattern is established, any serious alteration is seen as creating confusion and disruption. Cloran concludes that for such an attempt to be successful, the negotiated context should not run counter to the social activity of the original context, the participant roles adopted and assigned should not be inappropriate in terms of the existing social relationships, and the role of language in the situation should be coherent in terms of the nature of the social activity and the cluster of participant relationships. The question, then, is to assess to what extent one could be talking of a 'new' context for interaction.

Few studies have investigated the question of register-mixing. If a text shifts register sequentially, in accordance with successive changes in situation, it could hardly be called multi-registerial. Register embedding is probably fairly frequent, in relatively unmarked registers such as service encounters. One can easily imagine a customer launching into a personal narrative of family happenings in the middle of a buying exchange, then slipping back into the original pattern. However, what is meant by a mixed-register text is 'a text in which two or more registers are simultaneously manifested in a single stretch of text' (Fairclough 1988:120). Cloran's study seems to predict that in spoken interactions, when participants construct the text step by step and co-operatively, it is not easy to mix registers. One could presume that written texts, in which the writer has more freedom, might evidence more flexibility.

Fairclough (1988) offers a mixed-register analysis of the first page of a Barclaycard brochure. He argues that particular stretches of the text combine meanings from two different registers: 'advertising', and 'communicating regulations', which he summarises as 'selling' and 'telling'. Sentences like *You'll find your Barclaycard can make life a lot easier* he ascribes to the advertising register, while *It is important to ensure that your credit limit is sufficient to cover all your purchases and Cash Advances is clearly regulatory*. In addition, Fairclough argues that even sentences which can be basically ascribed to one register mostly, contain some trace of the other. For example, the

repeated personal pronoun *your* in the second example above is said to be a trace of the advertising register. In order to support his argument, Fairclough (1988:123) contrasts this text with an extract from the small print 'Conditions of Use' which reads

*2. The card must be signed by the cardholder and may only be used (i) by that cardholder, (ii) subject to the terms of the Barclaycard Conditions of Use which are current at the time of use, (iii) within the credit limit from time to time notified to the principal cardholder by the Bank, and (iv) to obtain the facilities from time to time made available by the Bank in respect of the card.*

and shows the 'communicating information' register in its 'pure' form.

The analysis, however, is not entirely convincing. Fairclough does not draw a systematic analysis of the two contextual configurations he claims co-exist within the text, nor does he present a full analysis of the lexicogrammatical features in terms of all three metafunctions. Furthermore, and because there is no clear description of the advertising register, one can argue that the term 'register' has been used too loosely in this instance: there is not one, but many different 'advertising' registers in current use in English-speaking communities. Here is not the place to conduct a full-scale analysis of the Barclaycard text, but such an analysis would show that there is only one register (text-type) in evidence, a particular kind of advertising register, linked to the nature of the goods/services being offered. From this viewpoint, then, the text is coherent on all three dimensions of the textual configuration. What there is, though, is a mix of discourses, in the sense defined in section 3.3.2 above: the discourses of advertising and banking are both realised in this text, and it is the tensions between them (promoting/attracting vs regulating/imposing constraints) which produces the 'mixed' effects Fairclough points to.

It is hoped that further studies will investigate this question, and establish whether and under which conditions texts may be truly multi-registerial. It may ultimately be that such register mix may only be possible in literary texts, as O'Toole's (1988) analysis of Henry Reed's poem 'The Naming of Parts', has shown.

Functional stylistics has included a number of analyses of registers, although the range of such analyses seems to be restricted to media texts. Examples of registers which have been analysed include news and sports stories in American newspapers (Wallace 1981), sports announcer talk (Ferguson 1983), background articles in the daily press (Weizman 1984), DJ talk (Montgomery 1986), written sports commentary on soccer (Ghadessy 1988b), press advertising (Carter 1988), newspaper editorials (Bolivar 1994). Other register studies include air traffic control (Vatnsdal 1987), creationist writings (Houghton 1988), English business letters (Ghadessy & Webster 1988, Ghadessy 1993b), synopses (Thorne 1988) and scientific English (Halliday 1988c, Hunston 1993).

Specific register studies, then, seem to have focused on relatively marked registers, where options are limited, and linguistic patterns show a high degree of predictability. Methodological approaches follow more or less the same pattern: analysts seek to 'locate' (Ferguson 1983) the register by identifying those situational features of field, tenor and mode that seem to characterise the group of texts under discussion, then correlate the contextual configuration with the relevant linguistic features. In his study of scientific English, Halliday has also shown that registers are neither stationary nor homogeneous and show both diachronic evolution and synchronic variability.

The term register, then, implies the notion of intertextuality: the meanings we make through texts, and the ways in which we make them, depend on the currency in our communities of other texts we recognise as having certain definite kinds of relationships with them. As Lemke (1985:276) puts it, 'that texts "go together" means that there is some sense in which they are relevant contexts for each other's interpretation'. This viewpoint that is not bound to "a text" but can analyse relations that connect, and disconnect, across "texts", is also the one adopted in genre studies. Genre is also a label which is given to a number of characteristics of contextual configuration which distinguish types of texts from

others. The question is therefore whether there is a need to distinguish between register and genre.

Hasan (1978:230,241) argues explicitly that 'for most material purposes register and genre are synonymous' and 'interchangeable', and that 'to construct a model which distorts facts by attempting to create clearcut boundaries where only fuzzy edges exist does not appear to solve any problems'. Her views appear to be shared by a number of analysts who, like Ferguson (1983) and Ghadessy (1988b), use the terms register and genre interchangeably when discussing sports announcer talk or written sports commentary on soccer. Similarly, systemicists like Kress (1988a,1989a) and Threadgold (1988a,1988b,1988c,1989) seem to have abandoned the concept of register altogether, and confine their studies to genre. It is thus necessary to consider whether and how the distinction between register and genre is to be made.

### 3.3.3.2 Genre

While register is a term specifically used in linguistic enquiry, genre is a term familiar to many people, and is most commonly used to refer to the classification of artistic forms such as literary texts, film making or music. For example, people are familiar with such genres as "the sonnet", "the novel", or "the Western", "rock 'n roll music". The use of the definite article both reflects and helps create this notion of classification into groups or types: "'the" Western is a type of film which....' Another common notion linked to the term genre is that of diachronic variation. Genres change with time, and some genres are more popular at one time than at another: few contemporary poets write sonnets, and few contemporary film-makers produce Westerns.

Functional stylistics has extended the term genre from its general meaning of classification of art forms to the classification of social interactions or social processes into types. From this viewpoint, then, both register and genre are labels that seek to (i) account for text variation and text relatedness, i.e. identify those elements that make texts to be seen as "like" or "not-like" other texts, and (ii) relate those descriptions to the social

circumstances that lead to text creation and are reflected in texts, and that texts help create as they develop.

Both terms contain the very important notion of "recognition". One makes sense of a text partly because one can recognise it as "a recipe", "a university lecture", "a newspaper editorial", "a sermon". Expectations are aroused concerning what kinds of meanings are likely to be found, and part of the process of making meaning of the text lies in the recognition of these meanings. Similarly, from the angle of production, one is constrained by the requirements of "the recipe", "the university lecture", etc. Hence, a second important notion attached to both terms is that of "reproduction". Patterns of meanings and realisations of meaning are reproduced from text to text.

Martin's model (Figure 3.2) separates register and genre in the following way:

Context of culture	----> activity type	: GENRE
Context of situation	----> text type	: REGISTER
Semantic system	----> linguistic realisations:	LANGUAGE

Genres, Martin writes, represent 'linguistically realized activity types' (1985:250) in a culture, and they can thus be thought of as artefacts of the context of culture in which people operate.

Registers, on the other hand, are of the context of situation within a culture, and the kinds of choices made with respect to field, tenor and mode at any given time are actually constrained by the genre selected. For example, in English-speaking cultures, academics would not normally lecture on house-cleaning; similarly, genres of buying and selling differ significantly in cultures where bargaining is normal practice and those where it is not (Hammond 1987:166).

The question is whether the distinction between activity-type and text-type is necessary, given the fact that part of the field specifications of any register includes such items as purpose and activity. Halliday et al (1985:21) point out that there are instances where the text is so directly related to the activity that the distinction between register and genre seems unnecessary. The example they give is that of an event consisting of an

exchange of goods and services, in which the text is minimal and is also directly furthering the exchange. Another example could be recipe writing; here, too, it seems difficult to separate text and activity. On the other hand, Halliday et al consider that when one can identify 'intrusive texts', passages of text which seem to suspend the accomplishing of the activity, it is necessary to postulate the text type and the activity type as different abstractions. It can be argued, however, that one could then talk of genre-embedding, or register-embedding.

It would seem that the only justification for keeping the separation of genre and register would be to demonstrate the validity of the notion of a specific, culturally determined genre (as activity type) which can constrain choices in field, tenor and mode in such a way that the constraints may give rise to distinct registers (text types) within the genre, each register being then realised in a number of different texts. It seems possible to argue that in English-speaking cultures, a "university lecture" constitutes a well-defined, easily recognised genre (recognised, that is, by those who have had experience of it) which constrains in very specific ways the kinds of meanings that may be made by the participants in the activity. But each discipline within the academic institution will produce its own type of "university lecture", distinguished largely by differences in field and mode, giving rise to registers which could be named "a linguistics lecture", "a history lecture", "a physics lecture". Similarly, this study will show that within the genre of literary criticism different registers may co-exist. Consequently, the distinction genre/register is to be retained, though the model to be used differs from Martin's, while at the same time one must recognise that the distinction between genre and register is often unnecessary, particularly in the case of the more 'marked' registers/genres like recipe writing.

Having argued that in many, though not all, cases the distinction between genre and register is a valid one, it now remains to outline briefly the characteristics of the concept of genre. Three systemic approaches to genre will be reviewed briefly: those which



view genre as structure potential, as goal-oriented social process, or as socially ratified text-types.

(1) Genre as structure potential

In her study of the nursery tale as a genre, Hasan (1984d) begins with three related questions, in order to identify the range of criteria which would enable the identification of a story as a 'nursery tale': (i) Are there any invariant properties that a text must display in order to be regarded as an instance of the genre 'nursery tale'? (ii) Under what conditions would a tale be considered complete/incomplete? (iii) Why is the structure of the nursery tale as it is?

Hasan hypothesizes that the contextual configuration of the situation determines the functional similarity of texts which belong to the same genre. In other words, all the verbal processes associated with the context are seen to consist of different stages for which functions are assigned. These functions are categories or elements of the generic structure potential (GSP) which defines 'the total range of textual structures available within a genre' (1984d:79). Each genre has its own GSP, which is a result of particular field, tenor and mode combinations. But, Hasan argues, if the contextual configuration values are to some degree the same, then some elements will be shared across some genres, which accounts for genre relatedness.

The GSP includes obligatory elements which are genre specific and genre defining, and without which the text would not be considered as a complete instance of the given genre. In addition, the GSP must enumerate the optional elements which are typically associated with the social process type in question, but are not seen as necessary in every instance of the realisation of the social process. Finally, the GSP must also specify the obligatory and optional ordering of the elements, including the possibility of iteration. Thus, the GSP she proposes for the nursery tale (1984d:80) is:

[ (Placement ^) Initiating Event ^ ] Sequent Event ^ Final Event [ ^ (Finale) • (Moral) ].

The rule notation is as follows: ^ = a fixed sequence, • = the order of the elements can be changed, () = an optional element,  $\mathcal{S}$  = recursion, [] = limitations for mobility.

The power of Hasan's concept of GSP is that, on the one hand it enables a systematic representation of the relationship between texts and their contexts, as well as a systematic and consistent description of the relatedness of texts, i.e. why some texts can be grouped together and others not. On the other hand, it is a generative device, analogous to a system, 'a statement of the structural resources available within a given genre' (Hasan 1984d:79). Finally, it is an approach to genre typology which 'builds in the possibility of text variation from the start' (1984d:79).

Van Leeuwen (1987) also uses the concept of generic structure in his analysis of a small corpus of press articles dealing with the relation between parents and children. Working 'from the bottom up' (1987:201), he first derives a system of generic stages from configurations of options from the systems of transitivity, mood, theme, conjunction, reference and tense. Generic structures, motivated by context-specific generic strategies are, in turn, derived from generic stages. He concludes that it is possible to represent the generic constraints within which the journalist works as a network of generic choices and of overall generic strategies which realise the social purposes of journalism, and which are themselves realised linguistically, via the system of stages (208).

Ventola's (1987,1989) study of service encounters, however, has brought to light a number of limitations to the GSP concept. First, linearity seems to impose a stricter sequence for elements than that which appears in the collected data. Secondly, the model makes it difficult to represent interaction, the principle of cooperativeness in face-to-face encounters. Finally, Ventola challenges the assumption that obligatory elements are always genre defining. She argues that interactants may opt out of interaction at an early stage (e.g. by leaving the shop), but that the short, incomplete text produced before they left is still a

fully functional instance of the genre. Furthermore, in Hasan's model, slight changes in contextual configuration will lead to differences in the inventory of the GSP, which in turn leads to a recognition of numerous GSPs to texts which, in their overall function are the same, and which in their linguistic realisations are clearly related to each other. Thus, 'a generalization concerning the agnateness of texts is lost' (Ventola 1987:57). It is considerations such as these which led Ventola to adopt Martin's connotative semiotic framework.

## (2) Genre as goal-oriented social process

Martin's model (Figures 3.2 and 3.3 above) proposes register and genre as semiotic systems within their own right, just as language is a semiotic system. Language is a 'denotative' semiotic system, i.e. it has its own means of organizing expression and phonology. On the other hand, register and genre are 'connotative' systems, i.e. systems of semiotic communication planes which have no expression, no phonology, in their own right, and are thus forced to use other semiotic planes for their realisation. This utilization is seen as genre and register being 'stacked up against language', so that genre uses register as an expression plane and register in turn uses language as an expression plane (Martin 1985:249-250).

In the connotative semiotic framework, social purposes are captured by the plane of genre:

Genres are how things get done, when language is used to accomplish them.[...] The term genre is used to embrace each of the linguistically realized activity types which comprise so much of our culture [...] it represents at an abstract level the verbal strategies used to accomplish social purposes of many kinds. These strategies can be thought of in terms of stages through which one moves in order to realize a genre. [...] Schematic structure represents the positive contribution genre makes to a text: a way of getting from A to B in the way a given culture accomplishes whatever the genre in question is functioning to do in that culture. (Martin 1985:250-251)

Thus, in the actualization process, i.e. when a text unfolds as a structure, and during this unfolding achieves the purpose of the social activity of a particular kind, the genre plane regulates what combinations of field, tenor and mode are relevant at a particular stage of the unfolding activity. During an interaction,

the purposes may change or be negotiated, which leads to genre embedding and genre switching.

In his seminal article 'Grammaticalising ecology', Martin (1986) uses his analysis of two texts in order to articulate this model, and defines genre more pithily as 'a staged goal-oriented social process' (1986:246). The two texts discuss the same 'ecological issue' - whether or not Australia should continue to kill kangaroos, whether or not Canada should continue to hunt baby seals - but their purposes are different. The Australian Conservation Foundation (ACF) text is an example of hortatory exposition, persuading readers to stop the killing of kangaroos, while the Canadian Wildlife Federation (CWF) text is an example of analytical exposition, persuading readers that the seal hunt should go on.

Martin first makes a detailed grammatical analysis of the field, tenor and mode features in each text, then shows how and why the genre of each text is in fact predictive of the combinations of field, tenor and mode choices. For example, he argues that the combination of register choices in the ACF text characterises the text as emotive, alive and oriented to change, and that 'this is the kind of effect that one expects from hortatory exposition, which is trying to change the world' (1986:248), whereas the dense, ponderous and factual kinds of effects produced in the CWF text are typical of analytical exposition 'which is trying to explain why the status quo is the way it is'. In addition, Martin argues that the genre, or goal-orientation of the texts, also explains why the ACF text makes use of a number of literary devices such as metaphor and alliteration, while the CWF text does not make use of literary foregrounding in this way. Finally, Martin details the schematic structures of the two texts, and again argues that these were not predictable from register choices, but are to be accounted for by the requirements of the two genres.

The concept of genre as developed by Martin (1986) has been at the centre of the discussions currently taking place in Australian schools concerning the teaching of writing, since Martin et al

(1985) argue that genres ought to be specifically taught. It is in this educational context that Thibault (1989) has criticised the narrow definition of genre as staged goal-oriented social process. His criticism centres around what he sees as a particularly deterministic model of the relationship between contexts and texts, which 'assumes and implicitly conveys the message that the world is organised in terms of an instrumental logic based on linear, one-way models of cause-and-effect or means-and-end' (1989:346). Martin's model, he claims, does not make the difference between 'doing' and 'understanding'. In addition, Thibault argues that to define genre in terms of goals or purposes only tends to overstate the extent to which actions are under the conscious control of agents, and ignores the ways in which particular genres are productive of specific forms of knowledge and belief (1989:353). In short, he argues, 'genres are more than just tools for performing determinate social tasks and functions' (1989:357).

Such criticism does not take into account the level of ideology which Martin posits as being realised by genre - which will be discussed in the next section - but nevertheless does make the important point, also made by Threadgold (1988c:355), that purpose cannot be singled out as the overriding generic constraint, and that Martin's model is too linear, one-way oriented.

### (3) Genre as socially ratified text-types

Threadgold's concern with genre arises out of her studies of extracts from Milton (1988c,1989), Chaucer and Pope (1987), and Donne (1986 ), as well as transcripts of children's interaction and a short story by a Canadian writer, Audrey Thomas (Kress & Threadgold 1988). Her views on genre are similar to those of Kress (1988b,1989a) and their arguments, on which much of the following investigation into literary criticism as genre is based, will be briefly summarised below. Specific aspects of their discussion of genre will be dealt with further in the study of literary critical texts.

Threadgold always stresses the 'inescapable' facts of genre as social process: there is a systematic, probabilistic (but not deterministic) relationship between generic situation types in a culture and the co-patterning of features in the texts that social agents produce in those situation types. Genres involve characteristic ways of text making (mode) and characteristic sets of interpersonal relationships and meanings (tenor), as well as restrictions of 'what' can actually be appropriately talked/written 'about' (field). But, Threadgold and Kress argue, genres cannot be seen simply as schemas or frames for action, or bundles of constituents to be arranged in a certain order. In order to understand how genres work in a culture, they have to be placed within the wider context of social theory.

From this perspective, genres are enmeshed in a whole web of social, political and historical realities. Hence, Threadgold (1987:573) defines genres as 'socially ratified text-types which function to reproduce hegemony, social conflict, social categories and to maintain and transmit the culture', while Kress (1989a:31) defines them as 'formal conventional categories whose meanings and forms arise out of the meanings, forms and functions of the conventionalised occasions of social interactions'. Genres are thus part of a number of processes by which systems of ideas and belief, and power relationships, are constructed, transmitted and maintained. Kress and Threadgold insist that some of the issues that need to be considered involve the ways in which institutions and institutionalised power relationships and knowledges are constructed by, impose constraints on, and restrict access to possible situation-types and genres. In addition, one needs to consider why certain genres are highly valued and others marginalised, and how such valorisations change over time.

Consequently, they argue, genre is not enough to explain the enormous complexities involved in these questions about the construction, transmission and potential changing of social and cultural realities. Other kinds of 'organisations of meanings' are involved: discourses, in the sense Kress uses the term (see 3.3.2 above), i.e. highly patterned, systematic and regular ways of making meaning arising out of the organisation of social

institutions, which can be realised in many different generic forms. Kress (1989a:31) stresses that discourses and genres are also related in specific ways: social institutions tend to have their own particular occasions of interaction, certain discourses tend to have preferred relations with certain genres, and some genres are incompatible with certain discourses.

Threadgold does not talk of a text "belonging" to a genre; instead, she prefers to say that 'every text participates in one or several genres' (1989:114), and the term "participation" reflects her belief that genre is not something that pre-exists texts, but something that texts reconstitute in the process of being formed. Borrowing from Bakhtin's theories, she argues that each new example of a generic type is a new text, a new performance, an event (1989:115). Hence, reiteration or exact replicability is impossible because of the nature of the reproduction as event, performance. Genres cannot therefore have static fixed values, and the extent to which they are predictive of choices in lexicogrammar is constantly subject to slippage and change within the partially independent area of co-textualisation at the lowest lexicogrammatical level. In other words, genres globally constrain certain choices, but those choices, when realised in a co-text, constantly shift, restructure themselves, and thus feed back into the generic process and the socio-semantics by becoming in turn the type for new texts.

Where Threadgold's and Kress's views differ most strongly from those of Hasan and Martin on genre is that they do not see genre as part of an abstract 'system' (in the generative sense of Hasan's GSP), but rather as part of a mapping process from text to text. Hence, they argue that texts may be multi-generic, carrying many 'traces' of different text-types at one and the same time:

Where there is high stability, multi-genericness over time and with use ceases to be focal or noticeable, becomes overlooked, redefined. The genre then seems coherent. Where there is no such stability, the texts continue to exhibit their multi-generic character more obviously. (Kress & Threadgold 1988:241)

In addition, they argue that single genre texts are the result of rigid social controls, thus echoing the comments made by Vatnsdal (1987) concerning marked registers.

Threadgold (1989) concludes that very little in texts is absolutely unconstrained or unpredictable, but that genre alone is not enough to explain what there is in a text. She rejects Martin's solution, as offered in 'Grammaticalising ecology', which is to label everything not accounted for by register and genre as 'ideology', partly because, like Kress, she prefers to call on the concept of 'discourse'. Consequently, it is now necessary to consider the last layer of Martin's model, the semiotic plane of ideology, and in particular establish the distinction between ideology and discourse.

### 3.3.4 The concept of ideology

Kress and Threadgold argue that texts are given form and meaning by discourse and genre. Indeed, their views of the range of functions performed by genres is so wide as to include a good deal of what tends to be understood by 'ideology':

In our view, genre is one crucial category in the transmission of culture, ideology, the structurings of power, the formation of individual subjects, and the construction and transmission of hegemonic structures. (Kress & Threadgold 1988:241)

If this is to be accepted, the question is whether there is a need in the model for a third variable, ideology, and to what extent 'ideology' differs from Kress's concept of discourse.

Ideology is a term of great instability, but it seems to be used in two major ways. On the one hand, it is used as a purely descriptive, neutral term, to encompass a society's implicit "systems of thought", "symbolic practices", or "systems of beliefs". The second use of the term retains all the negative connotations 'ideology' has acquired since its earliest uses in post-revolutionary France and in the writings of Marx and Engels. In this sense, it is seen as a critique of certain forms of thought and political practices which seek to maintain domination and asymmetrical power relations. As Thompson (1984:1) puts it, 'To characterize a view as "ideological" is already to criticize it, for "ideology" is not a neutral term'.

Both senses of the term seem to have underpinned the endeavour of critical linguistics. Kress and Hodge observe that



Language, typically, is immersed in the ongoing life of a society, as the practical consciousness of that society. This consciousness is inevitably a partial and false consciousness. We can call it ideology, defining "ideology" as a systematic body of ideas, organized from a particular point of view. Ideology is thus a subsuming category which includes sciences and metaphysics, as well as political ideologies of various kinds, without implying anything about their status and reliability as guides to reality. (Kress & Hodge 1979:6)

Later, Fowler writes, somewhat ingenuously, in the light of the previous quotation:

Critical linguists have always been very careful to avoid the definition of ideology as "false consciousness" [...], making it clear that they mean something more neutral: a society's implicit theory of what types of objects exist in their world (categorization); of the way that world works (causation); and of the values to be assigned to objects and processes (general propositions or paradigms). (1987:490)

As was discussed earlier in this chapter (section 3.2.1), the analyses of texts in Kress & Hodge (1979) and Fowler et al (1979) are geared to 'revealing' and 'uncovering', in the critics' own terminology, the - to them - objectionable right-wing thoughts and practices of domination of business and government, as inscribed in certain newspaper reports or committee meetings.

In 'Grammaticalising ecology', Martin (1986) posits ideology as the highest connotative semiotic level, which determines choices of genres, and then filters down through register into the lexicogrammatical choices made in a text. He presents two perspectives on ideology, and insists that both are necessary. To some degree, the two perspectives seem to correspond to the two senses of ideology mentioned above. The first perspective is synoptic: ideology is defined as a kind of 'lect' associated with a particular group of users (1986:227). Martin explicitly refers to Whorf, and relates aspects of language structure to a culture's 'world view'. The second perspective is dynamic: ideology is interpreted as a 'type' of language dependent on the use to which language is put (1986:228), which brings this view very close to the one used in critical linguistics.

In his analysis of the two ecology texts, Martin first identifies, as key terms in the ideology of the texts, the 'issue' dealt with (whether to kill/cull kangaroos and seals) and the 'roles' or

'sides' adopted by the texts' producers on that issue (protagonists and antagonists). After the register and genre aspects of the texts have been analysed, Martin argues that the register and genre variables 'cannot be used to interpret a number of significant patterns' (1986:249) found in the texts, and that the further level of semiosis, ideology, is needed. Martin argues that the choice of genre (hortatory or analytical exposition) is predictable only from the ideological stance of the organisations involved (characterised as left- and right-wing respectively), and so are certain collocations associated with seals and kangaroos (shifting the field away from kangaroo culling and seal hunting to murder and farming), certain clusters of nominalisations, and the use of past ecological debates in both texts.

Martin's analysis is extremely persuasive, and, despite Threadgold's and Kress's reservations, has proved highly influential in functional stylistics and the wider field of critical discourse analysis. For example, Poynton (1985) uses Martin's model in her analysis of sexist ideology in a variety of texts, and the recent work of McGregor (1990), Francis and Kramer-Dahl (1992) and Simpson (1993) owes much to it as well.

It seems extremely difficult to subsume ideology under functions of genre, hence eliminating this variable from the model altogether, as Threadgold and Kress do. Genres are used for the transmission of certain ideologies, but one cannot say that any one genre is inherently ideological, and indeed this study will show that the literary critical genre is the *locum* for competing ideologies. Modifications to the model are, however, necessary for the present analysis of literary critical texts, as will be shown in the next chapter, and in particular, the concept of ideology needs to be sharpened.

Thompson (1984,1987) rejects the neutral view of ideology (ideology as the set of a community's ideas, beliefs, etc.), which assumes that ideology operates like a sort of social cement, binding the members of a society together by providing them with collectively shared values and norms. Instead, he argues, social systems are characterised by a diversity of values and beliefs,

and the proliferation of divisions between individuals and groups. On the other hand, Thompson does not want the analysis of ideology to be bound to the question of critique, and he thus proposes a reformulation of the concept of ideology. The analysis of ideology, he argues, is primarily concerned with the ways in which meaning and power intersect, and to study ideology 'is to study the complex ways in which meaning is mobilized for the maintenance of relations of domination' (1984:5). In addition, Thompson clarifies the distinction between power and domination by stating that domination is a specific instance of institutionally established power relations: 'we speak of "domination" when the relations of power established at the institutional level are *systematically asymmetrical*' (1987:519).

However, Eagleton (1991) finds two major difficulties with this otherwise persuasive definition of ideology. First, he argues, not every body of belief which people commonly term ideological is associated with a "dominant" power, and one may talk of ideology which is in opposition to dominant power (e.g. feminism). Secondly, 'if there are no values and beliefs *not* bound up with power, then the term ideology threatens to expand to vanishing point [...] The force of the term ideology lies in its capacity to discriminate between those power struggles which are somehow central to a whole form of social life, and those which are not' (1991:7-8). Both points are valid, and should be taken into account: ideology implies domination and resistance, and while one can accept the view that power is everywhere (Fowler 1985), one must distinguish between more and less central instances of it. This is precisely why the present study will add the term ideology to Kress's concept of 'discourse'. To pursue Kress's example of the discourse of medicine, one could argue that various ideologies compete in the formation and transmission of such discourse.

Finally, the relationship between language and ideology needs to be clarified. Language is not inherently ideological; rather it is the uses to which language is put which may, or may not, be ideological. Ideology, says Eagleton, 'concerns the actual uses of language between particular human subjects for the production of

specific effects' (1991:9). It is this aspect of the relationship language/ideology which was often obscured in the early analyses of critical linguistics, and led to the often justified accusation of linguistic determinism. It may help to view ideology not as a particular set of language practices, but as a particular set of "effects" within texts. One should therefore study not 'the ideology of the text', but the 'ideological effect' of the text, as a relationship inscribed in the text and constructed by it (Hamon 1983). On the other hand, the work of critical linguistics has undoubtedly helped open up a new dimension in a theory of ideology which had been 'traditionally concerned with "consciousness" rather than linguistic performance, "ideas" rather than social interaction' (Eagleton 1991:196).

In the end, then, all three terms of Martin's model, register, genre and ideology, need to be retained, and Kress's concept of discourse needs to be added to the model. The top-down, unidirectional emphasis of the model also needs modification. This will be done in the next chapter.

### 3.4 Conclusion

This chapter has reviewed those applications of systemic theory to text analysis which provide relevant background to this study. Most systemicists have argued for a more socially and politically involved stylistics, and how to achieve this seems indeed to provide the main challenge to stylistics in the 1990s.

The first type of such applications, critical linguistics, is represented in the influential collections of essays Language and Control and Language as Ideology published in 1979. It aims to provide tools for the demystification of ideology in literary and non-literary texts, and uses a variety of analytical methods to do so, only some of which can be directly related to systemic grammar. Despite the problems linked to the eclecticism of the methods and the lack of a clearly formulated theory of the relationship between text and context, critical linguistics has helped promote awareness of the ways in which language forms may

encourage or facilitate certain kinds of readings, and suppress or downplay others.

Functional stylistics, the analysis of texts based specifically on systemic grammar, has attempted to formalise the text/context relationship. Martin has proposed a staged, three-tier model to account for the link between a text and its context: he suggests that the higher level semiotic, ideology, directs the choice of genre, which in turn constrains choices in the register, which finally determines the lexicogrammatical features of the text.

The following chapter will propose that a modified version of this model, incorporating Kress's concept of discourse, be adopted for the study of literary texts, and will begin to relate the terms of systemic analysis to the domain of literary criticism.

## CHAPTER 4

### LITERARY CRITICISM: GENRE, REGISTERS, TEXTS

#### 4.1 Introduction

The previous chapter has reviewed the aims, methods and achievements of critical linguistics and functional stylistics, upon which much of this study is based.

The aim of this chapter is to introduce the field of the functional stylistic analysis which is to be carried out in the next chapters, that is, literary criticism. This chapter will review the scarce linguistic studies of literary critical texts, and present the model of the relationship between text and context to be used, which is a modification of Martin's (1986) model. Then, the terms of that model will be related to the domain of literary criticism.

When stylistics began to make its impact as a discipline in its own right, and the field of analysis was broadened to include non-literary texts as well as literary ones, Crystal (1972) issued a timely warning against viewing stylistic analysis as more "objective" than it really is. Richardson's (1987) subsequent criticism of critical linguistics, mentioned in the previous chapter (3.2.2), reinforces the validity of Crystal's warning: an important component of the analytic process has to do with the clarification of the analyst's own assumptions, selection criteria, etc. Part of this clarification process has already been done in the previous chapters, particularly in the explanations of the methodological framework to be used, namely systemic grammar. The present chapter now deals with some of those assumptions as regards literary criticism. Stylistics is not a discovery procedure, nor does it reveal "hidden" messages. It does, however, enable investigation of the processes of meaning making in texts, and makes possible the principled explanation of one's interpretation of a text. As far as literary critical texts are

concerned, part of this interpretation is based on the texts themselves, and the analytical method used, part of it arises from prior knowledge of the field. As Fowler (1986:95) puts it, 'linguistic analysis works only in relation to what speakers know already, or what linguists hypothesize in advance'.

#### 4.2 Investigations of literary criticism

As was pointed out in Chapter 1, times of crisis and change, as presently experienced in South African universities, produce reassessments of fundamental assumptions and goals of one's discipline. In the first three years of the last decade of the 20th century, many English departments in South African universities have started this process of reassessment. They have questioned the roots (largely British) of their discipline, English Studies, and have debated possible avenues of change to adapt the discipline to the South African situation. Evidence of this reassessment process can be found in, among others, the collection of essays edited by Wright (1990), Teaching English Literature in South Africa: Twenty Essays (essays written before the release of Nelson Mandela in February 1990) and the December 1992 special issue of the Journal of Literary Studies, entirely devoted to 'Current and Future Options: University Language and Literary Studies in South Africa'. The fact that most of the contributors to the JLS issue advocate a move away from the "traditional" English Studies paradigm to a Cultural Studies model better adapted to a changing South African educational context reinforces the relevance of this study, which aims to establish some of the ideological assumptions underlying the domain of English Studies through linguistic investigation.

The prolific field of literary studies does include a host of texts investigating the history of literary criticism and trends within it. Critics have looked reflectively at their own practices; they have discussed schools of criticism and the writings of individual, influential critics, and placed these in their historical contexts; they have debated the hidden "ideologies" of literary criticism. Such discussions will be used in the present study, as they provide useful insider insights into

the field. Particularly useful are the overviews provided by Belsey (1980), Eagleton (1983,1984a,1984b), Graff (1987) and Culler (1987,1988a,1988b).

In all of these studies, however, what makes a text part of 'literary criticism' is taken for granted, and the genre itself is never explicitly delimited. In addition, the focus of these studies is on the propositional content of the literary critical texts, what the critics write, and there is little attempt at considering the role of language in the meaning making process. Very rarely, a few general comments about the "style" of a critic are made, but these comments come in a very peripheral way, almost as after-thoughts, and are never fully illustrated and explained. For instance, Eaton (1978:10) complains that Leavis 'shows no willingness to indicate the modality of his own assertions' (which will be proved wrong in chapter 6) and that 'even words like us and we are used tendentiously'. Gregor (1985:445) comments that 'Leavis's writing is mimetic of the functions it performs', but does not explain this statement further than by adding 'through its obliquity, emphases, and constant qualifications'. Johnson (1985:79-80), a deconstructionist critic pupil of de Man's, does attempt some analysis of what she calls de Man's 'often bizarre grammar', but such analysis is rather superficial, as she merely points to certain features of the critic's language. For example, Johnson asks 'does de Man's dangling participle stand as the eclipse or rather as the inscription of a subject? Couldn't subjectivity be defined as a grammatical mistake?', then quotes one sentence from de Man's (1979b) Allegories of Reading, and explains it as follows: 'in the floating functions of anxiousness, wonder and attraction, de Man's text inscribes signs of subjectivity in the absence of any grammatical subject' (Johnson 1985:80). Readers are left trying to work out for themselves what 'floating functions' are. It is, in fact, interesting to note that professional people who spend so much time considering the language of the literary texts they read, and draw conclusions from such analyses, should not do the same when discussing literary critical texts.



From the perspective of linguistic studies, the situation is the same. Over the last 15 years or so, linguists have begun to study a variety of registers and genres (see chapter 3), such as newspaper reporting, service encounters, the language of air-traffic control, DJ talk, etc. but literary criticism has not been investigated, apart from two short studies which will be discussed below. A number of linguistic studies of "academic writing" are available, but these are usually written from the perspective of language teaching and are fairly general in their field. Academic writing often means students' essays in a variety of academic disciplines, and such research usually focuses on the teaching of academic essay writing in tertiary institutions. One of the most recent, comprehensive studies is that of Swales (1990), which will be used in this study as it provides useful insights into the general characteristics of writing in an academic context.

Systemic linguists, also writing from the educational perspective, have discussed expository writing (Martin et al 1985), some of the differences between writing in science and writing in the humanities (Martin 1991), the language of science (Halliday 1988c, 1990, 1994; Halliday & Martin 1993), the discourse of history (Eggins et al 1993) and the discourse of geography (Wignell et al 1989). The only textual studies of literary critical texts are two brief essays by Peck MacDonald (1990) and Simpson (1990a).

Peck MacDonald's starting point is composition research: the main aim of her study is to show why students find literary critical texts difficult to read and why they struggle in trying to write in similar fashion for their lecturers. She argues that 'many academics now write about literature in ways that contravene the best advice about readability and coherence that those who teach writing have been able to formulate' (1990:34) and, not surprisingly, she focuses her analysis of literary critical texts on sentence structure (clause length and nominalization) and terminology. The narrowness of her aim, however, leads her to isolate textual features which arise from the academic nature of the writing more than anything else; one suspects that overlong sentences and abstract terms are not the sole prerogative of literary criticism, and there is very little in her analysis which

leads one to a fuller understanding of literary critical texts per se. Another factor which limits the usefulness of her analysis is the lack of contextualisation of the texts she looks at.

Nevertheless, some of her conclusions do provide useful input to the present study. For instance, she concludes that literary critics 'are primarily involved in an elaborate ritual of gamesmanship to position themselves in an elite and to maintain the boundaries of the circle against those outside it' (1990:59). While such a comment undoubtedly applies to other types of academic writing, the concept of elitism in relation to features of literary critical writing needs further investigation.

Simpson's (1990a) analysis of modality in literary-critical discourse is much more useful to this study, although it must be remembered that his use of the term discourse is different from the perspective adopted in this study. His analytic framework is developed from various sources: he uses concepts from Halliday's systemic grammar mostly, but also insights from semantics and pragmatics (Brown and Levinson's (1987) model of politeness strategies), and combines these in a very effective investigation of the role of modal elements in Leavis's article 'The Great Tradition', which constitutes the opening chapter in a volume of the same name. Simpson's analysis, however, raises a number of questions, because there is little contextualisation of the text by Leavis, and no attempt to differentiate between genre- and register-specific characteristics, that is, which of the features are dictated by the requirements of the genre, and which can be said to be characteristic of Leavis's writing and liberal humanist criticism in general.

The conclusion to be drawn from Peck MacDonald's and Simpson's studies, when one also remembers what was said about the main weaknesses of critical linguistics, is that for any analysis to be useful, there is a need for contextualisation of the texts being discussed. Consequently, the next section will present a model of the relationship between text and context, based on Martin's (1986) model.

### 4.3 The relationship between text and context: a model

The main difference between this model and Martin's lies in the directionality of the relationship between the variables. Martin's model was too unidirectional (top-down), and did not allow for the possibility that the variables might influence one another in different ways. The revised model allows for this, and helps explain processes of change. The "circle" representation is borrowed from Matthiessen's (1993:227) model of the stratification of language in context. Matthiessen's model is too vague on the notion of context, as it fails to represent explicitly such key elements as the distinction between register and genre, or ideology and discourse, which were shown in Chapter 3 to be essential. However, his image of embedded circles helps show not only how certain contextual features constrain choices at the level of language, but also how texts may encode features from different registers or genres.

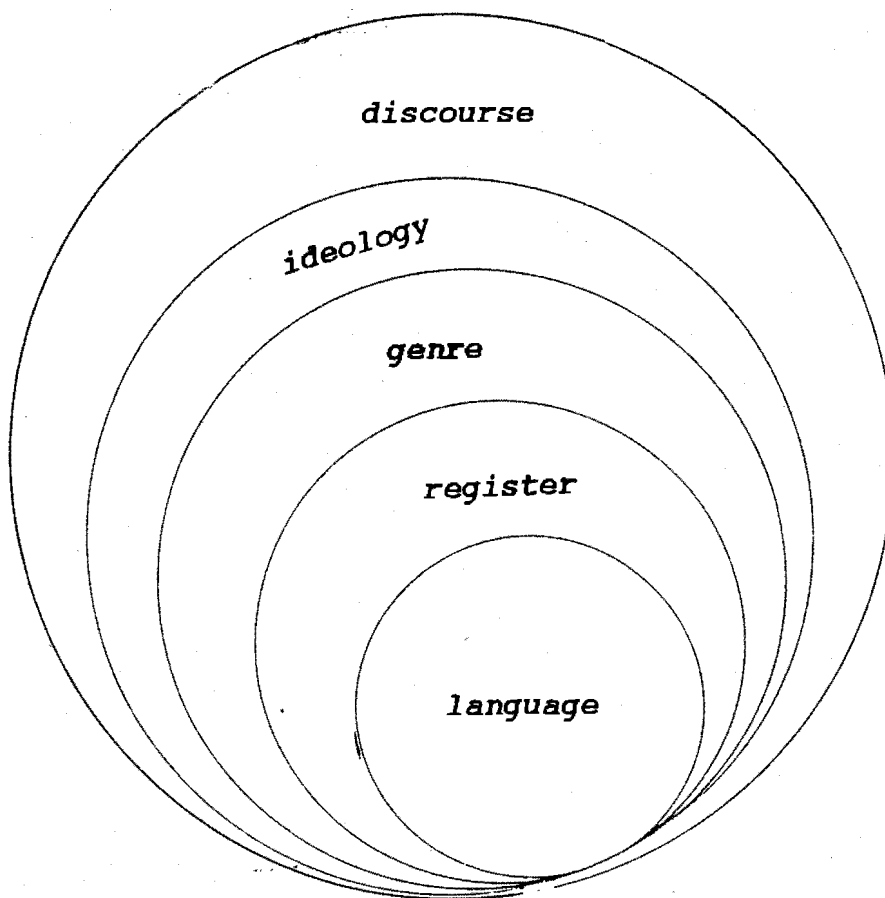


Figure 4.1 The relationship between text and context

#### 4.3.1 Genre, register, language

According to Martin (1986), the choice of a particular genre constrains choices in register (field, tenor and mode variables) which in turn will constrain lexicogrammatical choices. But slippages may occur at different levels, that is, in different circles. For instance, a particular linguistic choice, or a set of linguistic choices, may effect a switch from one register to another, i.e. change some element of the context of situation. In Chapter 3, an example was given of the way in which a customer may move into a narrative of family events in the middle of a service encounter. Similarly, a particular linguistic choice, or a set of linguistic choices, may introduce a different generic trace in the text, which is why Threadgold (1988a,1989) insists on the concept of multi-genericness of texts. This phenomenon will be observed in the analysis of the text by Leavis, where elements of the spoken lecture or seminar genres are seen to intrude regularly into the written literary critical genre.

In addition, certain aspects of the context of situation (register) may determine the choice of genre. For example, at a university, the choice of a lecture genre or a seminar genre or a tutorial genre, to pursue what essentially is the same broad aim, may depend on such contextual features as size of room, number of students, facilities available, relationship between lecturer and students, specific goal on a particular day, etc.

#### 4.3.2 Ideology and discourse

Martin's (1986) analysis of two ecological texts (see 3.3.4 in Chapter 3) has shown that ideology and discourse constrain choices of genre, register, language. Kress (1989a) states that certain discourses correlate specifically with certain genres, and that some genres are incompatible with certain discourses. Indeed, the discourse of literary studies finds its preferred actualisation in genres like literary criticism or university lectures, but will not easily be expressed in business letters. But there is a sense in which one can talk about the influence of genre on discourse, i.e. the way in which the requirements of a genre can effect

changes in a discourse. For example, this is what happens when a culture changes concepts of 'taboo' subjects. For a long time, the discourse of sexual relationships could be expressed in certain genres (linked with the discourses of medicine, psychology, family relationships), for instance in genres like medical reports, counselling interviews, personal letters or chats, but not in others, e.g. a school lesson. However, the introduction of sex education in schools, i.e. the insertion of a new discourse into the educational frame (which is an ideological decision) has effected certain changes in the genre used (school lesson) which in turn have altered the discourse itself.

In addition, there is a two-way relationship between ideology and discourse. Ideology, in the sense of particular ways of meaning making linked with certain beliefs and power relationships, influences discourses, and indeed different ideologies may compete within a single discourse (e.g. the discourse of literary studies). In turn, a particular discourse may affect ideology, i.e. help produce different ideological effects.

In other words, the variables which have been isolated, for the purpose of text analysis, as contributing to the process of meaning making in texts, need to be thought of as interconnected in such a way that each influences the others.

#### 4.3.3 The question of reading

It could be argued that, so far, the model accounts for the dynamic process of production of meaning in texts only, not its reception (i.e. making meaning from texts). This is what Richardson (1987) and Fowler (1987) identified as one of the weaknesses of critical linguistics (see 3.2.2 in Chapter 3). Birch (1989:261) urges stylisticians to abandon 'a stylistics which continues to support the primacy of the writer and to interpret the linguistic struggles of the writer [...], a stylistics predominantly concerned with static interpretations, [which] spends its time recovering meaning by close analysis of interrelated linguistic levels', whereas, he believes, 'the

experiences of the reader should *determine* the analysis and interpretation from the very beginning'.

But there is another way of looking at the problem, and that is to argue, as do Kress (1989a) and Hunter (1982), that the reader, like the writer, is inscribed in the model, which represents the process of meaning making from both angles (production and reception) in terms of discourse theory. Discourse was defined in Chapter 3 (3.3.2) as meaning making practices which are specific to particular groupings or institutions, and constrain what kinds of meanings may be made in texts, what kinds of lexicogrammatical features may be selected in texts. To be able to "read" a text at all, one must thus, like the writer, be familiar with the particular meaning making practices of the discourse. As Fowler (1987:488) puts it, 'you can only understand the text if you can bring to it relevant experience of discourse and of context'. In this view, the act of reading is not that of recovering meaning from text, but rather the 'result of the activation of certain rules and practices, [...] the definite recognition-effects produced by the *iteration* of certain rules and discursive practices' which produce both the text and its reader (Hunter 1982:82).

Kress (1989a) also argues that discourses and genres construct reading positions for the readers of texts, as readers, no less than writers, draw on their knowledge of the conventions associated with genre, register, and the discursive field, to make sense of the text. This is why both Greenfield (1983) and Hunter (1982) write of reading as 'training'. Hunter, writing about the reading of literary texts, argues that to read literature is 'the training that reconstructs not the *object* but its reader as a social agent defined (and certificated) by the possession of a special competence' (1982:87). Similarly, to read a literary critical text, or the editorial in one's favourite newspaper, or an advertisement in a magazine, is to reconstruct one's social position in terms of the sets of values, indications of modes of actions and behaviour appropriate to being a competent member of the discourse communities involved. This is why, as Kress (1989a)

argues, neither reading nor writing is a matter of 'just personal opinion': that personal opinion is socially constructed.

Readers need not, however, comply with the demands of a reading position constructed in and through the text. They may resist such positioning, and reconstruct the text in a significantly different form. But the point is that they can only do so once they have identified, or constructed, the original positioning created by the text.

#### 4.4 Literary critical texts and their context of production/interpretation

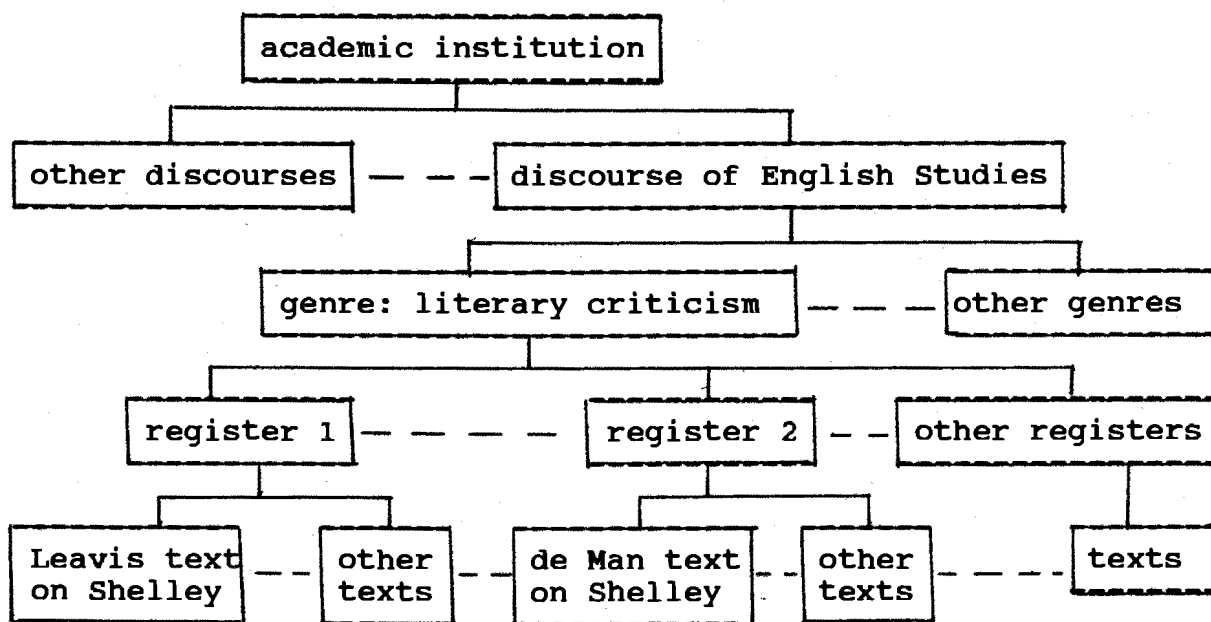


Figure 4.2 Literary critical texts and their context of production/interpretation

The main problem with this model is that it encourages looking at elements of the model (such as discourse, register, text) separately. As Figure 4.1 shows, these elements are closely interconnected, and such separation does, to some degree, distort the reality. While the dotted lines do show the links between, for instance, different registers or texts, they do not show the way in which traces of other genres than literary criticism may be found in certain registers or texts. Similarly, the model should not solely be looked at in top-down fashion, from institution to texts, as this, too obscures some of the relationships between

elements: certain textual features will produce changes in the registers, which in turn will affect the genre of literary criticism. Nevertheless, this model is useful in showing key relationships in the academic institution, and the ways in which individual literary critical texts are inscribed in the mesh of registerial and generic constraints produced by the institution.

#### 4.4.1 The academic institution and the discourse of English Studies

##### 4.4.1.1 The institution and the discourses it produces

The academic institution is the main frame within which literary criticism adopts the form of a practice. The institution could be defined as a community of professional people, bound by a certain number of rules, rights and obligations, who are paid to pursue knowledge and teach that knowledge to younger people. Both activities, the pursuit of knowledge and teaching, are carried out within a precise, highly conventionalised system of practices, itself part of the larger social context of the education system, and rewards and punishments, to staff members and students alike, are meted out according to that system. Through a complex system, involving funding on the one hand, and the conferring of degrees (and the value of those degrees in the market place), there are also very close links between the academic institution and the society of which it is a part. It must be added, however, that many sectors of the institution, particularly in the humanities, like to think of themselves as independent of society, or, to some degree, outsiders watching the world from some lofty standpoint of "academic" endeavour.

The institution is not a monolithic whole, rather it is divided into sections, depending on what is being researched and taught. MacCabe (1984:69) reminds us that "subjects" (eg physics, chemistry, history, English) 'are not part of the natural order but rather the products of immense historical processes both theoretical and educational, intellectual and political'. Thus, disciplines within the institution give rise to a number of discourses, e.g. the discourse of science, the discourse of



humanities, and more specific distinctions can also be made: the discourse of physics, of geography, of linguistics, of classical studies, of French studies, etc.

'Discourse' here implies both a discourse community and practices, preferred ways of making meaning (Kress 1985a). Swales (1990:23-27) makes a useful distinction between discourse communities and speech communities, and argues that discourse communities are "sociorhetorical" rather than sociolinguistic networks that form in order to work towards sets of common goals, i.e. the primary determinants of linguistic behaviour are functional: 'In a discourse community, the communicative needs of the goals tend to predominate in the development and maintenance of its discursal characteristics' (1990:24). Hence, the goals of research and teaching, pursued by the members of the discourse communities in the academic institution, determine largely the linguistic practices of their members. The duality of goals implies potential conflict and co-operation: while the two should, and usually do complement each other, there may also be situations where the one or the other is foregrounded.

Another useful notion from Swales (1990:24) is that 'a discourse community recruits its members by persuasion, training or relevant qualification'. In the case of academic communities, training and qualifications are the determinants, and the members of the academic discourse communities themselves train their colleagues and successors. Hence, the variety of discursive practices associated with the goal of teaching also function to help members reproduce themselves, so to speak.

Furthermore, Kress's (1989a:7) definition of discourse as 'systematically-organised sets of statements which give expression to the meanings and values of an institution' adds the notion of 'meanings and values' for each of the discourses in the academic institution. The plural form is important, because there may be tensions and conflicts, as well as agreement, within the discourse communities concerning a plurality of meanings and values. This is why the term 'knowledge' will not often be used in this study, although many would argue that academic institutions are designed

to produce and impart knowledge; the term is too inclusive, it implies singleness rather than plurality.

Finally, Foucault's concept of power needs to be added to this discussion of academic discourses: 'discourse is not simply that which translates struggles or systems of domination, but is the thing for which, and by which there is struggle; discourse is the power which is to be seized' (1981:52-3). Foucault (1978,1980) refutes what he calls the repressive hypothesis - the notion of power as force exercised from above to repress or contain. Instead, he argues, power is dispersed rather than centralised, and it shapes and produces, rather than merely represses. Power produces reality, it produces domains of objects and rituals of truth; in addition, 'individuals are the vehicles of power, not its point of application' (Foucault 1980:98). Hence, in the academic institution context, power is exercised by and through the myriad practices of the educational institution, rather than by individual members. The present study will identify some of the forms of the power exercised by one kind of discourse, that of literary criticism, as well as the struggle for power represented by various schools of criticism.

Within the institution, there is tension between discourses; there is competition for funds, for students, and such competition is closely linked to the delimitation of fields of expertise, and the values assigned to these. But the relationship between discourses is also one of co-operation and infiltration. Each academic discourse exists within the larger system of other opposing, contradictory, contending, or similar academic discourses, and there are dynamic relations between these. For instance, the discourse of literary studies has been infiltrated by the discourses of psychology, philosophy, linguistics, etc.

#### 4.4.1.2 The discourse of English Studies

In this section, the broad parameters of the discourse of English Studies will be presented, from the perspective of literary critics themselves. The previous discussion has shown that the key terms to identify a discourse are: a discourse community; goals;

meanings and values; struggles for power; interaction with other discourses.

a) Discourse community

Kermode (1979:72) defines the community as 'the professional community which interprets secular literature and teaches others to do so'. The community thus consists of staff members of English departments in universities and their students, in other words, members of an educational elite, which ostensibly has nothing to do with socio-politico-financial power, but is said to be founded purely on intellectual achievements, judged by the institution itself.

The community is thus very restricted, and does not accept outsiders, for instance book reviewers in magazines or newspapers, members of literary clubs. As Kermode (1979:73) points out, the opinion of the laity is of no consequence whatever. The activities of this small group, however, have a far reaching influence in the wider educational field, since many graduates will become teachers. As Foucault (1988:310) has argued, there is a paradox in the fact that while not many people read literature, 'our culture forces all its children [...] to pass through a whole ideology of literature during their studies'.

In addition, the discourse community of English Studies has a hierarchical structure, based on the right of the old to instruct the young, the authority of established members of staff over younger colleagues, and the whole system of competence testing, for both staff members and students alike.

b) Goals, meanings and values

Swales (1990:24) insists on the notion of common goals as the key factor which shapes the practices of a discourse community. In order to identify the goals, and associated values, of English Studies, Higgins's (1992:194-5) definition of the field is worth quoting at length:

What is the discipline of English? What is English literature? The answer to the second seems to cover the answer to the first. For one way of defining (English) literary studies

seems to be through a definition of its object.[...] Any questioning of this object, the established canon of English literature, is likely to make us feel either anxious and uncertain or exhilarated and polemical because, for most English teachers, the canon is the ground of the discipline, the ground on which we stand.[...]

What if we sought to define the discipline of English not in our habitual manner, by saying that literary studies are the study of canonical texts? What if we sought instead to define literary studies by its methods, by its practices, by its techniques? [...] If we were to do so, then a central element of the definition would have to be the peculiar status that literary studies assigns to language. [...] For literary studies, language is grasped not only as an instrument of communication, but as an object of attention and analysis in its own right. Literary studies is above all a hermeneutic or interpretive discipline.

Overall, then, the discourse of English Studies is primarily concerned with the interpretation of English literature. This involves canon formation, ranking and evaluation. Critics have identified four fundamental (ideological) assumptions underlying this task:

- (i) the interpretation of literature for its own sake is intrinsically valuable (Newton 1982:111), an end in itself (Eagleton 1983:124);
- (ii) literary language is an object of attention and analysis in its own right (Higgins above);
- (iii) there is such a thing as literary language, distinct from ordinary language (Felperin 1985 :259) and it is this 'literary' language which is worth studying, which helps explain why critics have not considered the language of critical texts (see 4.2);
- (iv) the study of literature 'is considered to be profoundly, even constitutively, nonpolitical: [...] "they" can run the country, we will explicate Wordsworth' (Said 1983:18,29), which reflects 'the desire to create a critical discourse above the world of contest and human dispute, in the realm of uncontested truth' (Ryan 1992:210).

One of the tasks of the textual analyses in this study will be to see whether these key assumptions are indeed encoded in the language of literary criticism.

The literary institution, Kermode (1979:80) argues, 'controls the choice of canonical texts, limits their interpretation, and attends to the training of those who will inherit the presumption of institutional competence by which these sanctions are applied'. This raises the question of institutional control of interpretation: embedded in the discourse of English Studies are also underlying assumptions concerning which texts form part of the canon, which hermeneutic procedures are permissible, which readings of the canon are acceptable to the community. Central to the discourse is, in fact, not only the acceptance of differing interpretations, but the active pursuit of liberal tolerance, provided that the differences remain within certain bounds. As Eagleton (1984a:30) puts it, 'Any kind of view may be acceptable provided that it is a literary critical view, provided that it is within the boundaries of an established discourse', and Kermode (1979:82) asserts: 'What we value most in work submitted to us by those who would like to join us is an originality that remains close to consensual norms'.

The question then is to find what the boundaries, the consensual norms are, given the fact that the discourse community refuses to establish clearly and unequivocally what those norms are, and insists on the image of freedom. This search leads to a discussion of power struggles within the community, since 'conflicting readings [form] part of a conflict of interests which is ultimately a contest for power' (Belsey 1982:177).

### c) Struggles for power

Literary critics themselves acknowledge the importance of power struggles in the play of different interpretations.

Considerable power [...] is at stake, nothing less than that latent in the pedagogical discourse and practice of literary study at all levels, from postgraduate programs down to the school curriculum (Felperin 1985b:256).

The way a discourse survives is by policing its own boundaries. We're talking about the point where discourses tie up with power - the nexus between discourse and power, one traditional word for it is ideology (Eagleton 1984a:30).

The activity of critical interpretation helps to form agonistic communities, each seeking "hegemony" over the others. [...] The work of interpretation itself reflects the power structure of the academic institution in which it takes place. (Butler 1988c:135)

What seems to be at stake in those struggles has to do with the power conferred by the institution in its appointments and promotions, and the prestige linked to these. The institution has the ability and the power to control innovation and unrest by sanctioning (institutionalising) any new critical discourse, which will be recuperated and routinized; if it does not become institutional, it falls into neglect.

The question remains to determine on what basis new critical discourses are accepted and others rejected. Newton (1982) presents a persuasive argument according to which it is society at large which, ultimately, is the arbiter of the power struggles within the institution, despite the institution's professed distance from society. Newton maintains that it is the institutionalisation of literary criticism that guarantees it its role in society as a legitimate activity. However, the institution's survival depends on its retaining the acceptance and the respect of the dominant forces of society. Should society come to view the study of literature as pointless and futile, the discourse of English Studies would cease to exist.

Consequently, the institution polices the world of literary criticism so that only those interests which are likely to have the respect of the dominant forces in society are permitted to govern the interpretation of literary texts, and it sanctions new interpretations and new modes of interpretation. Most of these new interests will be derived from the dominant preoccupations of society at any particular time. For example, Newton argues that the vogue for feminist interpretations of literature is clearly related to the high level of social concern with feminism in many English-speaking societies. 'Pluralist interpretation', Newton (1982:111) maintains, 'is intrinsic to the relation between literary criticism as a socially validated practice and the changing interests of society at large'.

This might explain why the discourse of English Studies is so capacious as to accommodate - and praise - those who are its most vocal critics, like Belsey or Eagleton. They, and critics like them in many English departments all over the world, challenge most of the key 'meanings and values' of the discourse. The challenge is accepted, and sanctioned, however, because such challenge corresponds to yet another perception (or "interest", as Newton would say) that society holds: academic institutions are the place where innovation and challenge constitute a virtue.

But, to be acceptable, such innovation and challenge must still be offered from within the 'consensual norms' Kermode mentions. Eagleton (1986:260) identifies what those norms consist of, and his argument, already quoted in Chapter 1, constitutes the starting point of the present study:

All that is being demanded is that you manipulate a particular language in acceptable ways. Becoming certificated by the state as proficient in literary studies is a matter of being able to talk and write in certain ways. [...] Nobody is especially concerned about what you say, with what extreme, moderate, radical, or conservative positions you adopt, provided that they are compatible with, and can be articulated within, a specific form of discourse. [...] Literary theorists, critics, and teachers, then, are not so much purveyors of doctrine as custodians of a discourse.

However, as was mentioned in 4.2, no critic, not even Eagleton himself, has ever tried to identify what those 'acceptable ways' of talking or writing involve, and critics' discussions of the 'discourse' of English Studies have always focused on the propositional content of the 'extreme, moderate, radical, or conservative positions' different schools of criticism have adopted over the years. Some of the reasons for this attitude have to do with the key assumption, mentioned above, that only 'literary' language is worth studying. Other reasons have to do with the relationships between the discourse of English Studies and other academic discourses, which will be briefly considered below.

#### d) Interaction with other discourses

Mention has been made in 4.4.1.1 of the fact that many other discourses permeate the discourse of English Studies. Features of

other academic discourses, such as psychology, history, linguistics, and political discourses such as Marxism, have been adopted and used, and then sometimes discarded, over the years. This reinforces Newton's (1982) argument concerning the pressure of societal changes on academic literary studies.

The relationship between English Studies and other discourses, however, is also one of conflict. Its obvious manifestations can be seen in competition for students and for funds in the complex web of inter-faculty and inter-departmental relations in any university. Underlying such competition are deep-seated mistrust, and jealous guarding of one's "special field", which can lead to acrimonious debates, and explain why successful interdisciplinary endeavours are so rare. The relationship between English Studies and linguistics is a case in point.

When, in the 1960s, insights from linguistics (primarily then Chomsky's transformational-generative grammar) were brought to bear on literary texts, a bitter controversy ensued, as is evidenced in the debate between Roger Fowler and F.W. Bateson in the journal Essays in Criticism (reprinted in Fowler 1971), and linguists found themselves having to answer Helen Vendler's challenge (quoted in Carter 1982b:7) :

If linguistics can add to our comprehension of literature, someone trained in linguistics should be able to point out to us, in poems we already know well, significant features we have missed because of our amateurish ignorance of the workings of language.

A "we/they" attitude is evident in this statement, as is yet another assumption of literary discourse, viz that any analysis of a literary text must show something "new" (see 4.4.2 below). The point, though, is that members of the English Studies discourse community have always distrusted a linguist's view of language.

Such is the power of the literary discourse assumptions listed in 4.4.1.2 that Carter (1982b:7) openly states that stylisticians 'need to play the game according to literary rules [...] the accommodation is primarily in the direction of literary criticism which is, after all, in terms of the study of English at all levels, very much the dominant model'. Short (1982:55) agrees:



'the general approach adopted ... is that of using linguistic stylistic analysis as a means of supporting a literary or interpretative thesis'. The (ongoing) debate between a literary and a stylistics viewpoint might help explain why no literary critic has ever attempted to analyse the language of literary critical discourse: literary critics analyse literary texts, and leave other types of texts to the linguistics-trained stylisticians.

The discourse of English Studies finds its expression in a number of institution-dictated genres such as literary criticism, literary theory, review of publications, academic lecture, academic seminar, higher degree thesis, conference paper. In addition, it may also be used in a variety of other genres, from tea-time discussion in the staff room and personal letters to advertising. The following section will thus establish some of the broad parameters of the genre of literary criticism, in which the two texts to be analysed participate.

#### 4.4.2 Literary criticism as genre

Hohendahl (1988:2) has argued that it is not possible to talk of literary criticism as a single genre, because of the heterogeneity of its materials: 'the forms in which literary criticism has historically appeared - review, commentary, polemic, essay, dialogue, reportage, and finally also literary history - hardly permit its conceptualization as a single genre'. Given the preceding discussion in Chapter 3, however, it appears that Hohendahl is in fact referring to the "discourse" of literary studies (narrowed down in this study to the discourse of English Studies), which is actualised in a number of genres.

Mention was made in Chapter 3 of a number of different systemic views of genre. In this study, Martin's (1985) distinction between genre as activity-type and register as text-type is adopted, to which Swales's (1990) notion of communication adds a useful dimension: 'a genre comprises a class of communicative events, the members of which share some set of communicative purposes. These purposes are recognized by the expert members of the parent

discourse community, and thereby constitute the rationale for the genre. This rationale shapes the schematic structure of the discourse and influences and constrains choice of content and style' (Swales 1990:58).

Literary criticism as genre, then, is an event, an institutional phenomenon. Literary critics are not, however, much help in trying to identify its characteristics, because this is an area which they have not discussed at all; as mentioned earlier, they have commented at length on the discourse of literary studies, but not on the forms through which this discourse is transmitted.

Hohendahl (1988:3), however, poses a number of key questions concerning literary criticism, and these questions will now be used as a starting point for the identification of the elements of the genre. The answers to these questions point to specific elements of the context of culture: participants in the event, purposes, and medium of communication. How these elements are realised in the lexicogrammar of two literary critical texts will be investigated in later chapters.

(i) Who are the participants in the event?

Participants are members of the discourse community as defined above, but a very restricted group of this community is involved. Said (1983:10) mentions 'a steadily attentive and earnest crowd of 3000 critics reading each other', and Culler (1987:86) says that 'American teachers of literature spend a vast amount of time evaluating - not literature, but one another - so that critical writing and proposals for critical writing become crucial to academic careers'.

Literary criticism, then, is written by academics, staff members of university departments, for other academics. Few undergraduate students ever read literary criticism in its original form; postgraduate students do read it, but do not write it. This is why Peck MacDonald's (1990) study of literary critical texts, mentioned in 4.2, is unhelpful: she considers the texts from the standpoint of composition teaching, and argues that the majority of undergraduate students find it difficult to read those texts, when in fact the texts were never meant to be read by students.

There are two implications in this restricted audience. The first one is that the relationship between writers and readers is one of both competition, if critical writing is 'crucial to academic careers', and solidarity: writers must show deference to the discourse community, as 'custodians of a discourse' (Eagleton 1986, quoted in 4.4.1.2). One notable feature of the genre is the myth of equality: young recruits into a department writing their first article are supposed to be, and present themselves as, of equal status to established figures in the field, in a way that would not be possible in other genres like conference paper or academic lecture.

The second implication concerns the genre goals. If critics write for other critics, then the teaching focus of the discourse community is no longer relevant, and demonstration of research abilities becomes the writers' primary goal.

(ii) What specific tasks are assigned to literary criticism?

The main, acknowledged, goal of literary criticism is the interpretation of literary texts. This is what distinguishes the genre from, for example, literary theory (the discussion of methods and aims of literary criticism). To some extent, literary criticism, then, is an applied field as there is no criticism without a theory. Critics are free to discuss their aims and methods, if they so wish, but the focus of their writing should be the specific interpretation (analysis and evaluation) of literary texts. Within those parameters, critics may write on one literary text only (for instance, a poem by Shelley), or several texts by the same or different authors.

(iii) What is the status of literary criticism within the institution?

The genre of literary criticism is central to the discipline. First of all, it makes or breaks reputations and careers: 'critical writing becomes the chief activity by which one's standing is determined' (Culler 1987:93). Secondly, it - far more than the related genres of academic lecture or higher degree thesis - determines the direction the discipline is taking, promotes or stops changes in orientation. The assumption is that

critics write because they have something new to say, and their article or essay constitutes new knowledge in the discipline. These changes in orientation are realised (in Halliday's sense) in different registers which may co-exist or replace one another (see 4.4.3 below). The importance of the genre has in fact increased during the last twenty years with the increased pressure to publish put on academics.

(iv) Which media are considered appropriate?

Literary criticism is disseminated through published written prose: either short articles published in specialised journals and sometimes in collections of essays, or book-length publications. The implications are that published written words have permanence; they can be used by other critics in a variety of ways, depending on their own agendas and historical circumstances. Leavis's (1936) article on Shelley, for instance, is now mostly read in terms of its place in the history of literary criticism, rather than for its insights on Shelley's poems.

An important feature of published academic prose is the textual conventions governing the structure of texts. Hasan's (1984d) and Martin's (1985) discussions of genre both emphasize the notion of "stages" in the unfolding of the process of achieving a particular goal (see 3.3.3.2). Chapter 7 will attempt to establish whether there are specific conventions governing the unfolding of a literary critical argument, i.e. conventions which differ from the more general ones governing academic writing.

Other questions related to the task of literary criticism - why one should interpret literary texts, and how one does it - constitute the subject of much debate, and the differences between critics give rise to registers of literary criticism.

#### 4.4.3 Registers of literary criticism

The requirements of the genre constrain choices in register in terms of tenor, field and mode (see 4.4.2 above). In addition, certain orientations on the part of the critics, which could be called ideological, enable further identification of different

types of literary critical texts. Depending on the critics' conceptions of their role and function in the process of literary criticism, of their educational role, different schools of literary criticism have emerged over the years, and these have tended to influence their members' writings in such a way that very distinctive types of texts can be distinguished. Such types are called registers.

The registers can be identified by particular combinations of field features mostly, which in turn influence tenor and mode features. Two registers of literary criticism are studied here: "liberal humanist criticism" and "deconstructive criticism". Other registers would include: feminist criticism, Marxist criticism, reader-response criticism, and sometimes a mix of these: for instance, Belsey (1980) herself identifies the theoretical background of her argument in Critical Practice as feminist, Marxist and deconstructive.

The following sections will very briefly review the conditions under which each register arose, and some of the main features of the two literary theories which underlie the practical analyses which will be examined in the next four chapters.

#### 4.4.3.1 Register 1: liberal humanist criticism

Liberal humanist criticism arose out of the launching of F.R. Leavis's magazine Scrutiny in 1932, and the new English Tripos at Cambridge in 1917, which relegated Anglo-Saxon literature and philology to optional status, in a syllabus which was overwhelmingly modern and literary in orientation (Mulhern 1979:20).

Light (1983:66) stresses that one must see the Scrutiny enterprise as arising out of a period of 'acute social crisis': the economic decline and political dislocation of post-war society in Great Britain, the struggle between modernism, represented by the new Cambridge English Tripos, and the aristocratic amateurism which had dominated University English faculties. Leavis, explain Mulhern (1979) and Light (1983), was haunted by the sense of a

world and a set of values which had vanished, the idea of a genuine community, of man close to nature, unreflectingly religious. Then, as he saw it, all this was changed by industrialism and mass civilisation. But, if the old values were fast disappearing, they did persist in one crucial area: great literature, or a selected canon of it; they could be rediscovered and re-enacted in the process of responsive critical reading.

This, the vital importance of "scrutiny", or close reading, of great literature, constitutes the main creed of the Scrutiny endeavour, and of the discourse of English Studies in general. Other key assumptions of the register will be considered in the analyses that follow, but what needs to be stressed is that this core tenet of liberal humanist criticism also constitutes the core tenet of the English Studies discourse as a whole, and is as strong today as it was in the 1930s. Light (1983:66) calls the Scrutiny movement 'the most powerful ideological movement in British intellectual life this century'. Despite a myriad of criticisms from all corners of the discourse community, and the rejection by Marxist critics like Belsey and Eagleton, the Leavis legacy survives to such an extent that most literary critics today should acknowledge, like Glenn (1992:186), that 'we are more Leavisite than we care to admit'.

#### 4.4.3.2 Register 2: deconstructive criticism

For American critics in the 1970s, the waning of New Critical hegemony, yet another register of English Studies, coincided with a sudden new interest in French theoretical ideas, as represented by the writings of the French philosopher Jacques Derrida (1976). The striking feature of deconstructive criticism, as the new register came to be called, is that, from the start, it was presented as essentially subversive, 'the antithesis of everything that criticism ought to be if one accepts its traditional values and concepts' (Norris 1982:vii), providing 'the impetus for a total revaluation of interpretative theory and practice' (Norris 1982:17).

Part of the then felt subversiveness of the new register was the difficulty of understanding both Derrida's writings and the use made of his ideas in the field of literary criticism. Opaque statements defining reading as 'an allegory that narrates the impossibility of reading' (de Man 1979b:77), or literature as 'any text that implicitly or explicitly signifies its own rhetorical mode and prefigures its own misunderstanding as the correlative of its rhetorical nature; that is, of its "rhetoricity"' (de Man 1983:136) contributed to the feeling of radical revision of thinking in the literary world. In addition, deconstructionists themselves and sympathetic critics kept insisting that 'to present "deconstruction" as if it were a method, a system or a settled body of ideas would be to falsify its nature and lay oneself open to charges of reductive misunderstanding' (Norris 1982:1), which was perhaps a convenient way of eschewing the difficulty altogether.

Although the attempt undoubtedly constitutes a falsification of deconstructionist thinking, one could perhaps summarise the movement's main claim to "subversion" as follows. Implicit in the discourse of English Studies has always been the idea that literary texts possess meaning and that literary criticism seeks a knowledge of that meaning. Deconstructionists, on the other hand, assert that language always subverts its own meaning to the degree where a text cannot possibly mean what it says or say what it means (Derrida 1976:139). In other words, discussion of a work of literature must be aimed at "deconstructing" its layers of signification until its internal inconsistencies are revealed, leading to an "aporia" or impossibility of determining any meaning, because of the presence of constant internal contradictions. In de Man's words, a text is 'unreadable in that it leads to a set of assertions that radically exclude each other', or to a 'confrontation of incompatible meanings' (de Man 1979b:245,76). In addition, deconstructionists insist that critical texts must be read in a radically different way, not so much for their interpretative "insights" as for the symptoms of "blindness" , 'the orbit of significant misinterpretation', they reveal (de Man 1983:116).

On the face of it, then, deconstruction appeared to present a fundamental threat to the institutional practices of English Studies. And yet, the cry for large-scale institutional reform that such a threat ought logically to have led to has not been forthcoming. A sympathetic critic like Norris (1982:17) admits that 'in the hands of less subtle and resourceful readers deconstruction can become -it is all too clear- a theoretical vogue as uniform and cramping as the worst New Critical dogma'. Opponents believe that 'while the deconstructionist feels rebellious, iconoclastic, and nonconformist, what strikes the outsider is the standardized, routine quality of the performance' (Ellis 1989:151). These sentiments are echoed by Felperin (1985:263) who states that far from challenging the institution, deconstruction 'has all but become the institution [...] as one classic text after another is subjected to moves and reflexes increasingly predictable and programmatic, and the aporias and undecideabilities, the *mises-en-abyme* and impasses, the deferrals and misprisions in the canonical literature are relentlessly unfolded'.

In fact, the very routinisation and institutionalisation of what appeared to pose a fundamental threat to the institution demonstrates the power of the academic literary institution, in its capacity to absorb and homogenize any new theory that might threaten its sovereign claim.

#### 4.4.4 The two texts to be analysed

As Figure 4.2 shows, the different registers (or text-types) of English Studies are realised in specific texts. A text by F.R. Leavis, as the main force behind the Scrutiny enterprise, has been chosen for detailed analysis as representative of the liberal humanist register, while a text by Paul de Man, 'the best practitioner of deconstruction' (Culler 1983:ix), illustrates the register of deconstruction. The choice of texts written by two prolific, well-known, leading figures in each school of criticism enables the identification of those key lexicogrammatical features which determine and give direction to a particular trend in



literary criticism, features which will be reproduced in the writings of their respective followers.

As far as the texts themselves are concerned, it seems that the objective of distinguishing between those features which encode discoursal and generic constraints and those features which encode registerial constraints is best met when analysing texts which share the key "field" characteristic of subject matter. If the two critics are interpreting the same literary text(s), then the common features of the discipline and the differences in approach and aims will be shown in sharp relief. Consequently, 'Shelley' by Leavis and 'Shelley disfigured' by de Man were chosen for this analysis.

Leavis's 'Shelley' appeared in Scrutiny in 1936, and was included in the collection of essays Revaluation published later that year. In his article, Leavis analyses closely a few extracts from Shelley's poetry, and offers general comments on the poet's output. De Man's 'Shelley disfigured' was first published in 1979 as an essay in a collection of essays on the Romantic poets (Bloom et al 1979), and was later included in de Man's (1984) The Rhetoric of Romanticism. In his essay, de Man analyses only one of Shelley's poems, 'The Triumph of Life', and offers general comments, not on Shelley's poetry, but on the critical reading process. Both texts appeared relatively early in the critics' careers, at a time when Leavis and de Man were beginning to establish ascendancy over fellow critics, and both texts have often been commented on, or quoted in discussions of liberal humanist criticism and deconstruction (Bergonzi 1990, Brooks et al 1985, Chakravorty 1981-82, Culler 1983, Saunders 1988).

The question, then, is (i) whether the analysis of two texts of literary criticism enables significant generalisations to be made concerning registerial, generic and discoursal characteristics, and (ii) whether it is possible to analyse fully both texts (64 pages in all) when such analysis, as was explained in Chapter 2, is based on the clause as primary unit of meaning. Matthiessen (1993:275), writing from the perspective of register analysis, believes that it is possible to achieve a comprehensive account of

registers through sample analysis if one can make principled selections and use such selections as a way into a comprehensive account, through taking a section or 'slice' out of the total system. He suggests (1993:277-278) a two-pronged approach, combining a lexicogrammatical slice through the system, possibly accompanied by excursions into discourse semantics, with 'an instantial slice providing as full an account as possible of one or a few text instances (or, if the register produces long texts, text passages) that are judged to be representative'. This approach is represented in Figure 4.3.

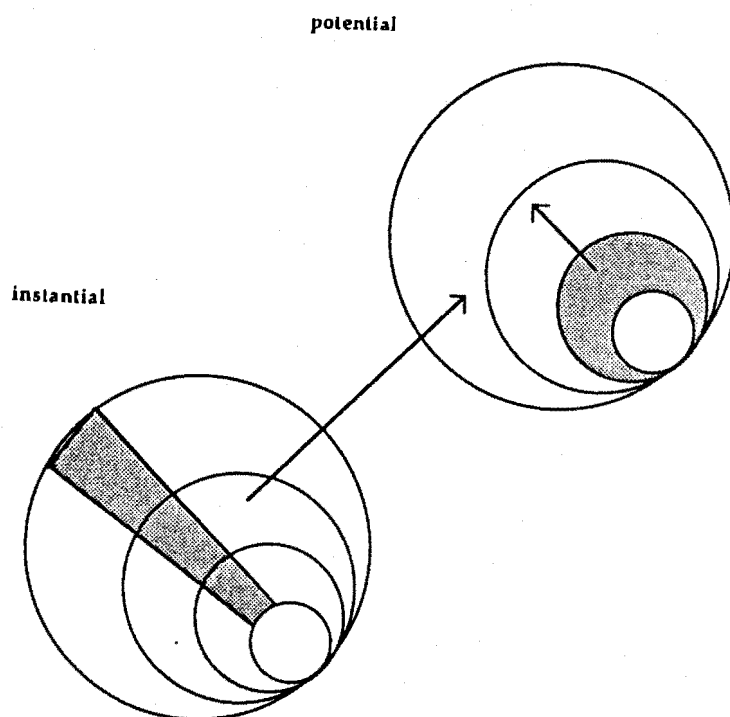


Figure 4.3 Two-pronged approach to the description of a register  
(Matthiessen 1993:278)

Matthiessen (1993:277) further reminds analysts that the goal of register analysis is not the instance but the potential, 'the system that summarizes past texts in the register and predicts future ones'. He adds that one important part of the move from instance to potential is 'the move from text frequency [...] to systemic probabilities in the potential' (1993:277).

Consequently, the approach used in this study proceeds along the following lines. Two texts belonging to the registers of liberal

humanist literary criticism and deconstruction have been chosen, according to the principles explained above. In each text, extracts which are felt to be representative on a number of levels (from subject matter to mode) have been selected:

- (i) from Leavis's 'Shelley': one section in which Leavis analyses closely a few stanzas from a poem by Shelley, 'When the lamp is shattered', and one section in which Leavis discusses Shelley's poetry, with specific reference to a few poems, including 'The Triumph of Life';
- (ii) from de Man's 'Shelley disfigured': two short sections in which de Man analyses closely a few passages from the poem 'The Triumph of Life', and one section in which he discusses the reading process, in the light of his previous analysis of Shelley's poem.

In this way, the extracts can be fruitfully compared in terms of the writers' goals: specific poem analysis and generalisations. The extracts are also roughly equivalent as far as length is concerned: 1437 words and 138 clauses in the text by Leavis, 1368 words and 149 clauses in the text by de Man. Clauses 1 to 98 in Leavis's text, and 1-91 in de Man's text, deal with the specific analysis of a poem by Shelley; clauses 99 to 138 and 92 to 149 respectively deal with generalisations. These extracts are reproduced in Appendices A-1 and B-1, and the clause analysis of each is given in Appendices A-2 and B-2.

In Chapters 5, 6 and 7, a metafunctional slicing, to use Matthiessen's (1993:276) term, is applied to these extracts. Each extract is analysed in terms of the lexicogrammatical features of the three metafunctions, ideational, interpersonal and textual, but these are linked to their relevant contextual features - the instantial slicing represented in Figure 4.3. Some of these contextual features have already been mentioned in this chapter; more specific ones will be discussed in each following chapter.

#### 4.5 Conclusion

In this chapter, the field of literary criticism has been introduced. Investigation of studies of literary critical texts has revealed that most literary critics have concentrated on the

propositional content of such texts, and have rarely commented on the language of literary criticism. The two linguistic studies of literary critical texts to date provide useful insights into some features of the texts, but both are marred by the lack of adequate contextualisation, and fail to take into account the many variables of context identified in Chapter 3.

Consequently, a modification of Martin's (1986) model of the relationship between text and context was presented. This model shows how the contextual variables of register, genre, discourse and ideology interact with one another, and affect the production and reception of texts, which are thus socially constructed.

Then, the literary critical texts to be analysed in subsequent chapters were contextualised in the broad framework of the academic institution, the discourse of English Studies, the genre of literary criticism, and the registers of liberal humanist criticism and deconstruction. This general discussion of the contexts in which the two texts were produced was based largely on what literary critics themselves have said about their field, and the task now remains to analyse these texts in terms of the systemic linguistic model outlined in Chapter 2.

## CHAPTER 5

### THE IDEATIONAL FUNCTION

#### 5.1 Introduction

This chapter and the next two provide an analysis of textual features in the extracts of the two texts which were identified in Chapter 4, section 4.4.4. This analysis is inevitably incomplete, and to some extent distorted by the fact that it is based on sections of the texts only: significant features of the texts may not be present in the extracts being analysed. However, such small-scale yet in-depth analysis of sections of the texts is essential to show the interaction of the various elements of the text/context relationship which was discussed in Chapter 4 and represented in Figure 4.1. The extracts chosen for analysis were selected as representative of the kind of text literary critics write when they analyse a literary text by discussing, in Leavis's terms, "the words on the page", and then generalise from the observations which they have made. In this sense, then, and despite a few inevitable gaps in the analysis, the observations and interpretations which will be made in this and the next two chapters should identify the main characteristics of literary criticism.

The purpose of this chapter is to consider how the first major contextual feature, field of discourse, shapes the experiential/ideational meanings made in the two texts by Leavis and de Man. Martin (1986:236) interprets field as 'a set of activity sequences oriented to some global institutional purpose'. Thus, the field of literary critical discourse is the set of activities in which academic literary critics engage, in order to interpret the literary text(s) they are considering. In other words, the delimitation of the field of literary critical texts involves considering the main task, the interpretation of literary texts, by answering the question: 'What does the world of literary criticism consist of?' This chapter will identify those features of ideational meanings in the texts which answer this question,

and it will distinguish between those features which derive from the discursal and generic constraints operating in the production and interpretation of the texts, and those features which can properly be ascribed to the registerial constraints of 'liberal humanist criticism' and those of 'deconstructive criticism'.

The chapter is organised as follows: first, an explanation of the grammatical analysis is given, to isolate those textual features which encode the specific patterns of literary critical experience: the transitivity system, grammatical metaphors, nominal groups, and lexical sets. Then, those linguistic patterns are interpreted in terms of the discursal, generic, registerial and textual meanings they both reflect and help produce.

## 5.2 The grammatical analysis

The discussion in Chapter 2 has shown that in systemic grammar the unit of analysis is the clause. The full analysis of the various features of the 138 clauses in Leavis's text and the 149 clauses in de Man's text is presented in Appendices A and B. Examples of clauses will be referenced as follows: (L-1), or (DM-3), to indicate clause 1 in the text by Leavis and clause 3 in the text by de Man respectively.

Matthiessen (1993:244) argues that 'registers are specified in terms of different probabilities associated with systemic options', and one of the tasks of the analyst is to identify in the specific instance, i.e. a text or texts, those features which may be potentially relevant, that is, are likely to be found, again and again, in texts of the same type. Hence, in this section, a number of tables are presented in order to show quantitatively the meaning potential characteristics of the two registers of literary criticism which are being contrasted.

### 5.2.1 Transitivity

Transitivity is an area of meaning in which writers choose and construct a certain type of process for their clauses; these types of processes show how writers encode in their language their

mental picture of reality and how they account for their experience of the world around them. Halliday (1985a:101) explains:

What does it mean to say that a clause represents a process? Our most powerful conception of reality is that it consists of 'goings-on': of doing, happening, feeling, being. These goings-on are sorted out in the semantic system of the language, and expressed through the grammar of the clause.

Thus, as far as the transitivity system is concerned, language is about agents, affected entities, processes, phenomena, relationships in the context of situation. Yet language does not mirror states of affairs passively. Instead, language presents these states according to the view of the writer, and this is why critical linguists have argued that language, as a product of reality, acquires the power of influencing, maintaining or changing this very same reality. This explains why the transitivity model has occupied a prominent place in the analytic toolkit of work within the critical linguistics tradition (see section 3.2.1 in Chapter 3).

The semantic processes expressed by the clause have potentially three components: the process itself, typically realised by the verbal group, the participants in the process, typically realised by nominal groups, and the circumstances associated with the process, typically realised by adverbial and prepositional groups. The following sections will analyse the types of processes and participant roles that are associated with these processes, as being the most salient distinguishers of field characteristics in the two texts under consideration.

#### 5.2.1.1 Types of processes

Section 2.1.3.5 in Chapter 2 has listed briefly the main types of processes, and the full analysis of process types in the two texts can be found in sections A-3-1 and B-3-1 of Appendices A and B. The classification of process types follows Halliday (1985a) and the notational system used is that of Halliday (1992). Any interpretation of a text involves decisions. What follows is an explanation of some of the decisions which were taken when determining process types for the clauses of both texts.

Material processes are processes of 'doing', as in '*yet it shines*' (DM-5), or '*dream unfolds within dream*' (L-117). Occasionally, the line between a mental process and a material process is quite thin, as in '*reading.... one may stop*' (L-4/5). These two clauses, and other similar ones, have been interpreted as material processes, as the main determinant of meaning appears to be the goal-directed action of reading or stopping, in contrast to the more straightforward examples of mental processes (processes of 'sensing') like '*for those who like that sort of thing*' (L-28) or '*since the poet perceives so clearly*' (DM-11). But '*one may find something too like an element of luxury in the poignancy*' (L-83) has been interpreted as mental:cognitive, rather than material, as the action of finding is more clearly linked to a mental process.

It is significant, in terms of the textual interpretation which follows, that mental processes have in fact proved the ones most difficult to classify, the ones sharing many fuzzy edges with other process types. For example, the distinction between mental and verbal processes is also often blurred. Verbal processes, or processes of 'saying', are clearly illustrated in '*and ask*' (L-6) and '*it is explicitly stated*' (DM-9). However, the clause '*intelligence and imagination insist on intruding*' (L-52) has been classified as mental:cognitive, while '*Shelley's poem insists on the hyperbolic lightness of the reflexive contact*' (DM-75) has been interpreted as verbal. In (L-52), the reader's intelligence and imagination perform a cognitive task, while in (DM-75), the grammar of the clause presents the poem as wilfully performing the act of enunciating, or verbalising.

Relational processes are processes of 'being', and they represent relationships that exist between elements in the clause. These relationships may be attributive (*x is an attribute of y*) or identifying (*x is the identity of y*). In the attributive mode, an attribute is ascribed to some entity; either as a quality (intensive), as a circumstance of time, place, etc. (circumstantial) or as a possession (possessive). For example: '*the emotional purpose... would be suspect*' (L-9) and '*Shelley's imagery ... is instead extraordinarily systematic*' (DM-43) are



relational:intensive/attributive; *'it alone in the poem has any distinction'* (L-62) is relational:possessive/attributive. In the identifying mode, one entity is used to identify another by token-value (intensive), circumstance (circumstantial) or possession (possessive). For example: *'the truant must be the mate'* (L-42) and *'it is called a "billow"'* (DM-79) are relational:intensive/identifying; *'that concerns us'* (DM-40) is relational:circumstantial/identifying (see Halliday 1985a:125); *'the 'eagle home' ... is the Poet's'* (L-75) is relational:possessive/identifying.

Finally, existential processes represent that something exists or happens. These clauses typically include the word 'there' as a dummy subject, as in *'that there should turn out to be a song'* (L-27) or *'there can be no acceptable answer'* (L-40). More rarely, 'there' can be omitted, as in *'whenever this belief occurs'* (DM-118).

TABLE 5.1 Comparison of process types in the two texts

Process type	LEAVIS		DE MAN	
	No	%	No	%
Relational	49	35.5	67	44.9
Attributive	33	23.9	33	22.1
Identifying	16	11.5	34	22.8
Material	31	22.4	63	42.2
Mental	28	20.2	6	4
Cognitive	20	14.4	5	3.3
Affective	8	5.7	-	-
Perceptive	-	-	1	0.6
Existential	17	12.3	4	2.6
Verbal	13	9.4	9	6.0
Relational & Existential together	66	47.8	71	47.5
TOTAL	138		149	

While individual features of this table will be commented on in the next sections, a few general comments may be made at this stage. The preponderance of relational processes in both texts is clearly related to the expository analytical genre of academic literary criticism. Expository texts are 'about the way things are, from the perspective of the observer' (Martin et al 1985:61). Martin (1986:246) contends that expository genres have a thesis to propose and defend, but while expository hortatory genres persuade readers to, expository analytical genres persuade readers that. Typically, then, academic criticism presents a thesis about the way the world should be seen, not the way the world should be. Hence, the two texts favour relational clauses, as the central meaning of clauses of this type is that 'something is' (Halliday 1985a:112). It should also be noted that, together, relational and existential clauses constitute just under half the clause composition of both texts. This reinforces the point which has just been made, namely that literary critical texts are concerned with presenting 'what is' in the world.

Material processes constitute the next most prominent type of clauses in both texts. This would suggest that the texts are concerned with actions and events. However, the majority of these material processes represent actions which are either abstract or, if concrete, then of a very general kind. Examples of abstract actions would include: '*reading with an unsolicited closeness*' (L-4), '*the emotional purpose of the poem is served*' (L-8), '*we have moved from "thread" to "tread"*' (DM-83), '*it leads to a misreading*' (DM-120). When the processes are concrete, they refer to actions being performed in the poem(s) the critics analyse: '*like the wolf pursuing the deer*' (DM-32), '*it is no longer gliding along the river*' (DM-87). As de Man fuses 'actions' from The Triumph of Life into his own critical prose rather more frequently than Leavis does, this explains, partly, why there are more material processes in his text.

Registerial differences are shown in the analysis of the other types of processes: there are considerably more mental and verbal processes in Leavis's text. In other words, Leavis's text does not only explain the way the world should be seen, from the writer's

point of view (relational processes), and what is in the world (existential processes), or what happens in the world (material processes). It also offers comments and reflections about the world (verbal and mental processes). This issue is now going to be examined further through a consideration of participants in the processes.

#### 5.2.1.2 Participants

The analysis of participants in all clauses is shown in sections A-3-2 to A-3-6 and B-3-2 to B-3-6 in Appendices A and B. The classification of participants was done as follows:

- a) Abstract terms, such as *effect, purpose, suggestion, confusion, sensibility, failure* (in the text by Leavis) and *meaning, forgetting, suspicion, strategy, system, process* (in the text by de Man).
- b) Elements of poem(s), such as *stanza or tags*, but also terms referring specifically to elements/participants in the poem(s) being analysed, such as *dirges, Love, truant, mate, surface, water*.
- c) Poem(s), such as *poem, The Mask of Anarchy, The Triumph of Life, Adonais*.
- d) Impersonal forms, such as *it, this*.
- e) Poet, such as *Shelley, Milton*.
- f) Reader, such as *those (in L-30), one, anyone, readers*.

It was stated earlier that academic criticism presents a thesis about the way the world should be seen, and what is in the world, either by giving it some attribute, or by identifying it. In relational:attributive processes, the key participant is the Carrier: the entity which is being given some attribute. In relational:identifying processes, the key participant is the Identified. Together, Carriers and Identifieds map out a good deal of what the world, as seen from the writer's perspective, consists of. Hence, Tables 5.2 and 5.3 show clearly that the main participants in the presentation of the field of academic literary critical texts are largely abstractions, not people or things.

**TABLE 5.2** Comparison of the participants 'Carrier' in relational:attributive processes

Carrier	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	24	72.7	23	69.6
Impersonal forms	3	9.09	5	15.1
Elements of poem	3	9.09	3	9.09
Reader	1	3.03	1	3.03
Poet	2	6.06	1	3.03
TOTAL	33		33	

**TABLE 5.3** Comparison of the participants 'Identified' in relational:identifying processes

Identified	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	7	43.7	26	76.4
Elements of poem	7	43.7	7	20.5
Poem(s)	2	12.5	-	-
Reader	-	-	1	2.9
TOTAL	16		34	

The abstractions being given some attribute are mostly terms traditionally concerned with the literary critical act: *imagery, effect, purpose, suggestion, description, sense, principle, belief, reading*. The difference between the two texts is that Leavis introduces more evaluative terms, like *nullity, clichés, corruptions, sensibility, failure*, which are then being further evaluated (the *sensibility is limited, the confusion is poignant, the failure is significant*) while some Carriers in de Man's text are mental processes like *forgetting* or nominals such as *veil and play*, on the borderline between an activity/object and a mental process. What is 'Identified' in the field of discourse is still very abstract in de Man's text (*conditions, monumentalization, challenge, strategy*), while Leavis focuses more on elements of the poem(s) being discussed: *truant, mate, Love, 'eagle home'*.

As far as the analysis of material clauses is concerned, the ergative interpretation (see Section 2.1.3.5 in Chapter 2) has been used, as it provides a useful extra dimension to the

transitivity model. Davidse (1992) argues that the grammar of material processes is 'Janus-headed', that it is governed by the two distinct systems of transitivity and ergativity. The transitive system is Actor-centred, whereas the ergative system is Medium centred: the Medium is the generalised single participant which has neither true agency nor real affectedness associated with it. The ergative interpretation bears an important relationship to the voice system.

A clause that displays no feature of agency is Middle. As Davidse (1992:109) puts it, the ergative Middle is characterised by an essential vagueness: 'it leaves open whether or not the process is self-instigated or instigated by an external agent'. Thus, *dream unfolds within dream* (L-117) is synonymous neither with *[the] dream unfolds itself* nor with *[the] dream is unfolded*, but 'syncretizes' (Davidse 1992:109) these voice distinctions. In other words, the two features 'self-instigated' and 'externally instigated' are inherently associated with the ergative Middle. On the other hand, clauses which display agency can be either active or passive, and are Effective in voice. In Effective clauses the feature of agency may be explicit, as in *light covers light* (DM-15), or it may be implicit, as in *whenever light is being thematized* (DM-45). In reaction to clauses like the latter, which bear implicit agency, one can still ask "Who by?", whereas in the case of a Middle clause (*dream unfolds within dream*) one cannot. Simpson (1988) has shown that the system of options available for ergativity and voice clearly have important implications, as the choice whether to include or omit agency from a process constitutes an important part of message construction.

Hence, the analysis of material processes (see sections A-3-3 and B-3-3 in Appendices A and B) uses the ergative model, and distinguishes between Middle and Effective clauses. While only 29% of all material clauses in the text by Leavis are Effective, the text by de Man shows more balance between the Effective and Middle constructions: 51.5% of clauses are Effective. It was noted earlier that the majority of material processes in both texts represent actions which are either abstract or, if concrete, then of a very general kind. Thus, it is not surprising to find, in

Table 5.4, that the majority of Mediums in clauses of both types are abstract terms such as *meaning, forgetting, degree, strategy, madness, misreading, system* or *process*. There is, however, a considerable difference between the texts in that the key participants in the material clauses in the text by Leavis are also poem(s), elements of poems, and people: readers and poets. This variety is also found in the analysis of Agents in Effective clauses (see Table 5.5).

**TABLE 5.4** Comparison of Mediums in material (middle and effective) processes

Medium	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	10	32.2	36	56.2
Elements of poem	8	25.8	18	28.1
Poem(s)	5	16.1	4	6.2
Reader	7	22.5	3	4.6
Shelley/poets	1	3.2	3	4.6
TOTAL	31		64	

**TABLE 5.5** Comparison of Agents in material (effective) processes

Agent	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	2	22.2	10	30.3
Elements of poem	2	22.2	10	30.3
Poem(s)	-	-	3	9.0
Shelley/poets	1	11.1	1	3.0
critics	1	11.1	-	-
?	3	33.3	9	27.2
TOTAL	9		33	

Perhaps the most significant fact to come out of the analysis of participants in verbal processes is that people do not 'say' anything in de Man's text: sayers -and there are few of them as it is- are abstract terms such as *sequence* or *challenge*, or poems (*The Triumph of Life*), and in one passive clause 'in the first passage, it is explicitly stated' (DM-9), the main participant is

left unidentified. In contrast, the text writer, Leavis himself, possibly the text reader, and the poet Shelley are the main sayers in the text by Leavis. The full analysis of verbal processes (see sections A-3-6 and B-3-6 in the appendices) shows that, in both texts, the Beneficiary, the entity who is being addressed, is usually not identified. The contexts, however, point to a distinction between poem readers, as in '*in the first passage, it is explicitly stated*' (DM-9) and text readers, as in '*Shelley's part... has been sufficiently indicated*' (L-125) as Beneficiaries .

**TABLE 5.6 Comparison of Sayers in verbal processes**

Sayer	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	1	7.6	5	55.5
Elements of poems	4	30.7	-	-
Poem(s)	-	-	3	33.3
Impersonal forms	-	-	1	11.1
Text writer	5	38.4	-	-
Text reader?	1	7.6	-	-
Shelley	2	15.3	-	-
TOTAL	13		9	

In mental processes, the Senser is 'the conscious being that is feeling, thinking or seeing' (Halliday 1985a:111). Indeed, Halliday insists that the significant feature of such a participant is that of being endowed with consciousness. In this light, then, it is significant that it is not only readers and the poet Shelley who are Sensers in the text by Leavis: elements of poems, such as *the two lines* (L-25) and abstract terms such as *intelligence and imagination* (L-52) or *intensity* (L-77) perform this role. Table 5.7 shows that there are very few mental processes in the text by de Man, and all Sensers are human beings.

**TABLE 5.7 Comparison of Sensors in mental processes**

Sensor	LEAVIS		DE MAN	
	No	%	No	%
Cognitive processes				
Readers	13	46.4	4	66.6
Abstract terms	4	14.2	-	-
Elements of poem	2	7.1	-	-
Shelley	1	3.5	1	16.6
Perception processes				
Poet	-	-	1	16.6
Affective processes				
Readers	5	17.8	-	-
Elements of poem	2	7.1	-	-
Shelley	1	3.5	-	-
TOTAL	28		6	

Finally, Table 5.8 demonstrates that, as in relational processes, the majority of key participants in existential processes are abstract terms.

**TABLE 5.8 Comparison of Existents in existential processes**

Existent	LEAVIS		DE MAN	
	No	%	No	%
Abstract terms	10	58.8	4	100
Elements of poem	2	11.7	-	-
Poem(s)	1	5.8	-	-
Impersonal forms	2	11.7	-	-
Shelley/poets	2	11.7	-	-
TOTAL	17		4	

Overall, then, the analysis of process types and participants has shown the overwhelming preponderance of abstractions in a variety of processes and key participant roles as a major characteristic of the field of discourse. The investigation of nominal groups and the lexical sets in both texts will help circumscribe further what



distinguishes the literary critical genre and the two registers under consideration. But before that, another aspect of the lexicogrammar, closely related to the transitivity system, needs to be examined: the grammatical metaphors whereby processes of various types may be encoded not as processes, but as participants.

### 5.2.2 Grammatical metaphors

The way in which grammatical metaphor can create a switch from process relations to participant relations may be explained as follows. A ranking clause has only one process. However, if the process meaning is realized metaphorically as a Thing, then it may function in the clause as a participant. In this way, two or more process meanings may be related within one clause. Consequently, the ideational information of two or more clauses may be realized in one, with a correspondingly higher lexical density. For example, the clause:

*the confusion is the same as in the previously quoted passage on forgetting and remembering (DM-3)*

could be reworded as (// indicates clause boundaries)

*//something is confused in the same way as in the passage // which I have quoted before; // this passage was about // [somebody who] forgets // and [somebody who] remembers//*

In other words, the verbal process *quote* and the mental processes *forget* and *remember* are metaphorically represented as nominal groups or part of a nominal group. In addition to the increased lexical density, there has been a loss of agency: *who* quotes, forgets and remembers is not mentioned. Nominal constructions of this kind fail to make explicit many of the semantic relations that are made explicit in clause structure.

Sections A-4 and B-4 in Appendices A and B list the grammatical metaphors in the two texts, while sections A-4-1 and B-4-1 present the analysis of such metaphors, using the notation given in Ravelli (1988). For example, in the metaphor *to make the main criticism* (L-2), a verbal process *to criticize* which would congruently be realized by a verbal group has been realized metaphorically as a Thing/nominal group: *criticism*. In the... *lightness of the ... contact* (DM-75a/b), the semantic choice is

the expression of the quality of a Thing, which would congruently be realized by an adjective: *the contact is light*, but has been realized metaphorically as a Thing/nominal group: *lightness*.

As Halliday (1985a:322) emphasises, neither form is inherently 'better', nor 'more frequent' than the other: they constitute different representations of one and the same non-linguistic "state of affairs", but cannot be said to be synonymous, as the different encodings all contribute something to the total meaning. In addition, Ravelli (1988:135) stresses that metaphorical forms cannot be said to be 'derived' from congruent forms: 'each is a lexicogrammatical form arrived at by a pass through the system network: they are independent realizations, but share a certain core of meaning'.

The analysis of ideational metaphors in the two texts and the figures presented in Table 5.9 show that by far the majority of metaphors is of the type known as nominalisation, whereby a process, or the quality of a Thing, is represented as a nominal group, a Thing. The functions of these metaphors will be explored later, in Chapter 7, as Halliday (1987a) has argued that nominalisation is an important resource for organising information, and that the key to any study of grammatical metaphor is its relation with the situation variable of mode; that is, its greatest impact is on the textual metafunction in language.

For the moment, three conclusions may be reached from a consideration of the information provided in Table 5.9. The first one is that, marginally, there are fewer grammatical metaphors in the text by Leavis. Secondly, many of the semantic choices realized metaphorically appear to parallel closely, or complement, the congruent choices itemised in Table 5.1. For example, the greater number of verbal processes in the text by Leavis is paralleled in the greater number of verbal process metaphors and the same can be said of material processes in the text by de Man. On the other hand, the relative paucity of congruently realized mental processes in the text by de Man is contradicted by the preponderance of metaphorically realized mental processes; in other words, the world of deconstructive criticism, as represented

in this text, contains far more processes of thinking, feeling and seeing than would appear from the single analysis of congruent realizations.

Finally, it should be noted that many metaphors realize the semantic choice of interpersonal meanings. These meanings may be of modality, as in, for example, a *kind of inevitability* (L-19) which realizes metaphorically *something is inevitable* or the very *possibility of cognition* (DM-54a/b) which realizes the meaning *cognition is possible*. Or, these may be interpersonal meanings of attitude, as in the *complete nullity of... 'so'* (L-23a/b) which realizes the meaning *'so' is completely nul*. In addition, one metaphor realizes the meaning of logical connection: *with reference to* (L-120c). Both issues of interpersonal meanings and logical connection will be taken up later in Chapters 6 and 7, but the 'infiltration' of interpersonal meanings into the field of liberal humanist discourse, in particular, is worth noting at this early stage of the analysis.

TABLE 5.9 Comparison of ideational grammatical metaphors

Grammatical metaphors	LEAVIS		DE MAN	
	No	%	No	%
TOTAL	66	47.8	82	55.03
Categories (semantic choice)				
mental process	27	40.9	39	47.5
verbal process	10	15.1	5	6.0
material process	2	3.0	15	18.2
existential process	-	-	2	2.4
quality of a Thing	5	7.5	9	10.9
quality of a process	2	3.0	5	6.0
circumstance	1	1.5	3	3.6
interpersonal meaning	18	27.2	4	4.8
logical connection	1	1.5	-	-

It has been noted earlier that nominalisations increase the lexical density of a text, and it is thus necessary to consider now the structure of the nominal groups in both texts.

### 5.2.3 Nominal groups

The nominal group is an experiential structure which has the function of specifying a class of things and some category of membership within this class. The element expressing the class is referred to by the functional label Thing, while membership within the class is typically expressed by one or more of the functional elements Deictic, Numerative, Epithet and Classifier (Halliday 1985a:160-174).

Only nominal groups of three elements or more have been analysed in sections A-5 and B-5 of the appendices, as these are the ones that contribute most to lexical density in the clause. The analysis of nominal groups is on the whole straightforward, but a few words of explanation concerning the classification of Epithets are necessary. The Epithet indicates some quality of the subset: either some objective property of the thing itself, as in a *rigid, stony arch* (DM-90a), or an expression of the writer's subjective attitude towards it, as in the *desolate intensity* (L-77b). The former are experiential in function, and potentially defining, while the latter, expressing the speaker's attitude, represent an interpersonal element in the meaning of the nominal group. Occasionally, the line between experiential and interpersonal epithets is not easy to draw, and becomes a matter of interpretation, taking context into consideration. For example, in the *ten preparatory lines* (L-23-5), *preparatory* has been classified as an interpersonal epithet because it seems as though it is Leavis's subjective attitude that qualifies the lines as 'preparatory'. In contrast, in the *contradictory motions* (DM-71), *contradictory* appears to be purely describing the property of the motions as they are represented in the poem, and hence the epithet is experiential in function. However, *increased* in a *movement of increased violence* (DM-83b) is functionally ambiguous; the shift in terminology from "thread" to "tread" to "trample" would indicate the use of an experiential epithet, objectively describing what is happening in the poem, but one cannot discount the critic's own agenda in analysing this particular section of the poem. Consequently, *increased* has been classified as functionally mixed.

In addition, decisions have had to be made concerning whether a particular element functions as Epithet, indicating some quality of the Thing, or Classifier, indicating a particular subclass of the Thing. Halliday (1985a:164) acknowledges that the line between Epithet and Classifier is not a very sharp one, but maintains that there are significant differences, mainly to do with the key function of a Classifier: to classify a set of things into a system of smaller sets. Thus, *the critical interest* (L-32), *our present critical and literary scene* (DM-124-5), *of historical archaeology* (DM-145) all appear to fall clearly into the category of Classifier Thing structures. But while *Shelleyan* in *the Shelleyan confusion* (L-111a) has been analysed as Classifier, it has been interpreted as Epithet in *the earliest truly Shelleyan poem* (L-127). The separating line is not sharp indeed, but it seems that *Shelleyan* in (L-127) refers more to a quality of the poem than in (L-111a).

TABLE 5.10 Comparison of nominal groups

Nominal groups	LEAVIS		DE MAN	
	No	%	No	%
TOTAL	89	64.4	67	44.9
Categories within the nominal groups				
EI (interpersonal epithet)	67	75.2	16	23.8
EE (experiential epithet)	6	6.7	18	26.8
EE/EI (classification unclear)	3	3.3	6	8.9
CT (Classifier Thing structure)	15	16.8	13	19.4
Q (Qualifier structure)	70	78.6	62	92.5
( [ ] embedded phrase	55	78.5	48	77.4
( [ [ ] ] embedded clause	15	21.4	14	22.5

A number of conclusions concerning the use of nominal groups emerge from the results listed in Table 5.10. The text by Leavis contains a greater number of nominal groups, and far more interpersonal epithets and fewer functionally mixed ones than the text by de Man. This registerial characteristic of the texts will be further explored in Chapter 6. Of interest, too, is the relatively small proportion of Classifier Thing structures in both

texts. Martin et al (1985:83) have argued that the Classifier Thing structure is frequent in expository writing, because it reflects the classificatory function of exposition: 'expository writing both assumes and builds up taxonomies which bring order to the field developed in the text'. This statement is confirmed in the student essay Martin et al (1985) analyse, and in the discourse of geography described by Wignell et al (1989) or the discourse of science (Halliday & Martin 1993). The discourse of English Studies, however, does not seem to lend itself to this kind of classificatory function. The generic characteristic to be found in the analysis of nominal groups is not the building of taxonomies, but rather the qualifying of elements in the field of discourse.

This qualifying rather than classificatory function, evident in the large number of epithets to be found in the nominal groups, is further revealed by the frequency of Qualifier structures. These, Halliday (1985a:166) explains, are also part of the nominal group, but they follow the Thing, as embedded phrases or clauses, the function of which is to characterise, or qualify, the Thing. For example: *the light [in the second passage]* (DM-4) or *the abeyance [of thought] [[exhibited by the first three stanzas]]* (L-92). Of particular interest is the far greater proportion, in both texts, of embedded phrases rather than clauses. This issue will be taken up later in Chapter 7 as, like the function of grammatical metaphors, it concerns the textual metafunction of language. But it should be noted at this stage that it is the abundance of embedded phrases which contributes, to a large degree, to the high lexical density of literary critical texts.

Finally, a consideration of lexical cohesion is needed in order to complete the identification of ideational meanings in the two texts. Lexical cohesion is a textual feature which contributes to both ideational and textual meanings. In its relation to the contextual feature of mode, it contributes to the sense of completeness and to the overall coherence of a text, and as such lexical cohesion will be considered again in Chapter 7. But the lexical chains woven through a text also constitute a powerful

index of the ideational meanings created in the text, which is why an analysis of lexical cohesion is needed in this chapter.

#### 5.2.4 Lexical cohesion

Halliday has always insisted that 'there is no very sharp line between grammar and vocabulary: the vocabulary, or lexis, is simply the open-ended and most "delicate" aspect of the grammar of a language' (Halliday & Hasan 1976:281). Lexical cohesion is the cohesive effect achieved by the selection of vocabulary, and embraces the two distinct though related aspects of REITERATION and COLLOCATION' (Halliday & Hasan 1976:318). In other words, lexical cohesion is provided by several occurrences of the same lexical item, or by the co-occurrence of items paradigmatically related in the sense that they may belong to the same lexical set. Halliday & Hasan (1976:287) explain that collocation is

'simply a cover term for the cohesion that results from the co-occurrence of lexical items that are in some way or other typically associated with one another, because they tend to occur in similar environments'

and further assert that, while close proximity contributes most strongly to it, 'lexical cohesion regularly leaps over a number of sentences to pick up an element that has not figured in the intervening text' (1976:16).

As far as the identification of lexical sets is concerned, Halliday & Hasan explain that 'when analysing a text in respect of lexical cohesion, the most important thing is to use common sense, combined with the knowledge that we have, as speakers of a language, of the nature and structure of its vocabulary' (1976: 290). When considering literary critical texts, 'common sense' is replaced by the prior knowledge that members of the discourse community, academics in the field of literary studies, bring to the task of writing and reading. It is this knowledge that will enable the association of, for instance, the terms *stanza*, *alliteration*, *metaphor*, *verse* into a particular lexical set.

Sections A-6 and B-6 in the appendices present the six principal lexical sets to be found in the texts. Following Halliday (1992b), nominals only have been included: other elements of the clause,

like verbs, have already been considered in the study of processes, while yet others will be analysed in terms of their interpersonal function (adjectives and pronouns) or textual function (referential terms).

The six lexical sets are:

- i) Descriptive terms, that is, terms traditionally used by critics to describe or refer to elements of poems or texts. These include technical terms like *stanza*, *alliteration*, *metaphor*, *verse*, *prosopopoeia* but also more general items like *passage*, *word*, *text*.
- ii) Titles of poems or other literary texts, such as *The Triumph of Life*, *Roman de la Rose*.
- iii) Names of poets or other writers: *Shelley*, *Gide*.
- iv) Terms taken from the poem(s) being analysed, or used to define those items, such as *surface*, *water*, *statue* or *tears*, *petals*, *coats* (used in L-13 to attempt an explanation of the item 'shed')
- v) Assessment/judgement terms, which, in some ways, indicate a qualifying or evaluation of the poems the critics analyse, such as *commonplaces*, *luxury*, *poignancy*, *disenchantment*, *failure*, *madness*.
- vi) Terms indicative of the literary critical activity, like *description*, *interpretation*, *treatment*, *understanding*, *romanticism*, *context*.

The last two lexical sets have proved the most difficult to isolate, and indeed many terms which have been placed in one or the other could, perhaps, be said to belong to both. It was noted earlier that one characteristic of literary criticism as a genre is the qualifying of elements in the field of discourse. It could then be argued that there is no need for the distinction between sets v) and vi), i.e. that the literary critical activity includes assessing/judging. However, as will be argued later in this chapter, this constitutes a hotly debated area in the field of literary criticism, one which helps identify distinct registers of literary criticism: certain schools insist on evaluation/judgement as one of the cornerstones of criticism, while others reject the notion of evaluation of a work of art. Furthermore, even if



evaluative terms were not such an identifying register feature, the fact is that one can distinguish between items such as *negativity, failure, conventionality*, all clearly indicative of some positive or negative judgement/evaluation being made, from the writer's perspective, and items such as *vision, interpretation, articulation, movement, context, experience* which seem to relate to a more general activity of reading/interpreting, and elements which are part of that activity (like *context*). In a sense, this distinction relates to the two kinds of Epithets identified above: those that refer to an objective quality and those that imply a subjective judgement.

Nevertheless, the fact remains that many items were difficult to place, as they seemed to include some property of subjective judgement/evaluation and some more general quality or function of the critical act. In all instances, the decision to place these items in one or the other category was made on the basis of interpretation of the item in its immediate co-text or the context of the text as a whole. For example, items like *clichés, genius, intelligence, sensibility* appear to be part and parcel of the evaluative endeavour in the text by Leavis; *fantasies* and *phantasmagoria* include an element of negative judgement that *dream* does not share. Similarly, *archeology* and *monumentalization* in de Man's text have been classified as evaluative terms, while *historicization* and *aesthetification* are felt to be more general terms in the academic domain, although one would accept the argument that they are not always used neutrally. The terms *value*, in both texts, and *judgement* in Leavis's, have been categorised as part of the general literary critical activity members of the discourse community engage in, despite the controversy around these notions which will be discussed in the following section.

A number of conclusions may be drawn from an examination of the lexical sets in each text. First, both texts show surprisingly few descriptive terms; one might have expected literary critics to be more specific about the identification of elements of the literary texts they analyse. Of the two, Leavis is the one who uses more technical terminology. Second, Leavis produces frequent references to a greater number of other poems/literary texts; part of the

explanation may lie in the fact that de Man's text is entirely focused on one poem, The Triumph of Life, while in the two extracts analysed in this study Leavis discusses two Shelleyan poems, When the lamp is shattered and The Triumph of Life (see section 4.4.4 in Chapter 4). Other reasons, however, may be responsible for this difference.

In addition, there are no references, in either text, to other critics' opinions or analyses. Equally important is the fact that Leavis seems to use a much greater number of assessment/judgement terms, mostly nominalisations like *inevitability*, *failure*, *nullity*. What has been termed the 'literary critical activity' set, in both texts, comprises a number of abstract nominalised forms, such as *sequence*, *articulation*, *understanding*, *influence*. A closer look at these terms, however, reveals that they do not appear to belong to a technical set which could truly be said to identify the literary critical activity as opposed to other academic activities. The great majority of these terms can, in fact, be found in many other academic discourses, such as history or philosophy.

The analyses of some features of the grammar of the clause, such as the transitivity system and grammatical metaphors, nominal groups and lexical sets, can now be pulled together to identify the main linguistic features of the field of literary discourse.

### 5.3 Discoursal characteristics of the literary critical field

Foucault (1972:46) defines a discourse as 'a group of rules that are immanent in a practice, and define it in its specificity'. In Chapter 4, discourse has been identified as a set of meaning-making practices, specific ways of writing or talking, which are characteristic of an institution. Hence, at the level of discourse, the main question is to identify what the literary critic's world consists of in terms of the rules that are immanent in the practice of literary criticism.

### 5.3.1 The object of discourse: literary texts

Discourses, says Foucault, 'are practices that systematically form the objects of which they speak' (1972:49). Hatlen (1988) asserts that the first assumption (or rule) upon which the discourse of English is based is that there exists a special category of texts, labelled "literature", and that 'the differences between literary and non-literary texts is [sic] constitutive of this discourse system itself' (1988:788). Similarly, MacCabe (1987:5) notes that the activity of literary criticism is 'defined above all in terms of the determination of the canon'. The fact that different schools of criticism (giving rise to different registers of English Studies), or individual critics, may disagree about which literary texts should form part of the canon does not alter this key ideological assumption: disagreements about the content of the canon presuppose agreement about its form and function.

Thus, both Leavis and de Man construct the object of the discourse as specific entities named *The Triumph of Life*, *Ode to the West Wind*, *Roman de la Rose*, etc., taking for granted the fact that their readers will recognise these texts as literary. When they write

'the Shelleyan confusion appears, perhaps, at its most poignant in The Triumph of Life, the late unfinished poem' (L-111), or  
'The Triumph of Life warns us...' (DM-124),

they assume and affirm the existence of a text, *The Triumph of Life*, known to be a 'poem', and the technical term 'poem' does not need to be defined or explained or justified. Moreover, they both assert and assume that it is a poem which is accepted by the discourse community as part of the canon, and therefore worthy of attention. Hence, identifying the rules that are immanent in the practice of literary criticism implies identifying the rules that govern the way in which literary critics write about a small category of texts: literary texts. From the 1930s onwards, English, as discursive practice, has thus based its claim to legitimacy within the academy largely upon the (presumably) self-evident value of the literary texts over which it has claimed custody.

Another way of putting this would be to say that the discourse community has made use of a certain category of texts, and altered the nature of these texts, in order to transform them into academic objects. The critic's world consists of linguistic elements: both critics interpret poems, linguistic artefacts, made up of words, phrases, lines, stanzas, personae. The previous analysis of the participants in each clause (section 5.2.1.2), shows that these personae or the parts and structures of the poems are given attributes or values, are shown as acting, doing things, even saying and sensing:

*Vision opens into vision, dream unfolds within dream, and the visionary perspectives, like those of the imagery in the passage of Mont Blanc, shift elusively and are lost.*

(L-116/119)

*The light, in the second passage, .... shines, however distantly, upon a condition which is one of awakening.... light covers light, trance covers slumber and creates conditions of optical confusion... (DM-4/6, 15/17)*

The grammar of the clauses clearly encodes the view of a poem as having a life of its own, as being an autonomous object, divorced from temporal circumstances - the poet's, the reader's, the critic's. This belief has been a dominant tenet of English Studies for most of the twentieth century. Marxist critics have berated Leavis for introducing this kind of close attention to "the words on the page", divorced from the contexts which produced and surround them, which propagates the belief that any piece of language can be adequately studied or even understood in isolation, and has led to the reification of the literary work, the treatment of it as an object in itself (Eagleton 1983:44).

The passages quoted above demonstrate, to some degree, the workings of ideology in texts. They illustrate how a principle, or a belief, linked to power relationships (in this case, the power of written words, of literary works, and by extension, of those who can interpret the words on the page through text analysis), is transmuted, through language, as an effect of discourse which becomes, in Fairclough's (1988:114-5) terms, 'naturalised'. In other words, what is a belief or attitude, which could be challenged or contradicted, is constructed by language and through language as a reality, as an uncontrovertible fact of the literary

critic's world, in which the light shines... and trance covers slumber and creates conditions of optical confusion.

Leavis's purpose, then, was to fashion an academic discipline, English Studies, with an object of study, Literature, as worthy of academic endeavour as other academic subjects. At the same time, he wanted to remove from the field of English the study of any biographical, historical and other such data (Aithal 1981), and challenged the hegemony of the literary scholars who dominated English departments from the end of the nineteenth century until World War II (Hatlen 1988). The absence, from both texts, of lexical elements referring to outside forces, to historical or cultural contexts helping to shape a work of art and its reception, is also part of the academic demarcation between the literary and the social or political realms. Other literary texts and their authors may be brought in (like *Paradise Lost* and Milton in the text by Leavis, Valéry and Gide in de Man's), but they, too, are constructed as atemporal, ahistorical products of the literary critical act: ...to bring out the essential relation between the organ resonances of Paradise Lost and the pastoral melodizing of Lycidas (L-129).

While such purposes and assumptions have been challenged by some registers of literary criticism, like Marxist or feminist criticism, the practice of creating literary texts as final self-contained products still constitutes one of the central features of English Studies.

### 5.3.2 Belief in the peculiarity of literary language

Hatlen (1988) argues that if the assumption underlying English studies is that there is an immediately apparent distinction between literary and non-literary texts, then a literary text must include some kind of metamessage to that effect.

Consequently, one of the "rules" of literary critical practice is that it is the critic's task to make that metamessage explicit, in other words, to articulate what makes any particular text a work of literature.

Hence, the second major element of the literary critic's world is the belief in the peculiarity of literary language, the belief that this language is, in some ways, different from everyday language and yields different meanings. Even deconstruction, often said to be antithetical to liberal humanist criticism, fully shares this belief. As Felperin (1985:259) perceptively puts it, 'Yale deconstructionists proceed very much on the humanist premise of literariness'.

The notion of literariness helps explain why poems, elements of poems and personae in a poem are given so much "life" in literary critical texts that they act, say or feel: a writer's language is a medium through which certain important meanings concerning life and human beings are communicated. De Man, no less than Leavis, operates on this taken-for-granted assumption, which is encoded in a variety of ways. One of these, which has been mentioned above, is the way in which elements of poems take the role of Mediums in material process clauses, as in:

*the alliteration with 'shattered' combining with the verse-movement to produce a kind of inevitability. And, of course, suggesting tears and the last rose of summer, it suits with the general emotional effect. (L-19/21)*  
*The contradictory motions of "gliding" and "treading" which suspended gravity between rising and falling finally capsize. The "threading" sun rays become the "treading" of feet upon a surface which, in this text, does not stiffen into solidity. (DM-71/74)*

Mental process clauses also testify to the special nature and function of literary language:

*'shed' sounds right (L-18)*  
*of the two lines that justify the ten preparatory lines of analogy (L-25)*

### 5.3.3 The value of close reading

The way critics articulate what makes any particular text a work of literature is through the technique of close reading, explained by Leavis (1936:2-3) as follows:

*... the rule of the critic is, or should (I think) be, to work as much as possible in terms of particular analysis - analysis of poems or passages, and to say nothing that cannot be related immediately to judgements about producible texts.*

The clauses quoted above encode this other fundamental tenet of English studies, the centrality of close reading which deconstruction 'for all its real/apparent radicalism has done little to dislodge and in many ways has decisively reinforced' (Bowen 1989:19). One of the presuppositions underlying the critical method of close reading, institutionally entrenched for decades, is that the critic is one who has time to read. This prerogative carries connotations of elitism, and of power. As the distinguishing mark of a professional practice, closeness of attention is the distinguishing mark of the expert who imposes a particular relation of power over both his readers and the literary text itself.

Power, however, has to be justified. Literature cannot confine itself, Leavis (1952:51) wrote, to 'the scrutiny of the "words on the page"...: a real literary interest is an interest in man, society, and civilisation, and its boundaries cannot be drawn'. Through the practice of reification of literary texts and of close reading, the discourse of English constantly affirms the transcendental value of such texts, and of their interpretation. This study of the ideational function of language in two literary critical texts has highlighted the fact that the majority of processes, and participants, are abstract concepts linked with the literary critical activity itself, and the mental processes required to perform this activity. Readers *imagine, take seriously, accept, take pleasure, think, compare or guess*, in congruent realisations of mental processes (L-31,38,57,96; DM-48,81,144). In incongruently realised forms, there is a lot of *judgement, disenchantment, or concern 'going on'* (L-64,114). Often, characteristically, mental processes are performed by linguistic items: '*the passage....also bears witness to the affinity...*' (DM-49). These forms, combined with the lexical set of literary critical activity terms, items like *attention, interest, recognition, belief, thought*, show that, for the literary critic, reading literature is an important, intrinsically valuable activity for human beings. What the grammar of the texts shows is that, for de Man as for Leavis four decades earlier, if we want to learn about the nature of human experience, then we must come to see literature as a primary source of knowledge.

#### 5.3.4 The literary critical terminology

Finally, there is one more discursal feature of the field of literary criticism to be noted: the vagueness of its terminology. In her attack on literary critical style, Peck MacDonald (1990:43) identifies five 'potentially difficult uses of terminology' in the texts she analyses:

'(a) nonstandardized terms, (b) shifting and/or referentially vague terms, (c) grammatically unstressed terms, (d) concrete descriptions in lieu of abstract terms, and (e) deference to insiders, while excluding outsiders.'

While her main thesis is flawed, because, as was explained in Chapter 4 (section 4.2), she considers critical texts from the educational perspective of composition writing, she does nevertheless correctly identify a number of characteristic features of the vocabulary of literary criticism. The items found in the literary critical activity sets (see section A-6 and B-6 in the appendices) are nonstandardised and referentially vague, in contrast with the highly specific technical terminology of science. Terms like *experience, meaning, knowledge, evidence, system, tradition, reality*, to name but a few, are abstract terms which could be found in a variety of academic and non-academic fields, and do not, singly or together, help define a specific "literary critical" field of study.

The discourse of literary criticism is not a technical one. Aside from a small set of terms referring to the identification and description of kinds of, and parts of literary texts (terms like *ode, terza rima, alliteration*, etc.), relatively few technical terms are used, and where they are they tend to be borrowed from other disciplines (e.g. archaeology, philosophy, and a few -isms borrowed from history or psychology such as Marxism, capitalism, colonialism, in certain registers). This might explain why the intrusion of highly technical linguistic terminology in the formalist criticism of Jakobson in the late 1960s, and then in structuralist theories, terminology used for classifying rather than qualifying the world (see 5.4 below), came to be dismissed as jargon. This lack of technicality in the discourse can be related to the importance of literature as outlined above: for Leavis as



for de Man, there is no essential discontinuity between literature and social life, even though they might be looking for different things in a literary text, as will be made clear in the following section. But there is another aspect to it, which is the open rejection of "science" and "jargon", deeply entrenched in the literary critical field.

Peck MacDonald is inaccurate in castigating literary critics for using 'concrete descriptions in lieu of abstract terms', as literary criticism abounds with abstractions. What she is in fact referring to is the peculiar use of concrete terms as part of an abstract argument, as in, for instance:

*Forgetting is a highly erotic experience; it is like glimmering light because it cannot be decided whether it reveals or hides; it is like desire because, like the wolf pursuing the deer, it does violence to what sustains it... (DM-25/33)*

When, in addition to this odd mix of concrete and abstract, one considers the considerable number of Middle material clauses which show no agency or affectedness, and the predominance of non-technical abstractions in all kinds of participant roles, one is left with a feeling of a rather amorphous world, a world in which it is difficult to say exactly who is doing what and what is going on.

This discussion has made clear that the 'difficulty' Peck MacDonald believes readers experience in reading literary criticism is not the consequence of terminology, although the high lexical density of literary critical texts (see 5.2.1 above and 5.4 below) might certainly contribute to it.

However, her comment about critical texts showing 'deference to insiders, while excluding outsiders' is very accurate. The ideological effect of elitism pervades the discourse of English Studies, and the present study will identify its manifestations in all three metafunctions, at a variety of levels of analysis. As far as lexical items are concerned, the discourse of English contrasts most strongly with that of science, as in the latter it is the proliferation of technical taxonomies and special expressions which 'sets apart those who understand it and shields

them from those who don't' (Halliday & Martin 1993:21). The paradox of English Studies is that it is the very lack of technical terminology which contributes to the exclusion of outsiders. There are very few "special terms" to learn, and knowing the meaning of items like *metaphor*, *stanza* or *ode* does not necessarily help one enter the discourse community. What does, and is not easily learned, is understanding the peculiar role assigned to literary language, and the activities carried out under the name of interpretation. What distinguishes the insider is the ability to qualify *forgetting as a highly erotic experience* , or confidently assert that '*shed*' sounds right.

#### 5.4 Generic characteristics of the literary critical field

In Chapter 4, the notion of genre was linked to that of a communicative event, an activity type, governed by specific purposes agreed on by the members of the discourse community. It was also stated that literary criticism as genre is central to the discipline: it is written by academics for academics, and its main goal is the pursuit of knowledge, the advancement of the discipline within the academic institution, which, in concrete terms, means the interpretation of literary texts. This section will thus examine the ideational features which relate to the activity of interpreting literature.

The studies made by Eggins et al (1993) on the discourse of history, Wignell et al (1989) on the discourse of geography and by Halliday (1988c;1990) and Halliday & Martin (1993) on the discourse of science, would suggest that abstract nominalised prose is a characteristic feature of academic writing in general, governed by the requirements of the institution. Whether in science or the humanities, they argue, academics use writing as a tool to 'analyse the world as if it was a collection of thing-like phenomena with various sorts of relationships among them' (Halliday & Martin 1993:220). Hence, largely through grammatical metaphors which nominalise qualities and processes, academics present the world as an abstract succession of things, removed from the concrete 'here-and-now'.

In history, nominalisations are used to generalise individual discrete experiences into generic acts, behaviours and times, thus distancing the text from the past it describes, as in *The decline of serfdom was another result of the rise of towns and trade* (Eggins et al 1993:94). In geography, the use of such nominalisations as *erosion, condensation, precipitation* enable writers to name the processes by which things come to be, which is essential in a discourse whose main function is to classify the experiential world through taxonomies (Wignell et al 1989).

The grammatical analyses presented in 5.2 have shown that literary criticism fits squarely in the generic pattern of expository academic writing, as it foregrounds abstraction in heavily nominalised prose. Key lexicogrammatical features include the overwhelming preponderance of abstractions in a variety of processes and participant roles (5.2.1), and a high number of nominalisations (5.2.2) and embedded phrases (5.2.3), as exemplified in the following clause:

*The antipathy of his sensibility to any play of the critical mind, the uncongeniality of intelligence to inspiration, these clearly go in Shelley, not merely with a capacity for momentary self-deception and insincerities, but with a radical lack of self-knowledge. (L-98)*

Nominalisations like *antipathy, uncongeniality, self-deception, self-knowledge* appear to perform two functions. On the one hand, they present what are essentially opinions of the writer's as fact, something which is not to be disputed, i.e. facts in the world of literary criticism. On the other hand, they help the writer generalise not events or behaviours, as in the discourse of history, but qualities of the linguistic artefacts being studied, or their authors. In addition, the large number of existential and relational clauses (see 5.2.1.2), like the one quoted above, present what is in the world, and how the world should be seen, from the perspective of the critics.

The main difference between the worlds of history or science and the world of literary criticism is, however, that, unlike the historian or scientist, the literary critic is not concerned with the building of taxonomies, with the classification of what is in the world. Instead, the literary critic qualifies what is in the

world, as the preponderance of epithets and qualifier structures in nominal groups (5.2.3), and the lexical sets in both texts (5.2.4), have shown. This, it would appear, is what is meant by 'interpretation': whereas scientists interpret the world by classifying its elements, literary critics interpret the world by qualifying its elements, as in

(DM-12) *but the clarity is then said to be like that of a veil*  
                   D           T   D [Q D T  
*drawn over a darkening surface*  
 [[Q                   D           EE           T    ]]

The elements of the literary critic's world are, as was shown earlier in this chapter, linguistic artefacts. The task of interpretation, then, is to provide a specific mode of textual consumption: what is to count as a literary text, and what is to be qualified as literary meaning is determined by the articulation of the discourse-specific practices which have just been examined. The end result of such practices is, for both Leavis and de Man, the articulation of a "reading" of the text(s) under consideration. The discourse community has adopted pluralism as its watchword (see Chapter 4), and insofar as the two texts participate in the genre of literary criticism, they function primarily to produce readings of Shelley's poem(s). This point is essential, because it has often been obscured by the much publicised controversies surrounding the deconstructionists' alleged rejection of interpretation and claim that all texts are 'radically indeterminate' (Hillis Miller 1972:7).

The generic processes whereby interpretation (or reading) is produced are constituted by particular textual combinations (to be examined in Chapter 7) of the discourse-specific practices which have been outlined in 5.3. These practices will be briefly listed as follows. Firstly, there is the reification of the poem:

*light covers light, trance covers slumber and creates  
 conditions of optical confusion (DM-15/17)  
 vision opens into vision, dream unfolds within dream, and  
 the visionary perspectives... shift elusively (L-116-119)*

The poem, or parts of the poem, is/are shown as "telling" or "showing" something to the reader/critic:

*the first two stanzas call for no very close attention ...  
they offer a show of insistent argument (L-1/3)  
[the passage] bears witness to the affinity (DM-49)  
the Triumph of Life warns us that (DM-129)*

The reader/critic draws explicit conclusions from consideration of textual items:

*who, then, is 'thee'? the 'frailest' - the 'weak one' - it  
would appear (L-69/70)  
a description which necessarily connotes covering and  
hiding, even if the veil is said to be 'of light' (DM-  
13/14)*

and evaluates those items:

*the consummate expression is rightly treasured (L-110)  
Shelley's imagery... is... extraordinarily systematic  
whenever light is being thematized (DM-43/45)*

The reader occasionally draws links with other poems and poets, as part of the endeavour to construct the canon of literary works:

*one can think of Valery and Gide's Narcissus, as well as  
of the Roman de la Rose or of Spenser (DM-48)  
his handling of the medium assimilates him readily, as an  
influence, to the Spenserian-Miltonic line running through  
Hyperion to Tennyson (L-126)*

Finally, general conclusions are drawn:

*the failure to place the various phases or levels of  
visionary drift with reference to any grasped reality is  
the more significant because of the palpable effort (L-  
120)  
such monumentalization is by no means necessarily a naive  
or evasive gesture.... (DM-92)*

Underlying such practices is the shared belief in the uniqueness of literary language, the evaluative construction of a canon, and the value for the discipline of generating readings of literary texts. Differing modes of interpretation, however, have led to considerable differences in registers, which are now going to be examined.

## 5.5 Registerial field characteristics

### 5.5.1 The evaluative dimension of literary criticism

The major difference between the two registers represented by Leavis and de Man's writings has to do with the ultimate aim of textual interpretation: what do critics analyse literary texts for? Mulhern's (1979) and Wright's (1979) studies of the Scrutiny

endeavour and the rise of English as an academic discipline have shown that, for Leavis, evaluation is inseparable from analysis. Leavis wanted an evaluative criticism, because he did not believe that literature was simply a matter of disinterested individual response. It was an index to the condition of civilisation, which made judgements imperative.

Hence, for Leavis, the process of close, attentive reading involves the reader in choices and discriminations and judgements akin to those we continually make in our day-to-day living, and so strengthens and refines our capacity for them. As Eagleton (1983:35) disparagingly puts it, 'Why read literature? It made you a better person.' More sympathetically, Aithal (1981:306) notes that Leavis

sees literature as something that affects the reader's whole being, all the aesthetic, moral, religious, and social aspects of his personality. The value of literature lies, in his view, in its capacity to educate the reader, and thus enrich and improve life.

Leavis's emphatically evaluative criticism is most evident in the lexical set of assessment/judgement terms (see section A-6 in appendix A); in the grammatical metaphors of attitudinal meaning, such as *the complete nullity of* (L-23), *the sentimental conventionality of the rest* (L-63) or *the failure to place* (L-120); and in the large number of interpersonal epithets in nominal groups, such as *the emotional purpose* (L-8/10), *a more respectable use of the word* (L-15) or *the vaguest and slackest state of mind* (L-17). Mention was made earlier (see 5.2.1.2) of the high number of evaluative terms performing the role of Carriers in relational: attributive processes, many of which carry aesthetic, moral and religious connotations: *clichés, pathos, sensibility, corruptions*. In other words, the qualifying of elements in the world of the liberal humanist critic is inescapably linked to moral choice and value judgements.

This evaluative stance is reinforced in the verbal process clauses and the grammatical metaphors of verbal processes. What is 'said' in Leavis's text is always a judgement of sorts, whether the overt Sayer is an element of the poem being analysed or the text writer

himself, as in the first two stanzas call for no very close attention (L-1), Shelley's part in the later notion of "the poetical" has been sufficiently indicated (:L-125), or the 'saying' is hidden as a Thing: to make the main criticism (L-2). In addition, many mental processes, whether congruently or metaphorically realised, appear to include an evaluative dimension: justify (L-25), raise difficulties (L-44), take pleasure (L-31), treasure (L-110), for example.

This strong evaluative dimension is partly explained by the special circumstances which led to the Scrutiny endeavour. Bergonzi (1990) has shown that English in the 1920s was an expanding subject in schools and the academy but had no clear rationale. Scrutiny met this need: Leavis's claim was that English was educationally special, not just one more subject to be studied, and he sought to place it as the central discipline of the humanities. In other words, there appears to be a close link between the notion of evaluative criticism and that of education and pedagogic practice. If the critic's aim is to educate, and literary texts are seen as a primary source of knowledge about human experience, then the reading of a literary text is both elucidatory and judgemental. This aspect of humanist criticism is confirmed by the analysis of subject positionings in Chapter 6, which shows an emphatic critic-as-teacher role for Leavis and his colleagues. When Wright (1979:37) argues that Leavisism lives on 'in the very structures and presuppositions of English teaching in schools and colleges throughout Britain and the Commonwealth' it is very much to this evaluative notion of the critical act that he is referring.

In contrast, deconstructive criticism does not appear overtly evaluative. Discussing different schools of criticism, Bergonzi (1990:143) has this to say:

Cambridge English saw academic literary study as inevitably involved with making judgements. In later academic criticism, it is only among Marxists and feminists that we find an overt evaluative pressure. Elsewhere the idea of a supposedly non-evaluative criticism has become general.... In the recent work of the global anglophone academy, evaluative criticism has largely disappeared.

The analysis of ideational meanings carried out in this chapter would appear to confirm the largely non-evaluative stance of deconstructive criticism. There are fewer terms of assessment/judgement in the lexical analysis, and it is worth noting, for example, that a term like *imagination* has been placed in the evaluative set in Leavis's text, but in the literary critical activity set in de Man's. There are also fewer interpersonal epithets in nominal groups, and interpersonal grammatical metaphors, like *the frailty of the stance* (DM-61), appear to be on the boundary between description and evaluation.

This absence of evaluation could be one of the results of the increased academicisation of literary criticism since the 1930s, particularly in America. Critics no longer 'teach' in the articles published in specialised journals and collections of essays. The interpretative concern, directed at colleagues, is more towards "disciplining" the literary texts, to borrow Foucault's phrase: tracing patterns of coherence and unity, or, in the case of deconstructive criticism, incoherences and aporias. The emphasis has shifted towards technical analysis and elaborate interpretation which remains fundamentally descriptive (Bergonzi 1990).

However, it would be incorrect to assume that evaluative criticism has entirely disappeared in the register of deconstructive criticism. The analysis of grammatical metaphors in 5.2.2 has shown that there is a preponderance of metaphorically realised mental processes in de Man's text, many of which, like *the confusion* (DM-3,17), *monumentalization* (DM-140) or *disfiguration* (DM-145) carry evaluative overtones. More importantly, the evaluative dimension has shifted from the overt aspects of field features such as lexis and transitivity to the much more covert blend of analysis and theory, as is seen in 5.5.3 below.

#### 5.5.2 The question of meaning

The second difference between the two registers relates to the meanings that can be derived from reading literature, and to the role of readers and critics in such a process. It was stated



earlier that literary critics believe that reading literature is an important, intrinsically valuable activity. However, whereas liberal humanist criticism insists on the transparency of literary language (for those equipped to see through language), deconstruction insists on the opacity of language.

Leavis (1952:51) insists that literary language conveys meaning and significance not by saying, but by doing and being, and several literary critics have argued that a fundamental belief of the liberal humanist critic is that aesthetic works enact their moral significance (Ford 1982:172, Gregor 1985:439). This would imply first of all that there is meaning in a text, which readers can find. The repetition of the word *sense* in just a few lines of Leavis's text (L-30,32,49,51) testifies to this critical assumption. Another underlying assumption is that what sense there is in a literary text is connected to moral values, and it is the critic's task to point out the link between moral value and linguistic realization or enactment. The previous study of transitivity in the text by Leavis shows that meaning (in terms of the qualifying of elements in the world discussed in 5.4) is indeed encoded as the moral value of a linguistic artefact, but always mediated through the critic's mind.

A few examples from a variety of process clauses should make this clear:

- (L-7) *whether the effect got with 'lies dead' is legitimate*
- (L-17) *Only in the vaguest and slackest state of mind - of imagination and thought - could one so describe the fading of a rainbow*
- (L-29) *the 'sad dirges,' the 'ruined cell,' the 'mournful surges' and the 'dead seaman's knell' being immediately recognizable as currency values*
- (L-36) *though the emotional clichés take on a grosser unction*
- (L-115) *But in spite of the earnest struggle to grasp something real, the sincere revulsion from personal dreams and fantasies, the poem itself is a drifting phantasmagoria - bewildering and bewildered.*
- (L-131) *Mellifluous mourning in Adonais is a more fervent luxury than in Lycidas, and more declamatory*

Interestingly, no clear specification of value, or meaning, is necessarily given: the reader has to work out what 'the effect got with "lies dead"', which Leavis is questioning, is; similarly, which 'currency values' are attached to the "sad dirges", "ruined

cell", "mournful surges" and "dead seaman's knell" is not indicated. This vagueness is part of the elitist effect which was mentioned earlier, as it functions partly to identify members of the discourse community, who do not need to have things spelled out. Another function of the lack of clarity is an interpersonal one: the singling out of those critics/readers who automatically accept the writer's evaluation, or would not dare contradict him.

As was pointed out earlier, part of the reason for this emphasis on moral values lies in the context of acute social crisis Mulhern (1979) describes, which Leavis felt, as early as 1930, as the polarisation of 'civilisation' and 'culture', as is indicated in the title of his publication Mass Civilisation and Minority Culture.

Meaning, in deconstructive criticism, is a much thornier issue. Ellis (1989) shows how deconstruction in literary criticism derives directly from the French philosopher Derrida's (1976) view of the nature of signification: 'the limitless, infinite, indeterminate play of signifiers' (Ellis 1989:67) whereby all language covertly undermines what it asserts. Derrida also wrote at a time of political and social crisis in the late 1960s in France, and according to Ellis (1989:83) much of his thinking came as a challenge to the stultifying rigidity of French universities in the mid sixties, and as part of a peculiarly French intellectual stance of the times, also evident in other spheres of French cultural life, expressed as a tendency to 'debunk the bourgeois'. Derrida's challenge was adopted by some members of the literary critical community in America, where there was broad dissatisfaction with the state of literary studies in the academy (Ellis 1989:85).

The 'madness of words' de Man (DM-111) mentions does not imply that texts do not make sense, despite what many critics of deconstruction have said. Rather, the 'madness' is that whatever sense texts make always turns inside out, as it were, into an "aporia", which de Man (1979c:131) defines as allowing for 'two incompatible, mutually self-destructive points of view'. In other words, deconstructive criticism sees a text as saying 'two

entirely incompatible things at the same time' (Hillis Miller 1975:30): the referential meaning and its polar opposite.

The duality of meaning deconstructionists look for in texts is encoded most clearly in the text by de Man in lexical oppositions such as *light - dark, waking - sleep (DM-2), asleep - awake (DM-35/6), dead - alive (DM-37/8), systematic - incoherent and erratic (DM-43/4), gliding motion - contrary motion (DM-64), rising - falling (DM-72), smooth stasis - constant motion (DM-76/78), product - agent (DM-115), celebrated - denounced (DM-116/7)*. Oppositions are also set up in grammatical metaphors such as *forgetting and remembering (DM-3), covering and hiding (DM-13), veiling and unveiling (DM-24)*, and material process clauses like *whether it reveals or hides (DM-28/9)*. The relational:identifying clause *to read is to understand, to question, to know, to forget, to erase, to deface, to repeat (DM-106)*, often quoted as encapsulating the essence of deconstructionist interpretation, succinctly shows the "aporia" of meaning characteristic of this critical register. Interestingly, the end result of such "undecidability" of meaning is fairly close to the vagueness of meaning observed earlier in the text by Leavis. It would appear that the liberal humanist text obscures and buries meaning under an accumulation of evaluative terms which readers have to take for granted, while the deconstructionist text obscures meaning through the constant interplay of oppositions.

One key assumption underlying deconstructive criticism is thus that pinning down any meaning(s) of the literary text under consideration is extremely difficult. But the deconstructive critical text itself is equally opaque and meaning-resistant. However, as the opacity is an effect of text combining elements such as voice, reference and conjunction, it is explored in detail in Chapter 7.

The point was made earlier that meaning, in both registers, is seen as something which exists in the text. While the variety of participants in the text by Leavis indicates that meaning is something retrieved and reconstructed by readers and the critic, the lack of such variety in the text by de Man shows that meaning,

in all its bewildering oppositions and aporias, is a property of the text itself, and does not require much human intervention. The relative importance and role of writers, readers and critics in the two registers constitutes another key difference to be explored in detail in Chapter 6.

### 5.5.3 Textual analysis and the role of theory

The role of theory in the literary critical act constitutes another element of difference between the two registers of literary criticism: theory is conspicuously absent from liberal humanist criticism, and just as conspicuously present in deconstruction.

Mulhern (1979:157) states that 'Scrutiny's discourse on literature was defined by negation'. In addition to opposition to traditional literary scholarship, Leavis and his colleagues were averse to any form of literary criticism whose norms of analysis and evaluation were derived from "external", general systems. Psychoanalytic criticism and Marxist criticism were dismissed by Q.D. Leavis as 'the same inability to make value-judgements and the same substitution for them of "ideas" and generalizations divorced from any actuality in experience, the same helplessness where particular analysis is needed' (quoted in Mulhern 1979:160).

After the publication of Revaluation in the latter part of 1936, a lively debate between Wellek and Leavis took place in the pages of Scrutiny in 1937. In answer to Wellek's plea for a clear statement and defence of theoretical assumptions, Leavis replied that criticism ought to abstain from all abstract generalisation, as literary criticism and philosophy were 'quite different and distinct kinds of discipline' (quoted in Mulhern 1979:163). Throughout his career, he avoided and deprecated any discussion of basic theoretical issues.

The analysis of participants in 5.2.1.2 (see tables 5.2 to 5.8) highlights the absence of "theory" from critical analysis: the participants in all types of clauses in the text by Leavis are abstract terms, but also elements of poems, poems, readers,

Shelley and other poets, the critic himself. All these play a key role in the creation of meaning which is thus produced by the interaction of the author, the text, and a critical reader. It is significant that the great majority of material clauses are ergative Middle, with no feature of agency (see 5.2.1.2). For instance:

- (L-19) *the alliteration with 'shattered' combining with the verse-movement to produce a kind of inevitability*
- (L-21) *it suits with the general emotional effect*
- (L-90) *that the conventional pathos [...] can come in to gratify the appetite*
- (L-116) *vision opens into vision*
- (L-117) *dream unfolds within dream*
- (L-118) *and the visionary perspectives, like those of the imagery in the passage of Mont Blanc shift elusively*

What this appears to indicate is that the act of criticism is in essence maieutic, performed to facilitate an operation in which criticism itself has no productive role. To criticise is simply to bear witness to meanings that are already adequately constituted in the words on the page, needing only to be 'realised' in the consciousness of the reader.

This overt rejection of theory and the emphasis on feeling with the text partly explain the vagueness of meanings identified in 5.5.2 above: meanings are evaluated - lauded or rejected, as in *whether the effect got with 'lies dead' is legitimate* (L-7), or *it suits with the general emotional effect* (L-21) - but never clearly defined. As Leavis was to put it years after Scrutiny's closure:

'in our time it is very necessary to insist that the most important words - important for those troubled about the prospect that confronts humanity - are incapable of definition. You can't by defining them fix and circumscribe their life - for in any vital use they will live, even disconcertingly: and there lies their importance for thought' (quoted in Mulhern 1979:171).

In other words, Leavis saw definition as an intellectual mode proper to thought that strove for 'system.'

In contrast, the typical gesture of Leavisian criticism is recognition of effect, equated with value. It can perhaps best be seen in the mental process clauses, whether the Senser is a reader, as in *enough, that is, for those who respond to the*



Triumph of Life. In the intensive type of relational clauses, a relationship is set up between what is and some other term, and that relationship is one of sameness: the one 'is' the other - 'x is a'. But how 'confusion' is encoded in each clause is indicative of major differences in the two registers of literary criticism.

In the case of the attributive mode in (L-111), some qualitative attribute is assigned to the carrier 'confusion': 'a is an attribute of x'. 'The Shelleyan confusion' shows a Classifier Thing structure, the meaning of which is that there exist different kinds of confusion, of which one is classified as 'Shelleyan'. The effect of this kind of wording is twofold: first, an uncontrovertible assertion is made, one the reader cannot argue with. Secondly, what could have been seen as confusion in one poem, the effect created by certain linguistic forms, is presented as a general effect of all poems by Shelley, and a negative value is placed on that effect. In addition, nothing in the preceding clauses presents any explanation of what the 'confusion' in the poem is; what explanation there is is given much further down the text, in clauses 116-120. The 'confusion' is then given the attribute 'poignant', with strong emotional overtones but no defining characteristics. The clause thus does encode the mode of criticism discussed above: recognition of effect on a reader, and intuition of moral value.

In contrast, (DM-18) is an identifying clause, the meaning of which is 'a serves to define the identity of x'. The identified is 'conditions', qualified by the phrase 'of optical confusion'. The Classifier Thing structure 'optical confusion' is much more objective and defining than 'Shelleyan confusion', partly through lexical cohesion: it has been explained in the preceding clauses which identified a number of light-dark, veil-clarity oppositions in the poem. Hence, 'conditions of optical confusion' is a less sweeping generalisation than 'Shelleyan confusion', and it is confined to an explained effect in the poem. The identifier is 'experience', qualified by the non-ranking clause 'of trying to read The Triumph of Life': the identifying terms 'experience', 'trying', 'read' all relate to cognitive operations performed by the reader on the poem. In other words, meaning is no longer

linked to the intuited moral values of a linguistic artefact, but to the cognitive act required by the task of criticism.

Relational:identifying clauses in de Man's text constitute a revealing index of the way in which theoretical considerations are brought not only into the critical text, but into the poem being deconstructed as well. The list in Appendix B-3-2 shows that the participants 'identified' are rarely elements of the poem; instead, both they and the 'identifier' participants are cognitive abstractions representative of the very process of deconstructive reading. For instance:

- (DM-7) *in this light, to be awake is to be [...] asleep*
- (DM-12) *but the clarity is then said to be like that of a veil*
- (DM-25) *forgetting is a highly erotic experience*
- (DM-92) *such monumentalisation is by no means necessarily a naive or evasive gesture*
- (DM-140) *any reading is a monumentalization of sorts*
- (DM-147) *to monumentalize this observation... would be to regress*

When de Man engages in close reading of the poem, clauses encode an operation whereby the theory of deconstruction is read into the text and becomes a property of the text itself. Material clauses illustrate this process well, as in

- (DM-19/23) *as its meaning glimmers, hovers and wavers, but refuses to yield the clarity it keeps announcing*
- (DM-71/74) *the contradictory motions of "gliding" and "treading", which suspended gravity between rising and falling, finally capsize. The "threading" sun rays become the "treading" of feet upon a surface which, in this text, does not stiffen into solidity.*

In the first set, 'meaning' as Medium performs actions which are descriptive of certain effects of light and at the same time represent abstract metaphorical extensions of deconstructive theory itself. In the second, images from the poem perform the actions of 'capsizing' and '(not) stiffening' which, similarly, are meant to be read as both descriptive and allegorical. What these, and similar clauses, appear to indicate is that the poem itself is a deconstructive text, endlessly deconstructing itself. As Liebenberg (1987:16) puts it, 'deconstruction becomes some phantom presence that has always already been there'. Unlike Leavis, de Man openly brings his theoretical assumptions into the critical act, but he also presents them as properties of the text,



rather than acknowledging that it is the discourse of criticism itself which enables such a deconstructive reading.

This section and the preceding one have highlighted a major area of difference between humanist and deconstructive criticism: the meaning(s) to be found in literary texts, and the role of theory in reading such texts. These differences should not, however, mask one key, institutionally entrenched discursal similarity which was mentioned earlier in 4.4.1.2 and 5.3.1: the critical practice of close reading never attempts to bring in the non-literary intertext, the cultural, social, political, economic contexts in which texts are produced and read. From the 1930s in Britain to the 1980s in America, and despite the (minority) dissenting voices of Marxist and feminist critics, the same key ideological assumption is paramount in literary criticism: a literary text is an autonomous object, and creates its own meanings, or aporias of meanings.

It thus remains to be seen what specific meanings the two critics find in the texts they analyse.

## 5.6 Text-specific field characteristics

It was said earlier (5.4) that both texts function primarily to produce readings of Shelley's poems which, at the level of text-specific characteristics, are very different. This difference is a product of the underlying discourse-specific practice which insists on pluralism, on the value of different critical viewpoints.

The text by Leavis presents a wholesale rejection of Shelley as poet, and a scathing attack on the poems being analysed. In line with the humanist goal of evaluation and ranking (see 5.5.1), the key meanings produced in the text all have to do with the exclusion of Shelley from the English tradition. In the first section of the text (clauses L-1 to L-98), one poem, When the lamp is shattered, is analysed and found wanting. Leavis's criticism is expressed through the negative value given to nearly all the interpersonal epithets in nominal groups, such as *the vaguest and*

*slackest state of mind* (L-17) or a *grosser unction* (L-36). It should be noted, however, that many such epithets are not, in themselves, necessarily negative. In such examples as *sentimental commonplaces* (L-51), *sentimental conventionality* (L-63), *conventional sentiments* (L-73), *conventional pathos* (L-90), the terms 'sentimental' and 'conventional' are relatively value-neutral; they acquire negative value through their association with grammatical metaphors such as *the complete nullity* (L-23) or *the switching-off of intelligence* (L-94), and the attitudinal interpersonal features to be analysed in Chapter 6.

In all, why the poem is evaluated negatively is not made entirely clear. Certain choices of words are questioned, but the meaning of Leavis's criticism is vague. For instance, in (L-6/10)

*and ask whether the effect got with 'lies dead' is legitimate. Certainly, the emotional purpose of the poem is served, but the emotional purpose that went on being served in that way would be suspect*

the expression "lies dead" is criticised, but what the 'effect' of it is, and which 'emotional purpose' it serves in the poem are not specified. Similarly, when Leavis offers a summing-up evaluation, the accumulation of abstract and vague nominalisations is not clear:

- (L-90) *that the conventional pathos of album poeticizing, not excluding the banalities about [...] the sad lot of woman, can come in to gratify the appetite.*
- (L-98) *The antipathy of his sensibility to any play of the critical mind, the uncongeniality of intelligence to inspiration, these clearly go in Shelley, not merely with a capacity for momentary self-deceptions and insincerities, but with a radical lack of self-knowledge.*

In the second section of the text, Leavis considers The Triumph of Life to be one of Shelley's best pieces, *among the few things one can still read* (L-121/2), and yet it too fails. In this case, too, the explanation of the failure can only be understood by readers who are already familiar with many of the humanist assumptions listed above, and who therefore can follow the thread of key terms, *a new and profoundly serious concern for reality* (L-114), *the earnest struggle to grasp something real* (L-115), and *the failure to place the various phases... with reference to any grasped reality* (L-120). What exactly is meant by 'grasped reality', and why the poem fails in this regard, is not explained.

Another key meaning made in the text concerns the role of the poet Shelley in the process of textual evaluation in which the critic engages. 'Shelley' as Medium appears in a variety of clause types: it is Identifier (L-75), Senser (L-33/4), Sayer (L-79), Existent (L-103), Actor (L-105) and Carrier (L-124,137). This, as was mentioned earlier (5.5.3), attests to the importance of the poet as one of the participants in the creation of meaning that is the critical act, and this aspect of the text's meaning will be further explored in the consideration of the interpersonal function in Chapter 6. The poet, however, also appears in the text as part of a phrase, in such expressions as

- (L-63) *its personal quality, characteristically Shelleyan*
- (L-80) *Shelley's characteristic pathos*
- (L-87,98,123) *in Shelley*
- (L-94) *Shelley's ability*
- (L-102) *Shelley's genius*
- (L-111) *Shelleyan confusion*
- (L-125) *Shelley's part in*

These forms encode a generalising function of the text: Leavis constantly moves from specific (poems) to general, and the general in this case is an appraisal of 'Shelley' the poet in all-embracing, if negative, fashion.

In contrast, de Man also moves from specific (one poem) to general, but in his case the general is a consideration of the critical act itself. 'Shelley' as Medium only appears once, as Senser (DM-11), and for the rest his name is tied down to the very specific poem de Man is analysing:

- (DM-43) *Shelley's imagery (in The Triumph of Life)*
- (DM-52) *Shelley's treatment of the birth of light*
- (DM-75) *Shelley's poem*
- (DM-122) *Shelley's poem*
- (DM-141) *Shelley (as reader of the poem)*
- (DM-147) *Shelley (the only generalising function of the name).*

While Leavis castigates The Triumph of Life, de Man praises the poem, but such praise is not expressed congruently in evaluative terms such as adjectives and overt attitudinal expressions, except in two minor instances, when de Man qualifies the imagery as 'extraordinarily systematic' (DM-43) and Shelley as showing 'exemplary rigour' (DM-147/8). Rather, it is expressed as the constant emphasis on undecidability of meaning in the poem, which

mirrors, in de Man's view, the process of reading itself. Whereas Leavis criticises the visionary perspectives which *shift elusively and are lost* (L-118/9), the elusively shifting perspectives are, for de Man, precisely the point.

It should be noted at this stage that, different as the two readings of The Triumph of Life are, both critics allude to a similar criterion of poetic success behind the opposing 'realities' they read. Leavis is in pursuit of concrete realisation and enactment (*the failure to place the various phases or levels of visionary drift with reference to any grasped reality* (L-120)), but de Man is drawing attention to the way the material of the poem is echoed by the actual experience of reading it (*and creates conditions of optical confusion that resemble nothing as much as the experience of trying to read The Triumph of Life* (DM-17/8)). In other words, the poem, says de Man, enacts its content: it acts out its self-deconstruction.

Finally, then, both critics agree on yet another fundamental ideological assumption of literary criticism: the reality of language is not what it says it is about, but how it actually performs. Literature does not merely describe the nature of human experience, it enacts that experience. For both Leavis and de Man, literature is unique and central evidence not for what it tells, but for what it shows.

## 5.7 Conclusion

This chapter has provided an analysis of the ideational meanings made in the two texts by Leavis and de Man, which are shaped by the contextual feature of field, the set of activities which academic literary critics engage in, in order to interpret literary texts. First, a review of the grammatical analysis provided in the appendices was given, so as to isolate the specific textual features which encode the patterns of literary critical experience: the transitivity system, grammatical metaphors, nominal groups, and lexical sets. Then, these textual features were interpreted in terms of the discursal, generic, registerial and textual meanings they produce.

The analysis has shown that the literary academic community makes use of a certain category of texts for its own purposes: to justify its existence in the academy, and the activity of reading literature. To achieve these aims, the community transforms literary texts into autonomous objects, and posits a special literary language which yields special meanings, which only community members as experts can elucidate through a particular technique of close reading. The power of the discourse of English Studies is thus exercised in its ability to promote the reading of literature as an academic endeavour, but also in differentiating this endeavour from other academic ones through the reduction of technical terminology.

The genre of literary criticism is characterised by heavily nominalised prose foregrounding the qualifying, rather than classifying, of the literary world the critics explore. The generic purpose of the two texts is to produce readings, or interpretations, of the literary texts they consider. The deconstruction and humanist registers of literary criticism are mainly differentiated through the meanings the critics look for in literary texts: while the humanist critic looks for the linguistic enactment of moral values, the deconstructionist identifies the textual features which enact the main tenet of his theory: the undecidability of meaning in language. Thus, Leavis castigates Shelley for failing to portray 'grasped reality' in The Triumph of Life, whereas de Man applauds the constant play of oppositions and subsequent elusiveness of meaning in the poem.

At the level of representation of experience, the ideational function of language, this analysis has shown the very powerful way in which academic literary criticism repeatedly reforms itself, transforming its appearance in response to societal pressure, while elaborating and conserving its institutional power and thus ensuring its survival.

The next step in the analysis is to consider the interpersonal meanings made in the texts by Leavis and de Man which, at first sight, appear to show far greater differences than the ideational meanings do.

## CHAPTER 6

## THE INTERPERSONAL FUNCTION

## 6.1 Introduction

The purpose of this chapter is to consider how the register variable of tenor is realised in the interpersonal function of language. The interpersonal function

    serves to establish and maintain social relations: for the expression of social roles, which include the communication roles created by language itself - for example the roles of questioner or respondent, which we take on by asking or answering a question; and also for getting things done, by means of the interaction between one person and another. (Halliday 1970b:143)

In addition, the interpersonal function includes the writer's comments on the probability, relevance, etc. of the message, and his attitude towards it.

In other words, Halliday recognises that the interpersonal function of language is not concerned solely with the articulation of what is commonly referred to as the writer's "attitudes" or "beliefs". Rather, interpersonal features also function to construct participant roles with specific social relations to one another, and to articulate value judgements towards both the experiential content of the discourse and the various possible discourse positions towards that content.

This aspect of Halliday's grammar, however, is incomplete and unconvincing. Butler (1988a, 1988b, 1988d) has argued that systemic grammars need a pragmatic component in order to achieve the explanatory power they lack, and the present account of interpersonal features in the two texts by Leavis and de Man will use some of the suggestions put forward by Butler (1988b) and Fawcett (1980) to broaden the scope of the interpretation.

The chapter is organised as follows: first, there is a general discussion of the kinds of audiences literary critical texts may have, and of some of the historical differences between Leavis's

and de Man's readerships. Then, a brief exposition of the grammatical features needed to account for interpersonal meanings in the texts is given, followed by an analysis of interpersonal meanings in each text.

## 6.2 The literary critic and his audience

The major difficulty in identifying the audience of literary critical texts is that there is potentially a large and diverse audience: the "present" audience a critic is presumed to have in mind when writing, those people who will read an article or essay within weeks or months of its publication, and a "future" audience whose purposes in reading the same article or essay, years later, might be quite different. In addition, as far as the "present" audience is concerned, professional academic texts can be said to have roughly two audiences. Myers's (1989:3) distinction between the exoteric and esoteric audiences of scientific texts is a useful one to adopt for literary critical texts: the exoteric audience is constituted by the wider discourse community, the esoteric audience is a more restricted audience of individual readers who, for some reason linked to their own work and position in the academic community, are particularly interested in an individual critic's article or essay. Furthermore, the conditions under which Leavis and de Man were writing make it necessary to start this chapter with a brief consideration of the very different historical "present" audiences each critic may have had.

The chapter on Shelley published by Leavis in 1936 in Revaluation had previously appeared in the magazine Scrutiny. Mulhern (1979:17-41) asserts that the impulse behind the launch of Scrutiny in May 1932 was to fill the void created by the demise of the short-lived Calendar of Modern Letters (March 1925-July 1927). This magazine had published poetry and fiction, literary criticism, and articles on cultural and social matters, united by the obsessive themes of, on the one hand, the disruption of cultural life brought about by the spread of scientific thought and the consequent dissolution of religious belief and, on the other hand, the establishment of literature as the new repository of moral values and, consequently, literary criticism as the

privileged arbiter of social thought. Since the closure of the Calendar, literary criticism had been practised as conservative amateurism, in Life and Letters and the London Mercury, while the universities were represented only by 'the devotedly philological Review of English Studies' (Mulhern 1979:40). In other words, there was no publication that could meet the needs of the new Cambridge students and graduates, trained exclusively in English through the new course in 'English Literature, Life and Thought' which had been introduced, amidst much polemic, in 1917.

According to Mulhern (1979:45,225), the first issue of Scrutiny, in 1932, was printed in 750 copies; by the third issue, a few months later, the number had risen to 1000 copies, and at the time of closure, in 1947, 1500 copies were printed. Hence, 'Shelley', whether as an article in Scrutiny or a chapter in Revaluation, had a small readership of middle-class and petit bourgeois students and their teachers, the majority of whom were Cambridge graduates. These were representative of the post-war ideological and social diversification of the national intelligentsia, 'more disparate in social origin and occupational position and culturally less homogeneous than ever before' (Mulhern 1979:9).

It should also be remembered (see section 4.4.3 in Chapter 4) that one of the aims of the Scrutiny enterprise was the creation of a new breed of literary critic. Leavis and his followers openly repudiated the amateurism of belles-lettres, and wished to establish literary criticism as an intellectually serious and culturally significant pursuit: 'the discipline of "letters" was for them a profession, not a patrimony' (Mulhern 1979:32). Wright (1979:38) also argues that Scrutiny established an ideology and a *raison d'être* for a new and highly insecure social group, the professional teachers of English who, demoralized simultaneously by scientists' attacks on the value of the humanities and by the growing social crisis, were 'oppressed by a sense of their own ineffectiveness'. What comes out most clearly from Mulhern's account of the early years of Scrutiny is the sense of excitement and polemic the magazine generated among its writers and readers. Articles, comments and reviews all bear testimony to a feeling of urgency, tremendous excitement and a growing sense of self-



importance among a group of people determined to effect a critical revolution in 'the general torpor of English cultural thought' (Wright 1979:43).

This sense of urgency and excitement of a minority group challenging established structures and authorities has all but disappeared in the academic world that saw the publication of de Man's 'Shelley disfigured' in Deconstruction and criticism (Bloom et al 1979). "Literature" was contested terrain in the 1930s; by the late 1970s, English Studies was firmly established as an academic discipline, and had assimilated the impact of various theoretical perspectives and discourses: linguistics, psychoanalysis, structuralism. Contested terrain was not the importance of "great" works of art, but rather how to read them. As Butler (1988c:133) puts it, 'the activity of critical interpretation helps to form agonistic communities, each seeking hegemony over the others'.

In American research universities and elite colleges (de Man was teaching at Yale), 'the primary task of professional professorial critics [was and] is research and publication' (Culler 1987:89). Culler's (1987) analysis of the American institutionalisation of literary criticism shows the importance of a number of factors such as university expansion in the 1960s and consequent changes in conditions of employment, the primacy of departments in the overall structure of tertiary institutions and consequent competition for students and staff, the growth of funded research and increasing availability of research grants. These changes have led to criticism which is 'colleague-oriented rather than client-oriented' (Jencks & Riesman in Culler 1987:89), as critics' peers are the principal audience for their publications, and critical progress or innovation is the sole goal of teachers of literature.

The previous discussion of genre and register (see Chapter 3) has shown that while texts are created for a particular audience, once they exist they, paradoxically, create their audience. Hence, the following section will list those features of the two texts which suggest who their audiences and writers are intended to be, how they are supposed to relate, and will identify the strategies used

for dealing with the social interactions involved in publishing a literary critical text.

### 6.3 The grammatical analysis

Lexicogrammatical features in the interpersonal component belong to two categories: those which help produce a certain kind of interaction between speakers/writers and listeners/readers and set up specific participant roles, and those which indicate the writer/speaker's attitudes towards what is being said.

#### 6.3.1 Interactional features

##### 6.3.1.1 Clause functions

Halliday (1985a) has handled the factors pertaining to how a speaker or writer interrelates with others, both socially in establishing channels of communication, and instrumentally in influencing the behaviour of others, through the system of mood of the clause. Halliday (1985a:68) recognises what he calls 'four primary speech functions', namely statement, question, command, offer. These realise options available for 'moves', the giving or demanding of information or goods-and-services, and are themselves realised by lexicogrammatical mood options: imperative or indicative, and if indicative, then either declarative or interrogative.

The problem with this approach is that it deals only with the syntactic structure of the sentence, and not necessarily with what the speaker/writer is doing. In particular, Halliday ignores completely the issue of rhetorical questions, i.e. interrogatives which do not function as questions or offers. Recognising this fact, Fawcett (1980:103) sets out a system of illocutionary force, reflecting the work done in pragmatics, which covers what may be called the speech functions of an utterance. Fawcett distinguishes between utterances dealing with information and those functioning as directives, and rhetorical questions are slotted in either category, either as 'information checks' or 'directives for confirmation'.

The analysis of clausal functions in both texts shows that all clauses encode the writer's function as that of information giver. In accord with the generic requirements of academic texts, both Leavis and de Man give information, and make statements concerning the world of literary criticism. Their interlocutors are encoded as attentive readers to be persuaded (see below), but are not shown as participating in the argument. Both writers are in control, and allow only minimal participation from their readers.

The ways in which such writer and reader positions are achieved do, however, differ in the two texts, and are indicative of register characteristics. An important index of such positioning can be identified through the use of pronouns and other participant-identifying features.

#### 6.3.1.2 Identification of participants

Sections A-7-2 and B-7-2 in the appendices contain the analysis of those text features which contribute to the identification of participants: the writer and his readers, and the poet. Explicit identification is done mainly through the use of personal pronouns like *one* or *we*. In addition, there are a few items like *readers* or *those*, which explicitly point to participants in the discourse.

The analysis also includes a number of linguistic expressions which imply the existence of some participant in the interaction. For example, expressions like *to say so* (L-2) or *stopping to note* (L-23) beg the question 'Who?' - who says so, who stops to note? The analysis of these expressions has been kept separate from the analysis of voice in Chapter 7, although the two are linked. Finally, a positive or negative value has been attributed to each identification, from the writer's perspective. The purpose of this was to determine whether the writer appears to position the participant(s) involved in a positive or negative light, implying praise or criticism.

### 6.3.2 Interpersonal features

In addition to the setting up of interactant roles, the interpersonal component includes such options as those of "writer's comment", on the probabilities, the degree of relevance, etc. of the message, and of writer's attitude, for example confirmation, reservation, contradiction. This section will thus identify those textual features which show how the writer participates by offering, for example, his comment on and reaction towards the main propositional content of the clause.

#### 6.3.2.1 Modality

Halliday's (1970c, 1985a) account of modality in language is marred by inconsistencies and vagueness. First of all, he makes the distinction between propositions ('information', i.e. statements and questions) and proposals ('goods and services', i.e. offers and commands). He then attaches to propositions the system of modality, whereby the meanings expressed can run along the two scales of probability ('possibly/probably/certainly') and usuality ('sometimes/usually/always'), as in 'they must have known' or 'it always happens'. In a proposal, the intermediate possibilities are expressed in the system of modulation: degrees of obligation ('allowed to/supposed to/ required to') or inclination ('willing to/anxious to/determined to'), as in 'you must be patient' or 'I'm determined to win!' (Halliday 1985a:86-7). Sometimes, Halliday uses the term 'modality' as an umbrella term, and distinguishes between 'modalization' and 'modulation', as when he states that 'in philosophical semantics modalization is referred to as epistemic modality and modulation as deontic modality' (1985a:336).

Apart from the inconsistency of terminology, there are two major problems with this account of modality. First, he repeatedly states that the two systems of modality and modulation operate 'in different functional environments': modality operates in the interpersonal function, and modulation in the ideational function (Halliday 1970c:350). Secondly, Halliday does not include in his modality/modulation systems the feature of ability, important in

that it is often ambiguous with permission, as in 'he can do it' which can mean either 'he is able to do it' (either because he has the ability, or because there is nothing standing in his way) or 'he is allowed to do it'. Halliday (1985a:339) briefly refers to this feature as 'one further semantic category [which is] strictly not a kind of modality' and does not mention it further.

Consequently, the present analysis of modality will use the more traditional semantic accounts of Perkins (1983), Coates (1987,1990), and Simpson (1990a,1990b). The term modality refers broadly to 'a speaker's attitude toward or opinion about the truth of a proposition expressed by a sentence and toward the situation or event described by a sentence' (Simpson 1990a:66-7). Most linguistic accounts of modality distinguish between two major subtypes: epistemic and deontic modality. Epistemic meaning is 'expressed by those linguistic forms which indicate the speaker's confidence or lack of confidence in the truth of the proposition expressed in the utterance' (Coates 1990:54). In the example 'You could be right', the use of the word *could* indicates lack of confidence in the proposition 'you are right'. The epistemic system thus realises a continuum of 'commitment' ranging from 'possibility' through 'probability' to 'certainty', and it is these three values which have been identified in this study of epistemic modality.

In contrast, deontic meaning is 'expressed by those forms which indicate obligation and permission' (Coates 1990:54). In the example 'You must leave at once', the use of *must* indicates that leaving at once is obligatory. The deontic system thus realises a continuum of 'obligation' ranging from permission through obligation to requirement. Because of the potential ambiguity between permission and ability noted earlier, and the use made of this potential by de Man in particular, the three values identified in this study of deontic modality are: 'obligation', 'permission', 'ability'. The category 'obligation' thus includes the two meanings of obligation and requirement (as expressed by, for example, the modals *should* and *must*).

Two more features of the present analysis of modality in de Man's and Leavis's texts must be mentioned. First, the analysis is not restricted to modal auxiliaries, but includes all linguistic expressions whose major function is to express modality. Secondly, a distinction is made between subjective and objective modality, as exemplified in the pair

- (1) *You must leave at once*
- (2) *You have to leave at once.*

The difference in meaning between these two expressions has to do with the degree of speaker involvement: in (2), the speaker expresses obligation, but at the same time makes it clear that s/he is not the source of this obligation.

Finally, Coates (1987,1990), Perkins (1983) and Simpson (1990a) have emphasised the pragmatic dimension of modality, the fact that many modalised utterances are motivated not only by the degree of speaker (un)certainly but also by sensitivity to the needs of addressees, that is, by considerations of politeness. Coates (1987:122) notes that in naturally occurring conversations, the proportion of modalised utterances is higher when speakers exchange opinions and ideas than when they narrate facts, and she relates this modal density to the speakers' 'constant vigilance over the face needs of others'. In other words, she claims that modality is not so much a reflection of speakers' belief or lack of belief in the propositions they express than a question of politeness strategies, when presenting viewpoints that may potentially be, or are known to be, offensive to others.

As a genre, literary criticism is written by academics for other academics, and published as proof of the writer's ability to 'research', which is to be understood 'in the broader sense of adding conceptual rather than factual knowledge, which in practice means the proliferation of interpretations' (Bergonzi 1990:167). Hence, one of the critics' purposes is to convince their readers of the validity of their interpretations, and method(s) of interpretation. More to the point, it is also to assert the importance of their contribution as 'new': researchers must have a new claim to make to justify publication. In terms of Brown & Levinson's (1987) politeness strategies model, there is thus

tension between the writer's need to be accepted as member of the academic (literary) community, and the need not to offend fellow members of the community, while at the same time making claims which can, and often do constitute an imposition on others: an article or essay, in stating a claim, denies or supersedes the claims of others.

In the light of these considerations, the analysis of modality in the two texts by de Man and Leavis will link the use of modal expressions to the kind of information the writers are presenting, and thereby assess the degree to which the critics appear to consider their readers' face needs. This analysis of the strategic use of modality will thus add to the study of the social roles between writer and readers that the grammar of the texts sets up.

As a first step, a global comparison between the two texts is necessary, presented in Table 6.1.

TABLE 6.1 Comparison of modal meanings

MODAL MEANING	LEAVIS		DE MAN	
	No	%	No	%
TOTAL	80	57.9	59	39.5
Epistemic certainty	43	53.7	27	45.7
Epistemic probability	8	10	8	13.5
Epistemic possibility	12	15	6	10.1
Deontic obligation	7	8.7	5	8.4
Deontic permission	-	-	5	8.4
Deontic ability	5	6.2	5	8.4
Unclear meaning	5	6.2	3	5
Subjective modality	77	96.3	31	52.5
Objective modality	3	3.8	28	47.4

This table reveals that there is greater use of modality in the text by Leavis. In terms of Perkins's (1983:6) statement that modality represents the possibility of 'things being otherwise' in 'other possible worlds', this might indicate that, overall, Leavis is more concerned than de Man to mark various degrees of

commitment or detachment from propositions. In other words, he appears to indicate acceptance of the fact that his readers might have different ideas, consequently showing awareness that things might be 'otherwise'. Lyons (1977:808-9) has pointed out that categorical assertions express the strongest possible degree of speaker commitment. This would indicate that the prominence of modal forms in a text is an indication of the amount of interactive social work that the writer feels s/he has to perform. In this sense, then, Leavis's text is considerably more overtly interactive than de Man's.

Another difference between the two texts lies in the degree to which the writers express subjective or objective modality. The modal expressions in Leavis's text are nearly all subjective, clear representations of what the writer himself thinks and would like to convince his readers of:

*to say so, INDEED, is to make the main criticism (L-2)*

*NOR IS IT SURPRISING (L-26)*

*IT IS PLAINLY SO in the third stanza (L-91)*

In contrast, de Man uses a number of objective modal forms, whereby the qualification of the commitment is attributed to some other entity than the writer. For example, he often uses the impersonal BE...TO/THAT frame which, according to Perkins (1983:67-8), expresses objective modality, 'the objectivity being a function of the fact that the modality itself is actually asserted':

*IT IS IMPOSSIBLE TO SAY, in either passage (DM-1)*

*IT IS EXPLICITLY STATED THAT (DM-9/10)*

Or, he uses the 'have to' modal form which shifts responsibility for the obligation being expressed away from the writer:

*it does not HAVE TO BE naive, since it does not HAVE TO BE the repression of... (DM-95/6)*

*it also warns us why and how these events then HAVE TO BE reintegrated in a historical... (DM-135/6)*

Further consideration of subjective and objective modality in de Man's text will be made in the analysis to follow; for the moment, it is enough to note that, in addition to the relative scarcity of modal forms in the text, there is also considerable vagueness concerning the source of the commitment qualification being performed.



What the two texts do share is the preponderance of epistemic modality, and, within this category, of epistemic certainty. In other words, literary critical texts make assertions concerning the world, and when those assertions are modalised, a great number of modalisations concern the degree to which the writer is certain or not of what s/he asserts. Overall, it appears that critics, whose purpose is to convince their readers of the validity of their arguments, wish to appear as committed as possible to the assertions they make, so as not to weaken their arguments.

#### 6.3.2.2 Attitudinal modifiers

In the analysis of attitudinal modifiers presented in Appendices A-7-3 and B-7-3, the value assigned to modifiers has been identified as negative, positive, unclear or neutral, and the object of the attitude has been classified according to whether it has to do with the author (Shelley), the reader/critic, the text (the poem being analysed) or the critic's own text. For example, in *whether the effect got with 'lies dead' is legitimate* (L-7), the modifier 'legitimate' is applied to 'effect', that is, some element of the text, and its evaluative meaning in the clause is negative.

Expressing evaluation in a text involves both a statement of personal judgement and an appeal to shared norms and values. In that it creates a shared point of view, evaluative meaning is essentially interpersonal. In addition, when an item is evaluated, that item is effectively highlighted, that is, made more important than items which are not so evaluated. The analysis of attitudinal modifiers will thus add an important dimension to the study of modality.

The interpersonal characteristics of the two texts will now be analysed. While each writer puts his own individual stamp on the formulation of propositions, it was argued in Chapter 4 (sections 4.4.3 and 4.4.4) that many of the effects created in each text can be said to be representative of the registers of liberal humanist and deconstructive criticisms.

#### 6.4 The text by Leavis

'Scrutiny's style,' asserts Mulhern (1979:326), 'is less a legacy than an unhappy memory'. Mulhern (1979:316-327) gives numerous examples of contemporary reviewers' and fellow critics' condemnation of Scrutiny's critical style, variously castigated as 'schoolmistress's impatience', 'minoritarian arrogance', 'perverse incivility', 'prim', 'narrow', 'priggish'. By the time of the Scrutiny reissue in 1963, a reviewer warned that 'this tone ought never to be heard again in literary dispute'. Later, Eagleton (1983:35) was to write of Scrutiny's tone as 'inescapably elitist' and Felperin comments on 'its curious combination of self-proclaimed democracy and undeclared authoritarianism' (quoted in Bergonzi 1990:53). These comments show that what has been variously called "style" or "tone", and almost universally condemned, has to do with the relationship that the texts published in Scrutiny established between writers and readers, and the subject positions set up by the lexicogrammar.

In this section, the interactional and interpersonal features of the extract from 'Shelley' will thus be analysed in order to establish what exactly could lead to the readers' reactions quoted above. In this way, the impressionistic reactions of Leavis's readers may be accounted for by close textual analysis.

##### 6.4.1 Participant identification

What stands out immediately from the identification of participants in the text by Leavis is the overt distinction between different types of readers: "good" and "poor" readers. The poor readers (in L-18,28,30,133,134) are clearly identified as those who cannot interpret the text properly, who do not have the right discriminating faculties:

(L-30) *those... are not at the same time exacting about sense*  
 (L-133/4) *but the impressiveness is for the spellbound, for those sharing the simple happiness of intoxication.*

On the other hand, the good readers are those who share Leavis's sensibility, which leads them to make the right judgements on the text they are reading, for example:

(L-57) *if we could take the tropes seriously*  
 (L-121/2) *Nevertheless, The Triumph of Life is among the few things one can still read.*

The good readers are identified in the impersonal pronoun *one* or the more inclusive *we*, and are thus clearly linked with Leavis himself. The assumption underlying the use of these pronouns seems twofold. On the one hand, they help identify a community of readers who share the right sensibilities and faculties for critical analysis of a literary text, and, together, perform the task of evaluation. On the other hand, though, they also perform the task of showing that, in order to attain the correct judgement, the reader needs the help of the critic in making sense of the literary experience. Hence, the writer periodically takes on the role of teacher, advising, helping his audience. This is seen particularly in those instances where the use of *one* or *we* is linked to a rhetorical question, *in what form are we to imagine Love leaving the well-built nest?* (L-38), or expression of modality, *but any notion one may have had* (L-71).

There are also a number of instances in the text where the identification of participants is done implicitly. In some cases, writer and readers perform the task of interpretation together, as in *nor is it surprising* (L-26) or *there would be no point in contemplating* (L-55): together, they are not surprised, together, they decide not to contemplate. Occasionally, the writer himself firmly guides his readers, and tells them what to do or think: *to say so* (L-2) where the meaning is 'I say so', or *it would be unpoetically literal to suggest* (L-41).

The poet Shelley is often identified as participant, usually with a negative value attached to the identification, as in *Shelley himself... so unexacting about sense, giving himself so completely to sentimental banalities* (L-32/4).

A consideration of the mood of the clauses shows that while the majority of clauses are indicative, presenting statements, there are four interrogatives and one imperative in the short extract which is being considered. Overtly, it thus looks as though Leavis is including his readers in his demonstration, asking them to participate in the argument by answering questions and performing some action.

The interrogatives are, however, all rhetorical questions, used to further Leavis's argument rather than elicit some answer (however silent) from readers. The first two,

(L-13/4) *Leaving the question in suspense, perhaps, one passes to 'shed': 'shed' as tears, petals and coats are shed, or as light is shed?*

(L-38) *In what form are we to imagine Love leaving the well-built nest?*

contain some identification of the person who is supposed to answer, and who does answer in the clauses which follow on immediately. In other words, although the writer himself answers the questions posed, he does so in such a way as to indicate strong identification with his readers: together, they ask and answer, and perform the task of interpreting the lines.

The third interrogative

(L-45/7) *Perhaps the mate, the strong one, is what the weak one, deserted by Love, whose alliance made possession once possible, now has to endure?*

is encoded as a request for confirmation, but the request is prefaced by the marked modal Theme *perhaps*, which tells the reader, rather than asks, that to confirm would be a mistake. The marked modal Theme, *who*, then of the fourth interrogative (L-69) *Who, then, is 'thee'?* also signals that the answer is given in the question itself, and will be elaborated on in the following sentences.

Finally, the writer instructs his readers to (*note particularly the use of 'bright' in 'bright season'*) (L-78) in a parenthetical statement used for strengthening the point being made. In other words, the function of this imperative is not a directive, equivalent to 'I want you to note...', but rather a confirming statement, equivalent to 'this point is confirmed by...'

What the clause functions and participant identification show, then, is an elitist role for Leavis and his followers, and reader involvement which consists largely in accepting the writer's argument, that is to say arguing with, rather than against Leavis. The analysis thus confirms Wright's (1979:39) judgement of 'the hair-raising elitism and the arrogant attitude of moral superiority that is so often the mark of the Leavisite teacher'.

One should remember that students, recent Cambridge graduates, and English teachers constituted the esoteric audience that read 'Shelley' in 1936. For these readers, the elitist tone combined with the strong evaluative stance mentioned in Chapter 5 and further analysed below, were just what was needed. George Steiner's recollections illustrate well a feeling which must have been shared by many:

...waiting for those austerely wrapped numbers of Scrutiny as one waits for a bottle flung into the ravening sea. [...] they conveyed the image of a prophet, surrounded by a tiny, imperilled guard of the elect, expounding and disseminating his acrid truths by bent of will and privation.[...] I sent in my subscription with a sense of embarrassed awe.(quoted in Gregor 1985:436)

#### 6.4.2 Evaluation of propositions

Hunston (1994:191) notes that 'for a text to work as communication, there must be frequent indications of attitudes held towards information given in the text and towards the communicative value of the discourse itself'. Such indications of attitudes abound in the text by Leavis, in the form of attitudinal modifiers and modalised expressions.

##### 6.4.2.1 Attitudinal modifiers

Given the strong evaluative stance of liberal humanist criticism discussed in Chapter 5, it is not surprising to note that most of the overt expressions of evaluation identified in Appendix A-7-3 are directed at the poems Leavis is analysing. As the analysis of ideational meanings has shown, the evaluation is largely negative in character, although such value arises out of the context rather than the terms themselves: in this text, to write that the purpose of a poem is 'emotional'(L-8/9), or that the imagery is 'famous' and 'impressive' (L-132), or to qualify a poem as being 'Shelleyan' (L-127), is to criticise. The point, though, is that the overall effect of negative criticism is quite clear to the reader, partly through accumulation, partly through the reinforcement provided by the links with "poor" readers and the expressions of modality. There are also a few modifiers applied to readers or the reading process, which reinforce the role of the

critic as guide and the reader participation discussed in 6.4.1: a question is said to have 'no acceptable answer' (L-40) and besides, it would raise 'unnecessary difficulties' (L-44).

A notable feature of Leavis's text is the number of modifiers qualifying the poet Shelley or the poem, and by extension, its author, as in:

(L-32/3)...to see Shelley, himself (when inspired) so unexacting about sense, giving himself so completely to sentimental banalities

(L-115) But in spite of the earnest struggle to grasp something real, the sincere revulsion from personal dreams and fantasies, the poem itself is a drifting phantasmagoria-bewildering and bewildered.

In both examples, there is a shift from author to text, such that the literary inadequacies of the text are seen as a direct expression of the author's personal inadequacies. The point was made in Chapter 5 that one of the objects of liberal humanist criticism is to evaluate works of art so as to isolate "greatness". One characteristic feature of this enterprise is that greatness, or the lack of it as in this case, is seen as a property of authors. There is a constant slide from text to author and back, so that, in the end, author and text are inextricably intertwined in the evaluation process. In the end, what these features, together with the signals of participants' identification (see 6.4.1) show, is yet another ideological assumption of liberal humanist criticism, the primacy of the individual mind as the source of meaning: the reader needs the help of the critic in making sense of the literary experience, but both critic and reader need the help of the author, ultimate source and guarantee of the poem's meaning.

#### 6.4.2.2 Unmodalised expressions

There are, in fact, very few expressions of unqualified commitment in Leavis's text. They usually appear as isolated clauses in amongst the greater number of modalised expressions, as in *The first two stanzas call for no very close attention* (L-1) which is immediately followed by the strong epistemic *indeed* (L-2), or *and are of permanent interest* (L-107) which is sandwiched in between

expressions of epistemic probability (L-104) and certainty (L-108).

There are, however, a few passages made up of undiluted chunks of categorical assertions. The first two concern the "poor" readers' views (L18/19, L30/32). As the poor readers are identified with the sarcastic 'the right reader' or the dismissive 'those', the effect of these assertions is to put the text's reader in a somewhat difficult position. As Eaton (1978:10) puts it, 'he either agrees with the assertion, in which case the master wins his point, or he disagrees and is placed on the defensive, for Leavis's tone suggests that non-acceptance entails insensitivity'. The second instance of a long passage of unmodalised assertions deals with Leavis's dismissal of The Triumph of Life (L-115/120). There are no quotations from the poem to substantiate the points being made, and the effect of this passage is, once more, to deny the reader any opposing views.

#### 6.4.2.3 Modalised expressions

Modalised expressions constitute a key feature of Leavis's writing. Apart from those few unmodalised assertions mentioned earlier, just about every single clause in the text is modalised.

Epistemic certainty, by far the most common modal meaning, is expressed through few modal auxiliaries. When such auxiliaries are used, they are embedded in overtly impersonal structures such as *and that in general there must be dangers and weakness attending upon such a habit will hardly be denied* (L85/6). Epistemic certainty is more commonly expressed through modal adverbs and related nominals, such as: *certainly* (L-8,133), *particularly* (L-78), *clearly* (L-98), *patently* (L-82,127), *truly* (L-127), *obviously* (L-128), *of course* (L-20), *no point* (L-55), *beyond doubt* (L-77). A favourite construction is one that involves the word 'plain':

*the sense is plain enough* (L-49)  
*so plain is this* (L-54)  
*it is plainly so* (L-91)

Simpson (1990a:80) rightly notes that in many constructions involving words like 'plain', 'obvious', 'clearly', some form of

human perception is invoked. One should remember that one of the goals of the Scrutiny writers was to encourage and teach the development of particular discriminating faculties, a special way of "looking at" literary texts which some readers possess and others (the "poor" readers Leavis explicitly identifies) do not. It is fitting, therefore, that so many of Leavis's overt expressions of certainty should contain words relating to perception.

Another repeated form is the adverb *characteristically* (L-63,79, 80,102), which carries an implicit appeal to information already known by the writer and his readers, hence making the argument very difficult to contradict: if readers wish to refute the point made by Leavis, they then lay themselves open to the accusation of not knowing Shelley's poetry well enough to do so. By the same token, Leavis is reinforcing his authority as "well-read critic" through the repeated use of 'characteristically'.

Halliday (1985a:340) asserts that

'the importance of modal features in the grammar of interpersonal exchanges lies in an apparent paradox on which the entire system rests - the fact that we only say we are certain when we are not.'

In the case of the expression of epistemic certainty in Leavis's text, however, this cannot be so: Leavis is self-assured, and the fact that he chooses to use few categorical assertions and a large number of modalised forms to express this certainty has to do with the construction of particular roles for himself and his readers. The main function of the epistemic modal expressions of certainty, in conjunction with the use of the pronouns *one* and *we* and a few interrogative forms (see section 6.4.1), appears to be to help construct, and reinforce, his role as authoritative guide and teacher, and to position Scrutiny readers as intelligent, sensitive readers like himself, or inexperienced pupils who need the critic's help in making the right decisions.

In terms of what has been said above concerning Leavis's self-assurance, it might appear surprising to note that expressions conveying probability and possibility, that is, lesser commitment to propositions, also abound in the text. Epistemic probability is



conveyed entirely through the use of the modal *would*, as in the *emotional purpose... would be suspect* (L-9), or *it would appear* (L-70). *Seem* (L-23), *may* (L-5,71) and the repeated *perhaps* (L-11,45,100, 111) all appear to indicate that 'things might be otherwise' and that Leavis, overtly, accepts the potential denial of his point.

However, one should note that, often, such expressions of possibility (or probability) are combined nonharmonically with expressions indicating greater epistemic commitment. For instance, in *there would be no point in contemplating the metaphorical complexity* (L-55) the modal 'would', which conveys probability, is combined with the strongly committed form 'no point in'. Similarly, *even there, perhaps, one may find...* (L-83) combines the strong 'even' with two epistemically weaker expressions 'perhaps' and 'may'. In addition, the majority of these expressions of epistemic possibility are linked with the overt identification of participants, as in (L-83) quoted above and *one may stop at the second line and ask* (L-5/6), or an implicit identification, as in *seems hardly worth stopping to note* (L-23), or they appear in interrogative forms, as in *Perhaps the mate...now has to endure?* (L-45/7).

The deontic expressions convey strong requirement, as in *but any notion...must be abandoned* (L-74) or obligation as in the *switching-off of intelligence...has now to be invoked* (L-94) or *if the sentiments of the third stanza are to be accepted* (L-96). Leavis also uses strongly thematised 'if': (*if we evade the problem of sex*) (L-60) is a parenthetical statement equivalent to 'we must evade the problem of sex', and *if the sentiments of the third stanza are to be accepted* (L-96) which has the meaning 'the sentiments of the third stanza should be accepted'.

Deontic expressions of ability are also found, as in *could one so describe* (L-17), sometimes overlapping with the meaning of permission, as in *if we could take the tropes seriously* (L-57). The latter is equivalent to 'we are not able to take the tropes seriously' but could also mean 'we are not allowed', in which case

there is considerable ambiguity as to who/what refuses permission, the poem or Leavis himself.

In the majority of the deontic expressions, the constraints conveyed by the modal forms are exercised over Leavis and his reader: *for readers who get so far as asking, there can be no acceptable answer (L-39/40), or but any notion one may have had... must be abandoned (L-74)*. However, one also finds clauses in which the deontic conditions of obligation, permission or ability are attached not to critics, but to Shelley himself, or to elements of the poem being discussed. For example, deontic ability is confidently attributed to Shelley in *he can make self-pity a luxury (L-89)*, and the grammatical metaphors *Shelley's ability to accept (L-94)* and a *capacity for momentary self-deceptions (L-98)*.

#### 6.4.3 Interactional and interpersonal meanings

What the previous analysis has shown is strong writer commitment to the evaluation of Shelley's poems. What therefore needs to be investigated is the frequent use of epistemic possibility or hedging, which, in this text, cannot be said to function to indicate lack of certainty and consequent acceptance of potential disagreement. It could be argued that this kind of hedging is used as negative politeness strategy: Myers (1989:12) claims that in scientific articles, hedging marks a claim as being provisional, pending acceptance by the scientific community. Then, as soon as the claim is part of the literature, it becomes possible to refer to it without any hedging. But this cannot be so in this case, as some new claims are presented as categorical assertions, and others through a variety of modalisations, some committed, some not.

Simpson (1990a:91) concludes from his analysis of modality in 'The Great Tradition' that Leavis's tactic seems to be to present potentially controversial information as if it were self-evidently true, through unmodalised or highly committed modalised expressions, while presenting information that is less "risky" by comparison as if it were dubious or likely to cause affront, through uncommitted, "polite" modalised expressions. One of the

consequences of this tactic, he argues, is that 'important questions concerning the canon of English literature can be glibly passed over and, at the same time, attention can be deflected toward issues that are, by contrast, less significant and more peripheral' (Simpson 1990a:91).

Such an interpretation of Leavis's use of modality can help explain the effect of the unmodalised passages in 'Shelley'. These, indeed, concern highly controversial information: the harsh, and largely unexplained, rejection of The Triumph of Life, and the equally harsh condemnation of "poor" readers. But it is impossible to find a pattern that would explain Leavis's use of epistemic certainty and possibility, because the information which is being modalised in different ways appears to be equally controversial, or equally less risky.

To account for this apparently erratic use of modality, one needs to link it not to politeness strategies and the writer's perception of his readers' face needs in terms of the kind of information being offered, but to Leavis's overriding goal: to guide, to teach. All modalised forms function as markers of the overwhelming teaching role Leavis sets up for himself. This can best be seen when reading passages of 'Shelley' aloud. In, for instance

(L-82/3) *this is patently so in some of his best poetry; for instance, in the Ode to the West Wind. Even there, perhaps, one may find something too like an element of luxury in the poignancy...*

each modal form would be orally emphasized, and the role of 'perhaps' and 'may' would not be to signal lack of certainty, or politeness, but to help the speaker in his teaching task, very much as a lecturer does in the lecture situation when the use of 'may' or 'perhaps' often does not modalise a proposition, but rather invites the audience to participate in the demonstration being performed, and, perhaps paradoxically, reinforces the lecturer's authority. Leavis's "voice" comes through in his writing, and this point will be taken up again in Chapter 7, when considering the blend of the oral and written modes in the text by Leavis.

In all, then, it is easy to see why Leavis's "style" worked so well for the small, esoteric audience of Scrutiny, but was condemned by the magazine's exoteric audience. The blend of dialogic openness and authoritative insistence, together with the singling out of an elite readership, must have been powerfully attractive for members of the inner circle. As one of them puts it, there was 'a grammar of conviction on the part of the writer that demanded, and assumed, a corresponding depth of engagement on the part of the reader' (Gregor 1985:437). On the other hand, the exoteric audience could not but feel alienated by such repudiation of its cultural conventions. While claiming to put criticism on an academic footing, Leavis simply did not follow the rules of the academic game as the genre was beginning to emerge, which involve politeness strategies indicating the writer's deference before the discourse community. Hence, from the 1930s to the present day, the majority of literary critics have commented unfavourably on the grammar of interpersonal meanings in Leavis's writings. Today's readers of Leavis are likely to be postgraduate students of literary theory and their lecturers, reading Leavis and other Scrutiny writers in a historical perspective. These readers would probably focus on the ideational meanings of the text, and note, with distaste, the register's overt elitism and evaluative stance, without realising the degree to which they themselves have been influenced by such features of liberal humanist criticism.

#### 6.5 The text by de Man

Comments on de Man's "style" have not been in evidence: literary critics have discussed deconstruction theory at length, but the writer and reader positions set up by the grammar of interpersonal meanings have gone unnoticed, which could be interpreted as a sign that these positions represent the accepted, taken-for-granted norm in literary critical discourse as genre.

And yet, when 'Shelley disfigured' appeared in Bloom et al (1979), it and the other essays in the volume represented a mini-revolution in the world of literary criticism. The essays all focused on Shelley's poetry which, from Leavis's attack in the 1930's, had been if not completely expelled from the English

tradition, then certainly under a critical cloud. In addition to this revision of the traditional canon, the volume offered a series of essays in the register of deconstructive criticism which, in the estimates of its adepts and detractors alike, was then considered 'the active antithesis of everything that criticism ought to be if one accepts its traditional values and concepts' (Norris 1982:vii). Hence, in terms of their subject matter and fundamental assumptions, the essays were seen to be as "revolutionary" as Leavis's first publications in Scrutiny, and one might have expected some degree of writer self-consciousness and some overt attempt at persuading other critics of the validity of the claims made by deconstruction theory, which would be reflected in the grammar of interpersonal meanings.

As was shown earlier (section 6.2), the exoteric audience of 'Shelley disfigured' was constituted by the literary discourse community at large, the majority of whose members, all professional academic critics, were not familiar with, or sympathetic to deconstructive criticism. The esoteric audience, presumably, was constituted by deconstructionists, or, in the increasingly specialised world of American literary criticism (Culler 1987), academics interested in Shelley or the Romantic poets.

The following sections will thus attempt to show whether the interpersonal meanings in 'Shelley disfigured' are as close to the consensual norm as the lack of comment seems to indicate, or whether there are some unusual features which have been ignored because of the high controversy of the theory itself.

#### 6.5.1 Participant identification

As the list in Appendix B-7-2 shows, there are overall far fewer signals of participant identification in de Man's text, whether explicit or implicit. These signals appear to be more clearly representative of the impersonal referencing of the academic genre, whereby, by convention, the writer rarely (particularly in the 1970s) refers to him/herself using the first person pronoun. When de Man writes the *passage that concerns us...* (DM-39/40) or

one can think of Valery and Gide's Narcissus...' (DM-48), one and us refer to himself (he has selected the passage, he is thinking of Valery and Gide's Narcissus) but, conventionally, he includes his readers in the process. We, our and us then, refer to the writer and the community of academics who read the text and follow de Man's argument as he is developing it. There is no overt distinction between different kinds of readers, although de Man does indicate, in ways which will be discussed below, different kinds of reading activities.

While the general pattern which is established is thus the conventionally accepted generic "impersonality" of academic writing, there are a few indications that de Man is in fact shifting that pattern somewhat, in some sections of the text.

In the first extract of the text, de Man is analysing two passages from The Triumph of Life:

(DM-4/18) *The light, in the second passage, IS SAID TO BE like a dream, or like sleep, yet it shines, however distantly, upon a condition which is one of awakening; in this light, to be awake is to be as if ONE were asleep. In the first passage, IT IS explicitly STATED that since THE POET perceives so clearly, HE cannot be asleep, but the clarity IS then SAID TO BE like that of a veil drawn over a darkening surface, a description which necessarily connotes covering and hiding, even if the veil IS SAID TO BE "of light." Light covers light, trance covers slumber and creates conditions of optical confusion that resemble nothing as much as the experience of TRYING TO READ The Triumph of Life.*

In this passage, the pronoun one does not appear to refer to the writer and his readers, but rather to some unnamed participant in the poem, and Shelley, the poet-narrator ('the poet', 'he') is also shown as a participant in the poem. Writer and readers are obliquely identified as those 'trying to read' the poem. Who, then, is the agent in the impersonal structures 'is said to be' and 'it is stated'? If the wording had been 'the light is like a dream...the clarity is like that of a veil... the veil is "of light"', or 'it seems that the light is like a dream... the clarity appears to be like that of a veil...', the effect would be that of traditional interpretation of a text whereby readers/critics make sense of what they read, and express their interpretation through modalised or unmodalised expressions. Or,

something like 'Shelley/the poet describes the clarity as like that of a veil' would have identified the author as the key source of meaning. Instead, the wording points to the text itself as the source of interpretation, and of confusion.

In the second extract from de Man's text (from DM-92 onward), de Man has finished analysing specific passages from the poem and is making a number of general statements about the meaning of, or rather the lack of clear meanings in, the poem, and about the reading process. In *it certainly is not a gesture that anyone can pretend to avoid making* (DM-93/4), it is very hard to work out exactly who *anyone* is referring to: it could mean that anybody who writes anything, or anybody who reads anything, makes 'monumentalization gestures' (if the pronoun we had been chosen, the writer and his readers as referents would have been more clearly identified). Afterwards, though, the pronouns *us, our, we, ourselves* (DM-109,114,115,128,129,135) appear to refer unambiguously to the specific community of literary critics, as is clear in the following clause: *attempts to define, to understand or to circumscribe romanticism in relation to OURSELVES and in relation to other literary movements...* (DM-128).

It thus looks as though when de Man is analysing The Triumph of Life, in other words, performing his task as literary critic, the participant identification signals reinforce some of the key assumptions of the register of deconstructive criticism that were identified in the grammar of ideational meanings: effects, meanings, interpretations are text-generated, and, to some degree, the reader/critic plays no role in the process: the poem deconstructs itself. Shelley as writer is peculiarly absent from the text: when he appears at all, Shelley is either a participant in the poem (DM-11) or a reader himself (DM-141). When de Man stands aside and uses the poem to discuss the theory of deconstruction, then he specifically identifies other professional academic literary critics as his audience. It remains then to be seen what kind of persuasive strategies are adopted through the evaluation of propositions.

## 6.5.2 Evaluation of propositions

There are few overt signals of attitude in de Man's text, and the most prominent effect they seem to have is one of uncertainty.

### 6.5.2.1 Attitudinal modifiers

Whereas in the text by Leavis it is relatively easy to see what the critic is condemning (Shelley and his poems) or praising (certain kinds of readers), and understand these attitudinal meanings in terms of the critic's goals which are to redraw the map of English literature and to train a particular breed of critics, the same task is much more difficult in de Man's text.

The analysis made in Appendix B-7-3 shows a considerable number of question marks attached to either the object of the attitudinal modifiers or their value or both. For instance, when discussing the imagery of light in The Triumph of Life, de Man writes:

(DM-52/6) *Shelley's treatment of the birth of light reveals all that is invested in the emblem of the rainbow. It represents the very possibility of cognition, even for processes of articulation so ELEMENTARY that it would be impossible to conceive of any principle of organization, however PRIMITIVE, that would not be entirely dependent on its power.*

'Elementary' and 'primitive' are terms that usually acquire value through the context in which they are used, but in this case it is not easy to establish their value in the text, despite the signal given by 'even'. Part of the difficulty of interpreting these terms is that their object is so vague too: what is de Man referring to with 'processes of articulation' and 'principle of organisation'? He could be referring to the poem itself, or perhaps to the cognitive processes performed by the reader in the act of reading the poem, but in either case the meaning of these clauses is still very vague.

Similarly, when moving on to a more general discussion of reading processes, de Man's attitudinal signals are equally vague. In *Such monumentalization is by no means necessarily a NAIVE or EVASIVE gesture, and it certainly is not a gesture that anyone can pretend to avoid making* (DM-92/4), the terms 'naive' and 'evasive' carry



negative value, which appears to be negated by 'by no means' and 'necessarily'; but as 'gesture' itself is so unclear, and remains unclear in the rest of the passage, the clause remains opaque.

The only relatively clear indications of evaluation are those given by de Man on what one assumes to be more traditional ways of reading texts, which are labelled as 'predictable' (DM-126), 'naive' (DM-128), 'recuperative and nihilistic' (DM-138), and (not) 'reliable' (DM-145).

In all, then, the attitudinal modifiers reinforce the vagueness of meaning said to be a characteristic feature of the poem (see 5.6), which is also a characteristic feature of deconstruction theory. It remains to be seen whether vagueness is also in evidence in de Man's use of modality.

#### 6.5.2.2 Unmodalised expressions

There are three stretches of straight, unmodalised assertions in the extracts selected for analysis. The first one (DM-15/42) concerns de Man's analysis of light and optical confusion in Shelley's poem, and the next two (DM-106/9, DM-128/134) deal with some key tenets of deconstruction theory. It thus looks as though, as in the text by Leavis, passages of unmodalised assertions function to put forward, unambiguously, key principles of a particular critical mode of reading.

#### 6.5.2.3 Modalised expressions

Modality in de Man's text is scarcer than in Leavis's text, and scattered throughout the text, which is why its effect is not felt as overwhelmingly as in Leavis's, although epistemic certainty also dominates, expressed through impersonal structures like *it is impossible to say* (DM-1), *it is explicitly stated* (DM-9) or *it is not avoidable* (DM-102), or adverbs like *clearly* (DM-11), *necessarily* (DM-13), *never* (DM-76), *always* (DM-105).

The pattern that seems to emerge from the two extracts is linked with the source of modality, that is, whether it is objective or

subjective. The point was made earlier (6.3.2.1) that de Man uses far more objective modal forms than Leavis, forms which indicate that the qualification of the commitment is attributed to some other entity than the writer. But it is in the first extract that the majority of these objective forms are to be found, the extract (DM-1/91) in which de Man analyses passages from The Triumph of Life. It thus looks as though the poem itself offers comments on its own meaning. For instance, the effect of such constructions as

(DM-1/2) *IT IS IMPOSSIBLE TO SAY... how the polarities of light and dark are matched with those of waking and sleep*  
 (DM-9/11) *in the first passage, IT IS EXPLICITLY STATED that since the poet perceives SO CLEARLY he CANNOT BE asleep*  
 (DM-26/9) *it is like glimmering light because IT CANNOT BE DECIDED whether it reveals or hides*

is that the poem itself is indicating commitment to the fact that its own meaning is vague or 'undecidable', to use a favourite deconstructionist expression; in other words it is not the writer/critic who 'cannot' decide whether light 'reveals or hides', or believes that the poet 'cannot' be asleep. When the writer does intervene, the authorial comment is used to reinforce meanings which the poem has already made clear: a *description which NECESSARILY connotes covering and hiding* (DM-13). It is in this extract, too, that there are very few signals of participant identification (see 6.5.1): as was said earlier, critic and readers disappear, and the poem deconstructs itself.

In contrast, subjective modality is prominent in the second extract, when de Man discusses reading theories in the light of what the poem has 'demonstrated', and overtly identifies his readers as fellow critics (see 6.5.1). Then, the expression of strong commitment is unmistakably his, as in *Such monumentalization is BY NO MEANS NECESSARILY a naive or evasive gesture, and IT CERTAINLY IS NOT a gesture that anyone can pretend to avoid making* (DM-92/4), or *This process differs ENTIRELY from the recuperative and nihilistic allegories of historicism. IF IT IS TRUE AND UNAVOIDABLE that ANY reading is a monumentalisation of sorts...* (DM-138/40). The commitment is, however, mitigated by negative politeness devices such as the use of impersonal constructions, as in the examples quoted above, or the use of conditional forms like 'would', as in *what would be naive is to*

believe (DM-112), it would be of little use to enumerate...(DM-124) or to monumentalize this observation...would be to regress (DM-147).

### 6.5.3 Interactional and interpersonal meanings

Derridean deconstruction appeared in the late 1970s as a challenge to existing modes of thought and behaviour in the well-established institutionalised world of literary criticism. This, in itself, was neither new nor threatening: as was shown in Chapter 4, the history of literary criticism is one of regular such challenges and mini-revolutions, the object of which is, in effect, to ensure the perpetuation of the discipline and its powerful position in academic institutions through changing times. One could, therefore, expect to see in de Man's text interpersonal meanings designed to persuade his audience of the validity of the new mode of literary interpretation being propounded, while at the same time reassuring fellow academic critics, key institutional gatekeepers, that the rules of the game were still being followed; in other words, competition and solidarity.

It appears as though both aims are met. The analysis of ideational meanings in Chapter 5 has shown that, when de Man engages in close reading of The Triumph of Life, the theory of deconstruction is read into the poem, and becomes a property of the poem itself. Fittingly, then, in the first extract from de Man's text, both the writer/critic and his audience disappear from the text: the poem enacts its own meanings, including, and in particular, its lack of clarity of meanings, and whatever indications of commitment to propositions there are, these are presented from the objective perspective of the poem itself. In this sense, the persuasive strategy adopted by de Man is to let the text/theory do the task of convincing the reader, which would suit both the esoteric and the exoteric audiences. Fellow deconstructionists, in particular, would enjoy struggling through the unclear meanings, which would give them 'the sense of belonging to an intellectual elite, of having left behind the naivete of the crowd' (Ellis 1989:151).

In the second extract, dealing with deconstruction theory, de Man uses recognised politeness strategies to make his claim while not offending the exoteric audience. Strong commitment is presented in impersonal structures like *it certainly is not a gesture* (DM-93), immediately followed by objective forms of deontic obligation: *it does not have to be naive, since it does not have to be the repression...* (DM-95/6). The potentially face-threatening criticism of other critical modes is not made through condemnation of poor readers. Rather, impersonal nominalisations like *'this belief'* (DM-118,125,128), *these events* (DM-136), *this process* (DM-138) are chosen to refer to both the deconstructive mode of reading and opposing theories, in addition to the key solidarity strategy of focusing on *'reading'* and *'method of reading'*, even when the term becomes *'misreading'*. There is also the negative politeness strategy of less committed forms like *can* and *would* (DM-110,112,113,124,147), often linked to impersonal passive constructions, as in *it leads to a misreading that can and should be discarded* (DM-120/1).

## 6.6 Conclusion

This chapter has considered the two texts by Leavis and de Man from the perspective of interpersonal meanings, that is, the various subject positions set up by the lexicogrammar, and the persuasive strategies employed by the writers. First, a brief review of the historical conditions in which the texts first appeared showed that Leavis was writing in the context of high excitement and polemic generated by the launching of English Studies as a fully-fledged academic discipline in Cambridge, while de Man offered a new mode of reading in the context of routinised, well-established practices in the discourse community. Then, the textual features contributing to interpersonal meanings were highlighted: clausal functions and signals of participant identification, attitudinal modifiers, and the whole range of expressions indicating modality.

The analysis of Leavis's *'Shelley'* from the point of view of interactional and interpersonal meanings has shown three overwhelming characteristics: a belligerent and elitist tone;

intense writer involvement in the argument being presented and attempts to involve the reader too; and full writer commitment to the judgements made, the response to Shelley's poems. The analysis of this text has thus shown the validity of Chakravorty's (1981-82:149) comment that, for Leavis, 'the critic's primary responsibility is to commit himself to judgements and discriminations in clear and challenging terms'. Those clear and challenging terms, however, have been condemned by the majority of literary critics from the 1930s to the present, largely because Leavis shows little concern for the politeness strategies which, in academic texts, aim at showing deference before the discourse community.

In contrast, critical comment on de Man's 'Shelley disfigured' has focused on deconstruction theory rather than the "style" of de Man's writing, because either the style mirrors the theory, in passages of close textual reading, or de Man shows all the proper consideration to the academic community's face needs.

## CHAPTER 7

## THE TEXTUAL FUNCTION

## 7.1 Introduction

In Chapters 5 and 6 the ideational meanings and interpersonal meanings made in the texts by Leavis and de Man have been analysed, that is, those meanings which realise (in Halliday's sense of the term) the contextual variables of field and tenor: what the texts are about, what's 'going on' in the world of literary criticism, and the relationships which exist between critics and readers.

This chapter is concerned with mode, the third element in the context of situation, and the ways in which mode is expressed through the textual function in the semantics. Halliday (Halliday & Hasan 1985:12) defines mode as

what part the language is playing, what it is that the participants are expecting the language to do for them in that situation: the symbolic organisation of the text, the status that it has, and its function in the context, including the channel (is it spoken or written or some combination of the two?) and also the rhetorical mode, what is being achieved by the text in terms of such categories as persuasive, expository, didactic, and the like.

The textual function, then, has to do with the part that language is playing not in the representation of reality (the ideational function of language), nor in the construction of interpersonal relationships (the interpersonal function of language), but in the construction of text as text. Halliday (1978:145) describes it as 'an enabling function' that is intrinsic to language: 'it is only through the encoding of semiotic interaction as text that the ideational and interpersonal components of meaning can become operational in an environment'.

In systemic functional grammar, the ideational and interpersonal metafunctions are oriented towards realities that are extrinsic to language. The previous chapters have shown that these functions

encode perceptions of natural reality and intersubjective reality through various lexicogrammatical systems such as transitivity and modality. In contrast, the textual metafunction is not a representational one: it operates in terms of the resources brought into existence by the other metafunctions, and presents ideational and interpersonal meanings as 'text in context' (Matthiessen 1992:73). Another way of putting it would be to say that the textual metafunction co-ordinates ideational and interpersonal meanings in order to create text. For instance, as will be illustrated later in this chapter, the textual metafunction motivates ideational decisions: transitivity selections may be made in such a way that an appropriate textual organisation of a clause is achieved.

The concept of text is thus central to the discussion in this chapter. In Chapter 3 (section 3.3.2), text was defined as a stretch of language that is functional in a context of situation, and that is best characterised by its unity of structure and texture. Text "structure", Hasan (1978,1984a,1984b,1984c,1984d) argues, is closely related to text type, i.e. to register/genre variables. Structure is understood in the sense of 'separate events or elements' (Halliday & Hasan 1985:53) put together according to a particular sequence which establishes the text as text of a particular kind, such as conversation or nursery tale. On the other hand, "texture" refers to the semantic relations realised through the intrasentential resources of Theme and Information and the intersentential resources of cohesion, in other words, to the semantic links being made throughout a text. Put together, structure and texture enable a text to be processed as text, as a meaningful unit of communication, something which "hangs together" or "makes sense" in a particular context of situation.

The aim of this chapter is thus to analyse the text forming resources in the two extracts by Leavis and de Man. If structure and texture depend crucially on text type, one should be able to identify generic commonalities in the two texts: textual patterns which would be characteristic of the literary critical genre which participates in what could be called the broad written academic

genre, but is distinct from other written academic genres. One should also be able to determine how textual structure and texture reflect and help produce registerial differences.

The chapter is organised as follows: first the grammatical features encoding the mode variable are briefly reviewed; then, those features are considered in each text.

## 7.2 The grammatical analysis

In this section, the features which are pertinent to the analysis of textual meanings in the texts by Leavis and de Man are identified: first, the cohesive and structural resources of the clause, then the interaction of these resources over sequences of clauses and sentences.

### 7.2.1 Cohesive resources

Cohesion, says Halliday (Halliday & Hasan 1985:48), is the set of linguistic resources that language possesses in order to link one part of a text to another. Another way of putting this would be to say that these resources are semantic relations that enable one part of a text to function as the context for another, thus enabling the text to "hang together", to make sense.

The cohesive devices that will be analysed in the texts by Leavis and de Man are reference, conjunction and lexical cohesion. Other cohesive devices like substitution and ellipsis (Halliday & Hasan 1976) are not considered because their function is more prominent and significant in spoken rather than written texts.

Reference refers to pronominals like *he*, *it*, demonstratives, or the definite article *the*, items which either link to something else in the text, or, as in the case of the definite article, assume that something is known to the reader. As the following analysis of reference shows, unclear referents for such items contribute to vagueness in meaning, or, at worst, impossibility of interpretation of the text.



As a cohesive resource, conjunction works in two ways. External conjunction sets up a relationship between processes, for instance in a sequence of events shown as following one another in time, which is indicated by conjunctive expressions like *first*, *next*. Internal conjunction, on the other hand, sets up a relationship between propositions or proposals; it is concerned with rhetorical relations within the text itself. Conjunctive relations between clauses or larger parts of text may be explicitly realised by conjunctive expressions, as in

(L-16) *BUT the context indicates the former.*

They may also be implicit, as in

(L-18/19) *for the right reader 'shed' sounds right, the alliteration with 'shattered' combining with...*

whereby the explanatory link "because" is left unsaid; the reader thus has the task of supplying the link, in order to understand the meaning as "'shed' sounds right because the alliteration with 'shattered' combines with..."

Lexical cohesion comes about through the selection of items that are related in some ways, either by reiteration or collocation. Lexical cohesion has already been analysed in Chapter 5 (section 5.2.4), as the lexical sets constructed in the texts constitute a powerful index of ideational meanings in the texts, that is, of the representation of experience for literary critics. In this chapter, the importance of lexical sets in the construction of textual meaning will be highlighted. On the one hand, the referential chains produced by a combination of lexical cohesion and reference will be shown to characterise the registers of deconstruction and humanist criticism in different ways. On the other hand, the placing of items from certain lexical chains at the beginning or at the end of a clause will be shown as highly significant in terms of both generic and registerial characteristics.

The second step in the analysis of the text forming resources of English is to consider the structural features of the textual component of the grammar: thematic structure (Theme and Rheme) and information structure and focus (Given and New).

### 7.2.2 Structural resources: thematic and information structures

Matthiessen (1992:42) characterises textual meaning as 'a movement like a swell consisting of wave-like movements through semantic space'. This image of a wave embodies the notion of peaks of prominence and troughs of non-prominence in a clause, and the critical structures for carrying such wave-like movement are those of Theme and Information expressed by constituency and prosody.

The first peak of prominence in a clause is carried by the constituent ordering of Theme^Rheme: Theme is the initial clause element, Rheme is the rest of the clause. The symbol ^ indicates obligatory sequencing of the two elements. Theme is prominent because, as the point of departure of the message, it is speaker/writer-oriented: it enables the speaker or writer to signal clearly to his/her audience the angle or framework within which the rest of the clause must be interpreted. Downing (1991:122) rightly points out that Halliday's (1985a:38) double-sided definition of Theme as 'the starting point of the message... what the clause is going to be about' is inaccurate, as the point of departure of the message is not necessarily what the message is about, although the two may coincide in one wording.

The analysis of Theme in Appendices A-8 and B-8 shows that Themes may be topical, textual or interpersonal in nature, as in:

- (L-1) *the first two stanzas call for no very close attention*  
 Theme (topical) Rheme
- (L-54) *so plain is this*  
 Theme (interpersonal) Rheme
- (L-26) *nor is it surprising*  
 Theme (textual) Rheme

In addition, the Theme of a clause may carry different functions, as in:

(L-76)	<i>to which</i>	<i>the 'well-built nest'</i>	<i>so incongruously</i>	<i>turns</i>
	textual	topical	interpersonal	
	Theme			Rheme

The second peak of prominence in a clause is carried by the prosodic information structuring of Given and New. Halliday (1985a:275) explains that each information unit is realised as a pitch contour or tone within which one particular element carries tonic prominence. This element is said to carry information focus and is called New. The term Given refers to information that is presented by the speaker as recoverable, whereas the meaning of New is 'attend to this; this is news' (Halliday 1985a:277). The typical sequence of informational elements in a clause is usually Given followed by New, as the unmarked position for the New is at the end of the information unit. In speech, however, New, as tonic prominence, may be marked and occur anywhere. This is why the symbol ^ is not used in the discussion of the Given New structure, as New may sometimes occur before Given, or there may be several New positions in a spoken clause (Halliday 1985a:280).

In writing, the tonic is not marked by English graphology. Halliday (1985a:315-6) argues that the general principle for written texts is that the focus falls at the end of the information unit, unless some positive signal to the contrary is given, for instance by predication. This principle is adopted in the analysis of New in the texts by Leavis and de Man, as the following examples demonstrate:

(DM-15) *light covers light*

New

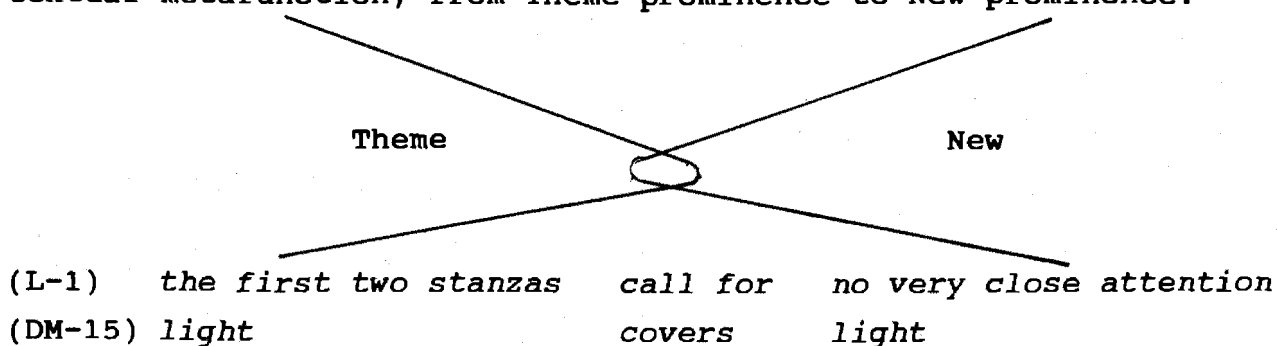
(DM-16) *trance covers slumber*

New

(DM-17) *and creates conditions of optical confusion*

New

Taken together, thematic structure and information structure thus produce the pattern of wave-like movement characteristic of the textual metafunction, from Theme prominence to New prominence:



Halliday (1985a:278) asserts that there is a close semantic relationship between information structure and thematic structure in that, in the unmarked typical pattern of the clause, the Theme is usually chosen from within what is Given, and the focus of information, the climax of the New, is found somewhere within the Rheme. Halliday is careful, however, to distinguish Theme from Given, as reflecting two distinct orientations to the message:

The Theme is what I, the speaker, choose to take as my point of departure. The Given is what you, the listener, already know about or have accessible to you. (1985a:278)

The speaker-orientation of the Theme^Rheme structure and the listener-orientation of the Given New structure are essential elements in understanding the difference between method of development of a text and point of a text, which will be dealt with in this chapter.

It thus appears important to understand the ways in which writers manipulate the constituent structure of a clause in order to achieve the desired peaks of thematic or focus prominence.

### 7.2.3 The role of grammatical metaphors and passivisation

When considering ideational meanings in the two texts by Leavis and de Man in Chapter 5, grammatical metaphors were analysed in terms of their contribution to the high lexical density of the texts (section 5.2.2), and their generalising function (section 5.4). Both aspects are well illustrated in the following clause:

*The antipathy of his sensibility to any play of the critical mind, the uncongeniality of intelligence to inspiration, these clearly go in Shelley, not merely with a capacity for momentary self-deceptions and insincerities, but with a radical lack of self-knowledge.*  
(L-98)

As was pointed out earlier, one of the effects of such accumulation of nominalisations is loss of ideational information which favours the specialist, the one who knows "what it's all about".

Grammatical metaphor, however, is not simply a field-oriented resource for burying meaning; it is also a key mode-oriented resource. One way of looking at mode, Eggins et al (1993:92)

argue, is to consider it as semiotic distance along two scales. Firstly, there is interpersonal distance, the distance between interactants according to the situation of language use and the opportunities for immediate feedback and aural/visual contact established by the different media. Then, there is experiential distance, the distance between the text and the social reality to which the text refers, i.e. whether language is used to act or to reflect upon reality. Eggins et al (1993) argue that there is a correlation between distance and the use of grammatical metaphor and that situations in which there is both maximum interpersonal distance and maximum experiential distance are likely to produce highly incongruent language.

The analysis of the contexts within which literary critical texts are produced and read, made in Chapter 4 (section 4.4), has shown that these texts are produced in situations in which both interpersonal and experiential distance are maximum: literary critics cannot interact with their audience, and they write in order to reflect. The combination of written mode and expository purpose for writing thus explains the high incidence of grammatical metaphors in both texts.

What needs to be considered now is the way in which grammatical metaphor plays a crucial role in the organisation of information in the clause, as 'a tool for organising text' (Martin 1993:241). This can be demonstrated by contrasting congruent and incongruent realisations. If Leavis wrote

"the word 'so' clinches the emotional effect, and that effect is null"

this would be presented as the message, part of what the writer is telling his readers. When he writes

*the complete nullity of the clinching 'so'*

this is presented as something he expects his readers to take for granted. By objectifying it, treating it as if it was a thing (the nominalisation process), he has in effect backgrounded it, and the message is contained in what follows:... *seems hardly worth stopping to note* (L-23). In highly metaphorical written texts, all or most of the ideational content is thus objectified, as background, and the only traces of process are the relations that

are set up between these taken-for-granted objects. The clause *the frailty of the stance is represented in the supernatural delicacy* (DM-61) illustrates the phenomenon well.

Halliday (1987a,1987b) and Ravelli (1988) argue that the key to an understanding of grammatical metaphor lies in the distinction between the written and spoken modes, which evidence different kinds of complexity. According to them, grammatical metaphor is the main tool which enables writers - but not speakers, usually - to choose the Theme, what comes first in the clause, its point of departure; the Given, that is, what writers want their readers to take for granted, to accept as "given" or obvious; and the New, the end focus of the clause, what is "newsworthy".

This packaging role is also one of the main functions of passivisation: to choose the passive form means choosing what is presented as Given and what is presented as New, the important message. For example, the wording

*but the consummate expression is rightly treasured* (L-110) enables Leavis to treat 'consummate expression' as the taken-for-granted, given start of the clause, and place all the emphasis of the message on the end, the evaluative 'rightly treasured'. This effect would not have been achieved with the corresponding active wording of 'readers rightly treasure the consummate expression'.

The discussion so far has shown that choices for clausal Theme and New are essential elements in the organisation of text as text. These choices have to be interpreted with respect to the patterns they construct throughout texts.

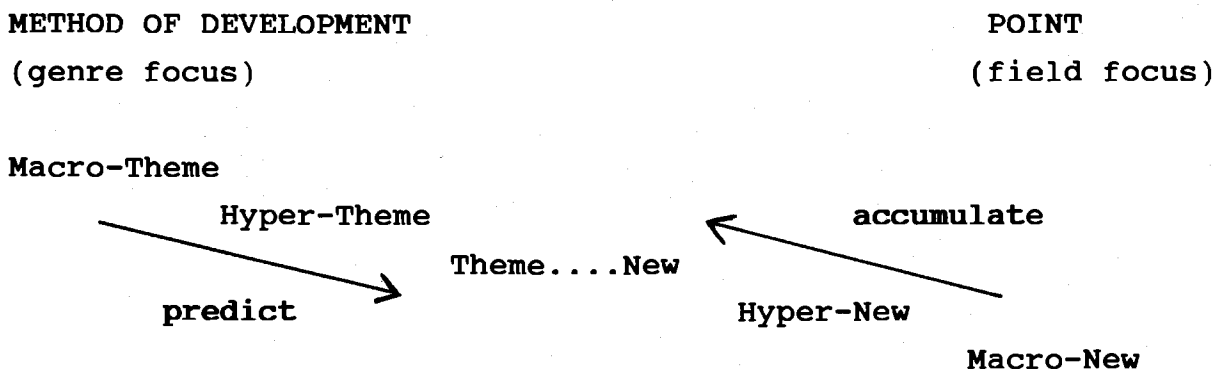
#### 7.2.4 The interaction of thematic and information structures

Fries (1981) interprets Theme from a discourse perspective and shows that thematic content correlates with the method of development of a text and the nature of that text, while thematic progression correlates with the structure of a text. Fries (1981:20) argues that the information contained within the Themes of all the sentences in a paragraph creates the method of development of that paragraph. It thus appears that clause and

sentence level Themes fit into a larger pattern which governs information flow within sequences of sentences. Building on Fries' insight, Martin (1992,1993) develops the notion of thematic patterning, and introduces the terms Hyper-Theme and Macro-Theme which, together with Theme, represent an important aspect of texture. Hyper-Theme is defined as 'a clause (or combination of clauses) predicting a pattern of clause Themes' (Martin 1993:245) and Macro-Theme is 'a clause or combination of clauses predicting one or more Hyper-Themes' (Martin 1993:249).

Similarly, the selections for New in a sequence of clauses can be shown to pattern in significant ways. Fries (1994:234) argues that the content of what he calls the N-Rheme, the newsworthy part of the clause, correlates with the goals of the text. Martin (1993: 247,249) coins the terms Hyper-New and Macro-New, and argues that the pattern of New, Hyper-New and Macro-New constitutes the point of a text, 'the message a text is trying to convey' (Martin 1993: 247).

The image of a wave Matthiessen (1992) sees as characteristic of the clause can thus be extended to a text, and represented as follows (Martin 1992:456):



Martin (1993:251) asserts that Theme is predictive; overall, thematic selections are prospective, predicting the thematic structure of text which follows. Selections for New, on the other hand, are retrospective: they accumulate the new meanings that are made throughout the text.

The importance of considering the interaction of thematic and information patterns in this study of literary critical texts lies in the correlation that Martin (1992,1993) claims exists between these patterns and genre. Firstly, Martin (1993:251) argues that these patterns are much more characteristic of writing than speaking. It would indeed appear that the kind of compositional scaffolding outlined above depends for its development on a degree of consciousness not usually associated with spontaneous spoken text. Secondly, Martin concludes his analysis of a variety of written texts with the comment that a text's method of development narrowly circumscribes its selection of Themes, whereas choices for New are not restricted in this way, as they seem to open up and develop the field. Consequently, he asserts (1993:244),

Theme is genre-oriented, angling a text in relation to its social purpose; New on the other hand focuses on field, developing the institution at hand.

Finally, Martin (1993:250) maintains that the systems of conjunction, Theme and information interact to engender the genre's schematic structure.

Thus, if Martin's claim is valid, the patterns of Theme and New in the texts by Leavis and de Man should encode both generic similarities and registerial differences. The analysis of thematic patterns should show a scaffolding of the texts in respect of their common rhetorical purpose, the interpretation of literary texts. The patterns of New, on the other hand, should highlight some of the registerial differences between deconstruction and humanist criticism. Overall, however, one should distinguish in both texts the same type of schematic structure, one which would be characteristic of written, expository literary critical texts.

In the textual analysis which follows, overall patterns throughout the texts are identified when possible and shown in the appendices. For the most part, however, the analysis focuses on short extracts which are considered, as was explained in Chapter 4 (section 4.4.4), representative of the textual meanings to be found in each text as a whole.





The interaction of Theme and New is to be considered next, in the first paragraph of the selected extract (L-1 to L-25), that is, the analysis of one poem. This paragraph has been chosen because, as was made clear in Chapter 5, the close analysis of a piece of literary text constitutes the main task of literary critics. In order to see quickly the patterns of Theme and New, the rhythmic wave so typical of textual meanings (see above in 7.2.2), the paragraph is reproduced below: Themes are printed in bold, marked Themes in bold underline, and News are underlined.

The first two stanzas call for no very close attention - to say so, indeed, is to make the main criticism, seeing that they offer a show of insistent argument. However, reading with an unsolicited closeness, one may stop at the second line and ask whether the effect got with 'lies dead' is legitimate. Certainly, the emotional purpose of the poem is served, but the emotional purpose that went on being served in that way would be suspect. Leaving the question in suspense, perhaps, one passes to 'shed'; 'shed' as tears, petals and coats are shed, or as light is shed? The latter would be a rather more respectable use of the word in connection with a rainbow's glory, but the context indicates the former. Only in the vaguest and slackest state of mind - of imagination and thought - could one so describe the fading of a rainbow; but for the right reader 'shed' sounds right, the alliteration with 'shattered' combining with the verse-movement to produce a kind of inevitability. And, of course, suggesting tears and the last rose of summer, it suits with the general emotional effect. The nature of this is by now so unmistakable that the complete nullity of the clinching 'so', when it arrives - of the two lines that justify the ten preparatory lines of analogy - seems hardly worth stopping to note.

In this passage, the close analysis of one poem, the succession of clausal Themes and News correlates very closely with some of the conclusions drawn from the analysis of ideational and interpersonal meanings made in Chapters 5 and 6. Genre-oriented

thematic positions focus on either the text under review (*stanzas, poem, 'shed', context, alliteration with 'shattered', 'so', lines and related pronouns*), or on the business, as Leavis sees it, of literary criticism (*effect, emotional purpose, the right reader, nature, nullity*). This positioning of words belonging to the 'descriptive terms' and 'literary critical activity' lexical sets (see Appendix A-6) emphasizes the purpose of literary criticism, Leavis's starting point: to consider a text and its effect, purpose, nature. What Leavis is actually saying here is something like, 'this is what my job is, what I start from: there's a text, with recognisable, traditional divisions into sections, called 'stanzas', with lines, etc. and, most importantly, with words; my job is to look at all this, and consider the purposes and effects on readers of these words'. The exceptions to the pattern are all marked interpersonal Themes (see Appendix A-8), drawing the reader's attention to the evaluative stance taken by the critic (*Only in the vaguest and slackest state of mind - of imagination and thought*), the distinction between good and poor readers (*but for the right reader*), and the role of the critic as guide (*to say so, indeed and and, of course*) in keeping with Leavis's beliefs as outlined in Chapters 5 and 6.

The evaluation of the poem under consideration constitutes the main focus of the News pattern, with words belonging to the 'assessment/judgement terms' lexical set: *no very close attention, the main criticism, legitimate, suspect*, to quote but a few. Clearly, then, the 'point', to use Martin's terminology, is to evaluate, judge. Even the term 'shed', which belongs to the poem under discussion, is presented here as evaluative, as Leavis is questioning its validity. Leavis uses the resources of passivisation to manipulate clause structure, so as to place the end focus on 'shed' in (L-13) and (L-14): 'one passes to 'shed'; 'shed' as tears, petals and coats are shed, or as light is shed?'. The repetition of 'shed' three times in successive New positions reinforces this evaluative use of one of the poem's words, and, one can add, the sense of a speaking voice. Martin's (1993) contention that Theme is genre-oriented and New articulates the field, in this case, the register of liberal humanist criticism, is thus confirmed in the analysis of this extract.

Another interesting feature of the Given New structure is the way in which Leavis manipulates the organisation of information. In the following two examples from this passage,

(L-21) *the nature of this is by now so unmistakable*

(L-22) *the complete nullity of the clinching 'so' [...] seems hardly worth stopping to note*

the Given position is filled by information which is anything but "given" and would, in fact, require a fair amount of explaining. By shifting *the nature of this* and *the complete nullity of the clinching 'so'* to the Given position, and focusing the reader's attention on the highly evaluative New (*so unmistakable* and *hardly worth stopping to note*) Leavis is glossing over something which is questionable, and it would take a fairly attentive reader to stop the flow of reading to ask what the nature of the emotional effect actually is, and why 'so' is completely null.

The next step is to consider the pattern made by Themes and Hyper-Themes, News and Hyper-News in a longer stretch of text. In this case, Hyper-Themes and Hyper-News are constituted by the first and last sentence of a paragraph, while Themes and News are constituted by the first and last prominence peaks of each sentence. The extract chosen is constituted by the first four paragraphs of the text, representative of a fairly large chunk of close analysis of one poem by Shelley.

Hyper-Themes (in bold) and sentential Themes.

- 1 **The first two stanzas call for no very close attention; to say so indeed is to make the main criticism, seeing that they offer a show of insistent argument.**
- 4 However, reading with an unsolicited closeness, one
- 8 Certainly the emotional purpose of the poem
- 11 Leaving the question in suspense, perhaps, one
- 15 The latter
- 17 Only in the vaguest and slackest state of mind - of imagination and thought
- 20 And, of course, suggesting tears and the last rose of summer, it
- 22 The nature of this is by now so unmistakable
- 26 Nor is it surprising
- 30 Those who take pleasure
- 32 **The critical interest up to this point has been to see Shelley, himself (when inspired) so unexact about sense, giving himself so completely to sentimental banalities.**
- 35 With the next stanza it is much the same.
- 38 In what form are we to imagine
- 39 For readers who get so far as asking

- 41 It would be unpoetically literal  
 45 Perhaps the mate, the strong one  
 48 But the suggestion  
 51 Sufficient recognition of the sense  
 54 So plain is this
- 61 **The last stanza brings a notable change; it alone in the poem has any distinction, and its personal quality, characteristically Shelleyan, stands out against the sentimental conventionality of the rest.**
- 64 The result is to compel  
 66 In 'Its passions will rock thee' the 'passions'  
 69 Who then  
 70 The 'frailest' - the 'weak one'  
 71 But any notion  
 77 The familiar timbre, the desolate intensity
- 80 **Characteristically: that is, Shelley's characteristic pathos is self-regarding, directed upon an idealized self in the way suggested by the tags just quoted.**
- 82 This is patently so  
 83 Even there, perhaps, one  
 87 The poem just examined  
 89 He can make self-pity

Hyper-Themes seem to fulfil the function of focusing attention on two separate issues: on the one hand, they indicate partly the chronologically-based structure of this extract, with mentions of *the first two stanzas, the last stanza*, and links to be established between different sections of the poem being examined: *up to this point, the rest, the tags just quoted*. On the other hand, they focus on the task of criticism (*close attention, critical interest, change - to be noticed by the reader*) and the evaluation of the poem (*main criticism, unexacting about sense, distinction, sentimental conventionality, characteristic pathos, self-regarding*). The fact that the latter function, the focus on the critical task of evaluation, is of paramount importance to Leavis explains why the other signals of chronological structure (*with the next stanza, the poem just examined*) are not part of the Hyper-Themes of paragraphs 2 and 4, although they are part of the Themes which follow. At the same time, each Hyper-Theme also points to, or predicts, the Themes to follow, as these pick up one or several of the key features of either structure or critical judgement. In these four paragraphs, then, the thematic pattern outlined above for the very first paragraph appears to be repeated: Themes and Hyper-Themes focus on elements of the poem and the literary critical activity, and in addition function to help the reader follow the chronology of the argument being presented.

The pattern of Hyper-News and News in the four paragraphs shows accumulation of negative evaluative meanings, reinforced, rather than interrupted, by the question tags *shed?*, *the well-built nest?*, *to endure?*, *'thee'?* These four questions also function to reinforce the strong interactive flavour of this extract.

Hyper-News (underlined) and sentential News.

- 3 a show of insistent argument.  
 7 legitimate.  
 9 suspect.  
 14 shed?  
 16 the former.  
 19 inevitability.  
 21 the general emotional effect.  
 23 seems hardly worth stopping to note.  
 29 recognizable as currency values.  
 30 Those who take pleasure in recognizing and accepting them are not at the same time exacting about sense.
- 34 giving himself so completely to sentimental banalities.  
 37 the required abeyance of thought (and imagination) becomes more remarkable.  
 38 the well-built nest?  
 40 no acceptable answer.  
 44 unnecessary difficulties.  
 47 to endure?  
 50 for those who respond to the sentiment.  
 53 difficulties arise.  
 59 So plain is this that there would be no point in contemplating the metaphorical complexity that would develop if we could take the tropes seriously and tried to realize Love making of the weak one, whom it (if we evade the problem of sex) leaves behind in the well-built nest, a cradle, a home and a bier.
- 63 against the sentimental conventionality of the rest  
 65 been made.  
 68 apostrophized.  
 69 'thee'?  
 70 would appear  
 75 the Poet's  
 79 The familiar timbre, the desolate intensity (note particularly the use of 'bright' in 'bright season'), puts it beyond doubt that Shelley is, characteristically, addressing himself - the 'pardlike Spirit beautiful and swift,' the 'Love in desolation masked,' the 'Power girt round with weakness.'
- 81 the tags just quoted.  
 82 the *Ode to the West Wind*.  
 85 and that in general there must be dangers and weakness attending upon such a habit will hardly be denied.  
 87 the corruptions that are incident  
 90 He can make self-pity a luxury at such a level that the conventional pathos of album poeticizing, not excluding the banalities about (it is plainly so in the third stanza) the sad lot of woman, can come in to gratify the appetite.

Finally, the pattern of Hyper-Themes and Hyper-News in this section shows the consistency and clarity of Leavis's overall aims: to point to features of the text, and to evaluate these features. The one exception, in the third paragraph, shows how strong the negative evaluation of Shelley's poem is: even though the Hyper-Theme indicates some kind of positive judgement being made, none of the various prominence peaks in the paragraph (see above) indicate clearly this positive judgement, and the Hyper-New is particularly vague, failing to wrap up the evaluation as successfully, or clearly, as the other Hyper-News do.

Hyper-Themes and Hyper-News in the first section.

- 1 **The first two stanzas call for no very close attention; to say so indeed is to make the main criticism.**
- 30 Those who take pleasure in recognizing and accepting them are not at the same time exacting about sense.
- 32 **The critical interest up to this point has been to see Shelley, himself (when inspired) so unexacting about sense, giving himself so completely to sentimental banalities.**
- 59 So plain is this that there would be no point in contemplating the metaphorical complexity that would develop if we could take the tropes seriously and tried to realize Love making of the weak one, whom it (if we evade the problem of sex) leaves behind in the well-built nest, a cradle, a home and a bier.
- 61 **The last stanza brings a notable change; it alone in the poem has any distinction, and its personal quality, characteristically Shelleyan, stands out against the sentimental conventionality of the rest.**
- 79 The familiar timbre, the desolate intensity (note particularly the use of 'bright' in 'bright season'), puts it beyond doubt that Shelley is, characteristically, addressing himself - the 'pardlike Spirit beautiful and swift,' the 'Love in desolation masked,' the 'Power girl round with weakness.'
- 80 **Characteristically: that is, Shelley's characteristic pathos is self-regarding, directed upon an idealized self in the way suggested by the tags just quoted.**
- 90 He can make self-pity a luxury at such a level that the conventional pathos of album poeticizing, not excluding the banalities about (it is plainly so in the third stanza) the sad lot of woman, can come in to gratify the appetite.

Hence, the schematic structure of this extract by Leavis seems to follow the pattern Martin (1993:258) claims is typical of academic expository prose: a Thesis is presented, followed by an indefinite number of Arguments, then by Reiteration. The pattern Assertion^Elaboration^Re-Assertion is constituted, in Leavis's text, by the succession of Themes and News, framed by Hyper-Themes and Hyper-News.

This tight organisation of the text is reflected in the referential chains. If one considers the first paragraph again, in terms of the interaction of reference and lexical chains, two features should be noted. Firstly, in 25 clauses, there are only four reference items: *they* (L-3) referring to *stanzas*, *it* (L-21) referring to '*shed*', *this* (L-22) with unclear reference, *it* (L-24) referring to '*so*'. Three of these reference items, then, refer to descriptive terms or items from the poem which have already been mentioned. The one unclear reference is connected to the reason why the poem is criticised: the '*emotional purpose*', says Leavis, is wrong, but what exactly this purpose is is never clarified. This vagueness of meaning, not in the evaluation as such, but in the justification for the evaluation, has already been identified in Chapter 5 as characteristic of the register. Secondly, as far as lexical items are concerned, there is firstly a clear division between thematic and informational organisation, as was outlined above, and secondly, one should notice the regular repetitions and echoes of terms; it is perhaps because there are regular repetitions and echoes that there are so few referential ties. For instance, one should note repetitions such as *close attention/unsolicited closeness*, *emotional purpose* (twice), *effect/emotional effect*, and the semantic links between evaluative terms like *legitimate*, *suspect*, *respectable*.

The effect of this tight cohesion is that the text is easy to follow, despite the fuzziness of the reasons for the negative evaluation of the poem and, to the extent that it is easy to follow, it also makes it easier not to notice the fuzziness.

The final aspect to be considered is the reasoning strategies adopted by Leavis, as shown in the conjunctive relations evident in the text. The first paragraph of the close reading of a poem is analysed below, while the full list of explicit and implicit conjunctive devices is given in Appendix A-10. The purpose of such analysis is to see how the various links of Leavis's argument are realised in the text, as Martin (1993) contends that different genres evidence different patterns of reasoning strategies.



The analytic and notational conventions are those of Halliday (1992) and Martin (1993): IMP indicates implicit conjunction, EXP indicates explicit conjunction, and conjunctions which could have been used to make implicit relations explicit are enclosed in parentheses.

INTERNAL	CLAUSE	EXTERNAL	CONJUNCTION
	1		
	2		
	3		
EXP/adversative	4		<i>however</i>
IMP/illustrative	5		(for example)
EXP/additive	6		<i>and</i>
	7		
	8		
EXP/adversative	9		<i>but</i>
	10		
	11		
IMP/additive	12		(in addition)
IMP/illustrative	13		(for example)
	14		
	15		
EXP/adversative	16		<i>but</i>
	17		
EXP/adversative	18		<i>but</i>
IMP/explanatory	19		(because)
EXP/additive	20		<i>and</i>
	21		
	22		
IMP/additive	23		(in addition)
	24	EXP/temporal	<i>when</i>
	25		

When comparing a science and a history text from secondary school textbooks, Martin's analysis reveals that reasoning in science is 'fairly concrete' (Martin 1993:241), as conjunctive relations, mostly external, are realised explicitly between rather than within clauses, whereas in history Martin (1993:235) notes that

'the genre, Exposition, foregrounds internal, not external relations', and that 'as is typical of Exposition, very little of this internal conjunctive structure is made explicit'. Martin (1993:235) thus contrasts the 'abstract nature of historical explanation' with the more 'concrete' type of scientific explanation.

Literary criticism as genre, however, is not written for secondary school level readers, so comparison with the texts Martin analyses is not helpful, except perhaps in terms of giving a general, broad framework of the kinds of reasoning strategies in use in the educational sector, and perhaps giving a hint of what one might find in literary criticism, which, like history, is part of the Humanities. If Leavis's and de Man's texts appear to share certain similarities in their patterns of conjunctive relations, one may then perhaps speak of a possible generic characteristic of literary critical texts.

The analysis of Leavis's paragraph shows that reasoning is done almost exclusively through internal conjunction, and there is an almost equal number of explicit and implicit conjunctions. Overall, as Appendix A-10 shows, explicit conjunction is predominant. Reasoning thus appears much more explicit than in the history text Martin considers, which could be taken as a sign that Leavis is purposefully trying to help his audience follow his argument, pointing them in the right direction, through overt signals of reasoning. This feature could be interpreted as yet another sign of Leavis's role as teacher/guide.

The overall effect of textual meanings in the text, in terms of the various features which have been considered in this section, appears to be one of clarity and ease of exposition of the writer's argument, when analysing a poem. The reasons for the negative evaluation of Shelley's poem might be vague, but, through the interplay of cohesive devices and structural features, there is no doubt in the reader's mind concerning Leavis's goals, and what he is achieving. Textual meanings co-ordinate, unambiguously, the ideational and interpersonal meanings characteristic of the register of liberal humanist criticism: a guiding role for the

critic who sees evaluation as the main task of literary criticism. The marked interpersonal element in thematic positions appears to signal the intrusion of the spoken mode into the genre of written academic literary criticism, in keeping with Leavis's beliefs in the teaching role of critics.

#### 7.4 The text by de Man

Interestingly, reasoning in de Man's text is overtly shown through regular explicit internal conjunction, as can be seen in the following analysis of reasoning strategies in the first paragraph of the text, dealing with the close analysis of a poem (clauses DM-1 to DM-23). The pattern of conjunctive relations looks very similar to that found in the paragraph from Leavis's text analysed above. The analysis of both extracts, shown in Appendices A-10 and B-10, confirms this conclusion: across 138 clauses in Leavis's text, there are 42 explicit conjunctive items and 22 implicit links, while across 149 clauses in de Man's text, there are 45 explicit conjunctions and 17 implicit links. This small-scale study would appear to show that there seems to be a generic probability for overt internal conjunctive relations in literary critical texts. This feature could be related to the critics' need to persuade their readers (fellow critics) of the validity of their argument (see Chapter 6, section 6.2): a glance through Appendices A-10 and B-10 shows that most of the links, whether overt or implicit, are additive, adversative, or illustrative.

INTERNAL	CLAUSE	EXTERNAL
	1	
	2	
IMP/causal	3	(because)
IMP/illustrative	4	(for example)
EXP/adversative	5	yet
	6	
IMP/consequential	7	(therefore)
	8	
	9	

	↖	10	
EXP/causal	↖	11	<i>since</i>
EXP/adversative	↖	12	<i>but</i>
IMP/consequential	↖	13	<i>(therefore)</i>
EXP/concessive		14	<i>even if</i>
	↖	15	
		16	
EXP/additive		17	<i>and</i>
		18	
		19	
	↖	20	
EXP/additive	↖	21	<i>and</i>
EXP/adversative	↖	22	<i>but</i>
		23	

De Man's argument, however, is in fact difficult to follow, because other facets of textual meaning are unclear. This can first be shown by considering the patterning of Themes and News. As with the extract by Leavis in 7.3, the first paragraph of de Man's analysis of a poem is reproduced below: Themes are printed in bold, and News are underlined; there are no marked Themes in this passage.

It is impossible to say, in either passage, how the polarities of light and dark are matched with those of waking and sleep; the confusion is the same as in the previously quoted passage on forgetting and remembering. The light, in the second passage, is said to be like a dream, or like sleep, yet it shines, however distantly, upon a condition which is one of awakening; in this light, to be awake is to be as if one were asleep. In the first passage, it is explicitly stated that since the poet perceives so clearly, he cannot be asleep, but the clarity is then said to be like that of a veil drawn over a darkening surface, a description which necessarily connotes covering and hiding, even if the veil is said to be "of light." Light covers light, trance covers slumber and creates conditions of optical confusion that resemble nothing as much as the experience of trying to

read The Triumph of Life, as its meaning glimmers, hovers and wavers, but refuses to yield the clarity it keeps announcing.

The pattern of Themes in this paragraph seems to focus on the object of the analysis (*second passage, first passage, poet*) and some interpretation of the object (*polarities of light and dark, light -repeated several times- confusion, clarity, veil, trance, meaning*). News all seem to centre on the interpretation, but not the evaluation, of the object, and show the characteristic deconstructionist pattern of opposition of terms (*waking and sleep, forgetting and remembering*). To be noted is the repetition of key interpretative terminology, carried over from thematic position into information focus: *veil, clarity, light*. It thus appears that News do develop, very forcefully, the registerial field of deconstructionist criticism, but Themes are not so clearly indicative of the generic purpose of the text as Leavis's.

The next step is to consider the patterning of Hyper-Themes and Hyper-News in the first section of de Man's text (DM-1 to DM-42), and the second section (DM-43 to DM-91), both concerned with the analysis of one poem. To facilitate the interpretation of the textual meanings made through the thematic and information systems, Themes and News have been grouped together.

#### Thematic patterning in the 1st and 2nd sections

##### Hyper-Themes (in bold) and sentential Themes

- |    |  |
|----|--|
| 1  | <b>It is impossible to say, in either passage, how the polarities of light and dark are matched with those of waking and sleep; the confusion is the same as in the previously quoted passage on forgetting and remembering.</b> |
| 4  | The light, in the second passage   |
| 9  | In the first passage, it   |
| 15 | Light  |
| 24 | <b>This play of veiling and unveiling is, of course, altogether tantalizing</b>  |
| 25 | Forgetting   |
| 39 | The passage  |
| 43 | <b>Shelley's imagery often assumed to be incoherent and erratic is instead extraordinarily systematic whenever light is being thematized.</b>  |
| 46 | The passage  |
| 49 | It also  |
| 52 | Shelley's treatment of the birth of light  |
| 54 | It   |
| 57 | To efface it   |
| 60 | <i>And still, this light</i>   |

- 61 The frailty of the stance is represented in the supernatural delicacy which gives the shape "palms so tender / Their tread broke not the mirror of the river's billow" and which allows it to "glide along the river."  
 64 The entire scene  
 69 As the passage  
 71 The contradictory motions of "gliding" and "treading"  
 73 The "threading" sun rays  
 75 Shelley's poem  
 78 The water  
 83 By the end of the section we  
 85 There  
 89 The violence

As only two paragraphs are involved in each section, it is more difficult to consider the development of the text, and one would need to refer to de Man's text as a whole, which is not possible in this small-scale study. Nevertheless, patterns do emerge, which makes it possible to draw a number of conclusions, however tentative, from this restricted analysis.

It would seem as though Hyper-Themes do not predict the structure of the text to follow, but they do appear to predict the Themes of each paragraph. In the first three paragraphs, the text itself (*passage*) and a descriptive/interpretative item from the text (*light*) are strongly and consistently thematised. The focus of attention in Themes and Hyper-Themes seems to be on aspects of the poem, referred to as known, e.g. *this light*, *the passage*, *the entire scene*, *the water*, and interpretations of these, e.g. *this play of veiling and unveiling*, *forgetting*, *the frailty of the stance*, *the contradictory motions*. It appears as though the generic goals of the analysis are ignored because taken for granted, and de Man gets on with the job of interpretation without clarifying those goals in the first place.

#### Information patterning in the 1st and 2nd sections

##### Hyper-News (underlined) and sentential News

- 3 forgetting and remembering  
 10 asleep  
 14 "of light."  
 22 Light covers light, trance covers slumber and creates conditions of optical confusion that resemble nothing as much as the experience of trying to read The Triumph of Life, as its meaning glimmers, hovers and wavers, but refuses to yield the clarity it keeps announcing.

- 24 altogether tantalizing.  
 38 alive.  
 39 The passage that concerns us makes this knot, by which knowledge, oblivion and desire hang suspended, into an articulated sequence of events that demands interpretation.
- 45 thematized.  
 47 light, water and mirrors.  
 51 all away.  
 53 the emblem of the rainbow.  
 56 its power.  
 58 leave little else.  
 60 And still, this light is allowed to exist in The Triumph of Life only under the most tenuous of conditions.
- 63 to "glide along the river."  
 68 the suspended fall of its own existence.  
 70 run its course.  
 71 finally capsize  
 74 into solidity.  
 77 the duplication of the image.  
 82 the shape's gliding motion.  
 84 the initial tenderness.  
 88 below the surface of the water.  
 90 The violence is confirmed in the return of the rainbow, in the ensuing vision, as a rigid, stony arch said "fiercely [to extoll] the fortune" of the shape's defeat by what the poem calls "life."

Hyper-News and News do not demonstrate any patterning that would 'collect' or 'accumulate' meanings, to use Martin's terms. In the first paragraph, *light* and *asleep* are picked up in the Hyper-New, but the Hyper-News in the last three paragraphs (DM-39, 60 and 90) are puzzling in terms of the preceding News: backtracking and re-working the preceding text does not help, as nothing that comes before can help predict these kinds of Hyper-New. Contratextuality of this kind is disconcerting, but this uncertainty, together with the lack of clear thematic goals for the passage, is precisely what de Man is striving to achieve. Reader expectations are frustrated, so that de Man's own text draws attention to itself and, in systemic terms, its own texture is foregrounded. The uncertainty about thematic projection and contradictory News are all part of this textual strategy: what appears to be dysfunctional at one level is in fact functional at another, that of ideology. The uncertainties de Man sees in Shelley's poem are re-enacted in his own text, in keeping with deconstructionist beliefs in the 'undecidability of meaning', as discussed in Chapter 5. Neither ideational meanings, nor the textual construction of these meanings are clear in the register of deconstruction.

This lack of certainty concerning the text's structure is also evident when considering the framing pattern of Hyper-Themes and Hyper-News. Only in the first paragraph is there any sense of link and progression from the beginning to the end of the paragraph.

Framing of Hyper-Themes and Hyper-News in both sections

- 1     **It is impossible to say, in either passage, how the polarities of light and dark are matched with those of waking and sleep; the confusion is the same as in the previously quoted passage on forgetting and remembering.**
- 22    Light covers light, trance covers slumber and creates conditions of optical confusion that resemble nothing as much as the experience of trying to read *The Triumph of Life*, as its meaning glimmers, hovers and wavers, but refuses to yield the clarity it keeps announcing.
- 24    **This play of veiling and unveiling is, of course, altogether tantalizing**  
 39    The passage that concerns us makes this knot, by which knowledge, oblivion and desire hang suspended, into an articulated sequence of events that demands interpretation.
- 43    **Shelley's imagery often assumed to be incoherent and erratic is instead extraordinarily systematic whenever light is being thematized.**
- 60    And still, this light is allowed to exist in *The Triumph of Life* only under the most tenuous of conditions.
- 61    **The frailty of the stance is represented in the supernatural delicacy which gives the shape "palms so tender / Their tread broke not the mirror of the river's billow" and which allows it to "glide along the river."**
- 90    The violence is confirmed in the return of the rainbow, in the ensuing vision, as a rigid, stony arch said "fiercely [to extoll] the fortune" of the shape's defeat by what the poem calls "life."

The vagueness and uncertainties found in the interaction of thematic and informational patterns are also in evidence in other aspects of textual meaning. The analysis of voice presented in Appendix B-9 demonstrates lack of agency in most of the passive forms. The function of these forms, in this text, is two-fold: on the one hand, passivisation enables the manipulation of constituent positions, as in

(DM-76) *the reflecting surface is never allowed the smooth stasis*

(DM-78) *the water is kept in constant motion*

which place the opposing terms *smooth stasis* and *constant motion* in focus position. On the other hand, the use of agentless passives reinforces textual uncertainty, and points to the poem itself as the source of agency, as was discussed in Chapter 6

(section 6.5.1). This can be seen in the following examples:

(DM-4) *the light ... is said to be like a dream*



(DM-60) *this light is allowed to exist.*

Similarly, referential links, in de Man's text, are particularly unclear. This can be demonstrated first by considering the following passage:

*Forgetting is a highly erotic experience; it is like glimmering light because it cannot be decided whether it reveals or hides; it is like desire because, like the wolf pursuing the deer, it does violence to what sustains it; it is like a trance or a dream because it is asleep to the very extent that it is conscious and awake, and dead to the extent that it is alive. (DM-24/38)(underlining added)*

All the pronouns *it*, except for the second one (*it cannot be decided*), appear to refer back to *forgetting*, or, perhaps, to *experience*. It is the sheer accumulation of these pronouns, in six lines of text, that makes for hard reading. Should one stop, at the end of the sentence, and go back to the beginning, one is then very puzzled by such meanings as 'forgetting/experience is asleep, conscious and awake' or 'forgetting/experience is dead and alive'. De Man's readers, presumably, are meant to focus purely on the play of ideational oppositions, for instance 'asleep/awake', 'dead/alive', without worrying too much where exactly the text is leading them.

The second example shows how the interaction of vague meanings, unclear reference and grammatical metaphor contribute to textual uncertainty.

*Such monumentalization is by no means necessarily a naive or evasive gesture, and it certainly is not a gesture that anyone can pretend to avoid making. It does not have to be naive, since it does not have to be the repression of a self-threatening knowledge. Like *The Triumph of Life* it can state the full power of this threat in all its negativity. (DM-92/97) (underlining added)*

The passage begins with a nominalised form *monumentalization* which would congruently be realised as 'something is made into a monument' or 'x makes y into a monument'. The first problem encountered by de Man's readers is that the co-text does not clarify what x and y might be; x could be 'the poem', but y (what is made into a monument) is unclear. If they read very closely indeed, readers might come to the conclusion that it is the 'violence' identified in the poem which is being made into a monument, or, perhaps, that it is 'the shape's defeat' which is

made into a monument (see clauses 85/91). Then, 'monumentalization' is compared to a 'gesture', but who makes the gesture is left unsaid: the poem? poet? writer? reader? Hence, anyone is essentially very vague: it could mean that anybody who writes anything, or anybody who reads anything, makes 'monumentalization gestures'. As all subsequent uses of the pronoun *it* refer back to 'monumentalization' and/or 'gesture', and these two terms are very unclear in the first place, the passage as a whole is opaque, and the opacity is compounded by the grammatical metaphors in *the repression of a self-threatening knowledge*: who represses? who knows what? It is very hard, indeed, to understand this passage, which is perhaps the point De Man wishes to make: interpretation, i.e. deconstructing a text inevitably leads to an 'aporia', the impossibility of understanding.

It is this textual uncertainty encoded in a number of features such as structural organisation and cohesive devices which, perhaps more than anything else, contributes to the elitist effect of the text. Insiders only, i.e. fellow deconstructionists, might make sense of this text, as they might have the necessary background knowledge to understand what 'monumentalization gestures' are, for instance.

## 7.5 Conclusion

This chapter has shown that the textual metafunction uses the experiential and interpersonal modes of organisation as carriers of textual waves. The textual metafunction gives textual meaning to the relative ordering of the constituents of the clause, for example, Actor, Process, Goal, and it gives textual meaning to the location of the major pitch movement, the tonic. Textual meaning is relevant to the context: both the preceding and following text, and the context of situation. The major function of the textual metafunction, then, is to help make a text "readable": through various cohesive and structural devices, this function of language co-ordinates the main ideational and interpersonal meanings in such a way that the text is perceived as text by its audience.

It is not easy to identify generic similarities in the two texts, largely because only extracts have been analysed, and because de Man's text appears to flout a number of generic conventions. It is also difficult to try and compare the two literary critical texts with other academic professional genres, as Martin's (1993), Eggins et al's (1993) and Wignell et al's (1989) analyses concern the writing of history and geography textbooks. The texts they analyse thus belong to a very different genre, particularly in terms of their target audience.

Despite these restrictions, it is possible to identify some characteristics of literary criticism as genre. These characteristics concern schematic structure mostly, produced by the interaction of the systems of conjunction, Theme and information. The critic's goal in a literary critical text is to present the interpretation of a literary text, and the function of text structure is to organise the progression of the critic's interpretative argument in the following sequence of steps: Assertion^Elaboration^Re-Assertion. These steps are encoded in the sentential and clausal patterns constituted by Hyper-Themes, Themes, News and Hyper-News, in other words the prominence peaks of textual organisation, and signalled through overt markers of internal conjunction. De Man's text, which foregrounds textual vagueness, despite his use of overt conjunction, relies for this effect on readers' ability to recognise which conventions of writing have been flouted.

The textual distinctions between the registers of humanist criticism and deconstruction are much clearer. The analysis has shown a tight structure and texture in Leavis's text, co-ordinating in a very cohesive and coherent way the key ideational and interpersonal meanings identified in Chapters 5 and 6. Thematic positions encode not only the critic's goals but also the strong writer involvement and commitment characteristic of liberal humanist criticism, thus bringing an element of spoken modes of interaction into the chosen academic written genre. Focus positions encode the evaluation of the linguistic artefact Leavis is analysing, although the reasons for the evaluation are, characteristically (see Chapter 5), largely unexplained. In

addition, the referential chains woven through the text contribute to the tight links being made between the three key elements of interpretative goals, evaluation of the poem, and the role of the critic as guide and teacher.

Deconstruction writing, in contrast, foregrounds textual vagueness and uncertainty, in keeping with the major beliefs of this school of literary criticism. Contratextuality is evidenced mostly in the numerous vague or ambiguous referential links, the lack of clear thematic goals and the unpredictability of many information foci, i.e. News and Hyper-News. Another way of putting this would be to say that the key deconstructive tenet of a literary text foregrounding its own 'aporia' of meaning (see Chapter 5) is transposed to the critical text itself. Textual uncertainty, contributing considerably to opacity of meaning in de Man's text, is therefore highly functional: it is, to use Martin's term once more, the "point" of his message.

## CHAPTER 8

## CONCLUSION

## 8.1 Introduction

In this study, a particular model of grammatical analysis has been used in order to analyse two texts of literary criticism. The purpose of such analysis was to identify the cultural/institutional implications of the lexicogrammatical choices made in two literary critical texts, from a number of perspectives: the kind of social discourse the writers engage in, the view of reality they propose, i.e. the construction of the specific world of literary criticism, the construction of particular reader-writer relationships, and the ways in which these features are coordinated and presented as texts of a particular type.

One final question, however, needs to be answered, a question which echoes the challenge thrown by Burton (1982) and Kress (1985b), quoted earlier in Chapter 3: what now? Where do we go from here? The stylistic analysis conducted in the previous chapters is neither neutral nor an end in itself. The choice of literary criticism as object of enquiry was governed by two factors. Firstly, the study of literature looms large in the educational sphere, as it is imposed on children throughout secondary school, and it is a key subject in the Humanities at tertiary level. Why should this be? Secondly, many English departments in South African universities are now reconsidering their orientation, and there are numerous calls for a move away from the traditional English Studies paradigm. Again, why should this be? In the light of these two factors, it seemed important to analyse texts that both reflect and help perpetuate the very ideology of literature which is transmitted in schools and tertiary institutions and is now being questioned.

The choice of systemic grammar as the analytical framework for the study of literary critical texts was governed by the belief that a grammar which is oriented to language as a social, rather than an

individual, phenomenon, and is constructed in such a way as to highlight the interaction between a text and its contexts of production and reception, is the most relevant for the study of the operations of ideology in language.

Thus, in terms of these motivations, the relevance of the present analysis of two literary critical texts concerns the uses to which systemic grammar can be put in stylistic analyses of academic texts, including texts produced in the literary critical field, and the uses to which such stylistic analyses can then be put in the educational field.

Consequently, the purpose of this concluding chapter is twofold:

- i) It is to review the main features of literary criticism as genre and of the two registers of liberal humanist criticism and deconstruction. Such a review will highlight the key ideological assumptions and effects of literary criticism as a social practice through which certain values, attitudes and beliefs are created, transmitted and challenged.
- ii) It is to consider the implications and applications of this study of literary criticism in terms of two aspects: the linguistic field of register analysis, and the educational context within which literary critical texts are produced and read.

## 8.2 Professional literary criticism as genre

The genre of literary criticism is one of the activity types in which the discourse of English Studies is expressed. Discourse is to be understood as the broad range of meaning relations and meaning making practices which are specific to particular groupings or institutions. In this case, English Studies is part of the academic institution, and its members are defined by their role in the institution: to research and teach, or to be taught.

The present analysis has shown that it is the particular circumstances of an acute social crisis following the upheaval of the First World War, and Leavis's belief in the moral values which only great literature can transmit, which led to the construction in Britain of the discourse of English Studies. This discourse creates as its object certain kinds of texts, collectively called literature, which are presented as objects worthy of academic study. From the 1930s in Britain to the present day, the power of the discourse of English Studies has been exercised in its ability to promote the reading of literature as an academic endeavour, as a field as worthy of expert attention as that of science, and the consequent power conferred on those who can perform the task of interpreting literary texts in ways which are acceptable to the institution. Perhaps the most important feature of the discourse of English Studies is the way in which, across many expression genres and different schools of criticism, it constantly reaffirms the value of reading linguistic artefacts which *tell something to their readers: The Triumph of Life warns us that... (DM-129), the poem just examined shows...(L-87).*

Literary criticism as genre is constituted by texts written by professional critics for other professional critics, so that research, or the advancement of knowledge in the form of new interpretative methodologies and new interpretations, is foregrounded, rather than the teaching of those methodologies. Within the academic institution, the genre is thus extremely powerful, as it is a key medium for the transmission and reinforcement of the ideology of literature which it is the business of the institution to maintain.

The study of ideational meanings in the texts has shown that the critics' goal is to present interpretations/readings of literary texts, considered as atemporal, ahistorical objects. From the point of view of the creation of a particular world, perhaps the most salient generic feature of literary critical texts is heavy reliance on nominalisations which function largely to present the critics' opinions, the ways in which they qualify the value of the literary text they are interpreting, as fact: what the literary text tells them: *the abeyance of thought exhibited by the first*

three stanzas (L-92), the frailty of the stance is represented in the supernatural delicacy (DM-61).

In the study of interpersonal features, the analysis was helped by the fact that many readers of Leavis's text have commented negatively on what they usually call the "tone" of his writings, whereas this aspect has drawn no comment from de Man's readers. One can then assume that silence means acceptance; if features are accepted, it means they are part of the taken-for-granted assumptions which this study wanted to identify. What seems to be the accepted rule then, is similar to what Myers (1989) found to be the norm in scientific articles. The purpose of literary critics is to present new interpretations or readings of a text, hence to persuade their audience, i.e. fellow critics, of the validity of their argument or method of interpretation. The rules of the game, however, are that critics should use politeness strategies designed not to offend the academic community: impersonal structures like *it is impossible to say* (DM-1), or, when writers are criticising other critics' views, impersonal nominalisations like *this belief* (DM-118).

The generic textual features co-ordinate the ideational and interpersonal meanings and organise the progression of the critics' argument in a particular sequence of steps. Texts as a whole, chunks within texts, and sentences and clauses appear to be structured according to the rhythm of a wave characterised by two prominence peaks: what the writers' starting point or goal is, and what the reader should focus attention on. The overall structure of a literary critical text functions thus to make clear the writer's main Assertion, followed by any number of Arguments, and completed by Re-Assertion.

Overall, then, literary criticism as activity type in the academic institution is restricted to the certificated experts: in all its various features, it foregrounds competence in a particular kind of reading of particular types of texts and the articulation of this reading in particular ways. However, the literary critical genre is the *locum* for competing ideologies, which determine different registers of literary criticism.



### 8.3 Two registers of literary criticism

In order to summarise briefly the distinctions between the registers of liberal humanist and deconstruction criticism, one very short extract from each text is analysed below, from all three metafunctional perspectives of ideational, interpersonal and textual meanings. It is their cumulative and interactive effects that produce the particular kinds of ideological effects which are characteristic of each register. These two short extracts have been chosen because they evidence certain key features, though not all, of each register, and they have not been used in the previous analyses.

First, an extract from Leavis's text, clauses L-48/53, is analysed. Themes are indicated in bold; information focus (New) is underlined; marked Themes and New in thematic position are in bold underline.

**But the suggestion** is frivolous; the sense is plain enough-

*Carrier [rel:int/att] Attribute Carrier [rel:int/att] Attribute*

**enough, that is, for those** who respond to the sentiment.

*Senser [ment:aff] Phenomenon*

**Sufficient recognition of the sense** depends neither on thinking, nor on

*Existent [exist]*

realization of the metaphors, but on response to the sentimental commonplaces:

**it is only when intelligence and imagination** insist on intruding that

*Senser [ment:cog]*

**difficulties arise.**

*Existent [exist]*

In the passage which immediately precedes this extract, Leavis has asked a rhetorical question, and answered it himself, which is what 'the suggestion' (line 1) refers to. The main effects of this extract, which are characteristic of the register of liberal humanist criticism, have to do with the presentation of the activity of literary criticism, a strong evaluative stance, and overt writer involvement in both the activity of criticism and the evaluation which is being presented.

Of the six clauses which constitute the extract, two are relational:intensive/attributive, two are existential, and two are mental (cognitive and affective). In other words, the writer's main purpose is to identify and qualify what is in the literary critic's world, but also to 'sense', in this case to feel and think about the elements of the world. These elements are abstractions relating to the activities of the literary critic, in the grammatical metaphors *suggestion, recognition*, or the terms *intelligence and imagination, sense*. The evaluative stance is encoded through qualifying terms like *frivolous, plain, sentimental*, and the interpersonal grammatical metaphor *difficulties*. While the negative evaluation of the poem is clear, the reasons for such criticism are not given: the reader is not told what the 'sense' is. The main thrust of the critical act is therefore recognition of effect (*sentimental commonplaces*), which is equated with unexplained, negative value.

The overt elitism of humanist criticism, so often commented on by other critics, is also in evidence: readers of Shelley's poem are either poor readers 'who respond to the sentiment', or good readers who happen to have been endowed with 'intelligence and imagination'. The textual meanings co-ordinate the ideational and interpersonal meanings: the literary activity, the writer's starting point, is presented in the Themes, while the evaluation is shifted to New positions. The writer's involvement in the process and commitment to the evaluation is foregrounded in the marked interpersonal Theme *enough, that is, for those*, and the predicated structure *it is only when...* which places New in thematic position, adding to the sense of a voice speaking, as in a lecture, for example.

The extract by de Man is constituted by clauses DM-52/56. Themes are indicated in bold; information focus (New) is underlined; there are no marked Themes in this extract.

Shelley's treatment of the birth of light reveals all that is  
*Sayer* [verbal] *range carrier* [rel:int/att]  
 invested in the emblem of the rainbow. It represents the very possibility of  
*attribute* *Identified* [rel:int/iden] *Identifier*  
 cognition, even for processes of articulation so elementary that it  
*Carrier*  
 would be impossible to conceive of any principle of organization, however  
 [rel:int/att] *attribute* *Carrier*  
primitive, that would not be entirely dependent on its power.  
 [rel:int/att] *attribute*

The main ideological effect in this extract is that of opacity of meaning in terms of what exactly de Man is saying about 'Shelley's treatment of the birth of light'. While it might seem unfair to comment thus on such a short extract, continuing reading does not help. The majority of relational clauses do represent the generic goal of identifying elements of the critic's world, which are as abstract as Leavis's in the previous passage. The grammatical metaphors *possibility of cognition*, *processes of articulation* and *principle of organization* are, however, difficult to unpack. The accumulation of the personal pronoun *it/its*, which appears to refer to *the emblem of the rainbow*, makes it difficult to follow the argument through to the end. This text is elitist too, but in a different way from Leavis's, as it does not identify quite as clearly those who can and those who can't read a literary text. What it does identify, indirectly, is those who can and those who can't read deconstructive criticism. In true deconstructive fashion, the textual meanings turn the text back upon itself, so that what is foregrounded is not the interpretation of a poem, but the interpretation, or the difficulties of interpretation, of the critical text itself.

On the one hand, the meanings made in both extracts reflect a particular view of literary criticism in very specific contexts, as the previous chapters have indicated. The changes in textual patterns are reflections of changes in the academic institution, and these in turn reflect change in society, from the turbulent academic world of the 1930s in Britain, in which Leavis was struggling to impose literary criticism as an academic endeavour

worthy of study, to the routinised literary world of the 1980s in America, which was challenged by Derridean views of 'deconstruction'. On the other hand, the way in which those meanings have permeated the institution to such an extent that they are still being made by today's practitioners of literary criticism attests to the tremendous power of the discourse of English Studies in the educational world. It is to considerations of power in the academy that the final section will turn.

#### 8.4 Implications and applications of this study

In this section, suggestions for further research in the linguistic field of register analysis, and the use to which such research, and the conclusions drawn in this analysis can be put, are made.

##### 8.4.1 The field of register analysis

This study has used Halliday's (1985a) systemic grammar in order to conduct the analysis of a particular genre and two of its registers. This section will first briefly review the ways in which the model has helped the identification and interpretation of salient features from the texts. Then, mention will be made of the theoretical gap which needs attention in order to make the model, already centrally geared to application, even more useful to further register studies.

Section 2.3.1 in Chapter 2 has detailed the aspects of systemic grammar which contribute to its applicability. From the perspective of this study, it appears as though there are three orientations of the model which have been central to the detailed description and interpretation of literary critical texts:

- a) Systemic grammar is oriented to the description of language as a resource for meanings rather than as a system of rules. In other words, it is oriented to speakers' meaning potential. This orientation has made it possible to consider both the instance and the potential of literary critical texts. While on the one hand, the previous analysis has

focused on the instance, the specific texts under consideration and their contexts of production and reception, it has also made a number of generalisations across potential texts, in order to identify those textual features which can be said to be characteristic of the genre or register, i.e. are likely to be reproduced again and again across texts, thus reconstituting the genre or register every time they are used and interpreted, regardless of the specificities of time and place.

The key to both the instance and the potential is thus shown to be the concept of ideology: should critics share either Leavis's or de Man's beliefs concerning language, literature, the function of literary criticism, and should critics write within the generic frame which was outlined in Chapter 4, then it is likely that a number of textual features and ideological effects evidenced in 'Shelley' and 'Shelley disfigured' will be reproduced.

- b) The model is concerned with texts, rather than sentences, as the basic unit through which meaning is negotiated. In other words, it considers grammar as the "realisation" of discourse, hence as a functional grammar, naturally related to its text semantics, as opposed to autonomous syntax. This concern has made it possible to reason grammatically about the semantics of literary critical texts and the systems of meanings they instantiate.
- c) The grammar focuses on mutually predictive relations between texts and social contexts, rather than on texts as decontextualised structural entities in their own right. This focus has encouraged the interpretation of textual features in terms of their function in the contexts of text production and reception, and has made it possible to shunt between literary criticism as institutional practice and literary criticism as text, as two complementary perspectives on literary discourse.

In fact, this study has shown clearly how essential it is to embed the detailed analysis of textual features in meaningful contexts: when we consider a special variety of language, such as a genre or register, we need to be aware of the fact that whatever special or characteristic features this variety shows that mark it off from other varieties of language have some particular significance in relation to their environment: systemic grammar is a grammar of meanings, rather than forms.

These three orientations make systemic grammar a very powerful tool for register analysis, and part of its power lies in the fact that it can be shaped to suit the needs of its users. The present study has shown that one key feature of the grammar needs further development: the inclusion of a pragmatic component. In the study of interpersonal meanings conducted in Chapter 6, Halliday's account of mood, more suited to spoken interaction than written texts, had to be abandoned, and the traditional semantic-pragmatic accounts of modality were used. Similarly, a contrasting analysis of the critics' use of footnotes and quotations (very much part of the texts, if not of this analysis) would have enriched the discussion of textual meanings in Chapter 7. If systemic grammar is to account more fully for what writers actually do through language, then Butler's (1988a, 1988b, 1988d) plea for the inclusion of a pragmatic component in the grammar should be addressed.

#### 8.4.2 The uses of register analysis in the educational context

Because of its key focus on the relationship between language and context, register analysis is centrally geared to application in a variety of fields. As this study has considered texts which are produced in the academic context, it is in the field of education that considerations of the application of register analysis seem most relevant, particularly in the light of the present emphasis for critical language awareness in education (see Fairclough (ed) 1992).

(1) *The need for further study of different professional academic genres and registers.*

Matthiessen (1993:279) writes that 'in a fundamental sense, register analysis is inherently comparative since it is concerned with varieties and with their relative contextual significance' and argues that 'one of our most pressing tasks in register analysis is description [...] of various registers' (Matthiessen 1993:275). Mention has already been made of the difficulties of pinpointing accurately the characteristic features of literary criticism as genre, because of the lack of analyses of other academic genres.

It is time analysts stopped writing vaguely about 'the typical form of academic writing in so many disciplines: an impersonal monologic discourse which can seem oppressive and forbidding to the reader' (Hodge 1988:152). The study of different professional academic written genres in social science and the humanities, as well as science, would help identify more accurately than is presently possible the characteristics of "academic writing" and the specific features of writing which express the different concerns of different disciplines. This kind of comparative study, for instance, a comparison of the functions of grammatical metaphors in science and literary criticism, or literary criticism and sociology, would enable better understanding of the meaning making practices of the different academic communities. The kind of systematic study of language use in professional contexts evidenced by recent work (for instance, Bhatia 1993) should be developed to include more academic contexts, and other domains than science need to be considered.

Given the present plurality of fields and interpretations within disciplines, a comparative study of different registers is also needed. Other registers of literary criticism (for instance, Marxist or feminist criticism) need to be analysed, to show in what ways different socio-political concerns shape the activity of reading and writing literary criticism. The same could be said of different ways of writing history, for example.

Register analysis, however, needs to be as complete as possible. Although, for example, Halliday (1987b,1988c,1990,1994) and Halliday & Martin (1993) have analysed professional scientific writing, they have tended to focus their analysis on certain features of scientific texts only: grammatical metaphors, thematic and information patterning. Thus, a partial view of the discourse of science has been given, one which needs to be complemented by the study of other salient features of scientific texts. The present study of interpersonal meanings in literary critical texts, for instance, would have benefitted from a comparison with the ways in which those meanings are expressed in other professional academic genres. Comparative analyses across all three metafunctions, the ideational, interpersonal and textual, as was done in this study, are needed if comparisons across genres are to be made.

In addition to increased understanding of different registers and genres, such comprehensive, detailed accounts would help develop the theoretical framework, as extensive descriptive work will create new demands on the theory, and certain theoretical issues can only be settled with a broader descriptive base.

## *(2) Educational implications of register analysis*

The present study of literary critical texts has shown that a lot of what constitutes institutional and discourse-specific culture is not often explicitly articulated and acknowledged, to the detriment of learners who are expected to "work it all out" for themselves. It is to the notion of socialisation into the academic culture, and its disciplines, that register analysis can make a useful contribution, in the contrastive analysis of professional genres meant for colleagues, for novice readers (such as textbooks) and in the analysis of discipline-specific student writing.

Peck MacDonald's (1990) argument concerning the writing of literary critical texts is worth reviewing briefly, as it shows a key misconception concerning language use which, one suspects, is shared by many teachers and lecturers. Peck MacDonald (1990:33)



rightly points out that teachers must 'encourage rather than discourage successful socialization into our discourse conventions' but adds that 'we should be concerned that the conventions we socialize writers into reflect ways of writing we admire'. The effects of asking students to read 'a foggy, irresponsible prose' is that 'they will imitate the complexity without fully understanding it [and thus write] a grotesquely deformed prose devoid of ideas that are coherent by anyone's standards' (Peck MacDonald 1990:57).

The key misconception in this argument is that "writing" and "content" are somehow separate, and that a literary critical argument can be presented through either a 'foggy, irresponsible prose' or, as she puts it repeatedly, 'the grammar of clarity'. What is not recognised is that, as this study of texts by Leavis and de Man has shown, a newly evolving register is always functional in its context. Its features are not arbitrary: they have evolved in order to meet the needs of its users, they are functional in the effective construction of reality. The features that help make de Man's prose opaque construct, in effect, deconstructionist views of language as meaning resistant, just as the clear evaluative characteristics of Leavis's writing construct his belief in the evaluative role of the literary critic. The question is not whether one should 'admire' a particular type of writing or not, but whether its features are functional or not. The problem with specialised language features of the kind this study has analysed is that they often become ritualised, and lose their meaning (where meaning is equated with function) in the hands of novices, or, as is the case with the language of science (Halliday & Martin 1993), in the hands of people who use the language inappropriately, purely for its connotations of power and prestige. In literary criticism, too, a close study of certain texts would probably show that some features of the language have become a form of ritual, a way of claiming status and turning literary criticism into the prerogative of an elite.

The question of socialising students into specific academic discourse communities, then, becomes not one of castigating foggy language and praising the grammar of clarity, as separate entities

from the "content" of specific disciplines, and, one might add, highly subjective concepts, too, but one of understanding that 'the mastery of academic subjects is the mastery of their specialized patterns of language use' (Lemke 1988:81). It is a truism to say that to be a historian, or a literary critic, is to write history or literary criticism, that is, to make the meanings of history or literary criticism, using the resources of language in ways that constitute the disciplines of history and literary criticism. It is those meanings, and the meaning-making practices of each discipline, that need to be explicitly decoded, illustrated, explained to learners.

In this regard, register analysis can pave the way for teachers, and has already started doing so. At the same time as professional academic genres and registers are analysed, in order to increase understanding of the discipline-specific ways of meaning-making for the experts, there should be concerted effort to focus on the mediating texts, those textbooks which are meant specifically for learners. The studies by Eggins et al (1993) and Wignell et al (1989) have shown how the two different secondary school varieties of history and geography deploy the resources of language in very different, highly functional ways of constructing the worlds of the historian and the geographer for the learner. More work of the same kind should now be done on other discipline-specific textbooks.

At the same time, analysts should also focus on student academic writing, but from the perspective of specific disciplines, as Martin (1993:252-255) does with an unsuccessful text written by a secondary school pupil. Martin shows clearly that correcting the text for 'grammar, punctuation and usage', which is what most teachers have been trained to do, would merely change the text's status, not its functionality in the context of a geography class. What is needed, then, is better understanding of the nature and function of a student, history, geography, etc. text, rather than student academic writing in general.

This kind of study would be particularly important in the field of literary criticism since, as Peck MacDonald (1990:58,60) rightly

points out, there is very little professional literary criticism aimed at a novice readership. Whatever mediation is done is usually carried out through the spoken genres of class lesson or university lecture or seminar, which, by their very nature, cannot prepare the learner for the task of writing a literary critical essay.

The discussions of the present movement away from English Studies towards a Cultural Studies model in South African universities (e.g. Glenn 1992; Higgins 1992; Ryan 1992) appear to focus, in typical fashion, on theories of literature, and on a critique of the assumptions, beliefs, and ideological effects of the discourse of English Studies, as identified in this study. The argument seems to be that, as the South African university population is changing, these assumptions, etc. are no longer valid. When South African literary critics/lecturers consider the role of language at all, it is to bemoan the fact that 'too many of us have fed a contempt for language teaching and teachers and ignored the linguistic competences that underlie literary study' (Glenn 1992:188), but such 'linguistic competences' tend to be viewed purely as decontextualised "grammar", that is, grammar as a system of rules rather than as a resource for meanings.

It is not within the scope of this study to enter the English Studies vs Cultural Studies debate, but simply to point out that, if the teaching of either literature or "cultural studies" is to be successful, the concept of language as a system of rules upon which one superimposes literary or cultural "content" is inappropriate. The language of literary criticism, as this study has demonstrated, is a language for the expert, and as such is problematic for the learner. To see the language from the point of view of a learner, and especially if one hopes to intervene in the learning process, it is important first to understand how it works, to understand how its features come about and combine to produce text in context. Then, the links must be made between professional literary criticism and student literary criticism: through the analysis of student texts deemed to be successful and unsuccessful by teachers, one should isolate the similarities and differences between the two kinds of texts (professional vs

novice): presumably, learners are not expected to write "like" Leavis or de Man, but a certain number of key features of the literary critical discourse are necessary for them to produce recognisable student literary critical texts. Equipped with this knowledge, teachers of literature would then be in a better position to teach learners how to write successfully, neither in terms of grammatical rules, nor of "content", but in terms of the meaning-making practices of the discourse community, some of which have been identified in this study.

One could therefore wish that in English departments at tertiary institutions, traditional training grounds for teachers of literature, more focused attention be given to the language practices of the community, instead of taking them for granted. Some training in the kind of analysis illustrated in this study, at both undergraduate and graduate levels, would help novices understand better what the literary critical act entails. Conscious focus should be placed on enabling readers to recognise, and where necessary, resist the reading positions constructed for them, and on enabling writers to participate fully in the discourse of English Studies.

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**APPENDIX A**

**GRAMMATICAL ANALYSIS OF TEXT BY LEAVIS**

## A-1 EXTRACT FROM TEXT

NOTE: As this study analyses the writing of Leavis, long quotations from the poem(s) he is considering, which are part of the text, have been omitted from this extract.

## FIRST SECTION: ANALYSIS OF A POEM

The first two stanzas call for no very close attention - to say so, indeed, is to make the main criticism, seeing that they offer a show of insistent argument. However, reading with an unsolicited closeness, one may stop at the second line and ask whether the effect got with 'lies dead' is legitimate. Certainly, the emotional purpose of the poem is served, but the emotional purpose that went on being served in that way would be suspect. Leaving the question in suspense, perhaps, one passes to 'shed'; 'shed' as tears, petals and coats are shed, or as light is shed? The latter would be a rather more respectable use of the word in connection with a rainbow's glory, but the context indicates the former. Only in the vaguest and slackest state of mind - of imagination and thought - could one so describe the fading of a rainbow; but for the right reader 'shed' sounds right, the alliteration with 'shattered' combining with the verse-movement to produce a kind of inevitability. And, of course, suggesting tears and the last rose of summer, it suits with the general emotional effect. The nature of this is by now so unmistakable that the complete nullity of the clinching 'so', when it arrives - of the two lines that justify the ten preparatory lines of analogy - seems hardly worth stopping to note. Nor is it surprising that there should turn out to be a song after all, and a pretty powerful one - for those who like that sort of thing; the 'sad dirges,' the 'ruined cell,' the 'mournful surges' and the 'dead seaman's knell' being immediately recognizable as currency values. Those who take pleasure in recognizing and accepting them are not at the same time exacting about sense.

The critical interest up to this point has been to see Shelley, himself (when inspired) so unexact about sense, giving himself so completely to sentimental banalities. With the next stanza it is much the same, though the emotional clichés take on a grosser unctiousness and the required abeyance of thought (and imagination) becomes more remarkable. In what form are we to imagine Love leaving the well-built nest? For readers who get so far as asking, there can be no acceptable answer. It would be unpoetically literal to suggest that, since the weak one is singled, the truant must be the mate, and, besides, it would raise unnecessary difficulties. Perhaps the mate, the strong one, is what the weak one, deserted by Love, whose alliance made possession once possible, now has to endure? But the suggestion is frivolous; the sense is plain enough - enough, that is, for those who respond to the sentiment. Sufficient recognition of the sense depends neither on thinking, nor on realization of the metaphors, but on response to the sentimental commonplaces: it is only when intelligence and imagination insist on intruding that difficulties arise. So plain is this that there would be no point in contemplating the metaphorical complexity that would develop if we could take the tropes seriously and tried to realize Love making of the weak one, whom it (if we evade the problem of sex) leaves behind in the well-built nest, a cradle, a home and a bier.

The last stanza brings a notable change; it alone in the poem has any distinction, and its personal quality, characteristically Shelleyan, stands out against the sentimental conventionality of the rest. The result is to compel a more radical judgement on the poem than has yet been made. In 'Its passions will rock thee' the 'passions' must be those of Love, so that it can no longer be Love that is being apostrophized. Who, then, is 'thee'? The 'frailest' - the 'weak one' - it would appear. But any notion one may have had that the 'weak one', as the conventional sentiments imply, is the woman must be abandoned: the 'eagle home,' to which the 'well-built nest' so incongruously turns, is the Poet's. The familiar timbre, the desolate intensity (note particularly the use of 'bright' in 'bright season'), puts it beyond doubt that Shelley is, characteristically, addressing himself - the 'pardlike Spirit beautiful and swift,' the 'Love in desolation masked,' the 'Power girt round with weakness.'

Characteristically: that is, Shelley's characteristic pathos is self-regarding, directed upon an idealized self in the way suggested by the tags just quoted. This is patently so in some of his best poetry; for instance, in the *Ode to the West Wind*. Even there, perhaps, one may find something too like an element of luxury in the poignancy (at any rate, one's limiting criticism of the Ode would move towards such a judgement); and that in general there must be dangers and weakness attending upon such a habit will hardly be denied. The poem just examined shows how gross may be, in Shelley, the corruptions that are incident. He can make self-pity a luxury at such a level that the conventional pathos of album poeticizing, not excluding the banalities about (it is plainly so in the third stanza) the sad lot of woman, can come in to gratify the appetite.

The abeyance of thought exhibited by the first three stanzas now takes on a more sinister aspect. The switching-off of intelligence that is necessary if the sentiments of the third stanza are to be accepted has now to be invoked in explanation of a graver matter - Shelley's ability to accept the grosser, the truly corrupt, gratifications that have just been indicated. The antipathy of his sensibility to any play of the critical mind, the uncongeniality of intelligence to inspiration, these clearly go in Shelley, not merely with a capacity for momentary self-deceptions and insincerities, but with a radical lack of self-knowledge.

## SECOND SECTION: GENERALISATIONS

But *The Mask of Anarchy* is little more than a marginal throw-off, and gets perhaps too much stress in even so brief a distinguishing mention as this. The poetry in which Shelley's genius manifests itself characteristically, and for which he has his place in the English tradition, is much more closely related to his weaknesses. It would be perverse to end without recognizing that he achieved memorable things in modes of experience that were peculiarly congenial to the European mind in that phase of its history and are of permanent interest. The sensibility expressed in the *Ode to the West Wind* is much more disablingly limited than current valuation allows, but the consummate expression is rightly treasured. The Shelleyan confusion appears, perhaps, at its most poignant in *The Triumph of Life*, the late unfinished poem. This poem has been paralleled with the revised *Hyperion*, and it is certainly related by more than the *terza rima* to Dante. There is in it a profounder note of disenchantment than before,

a new kind of desolation, and, in its questioning, a new and profoundly serious concern for reality: [long quotation omitted]

But in spite of the earnest struggle to grasp something real, the sincere revulsion from personal dreams and fantasies, the poem itself is a drifting phantasmagoria - bewildering and bewildered. Vision opens into vision, dream unfolds within dream, and the visionary perspectives, like those of the imagery in the passage of *Mont Blanc*, shift elusively and are lost; and the failure to place the various phases or levels of visionary drift with reference to any grasped reality is the more significant because of the palpable effort. Nevertheless, the *Triumph of Life* is among the few things one can still read and go back to in Shelley when he has become, generally, 'almost unreadable.'

Shelley's part in the later notion of 'the poetical' has been sufficiently indicated. His handling of the medium assimilates him readily, as an influence, to the Spenserian-Miltonic line running through *Hyperion* to Tennyson. Milton is patently present in *Alastor*, the earliest truly Shelleyan poem; and *Adonais* - relates him as obviously to *Hyperion* as to *Lycidas*. Indeed, to compare the verse of *Hyperion*, where the Miltonic Grand Style is transmuted by the Spenserianizing Keats, with that of *Adonais* is to bring out the essential relation between the organ resonances of *Paradise Lost* and the pastoral melodizing of *Lycidas*. Mellifluous mourning in *Adonais* is a more fervent luxury than in *Lycidas*, and more declamatory (the famous imagery is happily conscious of being impressive, but the impressiveness is for the spellbound, for those sharing the simple happiness of intoxication): and it is, in the voluptuous self-absorption with which the medium enjoys itself, rather nearer to Tennyson.

But, as was virtually said in the discussion of imagery from the *Ode to the West Wind*, the Victorian poet with whom Shelley has some peculiar affinities is Swinburne.

## A-2 CLAUSES

C1

1 The first two stanzas call for no very close attention  
 2 to say so, indeed, is to make the main criticism,  
 3 seeing that they offer a show of insistent argument.  
 4 However, reading with an unsolicited closeness,  
 5 one may stop at the second line  
 6 and ask  
 7 whether the effect got with 'lies dead' is legitimate  
 8 Certainly, the emotional purpose of the poem is served,  
 9 but the emotional purpose [...] would be suspect  
 10 [that went on being served in that way].  
 11 Leaving the question in suspense, perhaps,  
 12 one passes to 'shed';  
 13 'shed' as tears, petals and coats are shed,  
 14 or as light is shed?  
 15 The latter would be a rather more respectable use of the word in  
 16 connection with a rainbow's glory,  
 17 but the context indicates the former.  
 18 Only in the vaguest and slackest state of mind - of imagination  
 19 and thought - could one so describe the fading of a rainbow;  
 20 but for the right reader 'shed' sounds right,  
 21 the alliteration with 'shattered' combining with the verse-  
 22 movement to produce a kind of inevitability.  
 23 And, of course, suggesting tears and the last rose of summer,  
 24 it suits with the general emotional effect.  
 25 The nature of this is by now so unmistakable  
 26 that the complete nullity of the clinching 'so' [...] [...] seems  
 27 hardly worth stopping to note :  
 28 [when it arrives]  
 [of the two lines that justify the ten preparatory lines of  
 analogy]  
 Nor is it surprising  
 that there should turn out to be a song after all, and a pretty  
 powerful one -  
 for those who like that sort of thing;



29 the 'sad dirges,' the 'ruined cell,' the 'mournful surges' and  
the 'dead seaman's knell' being immediately recognizable as  
currency values.

30 Those [...] are not at the same time exacting about sense.  
31 [who take pleasure in recognizing and accepting them]  
32 The critical interest up to this point has been to see Shelley,  
himself [...] so unexacting about sense,  
33 [(when inspired)]  
34 giving himself so completely to sentimental banalities.  
35 With the next stanza it is much the same,  
36 though the emotional *clichés* take on a grosser unction  
37 and the required abeyance of thought (and imagination) becomes  
more remarkable.

38 In what form are we to imagine Love leaving the well-built nest?  
39 For readers who get so far as asking,  
40 there can be no acceptable answer.  
41 It would be unpoetically literal to suggest  
42 that [...] the truant must be the mate  
43 [since the weak one is singled]  
44 and, besides, it would raise unnecessary difficulties.  
45 Perhaps the mate, the strong one, is what the weak one, deserted  
by Love,  
46 whose alliance made possession once possible  
47 now has to endure?  
48 But the suggestion is frivolous;  
49 the sense is plain enough -  
50 enough, that is, for those who respond to the sentiment.  
51 Sufficient recognition of the sense depends neither on thinking,  
nor on realization of the metaphors, but on response to the  
sentimental commonplaces :

52 it is only when intelligence and imagination insist on intruding  
53 that difficulties arise.  
54 So plain is this  
55 that there would be no point in contemplating the metaphorical  
complexity  
56 that would develop  
57 if we could take the tropes seriously  
58 and tried to realize Love making of the weak one,

59 whom it [...] leaves behind in the well-built nest, a cradle, a  
home and a bier.

60 [(if we evade the problem of sex)]

61 The last stanza brings a notable change;  
62 it alone in the poem has any distinction,  
63 and its personal quality, characteristically Shelleyan, stands  
out against the sentimental conventionality of the rest.

64 The result is to compel a more radical judgement on the poem  
65 than has yet been made.

66 In 'Its passions will rock thee' the 'passions' must be those of  
Love

67 so that it can no longer be Love  
68 that is being apostrophized.

69 Who, then, is 'thee'?

70 The 'frailest' - the 'weak one' - it would appear.

71 But any notion one may have had  
72 that the 'weak one' [...] is the woman  
73 [as the conventional sentiments imply]  
74 must be abandoned :

75 the 'eagle home,' [...] is the Poet's  
76 [to which the 'well-built nest' so incongruously turns]

77 The familiar timbre, the desolate intensity [...] puts it beyond  
doubt

78 [(note particularly the use of 'bright' in 'bright season')]  
79 that Shelley is, characteristically, addressing himself - the  
'pardlike Spirit beautiful and swift,' the 'Love in desolation  
masked,' the 'Power girt round with weakness.'

80 Characteristically : that is, Shelley's characteristic pathos is  
self-regarding, directed upon an idealized self  
81 in the way suggested by the tags just quoted.

82 This is patently so in some of his best poetry ; for instance, in  
the *Ode to the West Wind*.

83 Even there, perhaps, one may find something too like an element  
of luxury in the poignancy

84 (at any rate, one's limiting criticism of the Ode would move  
towards such a judgement);

85 and that in general there must be dangers and weakness attending  
upon such a habit

86 will hardly be denied.

87 The poem just examined shows how gross may be, in Shelley, the  
corruptions  
88 that are incident.  
89 He can make self-pity a luxury at such a level  
90 that the conventional pathos of album poeticizing, not excluding  
the banalities about [...] the sad lot of woman, can come in to  
gratify the appetite.  
91 [(it is plainly so in the third stanza)]  
92 The abeyance of thought exhibited by the first three stanzas  
93 now takes on a more sinister aspect.  
94 The switching-off of intelligence [...] [...] has now to be  
invoked in explanation of a graver matter - Shelley's ability to  
accept the grosser, the truly corrupt, gratifications  
95 [that is necessary]  
96 [if the sentiments of the third stanza are to be accepted]  
97 that have just been indicated  
98 The antipathy of his sensibility to any play of the critical  
mind, the uncongeniality of intelligence to inspiration, these  
clearly go in Shelley, not merely with a capacity for momentary  
self-deceptions and insincerities, but with a radical lack of  
self-knowledge.  
99 But *The Mask of Anarchy* is little more than a marginal throw-off,  
100 and gets perhaps too much stress in even so brief a  
distinguishing mention as this.  
101 The poetry [...] [...] is much more closely related to his  
weaknesses.  
102 [in which Shelley's genius manifests itself characteristically]  
103 [and for which he has his place in the English tradition]  
104 It would be perverse to end without recognizing  
105 that he achieved memorable things in modes of experience  
106 that were peculiarly congenial to the European mind in that phase  
of its history  
107 and are of permanent interest.  
108 The sensibility expressed in the *Ode to the West Wind* is much  
more disablingly limited  
109 than current valuation allows,  
110 but the consummate expression is rightly treasured.  
111 The Shelleyan confusion appears, perhaps, at its most poignant in  
*The Triumph of Life*, the late unfinished poem.

112 This poem has been paralleled with the revised *Hyperion*,  
 113 and it is certainly related by more than the *terza rima* to Dante.  
 114 There is in it a profounder note of disenchantment than before, a  
 new kind of desolation, and, in its questioning, a new and  
 profoundly serious concern for reality :  
 115 But in spite of the earnest struggle to grasp something real, the  
 sincere revulsion from personal dreams and fantasies, the poem  
 itself is a drifting phantasmagoria - bewildering and bewildered.  
 116 Vision opens into vision,  
 117 dream unfolds within dream,  
 118 and the visionary perspectives, like those of the imagery in the  
 passage of *Mont Blanc*, shift elusively  
 119 and are lost;  
 120 and the failure to place the various phases or levels of  
 visionary drift with reference to any grasped reality is the more  
 significant because of the palpable effort.  
 121 Nevertheless, *the Triumph of Life* is among the few things  
 122 one can still read  
 123 and go back to in Shelley  
 124 when he has become, generally, 'almost unreadable.'  
 125 Shelley's part in the later notion of 'the poetical' has been  
 sufficiently indicated.  
 126 His handling of the medium assimilates him readily, as an  
 influence, to the Spenserian-Miltonic line running through  
*Hyperion* to Tennyson.  
 127 Milton is patently present in *Alastor*, the earliest truly  
 Shelleyan poem;  
 128 and *Adonais* relates him as obviously to *Hyperion* as to *Lycidas*.  
 129 Indeed, to compare the verse of *Hyperion*, [...] with that of  
*Adonais* is to bring out the essential relation between the organ  
 resonances of *Paradise Lost* and the pastoral melodizing of  
*Lycidas*.  
 130 [where the Miltonic Grand Style is transmuted by the  
 Spenserianizing Keats]  
 131 Mellifluous mourning in *Adonais* is a more fervent luxury than in  
*Lycidas*, and more declamatory  
 132 (the famous imagery is happily conscious of being impressive,  
 133 but the impressiveness is for the spellbound  
 134 for those sharing the simple happiness of intoxication) :

- 135 and it is [...] rather nearer to Tennyson  
136 [in the voluptuous self-absorption with which the medium enjoys  
itself]  
137 But [...] the Victorian poet with whom Shelley has some peculiar  
affinities is Swinburne  
138 [as was virtually said in the discussion of imagery from the *Ode  
to the West Wind*]

## A-3 TRANSITIVITY

## A-3-1 PROCESS TYPES

CLAUSE	PROCESS TYPE	PROCESS
1	verbal	call for
2	rel:int/iden	be
3	verbal	offer
4	mat:mid	read
5	mat:mid	stop
6	verbal	ask
7	rel:int/att	be
8	mat:effect	serve
9	rel:int/att	be
10	mat:effect	go on
11	mat:mid	leave
12	mat:mid	pass to
13	mat:effect	shed
14	mat:effect	shed
15	rel:int/att	be
16	verbal	indicate
17	verbal	describe
18	ment:cog	sound
19	mat:mid	combine
20	ment:cog	suggest
21	mat:mid	suit
22	rel:int/att	be
23	rel:int/att	seem
24	exist	arrive
25	ment:cog	justify
26	rel:int/att	be
27	exist	turn out
28	ment:aff	like
29	rel:int/att	be
30	rel:int/att	be
31	ment:aff	take pleasure
32	rel:int/iden	be
33	ment:cog	inspire
34	ment:aff	give
35	rel:int/iden	be
36	rel:int/att	take on
37	rel:int/att	becomes
38	ment:cog	imagine
39	mat:mid	get
40	exis	be
41	rel:int/att	be
42	rel:int/iden	be
43	mat:effect	single
44	ment:cog	raise diff.
45	rel:int/iden	be
46	mat:mid	make
47	ment:aff	endure
48	rel:int/att	be
49	rel:int/att	be
50	ment:aff	respond

51	exist	depend
52	ment:cog	insist
53	exist	arise
54	rel:int/att	be
55	exist	be
56	exist	develop
57	ment:cog	take seriously
58	ment:cog	try
59	mat:mid	leave
60	ment:cog	evade
61	mat:mid	bring
62	rel:pos/att	have
63	exist	stand out
64	rel:int/att	be
65	ment:cog	make judgement
66	rel:int/iden	be
67	rel:int/iden	be
68	verbal	apostrophize
69	rel:int/iden	be
70	rel:int/iden	appear
71	ment:cog	have notion
72	rel:int/iden	be
73	ment:cog	imply
74	ment:cog	abandon
75	rel:pos:iden	be
76	mat:mid	turn
77	ment:cog	put bey.doubt
78	ment:cog	note
79	verbal	address
80	rel:int/att	be
81	verbal	suggest
82	exist	be
83	ment:cog	find
84	ment:cog	move
85	exist	be
86	verbal	deny
87	mat:mid	show
88	rel:int/att	be
89	rel:int/iden	make
90	mat:mid	come in
91	exist	be
92	mat:effect	exhibit
93	rel:int/att	take on
94	ment:cog	invoke
95	rel:int/att	be
96	ment:cog	accept
97	verbal	indicate
98	rel:int/att	go
99	rel:int/iden	be
100	mat:mid	get
101	rel:int/att	be
102	exist	manifest
103	exist	have a place
104	rel:int/att	be
105	mat:mid	achieve
106	rel:int/att	be
107	rel:int/att	be
108	rel:int/att	be

109	verbal	allow
110	ment:aff	treasure
111	rel:int/att	appears
112	mat:effect	parallel
113	mat;effect	relate
114	exist	be
115	rel:int/iden	be
116	mat:mid	open
117	mat:mid	unfold
118	mat:mid	shift
119	rel:int/att	be
120	rel:int/att	be
121	exist	be
122	mat:mid	read
123	mat:mid	go back
124	rel:int/att	become
125	verbal	indicate
126	mat:mid	assimilates
127	exist	be
128	mat:mid	relate
129	rel:int/iden	be
130	mat:effect	transmute
131	rel:int/iden	be
132	rel:int/att	be
133	exist	be
134	ment:aff	share
135	rel:int/att	be
136	ment:aff	enjoy
137	rel:pos/att	have
138	verbal	say



## A-3-2 RELATIONAL PROCESSES

## ATTRIBUTIVE PROCESSES

CLA	PROCESS	MEDIUM (carrier)	RANGE (Attribute)
7	be	effect	legitimate
9	be	purpose	suspect
15	be	latter	respectable use
22	be	nature	unmistakable
23	seem	nullity	hardly worth stopping to note
26	be		surprising
29	be	'dirges' etc	recognizable
30	be	those	exacting
36	take on	cliches	grosser unction
37	become	abeyance	remarkable
41	be		literal
48	be	suggestion	frivolous
49	be	sense	plain
54	be	this	plain
62	have	it (stanza)	distinction
64	be	result	to compel...
80	be	pathos	self-regarding
88	be	corruptions	incident
93	take on	abeyance	sinister aspect
95	be		necessary
98	go	these	lack of self-knowledge
101	be	poetry	related to
104	be		perverse
106	be	modes	congenial to
107	be	(modes)	permanent interest
108	be	sensibility	limited
111	appear	confusion	poignant
119	be	(perspectives)	lost
120	be	failure	significant
124	become	he (Shelley)	'almost unreadable'
132	be	imagery	conscious
135	be	it (impressiveness)	nearer to
137	have	Shelley	affinities

## IDENTIFYING PROCESSES

CLA	PROCESS	MEDIUM (Identified)	AGENT (Identifier)
2	be	to say so	to make...
32	be	interest	to see
35	be	the same	with the next stanza
42	be	truant	mate
45	be	mate	what...
66	be	passions	of Love
67	be	Love	
69	be	'thee'	
70	appear	'thee'	'frailest', 'weak one'
72	be	weak one	woman
75	be	'eagle home'	the Poet's
89	make	self-pity	a luxury
99	be	Mask of Anarchy	marginal throw-off
115	be	poem	drifting phantasmagoria
129	be	to compare	to bring out...
131	be	mourning	luxury

## A-3-3 MATERIAL PROCESSES

CLA	TYPE	PROCESS	MEDIUM	OTHER PARTICIPANT
4	mid	read	(one)	
5	mid	stop	one	
8	effect	serve	purpose	Ag: effect
10	effect	go on	purpose	Ag: effect
11	mid	leave	(one)	
12	mid	pass to	one	
13	effect	shed	tears, petals & co	Ag: ?
14	effect	shed	light	Ag: ?
19	mid	combine	alliteration	
21	mid	suit	it ('shed')	
39	mid	get	readers	
43	effect	single	weak on	Ag: ?
46	mid	make	alliance	
59	mid	leave	it (Love)	
61	mid	bring	stanza	
76	mid	turn	'nest'	
87	mid	show	poem	
90	mid	come in	pathos & ban.	
92	effect	exhibit	abeyance	Ag: stanzas
100	mid	get	<i>Mask of Anarchy</i>	
105	mid	achieve	he (Shelley)	
112	effect	parallel	poem	Ag: (critics?)
113	effect	relate	it (poem)	Ag: terza rima
116	mid	open	vision	
117	mid	unfold	dream	
118	mid	shift	perspectives	
122	mid	read	one	
123	mid	go back	(one)	
126	mid	assimilate	handling	
128	mid	relate	<i>Adonais</i>	
130	effect	transmute	Grand Style	Ag: Keats

## A-3-4 EXISTENTIAL PROCESSES

CLA	PROCESS	MEDIUM (Existent)
24	arrive	it ('so')
27	turn out	song
40	be	(no) answer
51	depend	recognition
53	arise	difficulties
55	be	(no) point
56	develop	complexity
63	stand out	quality
82	be	this
85	be	dangers & weakness
91	be	it
102	manifest	genius
103	have a place	he (Shelley)
114	be	note, kind, concern
121	be	<i>The Triumph of Life</i>
127	be	Milton
133	be	impressiveness

## A-3-5 MENTAL PROCESSES

## COGNITIVE PROCESSES

CLA	PROCESS	MEDIUM (senser)	PHENOMENON
18	sound right	(P reader?)	'shed'?
20	suggest	'shed'	
25	justify	2 lines	10 lines
33	inspire	Shelley	
38	imagine	we	Love
44	raise difficulties	(T writer?)	
52	insist	intell. & Imag.	
57	take seriously	we	tropes
58	try	(we)	
60	evade	we	problem
65	make judgement	(T writer? others?)	poem
71	have notion	one	
73	imply	sentiments	
74	abandon	(one)	
77	put bey. doubt	intensity	
78	note	(T reader?)	use
83	find	one	something
84	move	criticism	Ode
94	invoke	(T writer?)	switching off
96	accept	(T writer/reader?)	sentiments

## AFFECTIVE PROCESSES

CLA	PROCESS	MEDIUM (senser)	PHENOMENON
28	like	those	sort of thing
31	take pleasure	(those)	
34	give	(Shelley)	
47	endure	(weak one)	
50	respond to	those	sentiment
110	treasure	(T/P reader?)	expression
134	share	those	happiness
136	enjoy	medium	itself

## A-3-6 VERBAL PROCESSES

CLA	PROCESS	MEDIUM (Sayer)	RANGE	BENEFICIARY
1	call for	stanzas	no close att.	? (P reader?)
3	offer	(stanzas)	a show of...	? (P reader?)
6	ask	one	clause 7	? (P/T reader?)
16	indicate	context	the former	? (P/T reader?)
17	describe	one	fading of..	? (P reader?)
68	apostrophize	?	-	(not) Love
79	address	Shelley	-	Shelley
81	suggest	tags	-	? (T reader?)
86	deny	? (T reader?)	clause 85	? (T writer?)
97	indicate	(T writer)	gratifications	(T reader)
109	allow	valuation	-	? (T reader?)
125	indicate	(T writer)	Sh.'s part..	? (T reader?)
138	say	(T writer)	clause 137	? (T reader?)

## A-4 GRAMMATICAL METAPHORS IN TEXT BY LEAVIS

- 2 to make the main criticism
- 3 a show of insistent argument
- 4 an unsolicited closeness
- 11 in suspense
- 15a a rather more respectable use of the word
- 15b in connection with
- 15c a rainbow's glory
- 17 the fading of a rainbow
- 19 a kind of inevitability.
- 23a the complete nullity of
- 23b the clinching 'so'
- 29 currency values
- 31 take pleasure in
- 32 The critical interest
- 37 the required abeyance of thought (and imagination)
- 40 no acceptable answer
- 51a Sufficient recognition of the sense
- 51b thinking
- 51c realization of the metaphors
- 51d response to the sentimental commonplaces
- 55 contemplating the metaphorical complexity
- 62 it ... has any distinction
- 63 the sentimental conventionality of the rest
- 64 a more radical judgement on the poem
- 83a an element of luxury
- 83b in the poignancy
- 84 such a judgement
- 85 dangers and weakness attending upon such a habit
- 92 The abeyance of thought
- 94a The switching-off of intelligence
- 94b explanation of a graver matter
- 98a The antipathy of
- 98b his sensibility to
- 98c any play of
- 98d the critical mind
- 98e the uncongeniality of
- 98f intelligence to
- 98g inspiration
- 98h a capacity for
- 98i momentary
- 98j self-deceptions
- 98k and insincerities
- 98l lack of self-knowledge.
- 100 a distinguishing mention
- 114a a profounder note of disenchantment
- 114b a new kind of desolation
- 114c in its questioning
- 114d a new and profoundly serious concern for
- 114e reality
- 115a the earnest struggle to grasp something real
- 115b the sincere revulsion from
- 115c personal dreams and fantasies
- 120a the failure to place
- 120b the various phases or levels of visionary drift
- 120c with reference to
- 120d any grasped reality
- 125 'the poetical'
- 126 His handling of the medium
- 129a the essential relation

- 129b the pastoral melodizing  
 133a the impressiveness  
 133b the spellbound  
 134a the simple happiness of  
 134b intoxication  
 136 the voluptuous self-absorption  
 138 the discussion of imagery

#### A-4-1 CATEGORIES OF GRAMMATICAL METAPHORS

Cl	Semantic choice	Metaphorical realization	Congruent realization
2	verbal process	Thing/nominal group	verbal group
3	verbal process	Thing/nominal group	verbal group
4	quality of a process	Thing/nominal group	adverb
11	mental process	Thing/nominal group	verbal group
15a	verbal process	Thing/nominal group	verbal group
15b	mental process	Thing/nominal group	verbal group
15c	quality of a Thing	Thing/nominal group	adjective
17	material process	Thing/nominal group	verbal group
19	interpersonal	Thing/nominal group	adjective
23a	interpersonal	Thing/nominal group	adjective
23b	mental process	Epithet, class./adj.	verbal group
29	mental process	Thing/nominal group	verbal group
31	mental process	Thing/nominal group	verbal group
32	circumstance	Epithet, class./adj.	prepositional cl.
37	mental process	Thing/nominal group	verbal group
40	verbal process	Thing/nominal group	verbal group
51a	mental process	Thing/nominal group	verbal group
51b	mental process	Thing/nominal group	verbal group
51c	verbal process	Thing/nominal group	verbal group
51d	verbal process	Thing/nominal group	verbal group
55	interpersonal	Thing/nominal group	adjective
62	mental process	Thing/nominal group	verbal group
63	interpersonal	Thing/nominal group	adjective
64	mental process	Thing/nominal group	verbal group
83a	interpersonal	Thing/nominal group	adjective
83b	interpersonal	Thing/nominal group	adjective
84	mental process	Thing/nominal group	verbal group
85	interpersonal	Thing/nominal group	adjective
92	mental process	Thing/nominal group	verbal group
94a	mental process	Thing/nominal group	verbal group
94b	verbal process	Thing/nominal group	verbal group
98a	interpersonal	Thing/nominal group	adjective
98b	interpersonal	Thing/nominal group	adjective
98c	mental process	Thing/nominal group	verbal group
98d	quality of a Thing	Epithet, class./adj.	prepositional cl.
98e	interpersonal	Thing/nominal group	adjective
98f	interpersonal	Thing/nominal group	adjective
98g	mental process	Thing/nominal group	verbal group
98h	interpersonal	Thing/nominal group	adjective
98i	quality of a process	adjective	adverb
98j	mental process	Thing/nominal group	verbal group
98k	interpersonal	Thing/nominal group	adjective
98l	mental process	Thing/nominal group	verbal group
100	verbal process	Thing/nominal group	verbal group
114a	mental process	Thing/nominal group	verbal group
114b	interpersonal	Thing/nominal group	adjective
114c	verbal process	Thing/nominal group	verbal group

114d	mental process	Thing/nominal group	verbal group
114e	interpersonal	Thing/nominal group	adjective
115a	mental process	Thing/nominal group	verbal group
115b	mental process	Thing/nominal group	verbal group
115c	mental process	Thing/nominal group	verbal group
120a	interpersonal	Thing/nominal group	verbal group
120b	mental process	Thing/nominal group	verbal group
120c	logical connection	Thing/nominal group	verbal group
120d	quality of a Thing	Thing/nominal group	adjective
125	quality of a Thing	Thing/nominal group	adjective
126	mental process	Thing/nominal group	verbal group
129a	mental process	Thing/nominal group	verbal group
129b	material process	Thing/nominal group	verbal group
133a	interpersonal	Thing/nominal group	adjective
133b	quality of a Thing	Thing/nominal group	adjective
134a	interpersonal	Thing/nominal group	adjective
134b	mental process	Thing/nominal group	verbal group
136	mental process	Thing/nominal group	verbal group
138	verbal process	Thing/nominal group	verbal group

## A-5 NOMINAL GROUPS

Only groups of three elements or more have been analysed.

Notation (Halliday 1985a:160-167)

C classifier    D deictic    EE experiential epithet    N numerative  
 T thing        Q qualifier    EI interpersonal epithet  
 [ ] embedded phrase (or group)    [[ ]] embedded clause

- 1a    The first two stanzas  
       D    N        N        T
- 1b    no very close attention  
       D    EI       EI        T
- 2     the main criticism  
       D    EI        T
- 3     a show [of insistent argument]  
       D    T        Q        EI                    T
- 4     an unsolicited closeness  
       D            EI                    T
- 5     the second line  
       D    N        T
- 8     the emotional purpose [of the poem]  
       D    EI        T        Q    D    T
- 9-10 the emotional purpose [[that ... that way]]  
       D    EI        T        Q                    D    T
- 15    a ... more respectable use [of the word] [in connection with  
       D            N            EI            T    Q    D    T        Q        T  
       a rainbow's glory]  
       D    C            T
- 17a   the vaguest and slackest state [of mind] [of imagination and  
       D    EI                    EI            T    Q    T        Q        T  
       thought]  
       T
- 17b   the fading [of a rainbow]  
       D    T        Q    D    T
- 18    the right reader  
       D    EI        T
- 19    a kind [of inevitability]  
       D    T        Q                    T
- 20    the last rose [of summer]  
       D    N        T        Q        T
- 21    the general emotional effect  
       D    EI            EI                    T
- 22    The nature [of this]  
       D    T        Q        D
- 23-5 the complete nullity [of the clinching 'so'] [of the two lines  
       D    EI            T        Q    D    C            T    Q    D    N    T  
       [[that ... the ten preparatory lines [of analogy]]]  
       Q                    D    N            EI            T    Q        T
- 27    a pretty powerful one  
       D    EI            EI                    T
- 28    those [[who ... that sort [of thing]]]  
       D/T    Q                    D        T    Q        T
- 29    the 'sad dirges,' the 'ruined cell,' the 'mournful surges' the  
       D    EI    T            D            EI    T        D        EI        T        D  
       'dead seaman's knell'  
       C                    T
- 32    The critical interest [up to this point]  
       D    C            T        Q        D        T
- 35    the next stanza  
       D    N        T

- 36a the emotional clichés  
D EI T
- 36b a grosser unction  
D EI T
- 37 the required abeyance [of thought (and imagination)]  
D EI T Q T T
- 38 the well-built nest  
D EI T
- 40 no acceptable answer  
D EI T
- 51a Sufficient recognition [of the sense]  
EI T Q D T
- 51b realization [of the metaphors]  
T Q D T
- 51c response [to the sentimental commonplaces]  
T Q D EI T
- 55 point [in... the metaphorical complexity]  
T Q D C T
- 59 the well-built nest, a cradle, a home and a bier  
D EI T D T D T D T
- 60 the problem [of sex]  
D T Q T
- 61a The last stanza  
D N T
- 61b a notable change  
D EI T
- 63a its personal quality  
D EI T
- 63b the sentimental conventionality [of the rest]  
D EI T Q D T
- 73 the conventional sentiments  
D EI T
- 75-6 the 'eagle home,' [[to which the 'well-built nest'...]]  
D T Q D EI T
- 77a The familiar timbre  
D EI T
- 77b the desolate intensity  
D EI T
- 80a Shelley's characteristic pathos  
C EI T
- 80b an idealized self  
D EI T
- 82 his best poetry  
D EI T
- 83 an element [of luxury in the poignancy]  
D T Q T D T
- 84 one's limiting criticism [of the Ode]  
D EI T Q D T
- 90a the conventional pathos [of album poeticizing]  
D EI T Q C T
- 90b the banalities [about the sad lot of woman]  
D T Q D EI T T
- 91 the third stanza  
D N T
- 92 The abeyance [of thought] [[exhibited by the first three  
D T Q T Q D N N  
stanzas]]  
T
- 93 a more sinister aspect  
D N EI T



- 94-6a The switching-off [of intelligence] [[that ...the sentiments [of  
D T Q T Q D T Q  
the third stanza] ...]]  
D N T
- 94-6b explanation [of a graver matter]  
T Q D EI T
- 94-6c the grosser, the ... corrupt, gratifications [[that ... ]]  
D EI D EI T Q
- 98a The antipathy [of his sensibility [to any play of the critical  
D T Q D T Q N T Q D C  
mind]]  
T
- 98b the uncongeniality [of intelligence [to inspiration]]  
D T Q T Q T
- 98c a capacity [for momentary self-deceptions and insincerities]  
D T Q EE/EI T T
- 98d a radical lack [of self-knowledge]  
D EI T Q T
- 99 a marginal throw-off  
D EI T
- 100 a distinguishing mention  
D EI T
- 101-3 The poetry [[in which Shelley's genius ...]] [[for which ... his  
D T Q C T Q N  
place [in the English tradition]]]  
T Q D C T
- 106a the European mind  
D C T
- 106b phase [of its history]  
T Q N T
- 110 the consummate expression  
D EI T
- 111a The Shelleyan confusion  
D C T
- 111b the late unfinished poem  
D EE EE T
- 112 the revised *Hyperion*,  
D EE T
- 114a a profounder note [of disenchantment]  
D EI T Q T
- 114b a new kind [of desolation]  
D EI T Q T
- 114c a new and ... serious concern [for reality]  
D EI EI T Q T
- 115a the earnest struggle  
D EI T
- 115b the sincere revulsion [from personal dreams and fantasies]  
D EI T Q C T T
- 115c a drifting phantasmagoria [[bewildering and bewildered]]  
D EE/EI T Q EI EI
- 118a the visionary perspectives  
D C T
- 118b those [of the imagery [in the passage of *Mont Blanc*]]  
D Q D T Q D T T
- 120a the failure [[to place the various phases or levels[of visionary  
D T Q D EE T T Q C  
drift] with ... grasped reality]]  
T C T
- 120b the palpable effort  
D EI T

- 121 the few things  
D N T
- 125 Shelley's part [in the later notion [of 'the poetical']]  
C T Q D EE T Q T
- 126 His handling [of the medium]  
D T Q D T
- 127 the earliest ... Shelleyan poem  
D EE EE/EI T
- 129 the essential relation [between the organ resonances [of *Paradise  
Lost*] and the pastoral melodizing [of *Lycidas*]]  
D EI T Q D EI T Q T  
D EI T Q T
- 131a Mellifluous mourning [in *Adonais*]  
EI T Q T
- 131b a more fervent luxury  
D N EI T
- 132 the famous imagery  
D EI T
- 134 those [[sharing the simple happiness [of intoxication]]]  
T Q D EI T Q T
- 136 the voluptuous self-absorption [with which the medium ...]  
D EI T Q D T
- 137 the Victorian poet [with whom ... some peculiar affinities]  
D C T Q N EI T
- 138 the discussion [of imagery [from the *Ode to the West Wind*]]  
D T Q T Q D T

## A-6 LEXICAL SETS (NOMINALS ONLY)

*Descriptive terms*

stanza (x6) line (x3) poem (x7)  
 alliteration verse-movement  
 metaphor trope poet (x2)  
 tags poetry (x2) ode word  
 terza rima passage verse

*Assessment/judgement terms*

imagination (x3) failure  
 inevitability nullity affinities  
 banalities clichés unctio  
 abeyance difficulties (x2)  
 alliance commonplaces  
 intelligence (x2) distinction  
 conventionality self-absorption  
 intensity doubt luxury poignancy  
 dangers weakness (x2) habit  
 corruptions self-pity pathos  
 album appetite switching-off  
 ability gratifications antipathy  
 uncongeniality happiness  
 inspiration self-deceptions  
 insincerities lack self-knowledge  
 genius sensibility confusion  
 disenchantment desolation concern  
 struggle revulsion intoxication  
 fantasies vision spellbound  
 phantasmagoria capacity throw-off  
 drift 'The poetical' resonances  
 Grand Style impressiveness

*Terms from/about poem*

tears petals coats  
 rainbow (x3) glory rose  
 summer song 'dirges'  
 'cell' 'surges' 'knell'  
 Love (x6) nest (x2) truant  
 cradle home bier mate  
 passions woman eagle  
 'season'

*Titles of poems/literary texts*

Ode to the West Wind (x2) The Mask of Anarchy  
 Lycidas (x3) Mont Blanc Alastor  
 The Triumph of Life (x2) Paradise Lost  
 Hyperion (x2) Adonais (x2)

*Poets/writers*

Shelley (x6)  
 Dante Milton  
 Tennyson  
 Swinburne

*Literary critical activity*

attention criticism show argument closeness effect (x2)  
 purpose (x2) way (x2) question use analogy thing  
 values sense (x3) nature interest point form answer  
 suggestion reader sentiment (x2) recognition realization  
 response complexity problem quality result judgement  
 notion pathos element level aspect explanation line  
 matter stress mention place context relation  
 tradition things modes experience phase discussion  
 history interest valuation expression influence  
 note kind imagery (x3) effort part medium (x2)  
 state of mind thought (x2) possession passions timbre  
 play mind reality dreams (x3) perspective sentiments

## A-7 INTERPERSONAL FEATURES

## A-7-1 MODALITY

## Notation:

E cer : Epistemic certainty  
 E pos : Epistemic possibility  
 E pro : Epistemic probability  
 s : subjective modality

D per : Deontic permission  
 D obl : Deontic obligation  
 D abi : Deontic ability  
 o : objective modality

Cl	EXPRESSION OF MODALITY	CATEGORY	OBJECTIVE/SUBJECTIVE
2	indeed	E cer	S
5	may (stop)	E pos	S
8	certainly	E cer	S
9	would (be suspect)	E pro	S
11	perhaps	E pos	S
15	would (be)	E pro	S
17a	only	E cer	S
17b	could (one)	D abi	S
20	of course	E cer	S
22	unmistakable	E cer	S
23a	seems	E pos	S
23b	hardly	E pos ?	S
26	nor is it surprising	E cer	S
27	should (turn out)	D obl	S
29	immediately	E cer	S
34	completely	E cer	S
40	(there) can (be)	D per/abi	S
41	(it) would (be)	E pro	S
42	must (be)	D obl	S
44a	besides	E cer	S
44b	would (raise)	E pos	S
45	perhaps	E pos	S
49	is plain enough	E cer	S
52	only	E cer	S
54	so plain is this	E cer	S
55a	would (be)	E pro	S
55b	no point in (contemplating)	E cer	S
56	would (develop)	E pro	S
57a	if = NEGATIVE	D abi/per	S
57b	could (take)	D abi/per	S
60	if = POSITIVE	D obl	S
63	characteristically	E cer	S
66	must (be)	D obl	S
67	can (no longer be)	D abi?	S
70	would (appear)	E pro	S
71	may (have had)	E pos	S
74	must	D obl	S
77	puts it beyond doubt	E cer	S
78	particularly	E cer	S
79	characteristically	E cer	S
80	characteristically	E cer	S
82	this is patently so	E cer	S
83a	even (there)	E cer	S
83b	perhaps	E pos	S
83c	may (find)	E pos	S
84	would (move)	E pro	S
85	must (be)	E cer?	O

86	will hardly (be)	E cer	O
87	may (be)	E pos	S
89	can (make)	D abi	S
90	can (come in)	D abi	S
91	it is plainly so	E cer	S
94	has (to be)	D obl	S
95	that is necessary	E cer	O
96a	if = POSITIVE	D obl	S
96b	are to be	D obl	S
98a	clearly	E cer	S
98b	not merely... but	E cer	S
100	perhaps	E pos	S
101	closely	E cer	S
102	characteristically	E cer	S
104	would (be)	E pro	S
108	disablingly (limited)	E cer	S
110	rightly (treasured)	E cer	S
111	perhaps	E pos	S
113	certainly	E cer	S
122	can (read)	D abi	S
124	generally	E cer	S
125	sufficiently	E cer	S
126	readily	E cer	S
127a	patently	E cer	S
127b	truly	E cer	S
128	obviously	E cer	S
129	indeed	E cer	S
132	happily	E cer	S
135	rather	E cer/pos?	S
138	was virtually said	E cer	S

#### GRAMMATICAL METAPHORS OF MODALITY

19	inevitability	E cer	S
98h	capacity	D abi	S

## A-7-2 IDENTIFICATION OF PARTICIPANTS

## Notation:

PR: poem reader

TW: text writer

TR: text reader

+ : positive value

- : negative value

? : unclear or neutral value

(1) EXPLICIT IDENTIFICATION

CI	IDENTIFICATION	PARTICIPANT(S)	INTERPRETATION	VALUE
5	one	ambiguous	PR, TR, TW	+
12	one	ambiguous	PR, TR, TW	+
17	one	ambiguous	PR, TR, TW	+
18	the right reader	PR		-
28	those	PR		-
30	those	PR		-
32	Shelley, himself	poet		-
34	himself	poet		-
38	we	ambiguous	PR, TR, TW	+
39	readers	ambiguous	PR, TR	+
50	those	PR		-
57	we	ambiguous	PR, TR, TW	+
60	we	ambiguous	PR, TR, TW	+
71	one	ambiguous	PR, TR, TW	+
79	Shelley	poet		-
80	Shelley	poet		-
82	his	poet		+
83	one	ambiguous	PR, TR, TW	+
84	one	ambiguous	PR, TR, TW	+
87	Shelley	poet		-
89	he	poet		-
98	his, Shelley	poet		-
103	his	poet		+
105	he	poet		+
122	one	ambiguous	PR, TR, TW	+
123	Shelley	poet		+
124	he	poet		-
126	his	poet		-
128	him	poet		-
133	the spellbound	PR		-
134	those	PR		-
137	Shelley	poet		-

(2) IMPLICIT IDENTIFICATION

2	to say so	TW		-
2	to make the main criticism	TW		-
3	seeing	TW		-
4	reading	TW, TR		-
23	stopping to note	TW, TR		-
26	nor is it surprising	TW, TR		-
29	recognisable	TW, TR		-
32	the critical interest	TW, TR		-
37	the required abeyance of thought	TW, TR		-
41	it would be... to suggest	TW		-
51	sufficient recognition	PR		-
55	contemplating	TW, TR		-
78	note	TR		-
86	will hardly be denied	TR		-

## A-7-3 ATTITUDINAL MODIFIERS

? : unclear or neutral value                      T : text being analysed  
 A : author of the text being analysed            OT : critic's own text  
 R : readers/critic

Cl	MODIFIER	APPLIED TO		VALUE
1	very close	attention	R	-
2	main	criticism	R	-
3	insistent	argument	T	-
4	unsolicited	closeness of reading	R	-
7	legitimate	effect	T	-
8	emotional	purpose	T	?
9	emotional	purpose	T	-
9	suspect	purpose	T	-
15	respectable	use	A	+
17	vaguest and slackest	state of mind	A	-
18	right	reader	R	-
18	right	shed	R	-
21	general emotional	effect	T	-
23	complete	nullity	T	-
25	preparatory	lines	T	?
27	pretty powerful	one (song)	T	?
29	sad	dirges	T	?
	ruined	cells	T	?
	mournful	surges	T	?
30	(not) exacting	those (readers)	R	-
32	unexacting	Shelley	A	-
34	sentimental	banalities	T/A	-
36	emotional	cliches	T	-
36	grosser	unction	T	-
38	well-built	nest	T	?
40	(no) acceptable	answer	R	-
41	unpoetically literal	to suggest	R	-
44	unnecessary	difficulties	R	-
48	frivolous	suggestion	R	-
51	sufficient	recognition	R	?
	sentimental	commonplaces	T	-
55	metaphorical	complexity	T	-
59	well-built	nest	T	?
61	notable	change	T	+
63	personal	quality	T	+
63	sentimental	conventionality	T	-
64	radical	judgement	R	-
73	conventional	sentiments	T	-
75	well-built	nest	T	?
77	familiar	timbre	T	?
77	desolate	intensity	T	?
80	characteristic	pathos	A	-
80	idealized	self	A	-
82	best	poetry	T/A	+
84	limiting	criticism	R	-
87	gross	corruptions	A	-
88	incident	corruptions	A	-
90	conventional	pathos	A	-
90	sad	lot	T	?
93	sinister	aspect	T	-
94	graver	matter	A	-
96	grosser, corrupt	gratifications	A	-
98	momentary	self-deceptions	A	-

98	radical	lack	A	-
99	marginal	throw-off	T	-
100	brief	mention	OT	-
100	distinguishing	mention	OT	-
104	perverse	(impersonal form)	R	-
105	memorable	things	T/A	+
107	permanent	interest	R	+
108	disablingly limited	sensibility	T/A	-
109	current	valuation	R	?
110	consummate	expression	A/T	+
111	poignant	confusion	A/T	+
114	profounder	note	A/T	+
114	new	kind	A/T	+
114	new and profoundly serious	concern	A/T	+
115	earnest	struggle	A/T	+
115	sincere	revulsion	A/T	+
115	personal	dreams & fantasies	A/T	-
115	drifting, bewildering, bewildered	phantasmagoria	A/T	-
120	palpable	effort	A/T	-
120	various	phases or levels	A/T	?
120	significant	failure	A/T	-
124	almost unreadable	Shelley	A	-
127	Shelleyan	poem	T	?
129	essential	relation	T	?
129	organ	resonances	T	?
129	pastoral	melodizing	T	?
131	melliflous	mourning	T	-
131	fervent, declamatory	luxury	T	-
132	famous	imagery	T	-
132	happily conscious	imagery	T	-
132	impressive	imagery	T	-
134	simple	happiness	T	-
136	voluptuous	self-absorption	T	-
137	peculiar	affinities	T	?

## GRAMMATICAL METAPHORS OF ATTITUDE

23	nullity	'so'	T	-
55	complexity	metaphors	T	-
63	conventionality	the rest	T	-
83	luxury	?	T	-
83	poignancy	?	T	-
85	dangers and weakness	?	T	-
98a	antipathy	sensibility	A	-
98	sensibility	Shelley	A	-
98	uncongeniality	intelligence	A	-
98	intelligence	Shelley?	A	-
98	insincerities	Shelley?	A	-
114	disenchantment	<i>The Triumph of Life?</i>	T	-
114	concern	Shelley?	A	+
120	failure	Shelley?	A	-
133	impressiveness	imagery	T	-
134	happiness	Shelley and poem readers?	T/R	-



## A-8 THEME

## Notation :

INT: interpersonal           /: boundary between themes in same clause  
 TOP: topical               M: marked theme  
 TEX: textual

	THEME	FUNCTION	MARKED
1	The first two stanzas	TOP	
2	to say so / indeed	TOP/INT	M
3	seeing that	TEX	
4	However	TEX	M
5	one	INT	
6	and	TEX	
7	whether / the effect	TEX/TOP	
8	Certainly / the emotional purpose of the poem	INT/TOP	M
9	but / the emotional purpose	TEX/TOP	
10	[that ]	TEX	
11	Leaving	TOP	
12	one	INT	
13	'shed'	TOP	
14	or as light	TEX/TOP	
15	The latter	TOP	
16	but / the context	TEX/TOP	
17	Only in the vaguest and slackest state of mind - of imagination and thought	INT	M
18	but / for the right reader	TEX/TOP	
19	the alliteration with 'shattered'	TOP	
20	And / of course	TEX/INT	M
21	it	TOP	
22	The nature of this	TOP	
23	that / the complete nullity of the clinging 'so'	TEX/TOP	
24	[when ]	TEX	
25	[of the two lines ]	TOP	
26	Nor	TEX	M
27	that	TEX	
28	for those	INT	
29	the 'sad dirges,' the 'ruined cell,' the 'mournful surges' and the 'dead seaman's knell'	TOP	
30	Those	INT	
31	[who ]	TEX	
32	The critical interest up to this point	TOP	
33	[(when )]	TEX	
34	giving himself	TOP	
35	With the next stanza	TOP	M
36	though / the emotional clichés	TEX/TOP	
37	and / the required abeyance of thought (and imagination)	TEX/TOP	
38	In what form	INT	
39	For readers	INT	
40	there	TEX	
41	It	TOP	
42	that	TEX	
43	[since]	TEX	
44	and / besides / it	TEX/INT/TOP	
45	Perhaps / the mate, the strong one	INT/TOP	M
46	whose alliance	TOP	

47	now	TEX	
48	But / the suggestion	TEX/TOP	
49	the sense	TOP	
50	enough, that is, for those	INT	M
51	Sufficient recognition of the sense	TOP	
52	it / is only when / intelligence and imagination	TEX/INT/TOP	
53	that / difficulties	TEXT/TOP	
54	So plain	INT	M
55	that	TEX	
56	that	TEX	
57	if we	INT	M
58	and	TEX	
59	whom / it	TEX/TOP	
60	[(if we )]	INT	M
61	The last stanza	TOP	
62	it / alone / in the poem	TOP/INT/TOP	
63	and / its personal quality / characteristically Shelleyan	TEX/TOP/INT	
64	The result	TOP	
65	than	TEX	
66	In 'Its passions will rock thee' the 'passions'	TOP	
67	so that it	TEX	
68	that	TEX	
69	Who / then	TOP/INT	M
70	The 'frailest' - the 'weak one'	TOP	
71	But / any notion	INT/TOP	
72	that / the 'weak one'	TEX/TOP	
73	[as / the conventional sentiments]	TEX/TOP	
74	must	INT	
75	the 'eagle home,'	TOP	
76	[to which / the 'well-built nest' / so incongruously ]	TEX/TOP/INT	
77	The familiar timbre, the desolate intensity	TOP	
78	[(note particularly)]	INT	
79	that / Shelley	TEX/TOP	
80	Characteristically / that is / Shelley's characteristic pathos	INT/TEX/TOP	M
81	in the way	TOP	
82	This	TOP	M
83	Even there, perhaps, one	INT	M
84	(at any rate, one's limiting criticism / of the Ode	INT/TOP	M
85	and that / in general	TEX/INT	
86	will hardly	INT	
87	The poem just examined	TOP	
88	that	TEX	
89	He	TOP	
90	that / the conventional pathos of album poeticizing, not excluding the banalities about the sad lot of woman	TEX/TOP	
91	[(it )]	TEX	
92	The abeyance of thought	TOP	
93	now	INT	M
94	The switching-off of intelligence	TOP	
95	[that ]	TEX	
96	[if / the sentiments of the third stanza]	INT/TOP	M
97	that	TEX	
98	The antipathy of his sensibility to any		

	play of the critical mind, the uncongeniality of intelligence to inspiration, these / clearly	TOP/INT	
99	But / <i>The Mask of Anarchy</i>	TEX/TOP	
100	and	TEX	
101	The poetry	TOP	
102	[in which / Shelley's genius ]	TEX/TOP	
103	[and for which / he ]	TEX/TOP	
104	It	TEX	
105	that / he	TEX/TOP	
106	that	TEX	
107	and	TEX	
108	The sensibility expressed in the <i>Ode to the West Wind</i>	TOP	
109	than / current valuation	TEX/TOP	
110	but / the consummate expression	TEX/TOP	
111	The Shelleyan confusion	TOP	
112	This poem	TOP	
113	and it	TEX	
114	There	TEX	
115	But in spite of / the earnest struggle to grasp something real, the sincere revulsion from personal dreams and fantasies, the poem itself	TEX/TOP	
116	Vision	TOP	
117	dream	TOP	
118	and / the visionary perspectives, like those of the imagery in the passage of <i>Mont Blanc</i>	TEX/TOP	
119	and	TEX	
120	and / the failure to place the various phases or levels of visionary drift with reference to any grasped reality	TEX/TOP	
121	Nevertheless / <i>the Triumph of Life</i>	TEX/TOP	M
122	one	INT	
123	and	TEX	
124	when / he	TEX/TOP	
125	Shelley's part in the later notion of 'the poetical'	TOP	
126	His handling of the medium	TOP	
127	Milton	TOP	
128	and / <i>Adonais</i>	TEX/TOP	
129	Indeed / to compare the verse of <i>Hyperion</i> with that of <i>Adonais</i>	INT/TEX	M
130	[where / the Miltonic Grand Style ]	TEX/TOP	
131	Mellifluous mourning in <i>Adonais</i>	TOP	
132	(the famous imagery	TOP	
133	but / the impressiveness	TEX/TOP	
134	for those	INT	
135	and / it	TEX/TOP	
136	[in the voluptuous self-absorption with which the medium]	TOP	
137	But / the Victorian poet with whom Shelley	TEX/TOP	
138	[as]	TEX	

## A-9 VOICE

## Notation:

IMP: implicit agent, usually to be found in the co-text  
 EXP: explicit agent, identified in the clause  
 ? : agent unknown - can be understood through careful consideration  
 of the context, or knowledge of the language  
 PR : poem reader  
 TR : text reader  
 TW : text writer

C1	PASSIVE FORM	AGENCY AGENT
8	the emotional purpose of the poem is served	IMP effect
10	[that went on being served in that way]	IMP effect
13	'shed' as tears, petals and coats are shed	?
14	or as light is shed?	?
43	[since the weak one is singled]	?
45	what the weak one, deserted by Love	EXP Love
65	than has yet been made.	IMP critics/readers
68	that is being apostrophized.	? Shelley?
74	must be abandoned :	IMP one (PR,TR,TW)
81	in the way suggested by the tags just quoted.	EXP tags
86	will hardly be denied.	IMP TW
87	The poem just examined shows	IMP TR
92	The abeyance of thought exhibited by the first three stanzas	IMP TW
94	The switching-off of intelligence has now to be invoked	EXP stanzas
96	[if the sentiments of the third stanza are to be accepted]	IMP TW,TR
97	that have just been indicated	IMP TW
101	The poetry is much more closely related to his weaknesses.	?
108	The sensibility expressed in the <i>Ode to the West Wind</i>	? Shelley?
110	the consummate expression is rightly treasured.	IMP TR,PR
112	This poem has been paralleled with the revised <i>Hyperion</i> ,	? critics?
113	and it is certainly related by more than the <i>terza rima</i> to Dante.	?
125	Shelley's part in the later notion of 'the poetical' has been sufficiently indicated.	IMP TW
130	[where the Miltonic Grand Style is transmuted by the Spenserianizing Keats]	EXP Keats
138	[as was virtually said in the discussion of imagery from the <i>Ode to the West Wind</i> ]	IMP TW

## A-10 CONJUNCTIVE RELATIONS

EXPLICIT conjunctive items  
in thematic position

C1  
 4 however  
 6 and  
 9 but  
 14 or  
 16 but  
 18 but  
 20 and  
 24 when  
 26 nor  
 36 though  
 37 and  
 43 since  
 44 and  
 48 but  
 57 if  
 60 if  
 63 and  
 64 the result  
 67 so that  
 69 then  
 71 but  
 73 as  
 83 even  
 85 and  
 93 now  
 96 if  
 99 but  
 103 and  
 107 and  
 110 but  
 113 and  
 115 but  
 118 and  
 119 and  
 120 and  
 121 nevertheless  
 123 and  
 128 and  
 133 but  
 135 and  
 137 but  
 138 as

IMPLICIT conjunctive items in  
thematic position in brackets

C1  
 5 (for example)  
 12 (in addition)  
 13 (for example)  
 19 (because)  
 23 (in addition)  
 29 (for example)  
 34 (and)  
 38 (for example)  
 49 (because)  
 51 (in other words)  
 62 (because)  
 66 ?  
 75 (for example)  
 87 (finally)  
 89 (for example)  
 101 ? (however?)  
 114 ?  
 116 (for example)  
 117 (and)  
 127 (for example)  
 131 (however)  
 132 ? (because? as?)

**APPENDIX B****GRAMMATICAL ANALYSIS OF TEXT BY DE MAN**

## B-1 EXTRACT FROM TEXT

NOTE: As this study analyses the writing of de Man, long quotations from the poem he is considering, which are part of the text, have been omitted from this extract.

## FIRST SECTION: ANALYSIS OF A POEM

It is impossible to say, in either passage, how the polarities of light and dark are matched with those of waking and sleep; the confusion is the same as in the previously quoted passage on forgetting and remembering. The light, in the second passage, is said to be like a dream, or like sleep ("the ghost of a forgotten form of sleep"), yet it shines, however distantly, upon a condition which is one of awakening ("the sad day in which we wake to weep"); in this light, to be awake is to be as if one were asleep. In the first passage, it is explicitly stated that since the poet perceives so clearly, he cannot be asleep, but the clarity is then said to be like that of a veil drawn over a darkening surface, a description which necessarily connotes covering and hiding, even if the veil is said to be "of light." Light covers light, trance covers slumber and creates conditions of optical confusion that resemble nothing as much as the experience of trying to read *The Triumph of Life*, as its meaning glimmers, hovers and wavers, but refuses to yield the clarity it keeps announcing.

This play of veiling and unveiling is, of course, altogether tantalizing. Forgetting is a highly erotic experience; it is like glimmering light because it cannot be decided whether it reveals or hides; it is like desire because, like the wolf pursuing the deer, it does violence to what sustains it; it is like a trance or a dream because it is asleep to the very extent that it is conscious and awake, and dead to the extent that it is alive. The passage that concerns us makes this knot, by which knowledge, oblivion and desire hang suspended, into an articulated sequence of events that demands interpretation.

Shelley's imagery, often assumed to be incoherent and erratic, is instead extraordinarily systematic whenever light is being thematized. The passage condenses all that earlier and later poets (one can think of Valery and Gide's *Narcissus*, as well as of the *Roman de la Rose* or of Spencer) ever did with light, water and mirrors. It also bears witness to the affinity of his imagination with that of Rousseau, who allowed the phantasm of language born rhapsodically out of an erotic well to tell its story before he took it all away. Shelley's treatment of the birth of light reveals all that is invested in the emblem of the rainbow. It represents the very possibility of cognition, even for processes of articulation so elementary that it would be impossible to conceive of any principle of organization, however primitive, that would not be entirely dependent on its power. To efface it would be to take away the sun which, if it were to happen to this text, for example, would leave little else. *And still*, this light is allowed to exist in *The Triumph of Life* only under the most tenuous of conditions.

The frailty of the stance is represented in the supernatural delicacy which gives the shape "palms so tender / Their tread broke not the

mirror of the river's billow" and which allows it to "glide along the river." The entire scene is set up as a barely imaginable balance between this gliding motion, which remains on one side of the watery surface and thus allows the specular image to come into being, and the contrary motion which, like Narcissus at the end of the mythical story, breaks through the surface of the mirror and disrupts the suspended fall of its own existence. As the passage develops, the story must run its course. The contradictory motions of "gliding" and "treading" which suspended gravity between rising and falling finally capsize. The "threading" sun rays become the "treading" of feet upon a surface which, in this hyperbolic text, does not stiffen into solidity. Shelley's poem insists on the hyperbolic lightness of the reflexive contact, since the reflecting surface is never allowed the smooth stasis that is necessary to the duplication of the image. The water is kept in constant motion: it is called a "billow" and the surface, although compared to a crystal, is roughened by the winds that give some degree of verisimilitude to the shape's gliding motion. By the end of the section, we have moved from "thread" to "tread" to "trample," in a movement of increased violence that erases the initial tenderness. There is no doubt that, when we again meet the shape it is no longer gliding along the river but drowned, Ophelia-like, below the surface of the water. The violence is confirmed in the return of the rainbow, in the ensuing vision, as a rigid, stony arch said "fiercely [to extoll] the fortune" of the shape's defeat by what the poem calls "life."

## SECOND SECTION: GENERALISATIONS

Such monumentalization is by no means necessarily a naive or evasive gesture, and it certainly is not a gesture that anyone can pretend to avoid making. It does not have to be naive, since it does not have to be the repression of a self-threatening knowledge. Like *The Triumph of Life* it can state the full power of this threat in all its negativity; the poem demonstrates that this rigor does not prevent Shelley from allegorizing his own negative assurance, thus awakening the suspicion that the negation is a Verneinung, an intended exorcism. And it is not avoidable, since the failure to exorcize the threat, even in the face of such evidence as the radical blockage that befalls this poem, becomes precisely the challenge to understanding that always again demands to be read. And to read is to understand, to question, to know, to forget, to erase, to deface, to repeat--that is to say, the endless prosopopoeia by which the dead are made to have a face and a voice which tells the allegory of their demise and allows us to apostrophize them in our turn. No degree of knowledge can ever stop this madness, for it is the madness of words. What would be naive is to believe that this strategy, which is not our strategy as subjects, since we are its product rather than its agent, can be a source of value and has to be celebrated or denounced accordingly .

Whenever this belief occurs--and it occurs all the time--it leads to a misreading that can and should be discarded, unlike the coercive "forgetting" that Shelley's poem analytically thematizes and that stands beyond good and evil. It would be of little use to enumerate and categorize the various forms and names which this belief takes on in our present critical and literary scene. It functions along monotonously predictable lines, by the historicization and the aesthetification of texts, as well as by their use, as in this essay, for the assertion of methodological claims made all the more pious by their denial of piety. Attempts to define, to understand or to



circumscribe romanticism in relation to ourselves and in relation to other literary movements are all part of this naive belief. *The Triumph of Life* warns us that nothing, whether deed, word, thought or text, ever happens in relation, positive or negative, to anything that precedes, follows or exists elsewhere, but only as a random event whose power, like the power of death, is due to the randomness of its occurrence. It also warns us why and how these events then have to be reintegrated in a historical and aesthetic system of recuperation that repeats itself regardless of the exposure of its fallacy. This process differs entirely from the recuperative and nihilistic allegories of historicism. If it is true and unavoidable that any reading is a monumentalization of sorts, the way in which Rousseau is read and disfigured in *The Triumph of Life* puts Shelley among the few readers who "guessed whose statue those fragments had composed." Reading as disfiguration, to the very extent that it resists historicism, turns out to be historically more reliable than the products of historical archeology. To monumentalize this observation into a method of reading would be to regress from the rigor exhibited by Shelley which is exemplary precisely because it refuses to be generalized into a system.

## B-2 CLAUSES

C1  
 1 It is impossible to say, in either passage,  
 2 how the polarities of light and dark are matched with those of  
 waking and sleep;  
 3 the confusion is the same as in the previously quoted passage on  
 forgetting and remembering.  
 4 The light, in the second passage, is said to be like a dream, or  
 like sleep ,  
 5 yet it shines, however distantly, upon a condition  
 6 which is one of awakening ;  
 7 in this light, to be awake is to be [...] asleep  
 8 [as if one were]  
 9 In the first passage, it is explicitly stated  
 10 that [...] he cannot be asleep  
 11 [since the poet perceives so clearly]  
 12 but the clarity is then said to be like that of a veil drawn over  
 a darkening surface,  
 13 a description which necessarily connotes covering and hiding,  
 14 even if the veil is said to be "of light."  
 15 Light covers light,  
 16 trance covers slumber  
 17 and creates conditions of optical confusion  
 18 that resemble nothing as much as the experience of trying to read  
*The Triumph of Life*,  
 19 as its meaning glimmers,  
 20 hovers  
 21 and wavers,  
 22 but refuses to yield the clarity  
 23 it keeps announcing.  
 24 This play of veiling and unveiling is, of course, altogether  
 tantalizing.  
 25 Forgetting is a highly erotic experience;  
 26 it is like glimmering light  
 27 because it cannot be decided  
 28 whether it reveals  
 29 or hides;  
 30 it is like desire  
 31 because [...] it does violence

32 [like the wolf pursuing the deer]  
33 to what sustains it  
34 it is like a trance or a dream  
35 because it is asleep to the very extent  
36 that it is conscious and awake,  
37 and dead to the extent  
38 that it is alive.  
39 The passage [...] makes this knot [...] into an articulated  
sequence of events  
40 [that concerns us]  
41 [by which knowledge, oblivion and desire hang suspended]  
42 that demands interpretation.  
43 Shelley's imagery [...] is instead extraordinarily systematic  
44 [often assumed to be incoherent and erratic]  
45 whenever light is being thematized.  
46 The passage condenses all  
47 that earlier and later poets [...] ever did with light, water and  
mirrors.  
48 [(one can think of Valery and Gide's Narcissus, as well as of the  
*Roman de la Rose* or of Spencer)]  
49 It also bears witness to the affinity of his imagination with  
that of Rousseau,  
50 who allowed the phantasm of language born rhapsodically out of an  
erotic well to tell its story  
51 before he took it all away.  
52 Shelley's treatment of the birth of light reveals all  
53 that is invested in the emblem of the rainbow.  
54 It represents the very possibility of cognition, even for  
processes of articulation so elementary  
55 that it would be impossible to conceive of any principle of  
organization, however primitive,  
56 that would not be entirely dependent on its power.  
57 To efface it would be to take away the sun  
58 which [...] would leave little else.  
59 [if it were to happen to this text, for example]  
60 *And still*, this light is allowed to exist in *The Triumph of Life*  
only under the most tenuous of conditions.  
61 The frailty of the stance is represented in the supernatural  
delicacy

62 which gives the shape "palms so tender / Their tread broke not  
the mirror of the river's billow"  
63 and which allows it to "glide along the river."  
64 The entire scene is set up as a barely imaginable balance between  
this gliding motion [...] [...] and the contrary motion  
65 [which remains on one side of the watery surface]  
66 [and thus allows the specular image to come into being]  
67 which, like Narcissus at the end of the mythical story, breaks  
through the surface of the mirror  
68 and disrupts the suspended fall of its own existence.  
69 As the passage develops,  
70 the story must run its course.  
71 The contradictory motions of "gliding" and "treading" [...] ]  
finally capsize  
72 [which suspended gravity between rising and falling]  
73 The "threading" sun rays become the "treading" of feet upon a  
surface  
74 which, in this text, does not stiffen into solidity.  
75 Shelley's poem insists on the hyperbolic lightness of the  
reflexive contact,  
76 since the reflecting surface is never allowed the smooth stasis  
77 that is necessary to the duplication of the image.  
78 The water is kept in constant motion:  
79 it is called a "billow"  
80 and the surface [...] is roughened by the winds  
81 [although compared to a crystal]  
82 that give some degree of verisimilitude to the shape's gliding  
motion.  
83 By the end of the section, we have moved from "thread" to "tread"  
to "trample," in a movement of increased violence  
84 that erases the initial tenderness.  
85 There is no doubt  
86 that when we again meet the shape  
87 it is no longer gliding along the river  
88 but drowned, Ophelia-like, below the surface of the water.  
89 The violence is confirmed in the return of the rainbow, in the  
ensuing vision,  
90 as a rigid, stony arch said "fiercely [to extoll] the fortune" of  
the shape's defeat

91 by what the poem calls "life."  
92 Such monumentalization is by no means necessarily a naive or  
evasive gesture,  
93 and it certainly is not a gesture  
94 that anyone can pretend to avoid making.  
95 It does not have to be naive,  
96 since it does not have to be the repression of a self-threatening  
knowledge.  
97 Like *The Triumph of Life* it can state the full power of this  
threat in all its negativity;  
98 the poem demonstrates  
99 that this rigor does not prevent Shelley from allegorizing his  
own negative assurance,  
100 thus awakening the suspicion  
101 that the negation is a Verneinung, an intended exorcism.  
102 And it is not avoidable,  
103 since the failure to exorcize the threat even in the face of such  
evidence as the radical blockage [...] becomes precisely the  
challenge to understanding  
104 [that befalls this poem]  
105 that always again demands to be read  
106 And to read is to understand, to question, to know, to forget, to  
erase, to deface, to repeat- that is to say, the endless  
prosopopoeia  
107 by which the dead are made to have a face and a voice  
108 which tells the allegory of their demise  
109 and allows us to apostrophize them in our turn.  
110 No degree of knowledge can ever stop this madness,  
111 for it is the madness of words.  
112 What would be naive is to believe  
113 that this strategy [...] [...] can be a source of value  
114 [which is not our strategy as subjects]  
115 [since we are its product rather than its agent]  
116 and has to be celebrated  
117 or denounced accordingly  
118 Whenever this belief occurs  
119 and it occurs all the time  
120 it leads to a misreading  
121 that can and should be discarded, unlike the coercive  
"forgetting"

122 that Shelley's poem analytically thematizes  
123 and that stands beyond good and evil.  
124 It would be of little use to enumerate and categorize the various  
forms and names  
125 which this belief takes on in our present critical and literary  
scene.  
126 It functions along monotonously predictable lines, by the  
historicization and the aesthetification of texts, as well as by  
their use, as in this essay,  
127 for the assertion of methodological claims made all the more  
pious by their denial of piety.  
128 Attempts to define, to understand or to circumscribe romanticism  
in relation to ourselves and in relation to other literary  
movements are all part of this naive belief.  
129 *The Triumph of Life* warns us  
130 that nothing, whether deed, word, thought or text, ever happens  
in relation, positive or negative, to anything  
131 that precedes,  
132 follows  
133 or exists elsewhere,  
134 but only as a random event whose power, like the power of death,  
is due to the randomness of its occurrence.  
135 It also warns us  
136 why and how these events then have to be reintegrated in a  
historical and aesthetic system of recuperation  
137 that repeats itself regardless of the exposure of its fallacy.  
138 This process differs entirely from the recuperative and  
nihilistic allegories of historicism.  
139 If it is true and unavoidable  
140 that any reading is a monumentalization of sorts,  
141 the way [...] puts Shelley among the few readers  
142 [in which Rousseau is read  
143 and disfigured in *The Triumph of Life*]  
144 who "guessed whose statue those fragments had composed."  
145 Reading as disfiguration [...] turns out to be historically more  
reliable than the products of historical archeology.  
146 [to the very extent that it resists historicism]  
147 To monumentalize this observation into a method of reading would  
be to regress from the rigor exhibited by Shelley

148 which is exemplary

149 precisely because it refuses to be generalized into a system.

## B-3 TRANSITIVITY

## B-3-1 PROCESS TYPES

CLAUSE	PROCESS TYPE	PROCESS
1	rel:int/att	be
2	rel:int/att	be
3	rel:int/att	be
4	rel:int/iden	be
5	mat:mid	shine
6	rel:int/iden	be
7	rel:int/iden	be
8	rel:int/att	be
9	verbal	state
10	rel:int/att	be
11	ment:per	perceive
12	rel:int/iden	be
13	rel:int/att	connote
14	rel:int/att	be
15	mat:effect	cover
16	mat:effect	cover
17	mat:effect	create
18	rel:int/iden	resemble
19	mat:mid	glimmer
20	mat:mid	hover
21	mat:mid	waver
22	mat:mid	refuse
23	mat:mid	keep
24	rel:int/att	be
25	rel:int/iden	be
26	rel:int/iden	be
27	ment:cog	decide
28	mat:mid	reveal
29	mat:mid	hide
30	rel:int/iden	be
31	mat:mid	do (violence)
32	mat:mid	pursue
33	mat:mid	sustain
34	rel:int/iden	be
35	rel:int/att	be
36	rel:int/att	be
37	rel:int/att	be
38	rel:int/att	be
39	mat:effect	make
40	rel:cir/iden	concern
41	mat:mid	hang
42	verbal	demand
43	rel:int/att	be
44	rel:int/att	be
45	mat:effect	thematize
46	mat:mid	condense
47	mat:mid	do
48	ment:cog	think
49	rel:int/iden	bear witness
50	mat:effect	allow
51	mat:mid	take
52	verbal	reveal
53	rel:int/att	be



54	rel:int/iden	represent
55	rel:int/att	be
56	rel:int/att	be
57	rel:int/iden	be
58	mat:mid	leave
59	rel:int/iden	happen
60	mat:effect	allow
61	rel:int/iden	represent
62	mat:effect	give
63	mat:effect	allow
64	rel:int/att	be
65	rel:cir/att	remain
66	mat:effect	allow
67	mat:mid	break through
68	mat:mid	disrupt
69	mat:mid	develop
70	mat:mid	run
71	mat:mid	capsize
72	mat:mid	suspend
73	rel:int/iden	become
74	mat:mid	stiffen
75	verbal	insist on
76	mat:effect	allow
77	rel:int/att	be
78	mat:effect	keep
79	rel:int/iden	call
80	mat:effect	roughen
81	ment:cog	compare
82	mat:mid	give
83	mat:mid	move
84	mat:effect	erase
85	rel:int/att	be
86	mat:mid	meet
87	mat:mid	glide
88	rel:int/att	be
89	rel:int/iden	confirm
90	rel:cir/iden	say
91	rel:int/iden	call
92	rel:int/iden	be
93	rel:int/iden	be
94	ment:cog	pretend
95	rel:int/att	be
96	rel:int/iden	be
97	verbal	state
98	mat:mid	demonstrate
99	mat:effect	prevent
100	mat:mid	awaken
101	rel:int/iden	be
102	rel:int/att	be
103	rel:int/iden	become
104	rel:int/iden	befall
105	verbal	demand
106	rel:int/iden	be
107	rel:pos/att	have
108	verbal	tell
109	mat:effect	allow
110	mat:effect	stop
111	rel:int/iden	be
112	rel:int/att	be

113	rel:int/iden	be
114	rel:pos/iden	be
115	rel:int/iden	be
116	mat:effect	celebrate
117	mat:effect	denounce
118	exist	occur
119	exist	occur
120	mat:mid	lead
121	mat:effect	discard
122	mat:effect	thematize
123	mat:mid	stand
124	rel:int/att	be
125	rel:int/att	take on
126	mat:mid	function
127	rel:int/att	make
128	rel:int/iden	be
129	verbal	warn
130	exist	happen
131	mat:mid	precede
132	mat:mid	follow
133	exist	exist
134	rel:cir/att	be
135	verbal	warn
136	mat:effect	reintegrate
137	mat:mid	repeat
138	mat:mid	differ
139	rel:int/att	be
140	rel:int/iden	be
141	mat:effect	put
142	mat:effect	read
143	mat:effect	disfigure
144	ment:cog	guess
145	rel:int/att	turn out
146	mat:mid	resist
147	rel:int/iden	be
148	rel:int/att	be
149	mat:mid	refuse

## B-3-2 RELATIONAL PROCESSES

## ATTRIBUTIVE PROCESSES

CLA	PROCESS	MEDIUM (carrier)	RANGE (Attribute)
1	be	it	impossible
2	be	polarities	matched
3	be	confusion	same
8	be	one	
10	be	he (poet)	asleep
13	connote	description	covering & hiding
14	be	veil	"of light"
24	be	play	tantalizing
35	be	it (forgetting)	asleep
36	be	it (forgetting)	conscious & awake
37	be	(it- forgetting)	dead
38	be	it (forgetting)	alive
43	be	imagery	systematic
44	be	(imagery)	incoherent & erratic
53	be	all	invested
55	be	it	impossible
56	be	principle	dependent
64	be	scene	set up
65	remain	motion	on one side
77	be	stasis	necessary
85	be	there	doubt
88	be	it (shape)	drowned
95	be	it (gesture)	naive
102	be	it (negation)	avoidable
107	have	the dead	a face & a voice
112	be	what	naive
124	be	it	little use
125	take on	belief	forms & names
127	make	assertion	pious
134	be	power	due to..
139	be	it	true & unavoidable
145	turn out	reading	reliable
148	be	rigor	exemplary

## IDENTIFYING PROCESSES

CLA	PROCESS	MEDIUM (Identified)	AGENT (Identifier)
4	be	light	dream
6	be	condition	awakening
7	be	to be awake	to be asleep
12	be	clarity	veil
18	resemble	conditions	experience
25	be	forgetting	experience
26	be	it (forgetting)	light
30	be	it (forgetting)	desire
34	be	it (forgetting)	trance or dream
40	concern	passage	us
49	bear witness	it (passage)	affinity
54	represent	it (?)	possibility
57	be	to efface	to take away
59	happen	it (to efface)	this text
61	represent	frailty	delicacy

73	become	sun rays	"treading" of feet
79	call	it (water)	"billow"
89	confirm	violence	arch
90	say	arch	to extoll
91	call	life	?
92	be	monumentalization	gesture
93	be	it (monum.)	gesture
96	be	it (gesture)	repression
101	be	negation	Verneinung, exorcism
103	become	failure	challenge
104	befall	challenge	poem
106	be	to read	to understand, to question, etc
111	be	it (madness)	madness of words
113	be	strategy	source of value
114	be	strategy	(not) our strategy
115	be	we	product
128	be	attempts to ...	part of belief
140	be	reading	monumentalization
147	be	to monumentalize	to regress

### B-3-3 MATERIAL PROCESSES

CLA	TYPE	PROCESS	MEDIUM	OTHER PARTICIPANT
5	mid	shine	it (light)	
15	effect	cover	light	Ag:light
16	effect	cover	slumber	Ag:trance
17	effect	create	conditions	Ag:trance
19	mid	glimmer	meaning	
20	mid	hover	(meaning)	
21	mid	waver	(meaning)	
22	mid	refuse	(meaning)	
23	mid	keep	it (meaning)	
28	mid	reveal	it (forgetting)	
29	mid	hide	(it -forgetting)	
31	mid	do violence	(it- forgetting)	
32	mid	pursue	wolf	
33	effect	sustain	it (forgetting)	Ag:what
39	effect	make	knot	Ag:passage
41	mid	hang	know.,obl.,desire	
45	effect	thematize	light	Ag:(Shelley?)
46	mid	condense	passage	
47	mid	do	poets	
50	effect	allow	phantasm	Ag:Rousseau
51	mid	take	he (Rousseau)	
58	effect	leave	little else	Ag:which
60	effect	allow	light	Ag:(?)
62	effect	give	shape	Ag:delicacy
63	effect	allow	it (shape)	Ag:(delicacy)
66	effect	allow	image	Ag:gliding motion
67	effect	break through	surface	Ag:contr.motion
68	effect	disrupt	fall	Ag:contr.motion
69	mid	develop	passage	
70	mid	run	story	
71	mid	capsize	motions	
72	effect	suspend	gravity	Ag:motions

74	mid	stiffen	surface	
76	effect	allow	surface	Ag:(poem?)
78	effect	keep	water	Ag:(?)
80	effect	roughen	surface	Ag:winds
82	effect	give	degree	Ag:winds
83	mid	move	we	
84	effect	erase	tenderness	Ag:movement
86	mid	meet	we	
87	mid	glide	it (shape)	
98	mid	demonstrate	poem	
99	effect	prevent	Shelley	Ag:rigor
100	effect	awaken	suspicion	Ag:(?)
109	effect	allow	us	Ag:prosopoeia
110	effect	stop	madness	Ag:degree
116	effect	celebrate	strategy	Ag:(?)
117	effect	denounce	strategy	Ag:(?)
120	mid	lead	it (belief)	
121	effect	discard	misreading	Ag:(?)
122	effect	thematize	"forgetting"	Ag:poem
123	mid	stand	"forgetting"	
126	mid	function	it (belief)	
131	mid	precede	anything	
132	mid	follow	(anything)	
136	effect	reintegrate	events	Ag:(?)
137	mid	repeat	system	
138	mid	differ	process	
141	effect	put	Shelley	Ag:way
142	effect	read	Rousseau	Ag:(?)
143	effect	disfigure	Rousseau	Ag:(?)
146	mid	resist	it (reading)	
149	mid	refuse	rigor	

#### B-3-4 EXISTENTIAL PROCESSES

CLA	PROCESS	MEDIUM (Existent)
118	occur	belief
119	occur	it (belief)
130	happen	nothing
133	exist	anything

## B-3-5 MENTAL PROCESSES

## COGNITIVE PROCESSES

CLA	PROCESS	MEDIUM (senser)	PHENOMENON
27	decide	?	
48	think	one	
81	compare	?	surface
94	pretend	anyone	
144	guess	readers	

## PERCEPTIVE PROCESSES

CLA	PROCESS	MEDIUM (senser)	PHENOMENON
11	perceive	poet	

## B-3-6 VERBAL PROCESSES

CLA	PROCESS	MEDIUM (Sayer)	RANGE	BENEFICIARY
9	state	?	clauses 10,11	? (P reader)
42	demand	sequence	interpretation	? (P/T reader)
52	reveal	treatment	all + clause 53	? (P reader)
75	insist on	poem	lightness	? (P reader)
97	state	it (gesture)	power	? (P reader)
105	demand	? (challenge)	-	-
108	tell	prosopopoeia	allegory	? (P reader)
129	warn	<i>Triumph of Life</i>	clause 130	us (P/T reader)
135	warn	it ( <i>Tr. of L.</i> )	-	us (P/T reader)

## B-4 GRAMMATICAL METAPHORS

- 2 the polarities of light and dark  
 3a the confusion  
 3b the previously quoted passage  
 3c forgetting and remembering.  
 6 one of awakening  
 12 a darkening surface  
 13 covering and hiding  
 17a conditions of optical  
 17b confusion  
 24 This play of veiling and unveiling  
 25 Forgetting  
 39 an articulated sequence of events  
 42 that demands interpretation.  
 47 earlier and later poets  
 49 the affinity of his imagination  
 52 the birth of light  
 54a the very possibility of  
 54b cognition  
 54c even for processes of articulation  
 55 any principle of organization  
 61 The frailty of the stance  
 64 a barely imaginable balance  
 68a the suspended  
 68b fall  
 68c of its own existence  
 71 The contradictory motions of "gliding" and "treading"  
 72 which suspended gravity between rising and falling  
 73a The "threading" sun rays  
 73b the "treading" of feet upon a surface  
 74 solidity.  
 75a the hyperbolic lightness  
 75b of the reflexive contact  
 76a the reflecting surface  
 76b the smooth stasis  
 77 the duplication of the image.  
 78a in constant  
 78b motion  
 83a a movement of increased  
 83b violence  
 89a the return of the rainbow  
 89b the ensuing vision  
 92 Such monumentalization  
 96a the repression  
 96b of a self-threatening knowledge.  
 97a the full power of this threat  
 97b in all its negativity  
 103a the failure to exorcize  
 103b the threat  
 103c even in the face of  
 103d such evidence as  
 103e the radical  
 103f blockage  
 103g the challenge to  
 103h understanding  
 108 the allegory of their demise  
 110a No degree of knowledge  
 110b this madness

- 111 the madness of words.
- 113 this strategy... can be a source of value
- 120 a misreading
- 121a the coercive
- 121b "forgetting"
- 125 our present critical and literary scene.
- 126a monotonously predictable lines
- 126b the historicization and the aesthetification of texts
- 127a the assertion of methodological claims
- 127b their denial of piety.
- 134 the randomness of its occurrence.
- 136a a historical and aesthetic system
- 136b of recuperation
- 137a the exposure
- 137b of its fallacy.
- 138a the recuperative
- 138b and nihilistic allegories of historicism.
- 140a any reading
- 140b a monumentalization of sorts
- 145a Reading
- 145b as disfiguration
- 145c the products
- 145d of historical archeology.
- 146 historicism
- 147 To monumentalize this observation



## B-4-1 CATEGORIES OF GRAMMATICAL METAPHORS

C1	Semantic choice	Metaphorical realization	Congruent realization
2	mental process	Thing/nominal group	verbal group
3a	mental process	Thing/nominal group	verbal group
3b	verbal process	Epithet,class./adj.	verbal group
3c	mental process	Thing/nominal group	verbal group
6	mental process	Thing/nominal group	verbal group
12	material process	Epithet,class./adj.	verbal group
13	material process	Thing/nominal group	verbal group
17a	quality of a process	adjective	adverb
17b	mental process	Thing/nominal group	verbal group
24	mental process	Thing/nominal group	verbal group
25	mental process	Thing/nominal group	verbal group
39	mental process	Thing/nominal group	verbal group
42	mental process	Thing/nominal group	verbal group
47	existential process	adjective	verbal group
49	mental process	Thing/nominal group	adjective
52	material process	Thing/nominal group	verbal group
54a	interpersonal	Thing/nominal group	adjective
54b	mental process	Thing/nominal group	verbal group
54c	verbal process	Thing/nominal group	verbal group
55	mental process	Thing/nominal group	verbal group
61	interpersonal	Thing/nominal group	adjective
64	mental process	adjective	verbal group
68a	material process	Epithet,class./adj.	verbal group
68b	material process	Thing/nominal group	verbal group
68c	existential process	Thing/nominal group	verbal group
71	material process	Thing/nominal group	verbal group
72	material process	Thing/nominal group	verbal group
73a	material process	Epithet,class./adj.	verbal group
73b	material process	Thing/nominal group	verbal group
74	quality of a Thing	Thing/nominal group	adjective
75a	quality of a Thing	Thing/nominal group	adjective
75b	material process	Epithet,class./adj.	verbal group
76a	material process	Epithet,class./adj.	verbal group
76b	quality of a Thing	Thing/nominal group	adjective
77	material process	Thing/nominal group	verbal group
78a	quality of a process	adjective	adverb
78b	material process	Thing/nominal group	verbal group
83a	quality of a process	Epithet,class./adj.	adverb
83b	quality of a Thing	Thing/nominal group	adjective
89a	material process	Thing/nominal group	verbal group
89b	material process	Epithet,class./adj.	verbal group
92	mental process	Thing/nominal group	verbal group
96a	mental process	Thing/nominal group	verbal group
96b	mental process	Thing/nominal group	verbal group
97a	mental process	Thing/nominal group	verbal group
97b	interpersonal	Thing/nominal group	adjective
103a	mental process	Thing/nominal group	verbal group
103b	mental process	Thing/nominal group	verbal group
103c	mental process	Thing/nominal group	verbal group
103d	quality of a Thing	Thing/nominal group	adjective
103e	quality of a process	adjective	adverb
103f	mental process	Thing/nominal group	verbal group
103g	mental process	Thing/nominal group	verbal group

103h	mental process	Thing/nominal group	verbal group
108	mental process	Thing/nominal group	verbal group
110a	mental process	Thing/nominal group	verbal group
110b	quality of a Thing	Thing/nominal group	adjective
111	quality of a Thing	Thing/nominal group	adjective
113	quality of a Thing	Thing/nominal group	adjective
120	mental process	Thing/nominal group	verbal group
121a	quality of a process	adjective	adverb
121b	mental process	Thing/nominal group	verbal group
125	circumstance	Epithet,class./adj.	prepositional cl.
126a	mental process	Epithet,class./adj.	verbal group
126b	mental process	Thing/nominal group	verbal group
127a	verbal process	Thing/nominal group	verbal group
127b	verbal process	Thing/nominal group	verbal group
134	quality of a Thing	Thing/nominal group	adjective
136a	circumstance	Epithet,class./adj.	prepositional cl.
136b	mental process	Thing/nominal group	verbal group
137a	verbal process	Thing/nominal group	verbal group
137b	interpersonal	Thing/nominal group	adjective
138a	mental process	Epithet,class./adj.	verbal group
138b	mental process	Thing/nominal group	verbal group
140a	mental process	Thing/nominal group	verbal group
140b	mental process	Thing/nominal group	verbal group
145a	mental process	Thing/nominal group	verbal group
145b	mental process	Thing/nominal group	verbal group
145c	mental process	Thing/nominal group	verbal group
145d	circumstance	Epithet,class./adj.	prepositional cl.
146	mental process	Thing/nominal group	verbal group
147	mental process	Thing/nominal group	verbal group

## B-5 NOMINAL GROUPS

Only groups of three elements or more have been analysed.

Notation (Halliday 1985a:160-167)

C classifier    D deictic    EE experiential epithet    N numerative  
 T thing        Q qualifier    EI interpersonal epithet  
 [ ] embedded phrase (or group)    [[ ]] embedded clause

- 2     the polarities [of light and dark]  
       D     T        Q     T        T
- 3     the ... quoted passage [on ...]  
       D            EE     T     Q
- 4     the light [in the second passage]  
       D     T     Q     D     N        T
- 9     the first passage  
       D     N        T
- 12    that [of a veil [[drawn over a darkening surface]]]  
       D/T    Q    D    T        Q            D        EE        T
- 17    conditions [of optical confusion]  
       T            Q        C        T
- 32    the wolf [[pursuing the deer]]  
       D     T        Q            D     T
- 39-41 this knot [[by which knowledge, oblivion and desire ...]]  
       D     T        Q            T            T            T
- 39-42 an articulated sequence [of events] [[that ... interpretation]]  
       D            EE            T        Q     T        Q            T
- 47    earlier and later poets .... [with light, water and mirrors]  
       C            C        T            T        T            T
- 49    the affinity [of his imagination] [with that of Rousseau]  
       D     T        Q     D        T            Q        D/T        T
- 50    the phantasm [of language ... an erotic well]  
       D            T        Q        T            D     EI        T
- 52    Shelley's treatment [of the birth [of light]]  
       C            T        Q     D     T     Q        T
- 53    the emblem [of the rainbow]  
       D     T        Q     D        T
- 54a   the very possibility [of cognition]  
       D     EE            T        Q        T
- 54b   processes [of articulation ... elementary]  
       T            Q        T            EI
- 55    any principle [of organization]  
       D     T        Q        T
- 60    the most tenuous [of conditions]  
       D     EI        EI        Q        T
- 61a   The frailty [of the stance]  
       D            T     Q        D        T
- 61b   the supernatural delicacy  
       D            EE/EI        T
- 64a   The entire scene  
       D     EE        T
- 64b   a ... imaginable balance  
       D            EI        T
- 64c   this gliding motion [[which... [on one side [of the watery  
       D     C            T        Q            Q     N     T     Q     D     C  
       surface]]]]  
       T
- 64d   the contrary motion  
       D     C        T
- 66    the specular image

- D EE T  
67a Narcissus [at the end [of the mythical story]]  
T Q D T Q D EE T
- 67b the surface [of the mirror]  
D T Q D T
- 68 the suspended fall [of its own existence]  
D EE T Q D EE T
- 71 The contradictory motions  
D EE T
- 73a The "threading" sun rays  
D EE T
- 73b the "treading" [of feet ... a surface]  
D T Q T D T
- 75 the hyperbolic lightness [of the reflexive contact]  
D EI T Q D C T
- 76a the reflecting surface  
D EE T
- 76b the smooth stasis  
D EI T
- 77 the duplication [of the image]  
D T Q D T
- 82 the winds [[that ... some degree [of verisimilitude] [to the  
D T Q D T Q T Q D  
shape's gliding motion]]]  
C EE T
- 83a the end [of the section]  
D T Q D T
- 83b a movement [of increased violence]  
D T Q EE/EI T
- 84 the initial tenderness  
D EE T
- 88 the surface [of the water]  
D T Q D T
- 89a the return [of the rainbow]  
D T Q D T
- 89b the ensuing vision  
D EE T
- 90a a rigid, stony arch  
D EE EE T
- 90b the shape's defeat  
D C T
- 92 a naive ... evasive gesture  
D EI EI T
- 96 the repression [of a self-threatening knowledge]  
D T Q D EE/EI T
- 97 the full power [of this threat [in ... its negativity]]  
D EE/EI T Q D T Q D T
- 99 his own negative assurance  
D EE EI T
- 101 an intended exorcism  
D EE/EI T
- 103-4 the face [of ... evidence ... the radical blockage [[that ...  
D T Q T D EI T Q  
this poem]]  
D T
- 106-9 the endless prosopopoeia [[by which the dead ... a face ... a  
D EI T Q D T D T D  
voice [[which ... the allegory [of their demise...]]]]]  
T Q D T Q D T

- 110 No degree [of knowledge]  
D T Q T
- 111 the madness [of words]  
D T Q T
- 113-4 this strategy [[which ... our strategy ... subjects]]  
D T Q D T T
- 113 a source [of value]  
D T Q T
- 121 the coercive "forgetting"  
D EI T
- 124-5 the various forms and names [[which this belief ... our present  
critical and literary scene]]  
D EE T T Q D T D C  
C C T
- 126 the historicization and the aesthetification [of texts]  
D T D T Q T
- 127 the assertion [of methodological claims [[made ... their denial  
[of piety]]]]  
D T Q C T Q D T  
Q T
- 128a other literary movements  
C C T
- 128b this naive belief  
D EI T
- 134a the power [of death]  
D T Q T
- 134b the randomness [of its occurrence]  
D T Q D T
- 136-7 a historical and aesthetic system [of recuperation] [[that ...  
the exposure [of its fallacy]]]]  
D C C T Q T Q  
D T Q D T
- 138 the recuperative and nihilistic allegories [of historicism]  
D EI EI T Q T
- 140 a monumentalization [of sorts]  
D T Q T
- 141 the few readers  
D EE/EI T
- 145 the products [of historical archeology]  
D T Q C T

## B-6 LEXICAL SETS (NOMINALS ONLY)

*Descriptive terms*

passage (x7) poet (x2)  
 text(x4) poem (x5) allegory  
 prosopoeia words (x2)

*Assessment/judgment terms*

clarity (x2) fallacy  
 randomness madness (x2)  
 violence (x3) confusion (x2)  
 affinity imagination denial  
 frailty stance delicacy  
 balance side recuperation  
 gravity piety demise  
 verisimilitude failure  
 tenderness defeat archeology  
 monumentalization (x2)  
 repression power (x2) threat  
 negativity rigor assurance  
 suspicion negation Verneinung

*Terms from/about poems*

light (x10) dark waking  
 veil (x2) surface (x7)  
 wolf deer water (x2)  
 well birth rainbow (x2) sun  
 shape (x2) river fall rays  
 lightness "billow" winds  
 crystal return arch fortune  
 life face (x2) dead voice  
 statue fragments feet  
 Rousseau sleep mirrors (x2)

*Titles of poems/literary texts*  
 The Triumph of Life (x4)  
 Roman de la Rose

*Poets/writers*  
 Spencer Valery Gide  
 Shelley (x7)

*Literary critical activity*

condition (x3) description experience (x2) meaning play  
 knot sequence of events knowledge (x3) interpretation  
 imagery language story treatment cognition processes  
 articulation principle organisation example scene image  
 end existence course section movement vision evidence  
 understanding degree strategy source of value polarities  
 subjects product agent belief time misreading lines  
 historicization aesthetification essay assertion claims  
 attempts romanticism movements belief deed dream (x2)  
 occurrence system (x2) exposure process historicism  
 way readers method extent (x2) reading thought trance (x2)  
 slumber desire oblivion motion (x5) contact stasis  
 duplication exorcism use (x2) death gesture

## B-7 INTERPERSONAL FEATURES

## B-7-1 MODALITY

## Notation:

E cer : Epistemic certainty  
 E pos : Epistemic possibility  
 E pro : Epistemic probability  
 s : subjective modality

D per : Deontic permission  
 D obl : Deontic obligation  
 D abi : Deontic ability  
 o : objective modality

Cl	EXPRESSION OF MODALITY	CATEGORY	OBJECTIVE/SUBJECTIVE
1	It is impossible to say	E cer	o
4	is said to be	E cer	o
9	it is explicitly stated	E cer	o
10	cannot (be)	D abi	o
11	so clearly	E cer	o
12	is said to be	E cer	o
13	necessarily	E cer	s
14	is said to be	E cer	o
24	of course	E cer	s
27	cannot (be)	D abi	o
43	extraordinarily	E cer	s
48	can (think)	D abi/E pos?	s
49	it ... bears witness to	E cer	o
50	allowed	D per	o
55	would (be)	E pro	o
56	would (not be)	E pro	o
57	would (be)	E pro	o
58	would (leave)	E pro	o
59a	if = SUPPOSITION	E pos	s
59b	it were to	E pos	s
59c	for example	E pos	s
60a	is allowed to (exist)	D per	o
60b	only.. the most	E cer	s
63	allows (it)	D per	o
64	barely	E pos	s
66	allows	D per	o
70	must	D obl	o
76a	never	E cer	o
76b	allowed	D per	o
85	there is no doubt	E cer	s?
89	is confirmed	E cer	o
90	said	E cer	o
92a	by no means	E cer	s
92b	necessarily	E cer	s
93	it certainly is not	E cer	s
94	can	D abi/per	o
95	have to be	D obl	o
96	does not have to be	D obl	o
97	can	D abi/per	o
102	it is not avoidable	E cer	s
103a	even	E cer	s
103b	precisely	E cer	s
105	always	E cer	s
109	allows	D abi	o
110	can ever	D abi	s

112	would (be)	E pro	s
113	can (be)	E pos	s
121a	can (be)	D abi	s
121b	should (be)	D obl	s
124a	would (be)	E pro	s
124b	of little use	E pro	s
136	have to be	D obl	o
138	entirely	E cer	s
139a	if = POSITIVE	E cer	s
139b	it is true and unavoidable	E cer	s
140	any	E cer	s
147	would (be)	E pro	s
149	precisely	E cer	s

#### GRAMMATICAL METAPHOR OF MODALITY

54a	possibility	E pos	s
-----	-------------	-------	---



## B-7-2 IDENTIFICATION OF PARTICIPANTS

## Notation:

PR: poem reader  
 TW: text writer  
 TR: text reader

+ : positive value  
 - : negative value  
 ? : unclear or neutral value

(1) EXPLICIT IDENTIFICATION

C1	IDENTIFICATION	PARTICIPANT(S)	INTERPRETATION	VALUE
8	one	?	?	+
11	the poet	poet		+
40	us	ambiguous	PR, TR, TW	+
48	one	ambiguous	PR, TR, TW	+
83	we	ambiguous	PR, TR, TW	+
86	we	ambiguous	PR, TR, TW	+
94	anyone	?	?	+
99	Shelley	poet		+
109a	us	ambiguous	PR, TR, TW	+
109b	our	ambiguous	PR, TR, TW	+
114	our	ambiguous	PR, TR, TW	+
115	we	ambiguous	PR, TR, TW	+
128	ourselves	ambiguous	PR, TR, TW	+
129	us	ambiguous	PR, TR, TW	+
135	us	ambiguous	PR, TR, TW	+
141	Shelley	poet		+
141	readers	PR & poet?		+
147	Shelley	poet		+

(2) IMPLICIT IDENTIFICATION

18	trying to read		TW, TR	?
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## B-7-3 ATTITUDINAL MODIFIERS

?: unclear or neutral value, OR unclear identification

A: author of the text being analysed OT: critic's own text

R: readers/critic

T: text being analysed

Cl	MODIFIER	APPLIED TO		VALUE
25	erotic	experience	R/T?	?
43	extraordinarily systematic	imagery	T	+
	incoherent	imagery	T	-
	erratic	imagery	T	-
50	erotic	well	T	?
54	elementary	processes	R/T?	?
55	primitive	principle of orga.	?	?
60	tenuous	conditions	T	+
61	supernatural	delicacy	T	?
64	imaginable	balance	T/R?	?
75	hyperbolic	lightness	T	?
76	smooth	stasis	T	?
83	increased	violence	T	+
92	naive	gesture	?	-
92	evasive	gesture	?	-
96	self-threatening	knowledge	?	-
97	full	power	?	+
99	negative	assurance	A	?
101	intended	exorcism	A	?
103	radical	blockage	T/R	?
106	endless	prosopopoeia	T	+
112	naive	(impersonal form)	R	-
121	coercive	forgetting	R/T?	+
126	predictable	lines	R	-
128	naive	belief	R	-
138	recuperative	allegories	R	-
138	nihilistic	allegories	R	-
141	few	readers	A	+
145	more reliable	reading	R	+
148	exemplary	rigor	A	+

## GRAMMATICAL METAPHORS OF ATTITUDE

61	frailty	stance	T	?
97	negativity	threat	?	?
137	fallacy	system	R	-

## B-8 THEME

## Notation :

INT: interpersonal           /: boundary between themes in same clause  
 TOP: topical               M: marked theme  
 TEX: textual

	THEME	FUNCTION	MARKED
1	It	TEX	
2	how / the polarities of light and dark	TEX/TOP	
3	the confusion	TOP	
4	The light, in the second passage	TOP	
5	yet / it	TEX/TOP	
6	which	TEX	
7	in this light, to be awake	TOP	
8	[as if / one]	TEX/INT	
9	In the first passage / it	TOP/TEX	M
10	that / he	TEX/TOP	
11	[since / the poet ]	TEX/TOP	
12	but / the clarity	TEX/TOP	
13	a description which necessarily	TOP	
15	Light	TOP	
16	trance	TOP	
17	and	TEX	
18	that	TEX	
19	as / its meaning	TEX/TOP	
20			
21	and	TEX	
22	but	TEX	
23	it	TOP	
24	This play of veiling and unveiling	TOP	
25	Forgetting	TOP	
26	it	TOP	
27	because / it	TEX/TOP	
28	whether / it	TEX/TOP	
29	or	TEX	
30	it	TOP	
31	because / it	TEX/TOP	
32	[like / the wolf]	TEX/TOP	
33	to / what	TEX/TOP	
34	it	TOP	
35	because / it	TEX/TOP	
36	that / it	TEX/TOP	
37	and	TEX	
38	that / it	TEX/TOP	
39	The passage	TOP	
40	[that ]	TEX	
41	[by which / knowledge, oblivion and desire]	TEX/TOP	
42	that	TEX	
43	Shelley's imagery	TOP	
44	[often ]	INT	
45	whenever / light	TEX/TOP	
46	The passage	TOP	
47	that / earlier and later poets / ever	TEX/TOP/INT	
48	[(one )]	INT	
49	It / also	TOP/TEX	
50	who	TEX	

51	before / he	TEX/TOP	
52	Shelley's treatment of the birth of light	TOP	
53	that	TEX	
54	It	TOP	
55	that it	TEX	
56	that	TEX	
57	To efface it	TOP	
58	which	TEX	
59	[if / it]	INT/TOP	M
60	<i>And still, this light</i>	TOP	M
61	The frailty of the stance	TOP	
62	which	TEX	
63	and which	TEX	
64	The entire scene	TOP	
65	[which ]	TEX	
66	[and thus ]	TEX	
67	which / like Narcissus at the end of the mythical story	TEX/TOP	
68	and	TEX	
69	As / the passage	TEX/TOP	
70	the story	TOP	
71	The contradictory motions of "gliding" and "treading" finally	TOP	
72	[which ]	TEX	
73	The "threading" sun rays	TOP	
74	which / in this text	TEX/TOP	
75	Shelley's poem	TOP	
76	since / the reflecting surface	TEX/TOP	
77	that	TEX	
78	The water	TOP	
79	it	TOP	
80	and / the surface	TEXT/TOP	
81	[although ]	TEX	
82	that	TEX	
83	By the end of the section / we	TOP/INT	M
84	that	TEX	
85	There	TEX	M
86	that when / we again	TEX/INT	
87	it	TOP	
88	but	TEX	
89	The violence	TOP	
90	as a rigid, stony arch	TOP	
91	by what the poem	TOP	
92	Such monumentalization	TOP	
93	and / it / certainly	TEX/TOP/INT	
94	that / anyone	TEX/INT	
95	It	TOP	
96	since / it	TEX/TOP	
97	Like <i>The Triumph of Life</i> it	TOP	
98	the poem	TOP	
99	that / this rigor	TEX/TOP	
100	thus	TEX	
101	that / the negation	TEX/TOP	
102	and it	TEX	
103	since / the failure to exorcize the threat / even / in the face of such evidence as the radical blockage	TEX/TOP/INT/TOP	
104	[that ]	TEX	
105	that / always again	TEX/INT	

106	And / to read	TEX/TOP	
107	by which / the dead	TEX/TOP	
108	which	TEX	
109	and	TEX	
110	No degree of knowledge	TOP	
111	for it	TEX	
112	What	TEX	
113	that / this strategy	TEX/TOP	
114	[which ]	TEX	
115	[since / we ]	TEX/INT	
116	and	TEX	
117	or	TEX	
118	Whenever this belief	TOP	
119	and / it	TEX/TOP	
120	it		
121	that	TEX	
122	that / Shelley's poem analytically	TEX/TOP	
123	and that	TEX	
124	It	TEX	
125	which / this belief	TEX/TOP	
126	It	TOP	
127	for / the assertion of methodological claims	TEX/TOP	
128	Attempts to define, to understand or to circumscribe romanticism in relation to ourselves and in relation to other literary movements	TOP	
129	<i>The Triumph of Life</i>	TOP	
130	that / nothing, whether deed, word, thought or text / ever	TEX/TOP/INT	
131	that	TEX	
132			
133	or	TEX	
134	but / only / as a random event whose power, like the power of death	TEX/INT/TOP	
135	It / also	TOP/TEX	
136	why and how / these events / then	TEX/TOP/INT	
137	that	TEX	
138	This process	TOP	
139	If / it	INT/TEX	M
140	that / any reading	TEX/TOP	
141	the way	TOP	
142	[in which / Rousseau	TEX/TOP	
143	and ]	TEX	
144	who	TEX	
145	Reading as disfiguration	TOP	
146	[to the very extent / that / it]	INT/TEX/TOP	
147	To monumentalize this observation into a method of reading	TOP	
148	which	TEX	
149	precisely / because / it	INT/TEX/TOP	M

## B-9 VOICE

## Notation:

IMP: implicit agent, usually to be found in the co-text  
 EXP: explicit agent, identified in the clause  
 ? : agent unknown - can be understood through careful consideration  
 of the context, or knowledge of the language  
 PR : poem reader  
 PW : poem writer  
 TR : text reader  
 TW : text writer

C1	PASSIVE FORM		AGENCY AGENT
2	the polarities of light and dark are matched with those of waking and sleep	?	
4	The light... is said to be like a dream	?	PW/poem?
9	it is explicitly stated	IMP	PW
12	but the clarity is then said to be like that of a veil drawn over	?	PW/poem?
14	the veil is said to be "of light."	?	PW/poem?
27	because it cannot be decided	IMP	PR
44	[often assumed to be incoherent ...]	IMP	PR/critics?
45	whenever light is being thematized.	IMP	PW?
53	that is invested in the emblem of...	?	
60	this light is allowed to exist	IMP	PW?
61	The frailty ... is represented in	?	PW?
64	The entire scene is set up as ...	?	PW/PR?
76	the reflecting surface is never allowed the smooth stasis	?	PW?
78	The water is kept in constant motion:	?	PW?
79	it is called a "billow"	IMP	PW
80	the surface... is roughened by the winds	EXP	winds
81	[although compared to a crystal]	IMP	PW?
89	The violence is confirmed in the return	?	PW/PR?
90	stony arch said "fiercely [to extoll] the fortune" of the shape's defeat	?	PW?
116	and has to be celebrated	?	PR/TR?
117	or denounced accordingly	?	PR/TR?
121	that can and should be discarded	?	PR/TR?
127	the assertion of methodological claims made all the more pious by their denial of piety.	EXP	denial
136	these events then have to be reintegrated	?	PR/TR?
142	[in which Rousseau is read	?	PR
143	and disfigured in <i>The Triumph of Life</i> ]	?	PR
147	the rigor exhibited by Shelley	EXP	Shelley

## B-10 CONJUNCTIVE RELATIONS

EXPLICIT conjunctive items  
in thematic position

C1	
5	yet
11	since
12	but
14	even if
17	and
19	as
21	and
22	but
27	because
28	whether
29	or
31	because
35	because
37	and
49	also
51	before
59	if
63	and
66	and
68	and
69	as
76	since
80	and
81	although
88	but
93	and
96	since
97	like
100	thus
102	and
103	since
106	and
109	and
111	for
115	since
116	and
117	or
119	and
123	and
133	or
134	but
135	also
139	if
143	and
149	because

IMPLICIT conjunctive items in  
thematic position in brackets

C1	
3	(because)
4	(for example)
7	(therefore)
13	(therefore)
16	(and)
25	?
26	?
30	? (in addition?)
34	(in addition)
52	(consequently)
64	(consequently)
73	(in addition)
75	? (therefore?)
126	(for example)
129	(however)
145	(consequently)
147	(however)