# Language as Purposeful: Functional Varieties of Texts

**A course-book by Donna R. Miller**
*With the collaboration of*
*A. Maiorani (on text analyses) &*
*M. Turci (on exercises)*

**Series Editor**
**Donna R. Miller**

# Table of Contents

# Part III – More practice: Illustrating BOTTOM→UP analysis

# KEYS TO EXERCISES
# CITED REFERENCES
# APPENDIX

# Foreword

**Donna R. Miller**
**Series Editor**


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

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

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

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

This kind of metalinguistic reflection on the nature of the language being taught and on how it works is thus relatively new for Faculties of LLS in the Italian university system. Its justification is essentially the premise put forth by F. Christie (1985/1989) apropos of the L1 learner's education: i.e., that explicit knowledge about language on the learners part is both desirable and useful. It is our conviction that such an insight not only can but should be extended to the L2 learning situation. In short, foreign language learning at the tertiary level should not be merely a question of the further development of students' competence in communicative skills; it should involve learning not only the language, but *about* the language. Indeed, what scholars define as the 'good' adult language learner has long been known to readily attend to language as system and patterns of choice (Johnson 2001: 153). To design and implement this component of the

syllabus and try to create the required synergy with the more practical work being done by the native speaker collaborators, so as to lead to better and more holistic L2 learning, needed, however, serious reflection and experimentation. Hence the project mentioned above, in which both Lipson and Freddi and other researchers and teachers took part.

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

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

Our approach in these e-course books is consistently language-learner oriented: we have tried, in short, to keep in mind the fact that our students are L2 learners and take account of their practical learning experiences, and not only that of the complementary EFL component of their English courses. In aiming at helping them develop as learners and more particularly at empowering them through an increasing awareness of the functions of the English language in a variety of more, but also less, dominant socio-cultural contexts, we obviously aimed at working on their intercultural consciousness as well. These considerations dictated the choice for an explicit critical pedagogy that would make the workings of language as visible, and as attainable, as possible to our students (Cf. Martin 1998: 418-419). At the same time it also dictated the choice of the linguistic framework we've adopted, as it sees language as a vital resource not only for behaving, but also for negotiating and even modifying such behavior, and views the study of language as an exploration of "…some of the most important and pervasive of the processes by which human beings build their world" (Christie 1985/1989: v). It is our hope that we are helping our students to be able not only to participate actively in these processes, but also to act upon them in socially useful ways. Such a hope is conceivably utopistic, but some amount of idealism is eminently fitting to a concept of socially-accountable linguistics conceived as a form of political action (Hasan & Martin (eds.) 1989: 2). It is also surely indispensable when attempting to break what is, in terms of our specific pedagogic setting, wholly new ground. We leave aside the thorny issue of English as global *lingua franca*, acknowledge merely that it is, and propose that these materials are proving to be

effective teaching/learning resources for improving English literacy outcomes in that particular setting (Cf. Rose 1999).

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

Donna R. Miller

Bologna, 10 November, 2004

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# PART I

# Preliminaries

# 1. Reviewing and Refining some fundamental SFL notions

As Ravelli reminds us,

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

This year's work aims at completing your brief three-year exploration of SFL with what we hope will be a relevant, useful, and yes, even 'exciting' experience with text analysis. Our aim is to investigate "language as purposeful", or the notion of a **functional variety of text**, (or **register**, or **text-type** – we will use these terms as **synonyms**). To, do this we will be applying the model you have learned. But before proceeding with this task, it is best to review, and refine certain fundamental meta-language of our descriptive-analytical model that have already been introduced but which we need to have clear and keep in mind.

As you have already learned in your previous two years of studying Functional Grammar (FG), according to the Systemics Functional Linguistics (SFL) or Hallidayan perspective, we study **language as a form of behaviour**. Of course language is only one of a number of **ways of meaning**, **ways to mean**, which build a culture or social system. Forms of art, of dress, family and other institutional structures etc. etc., are all forms of cultural behaviour as well.

**Culture**, in itself, can be defined as a system of interrelated meanings, or networks of relationships, or as a set of interrelated semiotic (i.e., *meaning*) systems. Thus language is one among a number of these networks, or semiotic systems of meaning that – together – make up human culture, or the **social system** (Halliday in Halliday & Hasan, 1985/ 1989: 4). This social-semiotic system of meanings is also known as a **belief and value system**. We may also refer to this system as a **world-view**, or **cultural paradigm**, or **ideology** – which can be broadly defined as the common sense, taken-for-granted assumptions, interests, values, and biases that groups give to or have towards their world. Another way of putting all this is to say that culture is "an integrated body of the total set of meanings available to a community: its **semiotic**

**potential**. The semiotic potential includes **ways of doing, ways of being and ways of saying**" (Hasan in Halliday & Hasan, 1985/ 1989: 99). As in the past two years, this year's course will again be concerned primarily with investigating the last of these. Again, these notions have already been introduced, especially in your second year of study, and are being reviewed and refined for you here.

So then, in order to study the social system from a linguistic point of view, we study its ways of saying: the language of the **texts** it produces, in the firm conviction that a text is a fragment of the culture that produces it (Miller, 1993a). Fig. 1 below represents the 'circulatory' process by which the cultural world-view is constructed **in and by** texts. The process is a dynamic one, meaning that belief and value systems are not only re-constructed, re-proposed and re-institutionalized, but can, and do, also undergo a certain amount of modification. That is, the ideologies constructed may be those of the **dominant cultural paradigm**, or they may be in conflict with it, in opposition to it, to some extent. This is because language is as it is because of the purposes it serves – a concept this year's course is dedicated to studying. If and when such purposes undergo change, so will the language that serves those purposes.

**Text Construction**
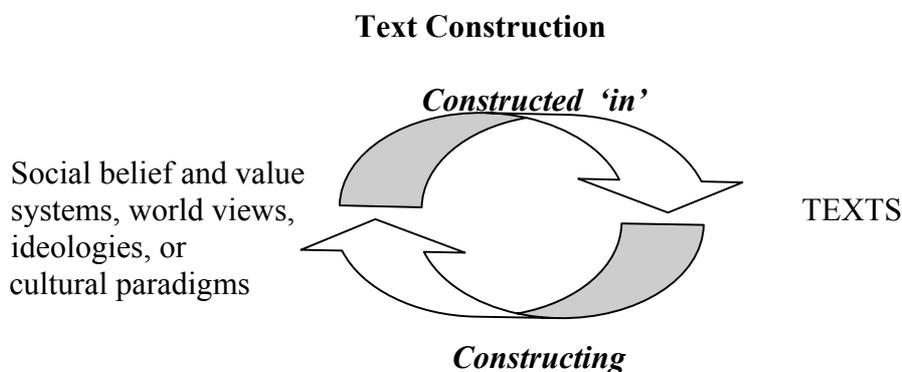


**Fig. 1 – from D.R. Miller, 'English Linguistics' lecture notes: AA 2000-01**

It is also important to remember that, according to our model, **all linguistics is the study of meaning and all meaning is function in a context** (Firth 1935; as cited by Halliday in Halliday & Hasan, 1985/ 1989: 8). That is to say that, when we study texts, we also need to examine the **total environment** in which the text unfolds, or its **con-text**. **Context** precedes text, insomuch as the **Context of Situation** (and that **of Culture**) is seen as being prior to the discourse that relates to it (Halliday in Halliday &

Hasan, 1985/ 1989: 5). And the SFL view is that the best way to understand the functions of language in context is to study **texts.**  We will now proceed to a cursory review of these notions as well.

**1.1**  So then, **what is a text**? As we have said, we will be focussing our attention on texts, but before talking in more detail about 'types' of text, it is best we review in some detail just what a text is.

One of the basic definitions of a text which is given by SFL is that it is "language that is functional", that is to say "language that is doing some job in some context" (Halliday in Halliday & Hasan, 1985/ 1989: 10). In this functional perspective, a text is therefore always seen as being strictly related to its **Context of Situation**, the term coined by the anthropologist Malinowski (1923), which is defined as the immediate social and situational environment in which a text is being realized, as well as to the **Context of Culture** (also Malinowski's term, 1935), which is the 'outer', more external, or 'higher-order' context surrounding both the text and its specific Context of Situation. These two extra-textual features are what make each text different from others. Fig. 2 below represents the relationship between the levels:



**Context of Culture**
(extra-linguistic level)

**Context of Situation**
(extra-linguistic level)

**TEXT**
(linguistic level)
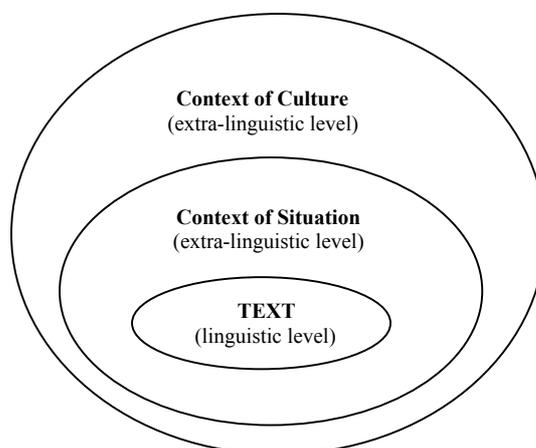
**Fig. 2 – Adapted from Butt et al. 2000: 4**

A **text**, therefore, is basically made of meanings that, in order to be communicated, need to be encoded and expressed through a system of *graphic*, *phonic* or *visual* signs. As a thing in itself, however, it is **a consistent semantic unit**. This

simply means that the stretch of language which makes up the text, no matter how long or short it is, is considered to be consistently meaningful.

Moreover, it is due to its semantic nature that a text must be considered both as a **product** and as a **process.** When looked at as a product it is seen as an 'output' which can be 'frozen' (recorded) and studied in systematic terms. When seen as a process, attention is focussed on the semantic choices which are being made by speakers. These choices are selected from a network of **meaning potential** that is given by the linguistic system; and any initial set of speaker options for ways of saying always creates an environment for a *further* set of options, thus generating a continuous semantic process. The SFL (or social-semiotic) perspective sees this process as **interaction**, or, a **social exchange of meaning**.

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



*constructed in/ by*

**CONTEXT**                                                                                  **TEXT**

*constructing*
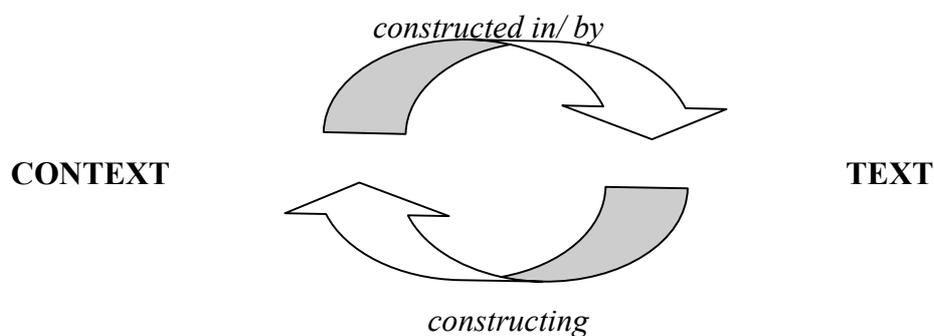
**Fig. 3 – from D.R. Miller, 'English Linguistics' lecture notes: AA 2000-01**

Any **text** can thus be analyzed at any of its different levels: its extra-linguistic and/ or linguistic levels, and, if a linguistic analysis, its semantic and/ or lexico-grammatical levels, and at the level of expression. Fig. 4 below outlines all of these:

Extra-linguistic Levels
- **Context of Culture**
  ↓
- **Context of Situation**

Linguistic Levels
- Semantic Levels
  - SEMANTICS
    ↓
    (realised in/by)
  - LEXICO-GRAMMAR
- Expression Levels
  - PHONOLOGY
  - GRAPHOLOGY
  - GESTURES
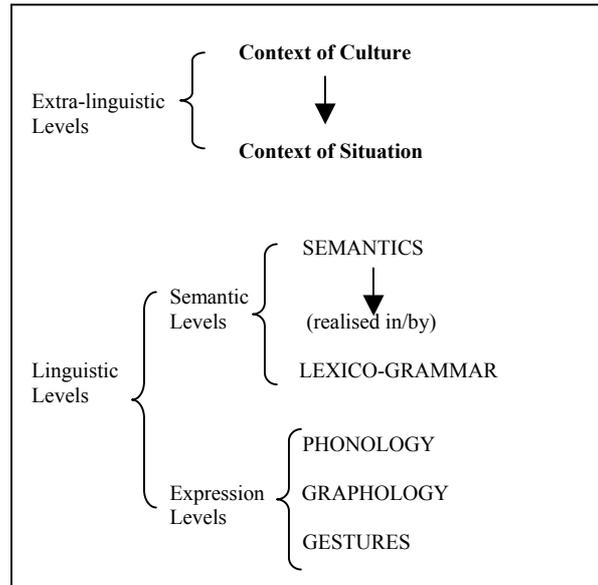
**Fig. 4 – Adapted from Butt et al. 2000: 7**

**1.2** But let's reconsider for a moment what the **Context of Situation** (or 'Situation of Context', or simply 'Situation', or 'Context', for short) is, and what it consists in. Firstly, we must always remember that the Context of Situation can be seen from two different perspectives: **material** *and* **social**, or cultural, and that, as Hasan puts it (in Halliday & Hasan, 1985/ 1989: 99), "The material situational setting is by no means identical with the Context of Situation relevant to the text". Another way of saying this is to once again stress the importance of culture and its **social semiotic potential**, its **ways of meaning** through doing, being and saying, and say that *all* significant situational values (i.e., the values of the situation of context) are ultimately defined by these. What we will be focussing on are, of course, the sub-set of ways of meaning called **ways of saying**, and thus the **meaning potential** that the **linguistic system** provides. Still, this potential too is never *a*-cultural, never divorced from the culture in which it functions.

Now, as you also already know, the Context of Situation is seen as being comprised of 3 components, or values: **Field, Tenor and Mode**, or, respectively: *what is going on?*, *who is taking part?*, and *how are the meanings being exchanged?* These values, which will be further delineated below, are seen as activating, or determining, semantic meta-functions, or meanings, which are then in turn realized as wordings. In other words, field, tenor and mode are invariably encapsulated in the lexico-grammar of

a text by means of the contemporaneous encoding of ideational, interpersonal and textual meanings. It is useful, however, to see the total set of situational features – the total values of field, tenor and mode – as one, sole, generalized configuration. We will use Hasan's term of **'Contextual Configuration' (CC)** for this and think of it as a general account of all of the **significant attributes of the social activity** which is receiving verbal expression in a text (in Halliday & Hasan, 1985/ 1989: 56). In other words, it is the **total set of significant features** of the three variables, field, tenor and mode, seen as one sole configuration.

Another important aspect of this interrelationship between situation, meaning and wording to remember is that, by interpreting a context (if WORKING 'TOP→DOWN') one can actually *predict* the lexico-grammatical structures which a text will be likely to use in order to serve the semantic meta-functions that the context determines. Such prediction is also clearly the result of one's concrete experience with how texts are produced and consumed in specific discourse communities.

Unconsciously in fact, predicting what people are going to say is something we do all the time. How? On the basis of the specific Context of Situation, which, as Halliday says, "gives the participants a great deal of information about the meanings that are being exchanged, and the meanings that are likely to be exchanged" (in Halliday & Hasan, 1985/ 1989: 10). And Halliday, when modelling, when characterizing, the Context of Situation, was indeed concerned to do so in terms that would give the linguist an adequate tool for making predictions about meanings. Of course the concern of the linguist, and of the student of linguistics, is to be aware, and systematic, about the predictions s/he makes.

Conversely, as we will see, in analysing the wordings, or lexico-grammar of a text (or, WORKING 'BOTTOM→UP') one can infer the context in which it has been created, in which it functions and continues to produce meanings.

These notions, which we will be coming back to again and again, will be fundamental for the work of **register analysis** that we will be performing in this course.

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

We have spoken about the choices that speakers make from the total meaning potential that the system of language puts at their disposal for making their meanings. The grammar of a language can thus be described as "How we can say things", or, more formally, as "the set of linguistic resources available to us for making meanings" (Thompson 1996: 36). As Thompson also makes clear, however, and as we've already suggested above, we can turn this around, look at it from another point of view, and say that the kinds of wordings that are available to us as speakers are ultimately determined by what it is that we want to do with them, by the uses to which we want to put them, by the meanings we want to make. This is linked to what we meant when we spoke above about how our experience with language allows us to predict meanings and wordings in context. Speakers choose meanings and the wordings to realize these meanings on the basis of the situation of context and that of the culture in which they are operating. But we can also say that meanings, and wordings, 'choose the speaker', as it were. As Thompson also puts it, we know "what things are typically – or obligatorily – said in certain contexts." And we know *how* these things are typically – or obligatorily – said. Communication would be impossible were this not the case.

**2.1**    What has just been said above is inextricably connected to the notion of **intertextuality**, in the Lemkean sense (e.g. Lemke 1995). As he puts it: "The meaning of a text depends directly on the kinds of connections made in a particular community between it and other texts" (Lemke 1995: 85). In short, no text is an island. Synchronically, it establishes links with contemporaneous meaning-making practices of a given community. Diachronically, it establishes connections with a set of texts with which it can be said to share meanings and wordings.

Intertextuality in this sense is both a wider and more essential concept than you may be used to thinking. That is, it is actually what accounts for the way that any text, in a specific Context of Situation, but also of Culture, is produced and consumed. We will juxtapose this concept of intertextuality to what Martin (1986) terms **contratextuality**, and use the former to mean that the dominant cultural paradigm, world view, ideology etc. is being essentially re-constructed in the text, and reserve the latter to mean that this paradigm is being textually opposed to some extent.

At this point we can tie these notions to the Bakhtinian concept of **heteroglossia**. Although Bakhtin's thought in this area is highly complex and hard to distil, we would like to make an attempt to do so, as its overlap with inter- and contratextuality is illuminating. Recall too that Bakhtinian heteroglossia is at the basis of the modelling of the ENGAGEMENT SYSTEM, within Appraisal theory.

Very briefly, let us say that this notion has to do with what Bakhtin, an early-20th century Soviet social theorist, perceived as the existence of a **diversity of languages**, **text-types** and **'voices'** within any discourse community – a phenomenon that he saw as being rooted in the fact of social diversity. Bakhtin also theorized **two conflicting 'forces'** at work in heteroglossia. The first of these is the **centripetal force**, which is a unifying, homogenizing, indeed enslaving, force which centralizes meaning-making practices, and so also ideology. The language of any form of institutional power tends to do just this. The second force is **centrifugal**. It is seen as having the power to de-centralizing meanings and is thus a conflictual force, operating to propose alternative ways of meaning. This, for Bakhtin, is the 'positive' force, the truly 'polyphonic' and 'dialogic' one. In his view, only with the centrifugal force can an openness to otherness, a tolerance towards other world views, to 'alterity', be genuinely worked towards and achieved. But this does not mean that 'good' force always wins! The centrifugal force is constantly in conflict with the centripetal force and its attempt at hegemony.

What we are suggesting here is that Lemkean intertextuality, as we have proposed to apply it, functions in a similar way to the Bakhtinian centripetal force, while Martin's contratextuality can be seen as quasi-synonymous with Bakhtin's centrifugal force. Thus, when we predict a primarily *inter*textual, rather than *contra*textual, function in texts, we are also predicting a dominant presence of the centripetal, rather than the centrifugal, force. To the extent that the meanings realized in the text do *not* diverge in any relevant way from traditional liberal western society's meaning-making practices, this will be 'true'.

**2.2** In SFL, these factors are accounted for with the concepts of **register** – and **genre**. We will say immediately that what we will be dealing with, talking about and illustrating in this course is **register**, only. We will *not* be making use of genre theory, but, since most of your required or suggested readings throughout your 3-level FG

modules do make some use of the theory, we will presently explain why we have decided not to do so.

First of all, let's review our basic definition of **register**. It is defined by Halliday as "**variation according to use**" (in Halliday & Hasan, 1985/ 1989: 41). This is to say that there are **typical conglomerations of linguistic resources** that are made use of in a text, and that this is a result of certain *types* of contexts, certain CCs, and of the purposes they serve,. As you know well by now, the three main dimensions of variation that characterize any register are those of its CC, which we will once again describe in terms of its particular: **Field** – the nature of the ongoing social speech event and its subject matter, what is being spoken about; its **Tenor** – the human participants in the interaction and the relationship between them, involving their status and discourse roles, as well as the attitude they take towards the subject matter and their interlocutors, and its **Mode** – the way that language is functioning in the interaction, which involves a series of features such as the degree to which the process of interaction is shared by the interlocutors, its 'channel', its 'medium' etc. (see Halliday & Hasan, 1985/ 1989: 12; 57-59 and the "Text Analysis Checklist" in Appendix for details).

Now, **genre**, as it has developed in SFL theory, "can be seen as register *plus* purpose", as Thompson neatly puts it (Thompson 1996: 36). It is located at a 'higher' level than register, and is linked to the Context of Culture, rather than to the Context of Situation, which is reserved for register. Fig 5, a re-working of Fig. 2 above, illustrates this hypothesis.



**Fig. 5**

10
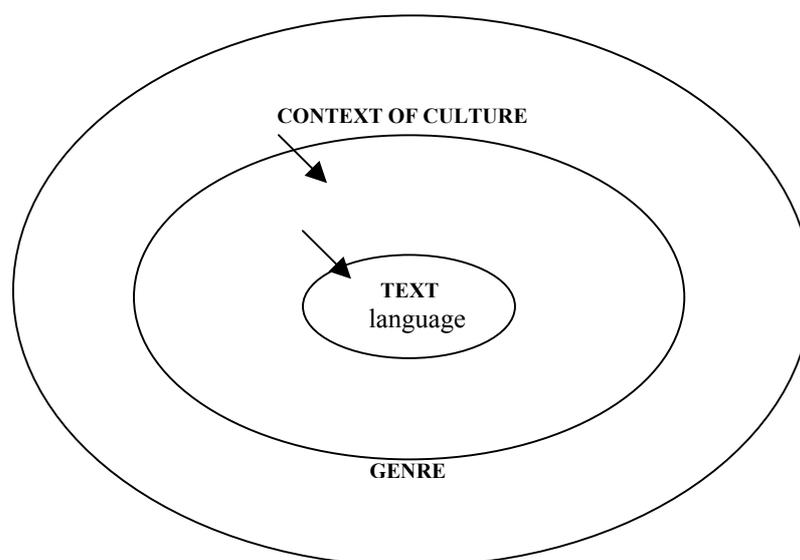
So then, genres are seen as fulfilling different cultural purposes or tasks. In addition, such different purposes are seen as giving rise to a predictable, or relatively stable, organization of the message, a **rhetorical**, or **generic**, **structuring** of the message, the way it 'unfolds'.

Although we will not be making use of genre theory, we certainly do *not* dismiss this important feature of the organization of the text. Indeed, this is what we call **discourse** (or **rhetorical**) **structure** (or **staging**) (again see the "Text Analysis Checklist") and link to, because influenced by, the essential **rhetorical mode,** or **aim**, or **purpose,** or **thrust**, of the text, which we, following Halliday, see as a feature of the Mode of discourse. In short, we see the theory of register alone as sufficient for encompassing this notion of 'purpose' and the probable ways in which a text will unfold, be organized coherently, as a result of it. We do not feel the need to posit a high-order level of 'genre' to account for this aspect of the inextricable relationship between language and context. Note that we are *not* saying that the Context of Culture is not important to the ultimate forms and meanings of a text; *it is*. But it will influence ALL forms and meanings, not just the different stages or steps through which a text unfolds. Admittedly, such an affirmation implies that rhetorical aim is a contextual variable that affects more than just textual meanings and can even be said to extend to the whole notion of text-type, or register, as a result. This seems reasonable if we recall Thompson's observation, noted above, that the kinds of wordings that are available to us as speakers are ultimately determined *by the uses to which we want to put them*. It appears even more understandable when we consider that it is never possible to claim that there is a rigid and invariable one-to-one correspondence between contextual components, semantic meta-functions and lexico-grammar in any case. But we will be coming back to this necessary aspect of the 'fuzziness' of the inter-connections below.

Such 'aims' or 'purposes' are being seen here as being synonymous with 'use', and are not to be confused with what SFL means by 'function' – as in semantic meta-functions, which are a fundamental property of language (Halliday in Halliday & Hasan 1985/ 1989: 17). As a simplified way to think about global textual rhetorical aim, or purpose, we have chosen to make use of Jakobson's model of factors and corresponding functions of language (1960), which we will talk more about in the following section.

Before leaving genre theory, we would like to say that there were good, specific, 'purposeful' reasons for its development. The initial environment of this simplification of Hallidayan linguistics, which was seen as necessary for teacher training, was the literacy teaching program which grew out of the MA in Applied Linguistics at the University of Sydney in the 1980s. Essentially, the notion of the text's overall aim was 'abstracted' from Halliday's register variation model and defined in terms of "staged, goal-oriented social processes". These, as Martin (1998: 412) puts it, were then allowed to "run the show", becoming the basis of a functional classroom pedagogy of language and text-types for even the primary school level. As our aims in this 3-part course for EFL undergraduates of the Faculty of Foreign Languages and Literature are very obviously different – our students should be learning just what a language is and how it functions – we feel we should eschew the radical abstraction and simplification that genre theory required. Though we need not go as far as Hasan (1995) does in calling such abstraction and simplification "heresy"!, we do prefer to stick to the foundational Hallidayan model. This may be more complex, and 'fuzzier', from certain points of view – not least because it is often apparent that discourse structure is the result of more than the contextual determinant of mode. To our way of thinking, however, to stick to *register* theory avoids: 1) falsely circumscribing the particular clusters of linguistic patterns that differentiate text-types as a result of situational context on the one hand and cultural context on the other, and 2) needing to posit the assumption that there are highly stable and thus fairly predictable rhetorical stages for specific 'genres'. Such a hypothesis is far easier to 'prove' as far as what Halliday (in Halliday & Hasan, 1985/ 1989: 43) calls 'restricted' registers is concerned – e.g., the language of games, or even the scientific abstract. But it is a thesis that is far more difficult to sustain for most, less restricted text-types. As far as these are concerned, the rule would appear to be a much more 'probabilistic', dynamically generated, optionality in the ordering of such stages (Miller, 1993a: 103, n.5; 120-121). So then, we are *not* adopting genre theory in our own pedagogy, although we do basically agree with Martin's valuable advice to "Keep it simple; make it work" (1998: 418). At the same time, however, we can't help feeling that sometimes too much simplicity gives an incomplete if not distorted picture of how things are working, and that is something we put at the top of our list of things we would willingly avoid.

**2.3** And now we pass to a description of R. Jakobson's model of the Factors and corresponding, *but never mutually exclusive*, Functions of Communication, which, as we said above, we'll make use of to talk about the rhetorical aim of texts, globally-speaking. And, as rhetorical aim is a contextual variable that affects more than just textual meanings, there is linkage between Jakobson's model and the whole notion of functional variety of text, or text-type, or register, as well. The description that follows owes much to the outline provided in Taylor Torsello (1984: 45-46). Fig. 6, below, outlines the model:

## FACTORS OF COMMUNICATION

**Context**

**Message**

**Addresser**                    **Addressee**

**Contact**

**Code**

⇕

## CORRESPONDING SCHEME OF FUNCTIONS

**Referential**

**Poetic**

**Emotive**                    **Conative**

**Phatic**

**Meta-lingual**
**(Meta-textual)**
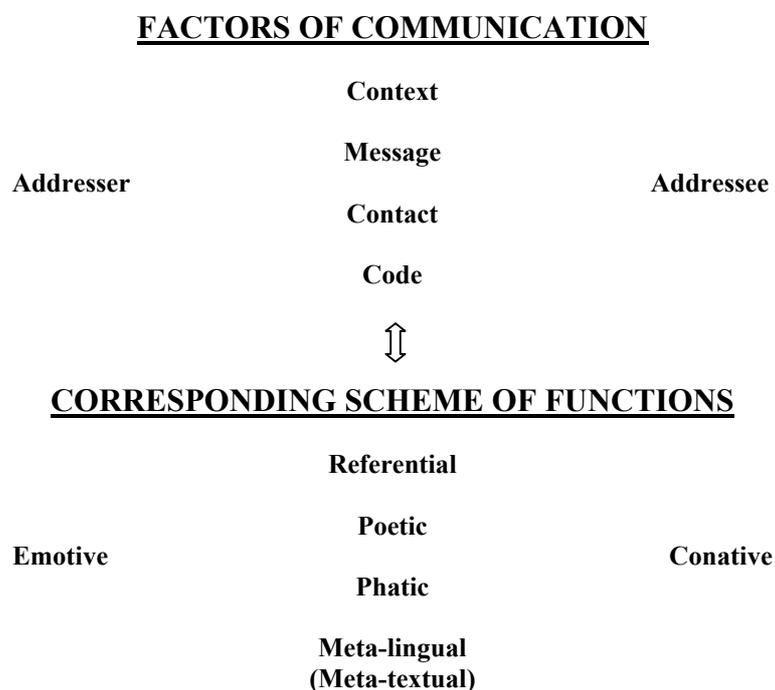
**Fig. 6 – Adapted from Jakobson 1960: 353; 357**

Let's now take each of the categories of function, or purpose, or language use, one by one, remembering that an *overlap* of these in any one text is the norm. In other words, though additional functions are usually subordinated to a primary one, texts are rarely mono-functional! Also to be remembered is that there is *not* the same kind of relationship between Jakobson's 'functions' and grammatical realizations as there is, in Halliday's model, between the semantic meta-functions and grammatical realizations, between meanings and wordings.

The **Referential** function is seen as being oriented towards the **Context**, be this 'real' or 'imaginary' (i.e., 'fictional', or simply linguistically constructed). If a text has a

'primary' referential aim, then it is primarily focussed upon 'reality' that is external to the text itself. A newspaper article, reporting, say, a fire, may be a good example of such focus.

The **Emotive** function focuses on the **Addresser**, the speaker/ writer of the text, and his/ her opinions and attitudes. Evidence of this function is found in the typical lexico-grammar of the clause as exchange: Mood, Modality and Appraisal options, as well as in the prosodic features of spoken language, through all of which the speaker (as *I*) participates, or intrudes, into his/ her text. The emotive function is said to dominate, to be primary, when that intrusion, concerning the speaker's *self*-expression, is overwhelmingly the focus of the communication.

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

The **Phatic** function, a term which also comes from the work of Malinowski (1923), focuses on the factor of 'Contact'. Language is used, that is, primarily to make and/ or keep contact with the 'other'. What we call 'small talk' is a good example of this often ritualized kind of communication, talk that is not overtly oriented towards giving or demanding information or 'goods & services', but mainly towards getting and staying 'in touch'. Jakobson (1960: 355) offers a segment of conversation from a short story by Dorothy Parker (1939) as eloquently illustrative of this aim:

> […] "Well!" the young man said.
> "Well!" she said.
> "Well, here we are", he said.
> "Here we are", she said. "Aren't we?"
> "I should say we were." He said. "Eeyop. Here we are."
> "Well!" she said.
> "Well!" he said, "Well […]"

This particular 'phatic' communication takes place in a hotel room between two newly-weds, too embarrassed or nervous to be able to say anything of any significance.

No real information is being given. The fact that *they are there* is quite obvious to them both! And yet, from what we've just said, we suggest that there is another factor being focussed upon here: the addresser(s), whose emotional state can be gleaned from this very 'small talk' as well – on the basis of our cultural knowledge of what newly-weds (in the 1930s anyway!) might be 'feeling' in this situation type.

The focus is on the **Code** (or on language itself) in the **Meta-lingual** function. It is this function which is primary in questions such as "What kind of Process is *think*?". But this function plays an important role in everyday language too: "What did you mean by that?!" To this function of Jakobson's, we will add the **Meta-textual** one, meaning a focus on *text*, rather than on discrete elements of the clause, as, e.g. in: "The register of this *text instance* can be classified as didactic."

The final function in Jakobson's model is the **Poetic** function, where focus is on the **Message** itself, its form, its sound and/ or shape. It is important to make it immediately clear that this function is to be found *even outside poetry proper*. Many different types of text use what are often called 'poetic devices' (e.g. alliteration, assonance, even rhythm and rhyme): advertising and electoral discourse foremost among them. At the same time, as Jakobson points out (1960: 357), even poetry has overlapping functions. Besides the 'poetic' one, lyrical poetry, oriented towards the first person (*I*), has an emotive function as well. The epic poem is also referential and the conative function is in evidence in poetry exhorting to some sort of social or ethical ideal or action.

But more needs to be said about this poetic function, as its distinguishing characteristic is what Jakobson has called **Grammatical Parallelism**, which SFL includes as a **structural cohesive device** realizing textual meanings at the level of the clause as message.

Indeed, grammatical parallelism is what Jakobson (1960: 358) called the empirical linguistic criterion of the poetic function. It consists of the regular reiteration of *equivalent units*, such as, in increasing order: sounds (or phonemes); syllables (or morphemes); metrical feet; words; groups and clauses – i.e., lexical units, but also simply structural ones. In addition, Jakobson theorizes that this phenomenon of a regular repetition of grammar, or "recurrent returns", call forth a corresponding **recurrence of meaning, of sense**. Parallelism, in fact, is closely linked to the

mnemonic, incantatory powers of the oral tradition, or 'orality', which has always been theorized as involving a repetition of sense (Ong 1967; 1982). Thus, **grammatical parallelism** is seen as being *at the same time* some sort of **semantic parallelism**, and *not* just at the level of textual meanings, meaning that ideational and interpersonal meanings are often being reiterated too. From the SFL point of view, as we've said above, parallelism functions as a structural cohesive device, one however that gives a notable 'surfeit' of cohesive harmony, or *more* than what is 'needed', for which some *other* purpose (other than that of cohesion) must be sought. But let's take a look at the phenomenon in a poem:

> Cruelty has a Human Heart
> And Jealousy a Human Face,
> Terror the Human Form Divine,
> And Secrecy, the Human Dress
>
> The Human Dress is forgéd Iron
> The Human Form, a fiery Forge,
> The Human Face, a Furnace seal'd,
> The Human Heart, its hungry Gorge.

*(William Blake,* A Divine Image, 1790-91)

Here we can note:

- *Reiteration of sounds*:

/hu:/ of *human* and /ha:/ of 'heart'
/feɪ/ of *face* and /fɔ:/ of *form*
/mæn/ of hu*man*
the definite deictic: /ðə/

'Sound symbolism' is hardly an exact science, but even without attempting to identify what 'meanings' such sound repetition may be simultaneously reiterating, we can point out the increased 'listen-ability' of the poem (an attention-getting device in itself) as a result of such repetition. Adding to such listen-ability, there is a:

- *Reiteration of metrical feet*: basically iambic pentameter (5 feet of an unstressed followed by a stressed syllable – **x /**), with slight variations. And a:
- *Rhyme pattern*: abcb cded (reiterated rhymes: *Fac̲e̲/ Dres̲s̲* and *For̲g̲e̲/ Gor̲g̲e̲*)

**Experiential meanings** are reiterated through:
- NGs:

*Human* – 8 times!; twice each: *Heart*; *Form*; *Face*; *Dress*. And

- clause structure, (implicitly) repeated: the relational Processes: X is/ has Y. What is the Possessed in the first stanza becomes the Identified or Carrier of an Attribute in the second:

X  has  *Human* Y"  (first stanza)
*Human*  Y  is  Z  (second stanza)

Then, there is a repetitive scheme of the **logico-semantic relation** of paratactic extension: addition (*AND*), repeated twice (Ls 2 and 4) in the first stanza. In the second stanza the relation is the same but only implicit.

But it is highly typical to find such devices at work in poetry, especially in conventionally metrical and rhyming poetry, such as the poem above. Here its primary function is indeed 'poetic', a means of the de-automatization of grammar which verbal art typically performs (Halliday 1982; Hasan 1985/ 1989).

An advertisement provides a good example of how 'poetic devices' can be used with different aims, in this case typically a conative/ persuasive one. A recent ad for the credit card, "Master Card", reads:

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

In the first 3 lines above, we have the repetition of the *in*complete clause structure:

'nominalized Act (*paying your* X *bill) while* doing Y: cost'

- where Y is always equal to a form of child's play, the pleasures of which are made to contrast, three times, with (reiterated deictic possessive) *your* simultaneous act of paying some kind of bill. Then, in the last line, the culminating point of the message, the paying-playing order is reversed and the specific prices are replaced with quasi-antonym *priceless*: a message that is far more effective coming after the grammatically (and semantically) parallel first 3 lines than it would have been on its own. So then, besides the 'poetic' function which results from this focus on the message itself, there is a persuasive message, focussing primarily on the addressee. Indeed, persuasion (to *use* "Master Card") is undoubtedly the primary aim of the text. In addition, a focus on context (a mixture of the 'real' – bill-paying – and the 'imaginary' – child's play for adult bill-payers) gives us a less important referential function as well.

17

Another text-type in which parallelism typically appears is the political speech, especially in 'key' parts, such as the 'finale', or any stage in which the 'rhetoric' is high and the addressees are being enmeshed in networks of nebulous meanings that are more 'felt' than 'understood'. Indeed, in this register, parallelism can be seen to be working to compound such meanings into one robust fabric which is only penetrable, permeable, extricable, with great cognitive and critical effort. The following segment comes from the finale of Ronald Reagan's 1984 presidential (re-)nomination acceptance speech to the Republican Convention:

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

There would be much to say about the phenomenon of parallelism here is this brief segment, but we'll limit our comments to the most obvious instances, this time in descending order of unit size:

- *Clause structures*:

- **Her X is Y**, (i.e., Carrier ^ Proc: rel: attributive ^ Attribute), where X = *heart*, *door*, *future* and Y = *full*, *golden*, *bright*;

- **The X (+ prepositional phrase (PP) as qualifier) = the X (+ another PP as qualifier)**, (i.e., Identified ^ Proc: rel: identifying ^ Identifier): *For the strength in her arms is the strength of her people*;

- **A has B enough to C**: *She has arms big enough to comfort and strong enough to support*;

- And the formulaic prayer: **God bless X**, **God bless Y**, where, in US political discourse, X is always *you* and Y is always *America*.

- *Groups*:

Deictic + Thing abounds, giving us the reiteration of specific

- *Words*:

*She*, *strength*, *arms*, *her*, *America*…, which add to a series of reiterated

- *Sounds*:

/s/, /ʃ/,/z/, /r/, together with /ʌn/ and /ed/. There is even a use of presumably dactylic feet (/**xx**) in the:

- *Metrical pattern*: *unafraid, unashamed and unsurpassed.*

How are these "gorgeous grammatical tropes and figures" (Jakobson 1960: 375) working? The reiterated relational structures serve to stress, in a cumulative crescendo, the positive attributes and powers of America, personified, as do the reiterated words *strength* and *arms* as well. Again, sound symbolism is hard to pin-point, though we can hypothesize the 'pleasing' (reassuring?) quality of certain fricatives and semi-vowels, and, in reoccurrence, their mnemonic quality. Furthermore, negativity works positively in the reiterated, stressed morpheme *un-*, denoting America's *lack* of fear, shame and rivals. The full effect of parallelism in this segment is, as in a certain kind of 'purple' poetry, (patriotically) 'poignant' to the point of being sentimental, but it is clearly not poetry. In addition to this 'poetic' function then, it seems fair to say that churning up hard-to-resist 'good feelings' in the addressee (disposing him/ her to voting for the speaker in this particular case) would appear to be the main rhetorical (conative) aim, although to better 'prove' this we would need to analyze, from a shared cultural world view, the rich patterns of appraisal being interwoven in the text, which we won't take time out to do. We will say, however, that the at least implicit positive Affect of the addressee towards his subject matter, *America*, also gives the chunk an emotive function. As said, overlap of the functions in Jakobson's model is the norm.


**2.4** At this point we can better proceed with our treatment of register, or language variation according to use, as already defined above. Register, however, must be immediately distinguished from another kind of language variation, which is **dialect**. So we will now proceed to a comparative description of the two.

Dialect is "a variety of language according to the *user*", rather than, as with register, according to *use* (our treatment of these notions is taken from Halliday, in Halliday & Hasan, 1985/ 1989: 41 ff.). As Halliday describes it, dialect depends in principle on *who you are* rather than on *what you are doing*, as with a register. 'Who you are' means where you come from, both in terms of geographical location and social structure. Regional dialects are the result of geographical positioning, while modern urban dialects primarily reflect social (hierarchical) positioning. An extreme case of dialectal differentiation is what Halliday calls '**anti-language'**, which construes sharp

divisions within the social structure (also see Halliday 1978: 164-82 and Kress & Hodge 1979: 70-76 (2nd ed.n, Hodge & Kress 1993: 71-77).

As Halliday also makes clear, different registers are saying *different* things, while dialects are basically all saying the *same* thing, but in different ways. As a result dialects tend to differ *not* in the meanings they express but in the ways of realizing those meanings: i.e., in their grammar, their vocabulary, their phonetics and phonology. On the contrary, what registers differ in is precisely their meanings. Register indeed is basically a *semantic* concept. As a consequence of course, they too will differ in grammar and in vocabulary, because grammar and vocabulary are precisely how meanings are realized, how meanings become accessible to us.

However, although the concepts are distinct, Halliday also underlines the fact that in many cases there is no unmistakably clear distinction between register and dialect; sometimes they can be interconnected. Once again, 'fuzziness' enters in, mainly due to the reality of social diversity. As you know, the division of labour in society causes different social groups to typically take part in different kinds of activities. The result is that different social dialects get associated with different registers, indeed that certain registers *demand* certain dialects. The example that Halliday gives of this phenomenon is what he labels 'bureaucratic registers', noting the appropriate 'fit' with standard language dialect that these require. In addition, some people can 'switch' easily from one register, and even one dialect, to another. Others haven't the background social experience that allows them to do so. And, not everyone has the same idea of what meanings, or ways of saying, are appropriate to given contexts of situation. The theory of Bernstein regarding **elaborated and restricted coding orientations** (e.g. 1971 & 1973, also see Halliday 1978: *passim*), goes a long way towards explaining the reasons for all this. We will be making an excursus into Bernstein's codes presently, in section 2.4 below, as they too will be relevant to our analyses. In closing this section, we remind you that the table comparing/ contrasting register and dialect which Halliday provides (in Halliday & Hasan, 1985/ 1989: 43) is a useful summary of the differences between these 2 concepts.

**2.5** Although Bernstein's thought on **coding orientations** is also hard to synthesize, we think that it is worth at least introducing. As Hasan has remarked, code is a "key

concept", one that helps us to bridge the gap between language and social structure (1973: 270). Indeed, Bernstein's work is rooted in wider considerations concerning the structure of power and the control of knowledge in society – much wider than we can elaborate on here.

As a sociologist who was, however, interested in language and education, Bernstein developed the concept of code as a tool for theorizing the relationship between elements of the social structure and the kinds of language used in communication. He saw that members of different social strata tend to use different 'codes' in the same social contexts. In his analysis, the relationships within and between social groups would appear to generate, distribute, reproduce and legitimate certain forms of consciousness, and so also certain forms of communication. These forms are then responsible for 'transmitting' the more or less dominant, and dominating, codes by which individuals are 'positioned' in society. And it is through what he called '**critical socializing contexts**' that such transmission takes place, that we individuals are 'positioned'. These include the home, the classroom and the peer group in which we grow up and are 'socialized'.

So then, *which* social category a person gains access to determines *which* coding orientation one tends to acquire. That is, Bernstein saw the process as being to a great degree regulated by one's class membership, as being, in short, culturally-determined. He theorized **2 basic 'role systems'** at the foundation of all social relations: the **communalized** and the **individuated**. Each of these tends to produce an orientation to a different code. What follows is an over-simplified description of these role systems [1].

Where the communalized role system dominates, we are likely to find rigidly scripted, unambiguous, communal beliefs, value and attitudes at work. Along with these, goes a tendency *not* to analyze or question the principles underlying them. Within this role system, the emphasis is on the concrete social practices, the doings of the community, which manifest the group's belief and value system. As a consequence, personal relations tend to be 'positional' – i.e., what counts is *what* you are rather than

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[1] You will note that Bernstein's role systems and resulting coding orientations share certain characteristics with the concepts of inter- and contratextuality and the 'forces' of Bakhtinian heteroglossia described above. Beware, however, of confusing and/ or conflating these notions, as they do not invariably or necessarily overlap. The best advice is to keep these theoretical models distinct in your analyses of single instances of text, noting convergences only if and when they emerge.

*who* you are, as an individual. As a further result, interpersonal meanings tend to be treated as 'givens', and so realized implicitly. Moreover, all meanings are inclined to be more closely linked to their context – to be, i.e., context-*de*pendent. The code which Bernstein correlates with this **communalized role system** is the **restricted** one.

Conversely, in an individuated role system, situations are more 'open'; they are less likely to be pre-categorized, or 'framed', too strongly, or irrevocably. There is also more of a chance that individual beliefs and values will be taken into account and be able to modify an interpretation. There is more space for scrutiny, and analysis. Questioning is permitted: of categories, classifications, and even of the underlying principles used to explain 'doings'. As a result, inter-subjective relations tend to be more 'personal' (rather than positional) and interpersonal meanings tend to be more explicit, because less taken-for-granted. In addition, meanings in general are also more context-*in*dependent, self-sufficient. It is the **elaborated code** that Bernstein correlates with the **individuated role system**. Fig. 7, below, represents the development, via these role systems, of the codes.

| *general category* | *specific sub-types of category* | |
| --- | --- | --- |
| role-system | communalized | individuated |
| mode of control | strong boundaries | strong or weak boundaries |
| focus of interest | on practice | on underlying principle |
| nature of meaning | context dependent | context independent |
| | (*idealized*) restricted code | (*idealized*) elaborated code |
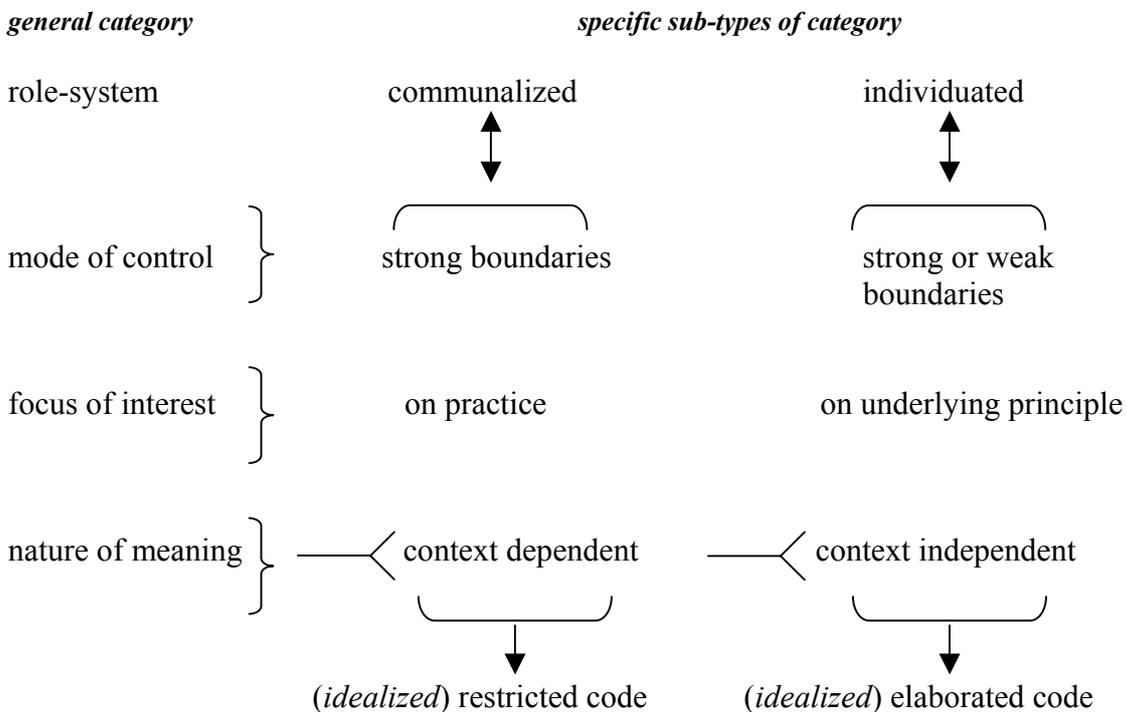
**Fig. 7 – Adapted from Hasan, in Bernstein 1973: 283**

Again we remind you that these notions can only be summarized, as we are doing, at great risk! As analytical tools, the categories are highly simplified and idealized, whereas, as Bernstein himself points out, the degree to which individual people are positioned within these categories is highly variable. Furthermore, as he also stresses, this is not a 'deficit' theory; neither code is essentially 'better' than the other – the perfectly 'well-rounded' person, indeed, would ideally be able to handle either code easily. This is because both codes have their advantages, but also their disadvantages. We will now state very briefly what these are.

The **restricted code** regulates a language of consensus, and consensus-creation. It gives its users access to a vast and potent variety of cultural meanings. However, since it is rooted in common cultural norms, it does *not* give its users access to the perception of, and the construction of, alternative realities. It does *not* help to cultivate a critical stance towards dominant ideologies.

In fact, in order to be able to question a commonly accepted cultural paradigm or world view, and to be able to propose alternative ideologies, it would appear that one needs a language which is regulated by the **elaborated code**. Such a language potentially gives its users the tools for a continuous re-examination and re-formulation of the way things 'are'. As a result, they are more prone towards analysis and questioning, much more than the user of a language regulated by the restricted code can ever be. Indeed, only the elaborated code gives a person access to the grounds of their own socialization processes, and therefore also gives them the possibility for developing a critical stance towards these.

But the elaborated code is *not* common property. Unsurprisingly, one of the effects of the class system in many nations is to *limit* access to this elaborated code, by limiting access to higher education, where it gets further refined. Therefore, and in a less positive light, it must also be seen as a tool in the hands of power and the powers-that-be, the power-ful. And, as Halliday makes clear,

> The elaborated code is not merely the code in which the genres of power are written; it is the code in which material and social reality is construed from the standpoint of those who dispose of it. (1992: 71)

And so it is a semantic style with less positive, more potentially pernicious, aspects too. In addition, it also carries with it the risk of alienation, the risk of a psychologically

dangerous split between feeling and thought, and also between 'self' and 'other' – if, that is, it is not accompanied by the 'warm', communal role obligations and meanings that the restricted code, for all its more 'negative' aspects, gives a person access to.

As we know, it is the *system* of the language that the text-maker accesses in order to make meaning and to construe ideology, generally speaking. But, as Halliday points out, (1992: 70-71), Bernstein must be credited for having understood that the specific *way* in which the resources within the system are typically deployed, that is, the specific *way* that the meaning potential is taken up and exploited, is *different* for the two major social structures in our western societies. Members of the working class will typically select for one code: the restricted, while members of the middle class do not only select for the other code – the elaborated – they usually have the possibility of ranging over both. This gives them a privileged linguistic and cultural position.

But it is time we got back to register, which we will do immediately, by making **the connection between the theory of codes and register theory** explicit. In Halliday's model in fact, **code is what will determine register in the final analysis**. This is to say that, when Context of Situation activates the semantic meta-functions which are then realized in and by a set of lexico-grammatical options, **it is code that regulates the whole process**.

However, it is less easy to say *which* concrete lexico-grammatical features are typically realized by the respective codes. Indeed, Hasan suggests (1973: 265-66) that it is **best to state the distinctive characteristics of each code in terms of semantic structures**, or meanings, rather than formal patterns of wordings. Halliday (1992: 71) proposes that the **restricted code** gives one an orientation towards **the concrete and particular in ideational meanings** (shunning ideational metaphor) and towards **implicit interpersonal meanings**, whereas the **elaborated code** will give an orientation toward more **ideational abstraction and generalization,** and thus towards **ideational metaphor** (which, as he points out, equals power), as well as towards **more explicit interpersonal ways of meaning**. For example, Hasan's suggestive empirical studies (e.g., 1989) found that working class mothers tend to use an imperative style of controlling their children (e.g. 'do/ don't do X'), while middle class mothers are more likely to express point of view with projections, i.e. using subjectively explicit Modality (e.g. I think you should/ shouldn't do X'). Moreover, they even tend much more to ask

their children's opinions and to offer further explanations of *why* something should/ shouldn't be done. This implicates an elaborated coding orientation to the child as an *individual*, towards him/ her as a *person* (Williams 2001: 38). In terms of **textual meanings**, we can say that, in comparison to the restricted code, the elaborated code tends to give us, e.g., texts whose reference is more endophoric (i.e., textual) than exophoric (i.e., situational), and thus that are more 'self-sufficient', or context *in*dependent, which means that one doesn't need an intimate knowledge of the context of situation which activated the text in order to understand it (Halliday & Hasan 1976: 33-37). **Logical meanings** across texts may tend to be more explicit as well.

**2.6**  Now we can concentrate further on registers. As Halliday also stipulates (in Halliday & Hasan, 1985/ 1989: 39-40), these can be **closed** (restricted), or **open** (less restricted), and all registers should be seen as being located somewhere along a **cline**, or **continuum**, between two extremes. Examples of highly closed registers, in which there is practically no room for individual creativity in making meanings, are: the communication between the crew of an airplane and ground control and the language of most games. Slightly less closed, but still highly conventional in their realization, are menus, recipes and greeting cards. Slightly more open are technical instructions and legal documents of various kinds. Still more open are service encounters (e.g., buying and selling encounters in a shop) and doctor-patient talk. Towards the more open-ended side of the continuum are the forms of discourse we use to persuade people, entertain them or teach them. Informal narrative and spontaneous face-to-face conversation are located at the extremely 'open' end of the cline. Yet *no* register can be considered totally open. This is because, as we've already said, communication is based on the possibility of making guesses, predictions, about what people are going to say. The ways of meaning and saying of all registers are, at least to some degree, pre-scripted for us. We are never wholly 'free' to select these from the resources of our linguistic system. We will be looking at and analysing texts of various degrees of open-ness in this course.

Another reason that no register can be seen as totally open is that, although from one point of view it is true that every text is different from every other text, from another point of view, it is equally true that every text is in some way like other texts.

This means that there are 'classes', or 'sets', of texts that 'belong' together. Indeed this is what allows us to talk about registers. But, at the same time, it also means that there will always be a certain degree of overlap between the ways of meaning and saying of different registers. There are basically two reasons for this. Firstly, and obviously, the system of the language, though enormous in its potential, is not infinite. For instance, the choice for instantiating the first person singular subject in English is "I", and always "I", whether it be within a marriage ceremony, a greeting card, a service encounter, classroom discourse, an electoral speech, a Shakespearean soliloquy, and so on. Secondly, the purposes of different registers may often also overlap, thus to some extent their meanings and wordings will do so as well. Good examples, as we've seen, are the advertisement and the political speech in the Anglo-American tradition, which often make use of what we call 'poetic devices' (grammatical parallelism of all kinds) for ritualistic rhetorical purposes yet are surely not poems. These texts all aim to some degree at being listen-able, and memor-able and to reiterate meanings by reiterating wordings, and so share a 'poetic' function, but the primary purpose of the ad and electoral text is clearly totally different from that of the poem: to persuade the hearer do something, to buy the 'product' (which in the case of the latter means voting for the speaker (Miller, 1993b: 190-192)).

So then, at this point is should be clear that registers are: 1) typically associated with particular types of situation, or CCs; 2) typical semantic configurations, to which are linked typical conglomerations of lexico-grammatical features that realize them. This is to say, once again, that any changes occurring in the three components of the Context of Situation – its Field, Tenor and Mode – are what we investigate to understand how *variations* in these *systematically* affect the language of a text. This claim is at the base of the theory of register, which describes just how the immediate situational and socio-cultural context of a text determines its language. Field, tenor and mode, therefore, are also called **register variables**, and a description of the values of each of these variables, in a particular context, in which a particular text is being created, consequently gives us a good working description of the **register** to which the text can be said to belong.

In addition, registers can vary, again along a cline, from being:

- ***action-oriented registers***: when the Context of Situation is one in which there is much 'action' going on and little 'talk';

to

- ***talk-oriented registers***: when the Context of Situation is one where the primary activity is linguistic.

We can also express this fundamental distinction in terms of **language as action** (and a great deal of interpersonal meaning-making is indeed a way of 'acting') *vs*. **language as reflection** (which is another way of saying that ideational (experiential) meaning-making is being foregrounded in a text). However, as very frequently happens, we can have many borderline, 'fuzzy' cases in which these two orientations are conflated. The kind of Classroom discourse in which the teacher can aim at combining theory with practice will give us an example of a register which demonstrates such a conflation.

For those of you who are interested in pursuing these topics, Ghadessy (1993) provides a variety of theoretical and practical studies of register analysis.

**2.7** At this point we need to review our 'realizatory' **model of text creation**, with which you are of course already familiar. This is reproduced again for you below in Fig. 8 below, which represents language as a **multiple coding system** in which the variables of the Context of Situation are seen as activating/ determining select meanings (semantic meta-functions) which are then systematically realized/ made accessible to us in the wordings (lexico-grammar) of the text itself, with reference to the various functions of the clause. It is time, however, to introduce another 'fuzzy' aspect of language, and so also, necessarily, another 'fuzzy' aspect of our descriptive model of language.

Essentially then, the figure below represents the way things work 'typically', but it is *not* to be interpreted as an automatic 'hook-up' hypothesis between the 3 situational components, the 3 semantic meta-functions and the lexico-grammar of the text as realized in the 3 functions of the clause: as representation, as exchange and as message (Thompson 1999). It outlines, that is, the 'typical' way that the text creation process works, but it is *not* possible to claim that there is an invariable one-to-one correspondence between the components of the strata. Often, for example, a combination of variables from more than one component of the Context of Situation

might motivate the appearance of an element in the text. It may also happen that one component turn out to be a stronger determinant than any other of more than one kind of meaning, and thus of various lexico-grammatical features of the text. This is also why we adopt Hasan's notion of the CC, which helps us to keep in mind that we should not try, inflexibly, to relate all aspects of a text's structure to individual situational headings.

Still, if the need for flexibility is kept in mind, the figure produced below is useful as a global vision of the text creation process and also serves as the basis of the '**Text Analysis Checklist**' provided in **Appendix 1**.

# PROCESS OF TEXT CREATION

| activates | | realized in + by |
|---|---|---|

| **Context of Situation** ⇒ | **Semantics** (meanings) ⇒ | **Lexico-grammar** (wordings) |
|---|---|---|
| **I  Field** "What's going on?" | **Ideational** Speaker as Observer | **Clause as Representation** |
| | Experiential meanings → | Transitivity Structure |
| | Logical meanings → | Clause Interdependency (taxis) Logico-semantic relations |
| **II  Tenor** "Who is taking part?" | **Interpersonal** Speaker as Participant/ Intruder | **Clause as Exchange** MOOD, MODALITY, APPRAISAL SYSTEMS |
| **III  Mode** "How are the meanings being exchanged?" | **Textual** Speaker as Text-Maker | **Clause as Message** Thematic + Info Structure, grammatical parallelism/ non- structural cohesive devices/ discourse structure |

**Fig. 8 – The Process of Text Creation – based on D.R. Miller, 'English Linguistics' lecture notes: AA 2000-01**

## 2.8  In closing

We have now come to the end of this first part of these course notes, the 'Preliminaries'. What we aimed to do in this part was, firstly, to review and refine

certain SFL and FG notions which you were already familiar with. Secondly, we wanted to introduce systematically the concept of register, to compare it with genre theory, to show how Jakobson's model of communicative factors and their corresponding functions can be useful in talking about a text's 'rhetorical aim', which we locate in mode, and to link register up to the theories of inter- or contratextuality, heteroglossia and code.

In Part II of these notes: "From Theory to Practice. Illustrating TOP→DOWN analysis", you will be seeing two detailed analyses of this kind performed on examples of two different registers. Remember, TOP→DOWN analysis allows us to make predictions of probable clusters of patterns of meanings and wordings made on the basis of a knowledge of the Context of Situation of the text instance, and indeed such predictions will be the first step in these analyses. In Part III, "Illustrating Bottom→Up analysis", we will work the opposite way with one instance of still another register, beginning with the wordings and the meanings these instantiate and then proposing a description of the Context of Situation that can be: 1) inferred from these wordings and meanings and also 2) said to have activated them.

We would say one word more, however, before we proceed, about the abstract cultural-contextual dimension we spoke of in our introduction above: i.e., the social-semiotic system of meanings known as a **belief and value system**, or a **world-view**, or **cultural paradigm**, or **ideology** – which, as we said there, can be broadly defined as the common sense, taken-for-granted assumptions, interests, values, and biases that groups give to or have towards their world. We must, that is, also recognize that differences between texts is the result of differences between the ideologies of text-producers and thus of the functionally-motivated ideologies the texts will construct. All social interactants bring their relative positions of power, their beliefs, their special interests etc., to their texts, i.e., to their roles as speaker-as-observer, -as -participant and as -text-maker. This dimension of the process of text creation is one that must not be overlooked in analysis.

# Exercises to Part I

## Ex. 1: Multiple Choice

| 1. | **Culture** is NOT<br>**A) a set of semiotic systems**<br>**B) a total set of meanings available to a community**<br>**C) based on a belief and value system**<br>D) located at the linguistic level of analysis | A B C D |
|---|---|---|
| 2. | According to SFL, a **text** is NOT<br>A) language that is functional<br>B) the smallest meaningful unit of grammar<br>C) a product and a process of its environment<br>D) language in context | A B C D |
| 3. | The **CC**<br>A) comprises the total values of field, tenor and mode<br>B) regards solely what is going on<br>C) regards solely human interactants<br>D) is the message of the text | A B C D |
| 4. | According to SFL, the **grammar** of a language is<br>A) an abstract set of rules<br>B) the set of linguistic resources available to us for making meanings<br>C) concerned solely with syntagmatic structure<br>D) divorced from the social | A B C D |
| 5. | **Register** is NOT<br>A. language variation according to use<br>B. related to what you are doing with words<br>C. a semantic concept<br>D. the result of one's social position | A B C D |
| 6. | In Halliday's model, Bernstein's **'code'** is considered to be<br>A. what ultimately determines register<br>***B. an explanation of the context of culture***<br>C. about intertextual meanings<br>D. determined by register | A B C D |
| 7. | Which of the following is NOT a characteristic of Bernstein's **communalized** role system?<br>A) an emphasis is on social practices<br>B) being based on communal beliefs, values and attitudes<br>C) an emphasis on who, as an individual, you are<br>D) an emphasis on the doings of the community | A B C D |
| 8. | Bakhtin's theory of **heteroglossia** is NOT linked to:<br>A) the theory of inter- and contratextuality<br>B) the existence of diverse voices within communities<br>C) the ENGAGEMENT SYSTEM within appraisal theory<br>D) rhetorical structure theory | A B C D |
| 9. | Language regulated by the **elaborated code**<br>A) is a potential tool for questioning widely-accepted beliefs<br>B) is mainly a language of consensus<br>C) does not help to cultivate alternative ideologies<br>D) is rooted in common cultural norms | A B C D |

| 10. | According to Halliday, as far as **ideational** meanings are concerned, Bernstein's **restricted code** gives an orientation towards:<br>A) ideational metaphor<br>B) nominalization<br>C) the concrete and the particular<br>D) generalization and abstraction | A B C D |
|---|---|---|
| 11. | The idea of **intertextuality** proposes that the meanings of a text are<br>A) divorced from the meaning-making practices of the community<br>B) not connected to a specific context of culture<br>C) connected diachronically and synchronically to other meaning-making practices<br>D) connected to the author of the text | A B C D |

## *Ex. 2* **Fill in the blanks with one of the options provided below (use each option only once)**:

- Because texts belonging to the same **register** will have meanings in common, they will also share patterns of (-1-).
- In analysing the wordings and (-2-) of a text, one can infer the (-3-) which has activated them.
- The relation between text and context is a (-4-) one: i.e., a text is the result of the context in which it (-5-) and, conversely, the context is also being (-6-) by the text.
- We have proposed that Lemkean **intertextuality** can be seen to function in a similar way to the Bakhtinian (-7-) force of heteroglossia, while Martin's **contratextuality** can be seen as quasi-synonymous with Bakhtin's (-8-) force.
- According to Bernstein, the **communalized** role system leads to the (-9-) code.
- According to Halliday, registers should be seen as being located along a cline, or continuum, between (-10-) register types.
- In terms of **textual** meanings, the **restricted code** tends to give us texts whose reference is more (-11), and thus to give us texts that are more (-12-).

(a) dynamic; (b) context-dependent; (c) centrifugal; (d) context; (e) open and closed; (f) centripetal; (g) meanings; (h) functions; (i) restricted; (j) created; (k) exophoric; (l) wordings.

## *Ex. 3 Answer the following questions:*

- Describe the three main **dimensions of variation** that characterize any register.
- What are the positive and negative sides of the **restricted code**?
- Provide examples of highly, and slightly less, **closed registers**.
- What is the difference between **action-oriented** registers and **talk-oriented** registers?
- According to Halliday, what kind of **interpersonal** meanings is Bernstein's **elaborated code** oriented towards?
- According to Jakobson's model of the corresponding factors and functions of communication, will a text have only one communicative function? If so, why? If not, why not?
- Which factors of Jakobson's model correspond to what he calls the **'phatic'** and **'emotive'** functions?

# PART II

## From theory to practice:

## Illustrating TOP→DOWN analysis

# 3. The 'Didactic' Register: one instance

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

Let us work TOP→DOWN, and begin with a description of the typical Context of Situation of the university undergraduate lecture environment – the one that you have been used to in your FG courses for example. From there, we will attempt to predict the meanings and wordings that will be likely to result – typically – from this general CC and particular situation of context. Remember, working TOP→DOWN allows us to do this. In doing this work, Fig. 8 above, along with the **Text Analysis Checklist** (in Appendix) will be closely followed. The possibilities for grammatical realizations will certainly not be exhausted with the predictions we make, but enough will be said to give you a good idea of what it is we're trying to do, and how we are suggesting it should be done.

Finally, we will look at a short segment of a comparable authentic text-as-product: the beginning of one lesson from a recent academic year's course in *English Linguistics* in our Faculty of Foreign Languages and Literature at the University of Bologna. The lesson was audio-recorded at the time and then transcribed, and it is solely this written transcription that we will be investigating. The ultimate aim of our analysis will be to see to what extent the predictions we made can be seen to prove reliable. But remember, what we are doing is identifying the typical conglomerations of lexico-grammatical features of this register *as they are instantiated in this ONE text only*. That is, we are *not* claiming to offer all-inclusive typical characteristics which are valid for each and every text belonging to the register. That would be possible only after extensive in-depth research into a very large corpus of texts of this type.

**3.1** *The Context of Situation of the Didactic Register → Predicting Meanings and Wordings*

### 3.1.1 *The Field*

- The kind of **ongoing social activity** taking place is that of the lesson (teaching/ learning activities), in the specific lecture spatial setting of the university classroom.

- The specific **subject matter** of that lesson is text analysis in a SFL/ FG perspective.

*As a result, we can predict that:*

- The **ideational (experiential) meanings** of the text, realized by its **transitivity structure**, will typically feature mental **Processes**, linked to the cognitive and perceptual activities of the lesson environment. In addition, however, relational Processes will most likely be important, as their job is to define, describe and classify, and these are all activities that are also linked to the lesson, but to the specific subject matter of linguistics as well. The **grammatical participants** involved in these Processes will include the animate teacher and students themselves (*I*, *you*, *we*) as **Sensers**, maybe even as Do-ers (**Actors**), as well as the inanimate denotational lexis, the meta-language, of the particular subject matter: that of SFL/ FG: *language*, *text*, *context*, *meanings*, *clause*, *NGs*, *VGs*, etc., etc. These might be functioning as Carriers or Identifieds (and/ or Identifiers) in relational Processes, or even as Phenomena Sensed in mental ones. Meta-language is vital to all aspects of teaching, however, and not just to that of the subject matter, English Linguistics, and so one can imagine that **circumstances** may make the **spatial and temporal setting** of the lesson itself explicit (e.g.: "here" and "now"), though spatial **Location** may well be textual, as well as contextual. Circumstances might also specify **Cause** (relating to *why* are we doing what we're doing) and **Manner** (concerning *how* we have to do it) etc. **Tense** will probably vary: from the present of general 'truths', to the real present (continuous) of the here and now didactic activities, or even with reference to what the 'text' is 'doing'; from the past tense of past lessons to the future of lessons still-to-come, and so on and so forth.

- As far as the **ideational (logical) meanings** are concerned, the **clause interdependencies** and **logico-semantic relations** that we can expect to find

will also most likely be varied. As should be obvious, the lecture in English to non-native speakers ideally requires an attempt at fairly simple, straightforward clause construction. This does not mean that all clauses will be single ones, or that parataxis will dominate over hypotaxis. It does mean, however, that the logical connection between them should be mostly explicit, rather than implicit. Ambiguity of language, in short, should not add to the difficulties of grasping new notions. If this is true of the language of the lesson, any lesson, for even native speakers, how much more important it must be for the teacher of EFL students to keep in mind!

### 3.1.2 *The Tenor*

- The human participants taking part in the activity are the teacher and the students. These are their **statuses** (at least semi-permanent social roles), and they are unequal, asymmetrical. This inequality will affect the **attitude** that the teacher takes towards the students and the subject matter, and vice-versa of course.

- The **discourse role** (temporary: that of the present activity) of the teacher is **active** and involves informing, explaining, illustrating and even persuading. The students do not have a constant active discourse role, so we call theirs **passive**. This is a lecture setting remember, not a seminar or work-shop, in which the students would have an institutionally legitimated active role in the discursive event. Nonetheless, even in the lecture, they can legitimately intervene at certain moments to signal that they would like to partake: to ask a question, challenge a proposition, etc., sometimes at the invitation of the teacher. Typically the non-verbal gesture of hand-raising will be the way to signal such a desire.

*As a result, we can predict that:*

- **Interpersonal meanings** will be likely to construe [- solidarity] and [+ distance] between teacher and student. This is the likely result of their asymmetrical respective statuses. Adjustments will need to be made, however, according to both the teacher's own cultural background and the institutional input. In the Italian university, teacher-student relations are still more formal than is typical

of the Anglo-American university system. Such formality may dominate, or, if the teacher is of another culture, say, English or American, then this may be the dominant factor in determining the lesser extent to which the semantic value of distance is realized in the classroom. The point is that these factors are flexible, and it is important to keep this mind.

- **Communicative functions and MOOD SYSTEMS**: It is predictable that the teacher, having [+ knowledge] of the subject matter and [+ authority] to impart it, will be the **giver of information**, making **statements**. As is typical, the indicative: declarative mood will be used to do this. It is also predictable, however, that the teacher will **demand information** at moments, asking **questions**. Most likely these will be **'rhetorical' questions**, however, and be used either primarily to focus the students' attention on information that is forthcoming, or to get them to genuinely answer the question – not because the teacher doesn't know the answer and needs them to provide it, but because making the students come up with it themselves is considered to be good pedagogical practice. At times these may even be used to construe the 'concurrence' of the students regarding some proposition or proposal. At any rate, rhetorical questions are a complex Engagement resource – one resource of the attendant **APPRAISAL SYSTEM of Engagement** – and their functions are multiple and complex. Indeed, it is very likely that the resources of this system will be explicitly in use in the didactic text. Besides the indicative mood and the **propositions** it construes, we can expect to find **proposals**, enacted by the **imperative,** as well, in both its **coercive** and **collaborative** forms. Once again, the teacher has the institutional authority to guide the lesson, imposing his/ her will on its contents and the way it is structured. **'Goods & services'**, probably of a cognitive/ perceptive kind especially, will be **demanded** from the students by the teacher, who may or may not include him/ herself in such **commands**. If the 'let's' form is used, the order is as a result 'softened' and rendered semantically more like a 'suggestion'. The 'offer' of 'goods & services' is a less likely communicative function in such a text-type.

- **MODALITY SYSTEMS**: As you well know, Mood and Modality are intricately connected. To the propositions predicted above, 'epistemic' modality,

or modalization, will be implicitly linked. High value probability/ speaker certainty on the part of the teacher is to be expected when making statements. Perhaps the subjective: implicit orientation will dominate, but there is no reason to exclude the possibility of other orientations being opted for, or even of lower value probability being chosen, perhaps due to a preference for [+ tentative] argumentation. The imperative is always linked to deontic modality, or modulation, so that all imperatives in the text will implicitly be realizations of necessity, and, if they are collaborative, also of willingness on the part of the teacher to participate in the Processes being demanded.

- **APPRAISAL SYSTEMS** As you already know, APPRAISAL SYSTEMS are not only explicitly inscribed in texts. That is to say that the attitude systems of *Affect, Judgement* and *Appreciation*, as well as those of *Engagement* and *Graduation* can be *explicitly* inscribed, or only *implicitly* 'evoked', in/ by a text. In the case of explicit appraisal, specified apprais**er**s use specific linguistic items (NGs, Epithets/ Classifiers, Processes…) which can be seen to be overtly evaluating either a specified Thing (the apprais**ed)** or a specified Person (apprais**ee**). In implied, 'evoked' (or 'token-ed') appraisal such specification is lacking and evaluation is construed through expressions which evaluate *only implicitly*. Ultimately, however, the interpretation of both types of appraisal is strongly conditioned by both the ongoing semantic relationships as they are cumulatively being instantiated in/ by the text (the notion of **semantic prosody**), as well as the belief and value system, the cultural paradigm or world view, within which the text is being produced and which the text can be seen to re-propose, re-legitimate, or not. In short, appraisal in texts is not merely a question of single linguistic items working separately, here and there, in a text. It is rather a question of the simultaneous use of various systems enacting, implicitly as well as explicitly, together and at the same time, various kinds of culturally-rooted speaker attitude and speaker stance (see, e.g., Martin 2000; White 2002, 2003a and 2003b; Miller 1999, 2002 a & b, 2004 a & b, and forthcoming).

Classroom discourse is *not* the most fertile site of explicit speaker evaluation. That is, it is not an environment in which the teacher is typically free to construe his/ her emotional responses (construe Affect), express opinions as

to the propriety etc. of human behaviour (enact Judgement), or even often to evaluate the quality of objects (express Appreciation). However, 'tokens' of these systems may be seen to be construed simply in the use of the specialist lexis of the subject being taught. That is, we are suggesting that in using such lexis a positive Appreciation of the importance of the discipline is implied, together with positive Affect on the part of the teacher in terms of [+ interest] in and [+ respect] for the discipline, as well as even positive Judgement of the 'propriety' of teaching it at all, and even the learning 'capacity' of the students. As said above, however, **Engagement** resources can be expected to be in evidence, as the teacher is constantly positioning him/ herself vis-à-vis the students and the subject matter of the lesson and even attempting to align the students' position to his/ her own. The use of the non-negotiable **monogloss** does this, as does the use of rhetorical questions, as we have already pointed out above. Other resources that will most likely be used also include **attribution**: the use of others' voices – Halliday's for instance! – to support the teacher's own evaluations and speaker stance.

### 3.1.3 *The Mode*

- The text is basically **context-independent**, meaning **self-sufficient**, meaning that one can fundamentally understand it, even without having physically been there. Obviously it would be *better* understood if the hearer had the same background knowledge of the subject matter that the teacher presumes the students to have. It would also obviously help comprehension to be able to see the visual semiotic which was originally at work: i.e., the transparencies that the teacher was simultaneously showing on the OHP (overhead projector), and even her body language, which as we know, always helps to communicate meanings in a culturally-specific way. Still, even without such aids to understanding the text, one can glean enough to call it essentially context-*in*dependent, rather than *de*pendent on its context.
- the **role of language** is both **ancillary**, meaning it is helping some activity to take place, and **constitutive**, meaning that the text, given the subject matter, is also about language itself.

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

- In this kind of text one typically finds a mixture of **language as action** *and* **language as reflection**, with the predominance of the latter, since, as noted above, the setting is the lecture, rather than the work-shop. So we are dealing with **a more talk-oriented register than an action-oriented one**, also due to the subject being taught: language and linguistics.

- The **channel** of the communication is basically **phonic**, rather than **graphic**. Yet, as we've said, the visual semiotic made use of graphics: tables, figures, words…which originally worked together with the oral text spoken by the teacher.

- The **medium** of the text is typically mixed: i.e., coming somewhere between the extreme **'spoken' and 'written'** ends of the continuum. This is because the lecture is not a spontaneous text-type. Rather it is semi-scripted, and so to a certain degree pre-prepared to be delivered. As a consequence, its language will *not* be that of extemporaneous, 'choreographic' talk. Neither, however will the characteristics of the text be comparable to the language of, say, the 'closed' register of the scientific abstract: lexically very dense (meaning having many more content words than grammatical ones per clause) and highly 'packaged' through nominalizations. It will be somewhere in-between.

- Again, due to its being pre-scripted, the **organization** of the text will be – at least hopefully! – more 'rational' than not, and will reflect its:

- **Rhetorical aim**: This is primarily *to teach*. In terms of Jakobson's model of factors/ functions of language, it is principally addressee-focussed, and so primarily **conative** in function, i.e., aimed to get-to-do and to convince/ persuade. Clarity of exposition will therefore be important, including explicit logic-semantic relations between the parts of the argumentation. Of course, its fuller aim is to teach *something*, and so it will also focus on *what* is being taught as well, and thus also have a **referential** function.


*As a result, we can predict that:*

**Textual meanings**, or the **'enabling' textual meta-function**, without which the ideational and interpersonal meta-functions would not find their realization, will be likely to be realized in terms of the following lexico-grammatical devices:

**Structural Cohesive Devices:**

**Thematic Progression:** The 'method of development' (e.g. Fries 1981: 135; Martin 1992a: 434-448; Halliday 1994: 67) of the Thematic structure of the text should be easy for the students to follow, and so one may expect chunks of text with an identifiable Thematic Progression, 'linear' or 'parallel' (Daneš 1974), as the case may be.

**Information Structure:** As we are concentrating on aspects of written text in the course, and indeed have not had time to teach the grammar of spoken language in your past 2 years, we cannot do an analysis of the prosodic features that would be needed to deal properly with this structural cohesive device. Therefore, in analysis, we will merely presume, as one does, the typical unmarked overlap that the Given has with the clause's Theme, and its New with some part of its Rheme. Clearly, however, such an assumption will not reveal the 'creative' use that the teacher will most likely make of the freedom to prosodically accent any element s/he wishes for the purpose of highlighting the New.

**Grammatical parallelism:** Although there is of course no overt 'poetic' function in didactic texts, it is to be expected that some use of grammatical parallelism, of a reiteration of units, will be made, and with the typical aim that Jakobson hypothesizes: to construe a corresponding reiteration of sense, of meaning. Repetition is, of course, a highly valued pedagogic tool.

**Non-Structural Cohesive Devices:** As you also know, the features included in this category are: **reference, ellipsis/ substitution, lexical relations** and **conjunction** (i.e., logical relations *between* clause-complexes, over stretches of text, and so having a textual function as well as a logical one). It is impossible to predict precise textual instances of reference, but we can once more foresee that a need for explicitness will mean that there may be more reiteration of elements than pronominal reference to them. For the same reason, ellipsis especially may be eschewed. It may be more useful to think in terms of the **reference chains** (Martin 1992a; Halliday 1994) and **lexical strings** that will come together to form **participant chains** in the text (Halliday 1994: 337),

functioning cohesively to 'chain' experiential elements throughout the text. Those elements will most likely be the same as those which were predicted under the heading of 'experiential meanings' above: the animate and inanimate grammatical participants, the Processes, etc., with diverse lexical relations obtaining among them (quasi-synonymy, antonymy, hyponomy, meronymy, and collocation). Explicit conjunction can be expected as well, again for the purpose of making the argumentation as clear as possible. Internal temporal ordering of the steps in the lesson is predicted as well – i.e., *first this will be done, then that…*

**Rhetorical/ Discourse Structure/ Staging**  As far as the rhetorical/ discourse structure/ staging is concerned, it is difficult to predict with any precision exactly what the steps will be, as we said above when talking about genre theory. And yet, some sort of 'Statement of Intent' ^ (*followed by*) 'Elaboration' of some nature on this intention, is certainly to be expected.


**3.2**  Our predicting activity has nearly come to an end. Before turning to our authentic didactic text example, however, we would like to hypothesize on both **intertextuality** and on **coding orientations** in that text.

It is fairly predictable that the text will not be 'rocking the boat' too much, meaning it will be likely to make use of resources for making meanings that are synchronically, but also diachronically, conventional for this functional variety of text. If we were in an 'alternative' or 'experimental' educational environment, then we would expect to find alternative meaning-making resources to some extent. This is, however, not the case. Thus, we predict that the text will most likely function **intertextually**, rather than **contratextually**. Similarly, in terms of Bakhtin's 2 conflicting forces of **heteroglossia**, the dominant force at work is likely to be the **centripetal**, rather than the **centrifugal,** one.

As far as Bernstein's **coding orientations** go, since we are dealing with didactic, indeed higher education, academic, discourse, it is predictable that the coding orientation regulating the teacher's choices of language will be the elaborated one. Recall that this means that ideational meanings will tend to be more generalized and/ or abstract, perhaps even metaphorical, and that interpersonal meanings will tend to be explicit. In addition, logical meanings across the text will tend to be clearly explicit and

41

textual meanings will most likely give us a text that is context-independent, self-sufficient. Also recall that, beyond these general indications of *semantic* style, it is preferable not to hypothesize on the concrete lexico-grammatical features that, due to its coding orientation, we will find in our text – to which we now turn.

### 3.3 *The Text*

We will now analyze the authentic text segment whose meanings and wordings we have been predicting on the basis of a description of its context. Our aim is to see to what extent these predictions can be seen to prove reliable. Recall that the following was the beginning of a recent lesson in *English Linguistics* in our Faculty, one that was audio-recorded at the time, and that has been transcribed with conventional punctuation conventions that, however, could have been slightly different [2]. The text is as follows:

> **Good morning. Now then, what we're going to do today is to examine the expression "family values". We'll be looking at it from various points of view. That is, we'll be trying to answer the questions: 'what does the NG denote in the 'real' world?'; 'what does it connote?'; 'how does it work with the rest of the text?', and, finally, 'what intertextual formation can the NG be seen to be a part of?'. O.K., now look at the first instance of the NG here in our text […]**

**3.3.1** We'll begin with a look, selectively, at **the grammar of the clause as representation**: the lexico-grammar instantiating the **ideational meanings** determined by the **Field** of discourse. As there is inevitably a certain amount of overlap in the functions of items, it will be necessary in our analysis below to include reference to other meaning categories every now and again.

### 3.3.1.1. The realization of Experiential meanings:

What are the main Processes and their inherent participants at work in this chunk of text? Well, as predicted with respect to the didactic text-type, we have **mental Processes**: *examine*; *looking at*, *trying to answer* (this last also interpretable as material however). And the **Senser** of these mental Processes, functioning as cognitive here, is

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[2] The teacher of the course was Donna R. Miller. Consequently, all reference to the speaker below will be feminine in gender choice.

invariably *we*, inclusive of teacher and speaker. But, although the speaker has chosen the inclusive form, it is still she who is in control of the speech event and text-making process. It is she who announces her intentions vis-à-vis the lesson. Moreover, as also predicted, the **Phenomena Sensed** are typical participants in a lesson on English Linguistics: *the expression "family values"*, *the questions*. They also have a **meta-linguistic function**, as they explicitly talk about the *linguistic* object of study and activity of studying.

As we also foresaw, given the text-type but also the subject matter of the text, we find **relational Processes**: of identity: *denote*; *connote* (which are again functioning meta-linguistically); *work (with…)* – which we're reading as identifying, with circumstance as Process (be + with), but which could be read as abstract material or even behavioural – and *can be seen to be*, which is a typical, passive, meta-linguistic SFL expression, as you have surely noticed by now! The Identified in each of these transitivity structures is the Thing being examined, the NG, *family values*.

There is also an important **material Process** of activity regarding *what* (Goal) *we* (Actor) *are going to do*.

**Circumstances** in the text include various types: as we predicted, those of **Location: Time**: *today* and *now* (2nd instance), which work with the dominant **tense** of the immediate future, a future of intention, according to the plan of the teacher: *going to do*, *will be looking at*, *we'll be trying to answer*. The simple present of general 'truth' is also in evidence, notably in the relational Processes.

**Location: Space** is also an important circumstance in the text segment, in terms of textual space: *in our text*, and extra-linguistically: *in the 'real' world*. So then, the spatial location of 'here' is being construed as well as the temporal one of 'now', as we assumed it would be. A lexical relationship of tension, of textually-created opposition, is apparently being construed between these two spaces.

In addition we find the **circumstance of Accompaniment**: *(work) with the rest of the text*, a typical SFL notion which we did not foresee. There is also one of **Angle**, again not predicted.: *from various points of view*. Angle circumstances are of course linked to the analytical nature of both the text-type and its particular subject matter.

### 3.3.1.2. The realization of Logical meanings:

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

The text opens with a salutation/ greeting: *Good morning*, and then with what is called a 'continuative': *Now then*, which is multi-functional. It signals conjunction with a former text, so works logically and (inter)textually. This lesson is indeed an 'instalment' of a larger 'text', which is the whole course. It is clear that this is not the first time that the students and teacher are meeting. It also functions interpersonally however, as a resource of the ENGAGEMENT SYSTEM, to make contact (Jakobson's 'phatic' function) and to indicate that it's time to start the lesson off, so to 'adjust expectations' regarding the temporality of the activity being announced (see Martin & Rose 2003: 53).

The relationship between the 1$^{st}$ clause-complex and the 2$^{nd}$ is implicit, most likely one of **extension** (the *and* relationship). *Between* the 2$^{nd}$ and 3$^{rd}$ however, we have explicit **elaboration**: *That is to say*, which we'll be coming back to below under the heading of 'Conjunction'. Within this 3$^{rd}$ clause-complex we see an interesting example of the kind of internal logical connection that we expected. This is constructed primarily by means of the punctuation (which was subjectively inserted, recall). The main clause ends with *the questions*, which are then **elaborated** upon by means of a series of examples. Before the last example we have the **enhancing** *and, finally*, which explicitly construes the final paratactically related step of the *internal* temporal ordering of the questions that the speaker says she will deal with in the lesson. There is no apparent logical connection between this last clause complex and the following, the last of the segment. The circumstance of Time that begins it, *now*, can also be seen to function together with the continuative *O.K.* – or non-continuative, more properly speaking! Together they function to signal a boundary between the activity of announcing the intentions of the teacher vis-à-vis the lesson and the actual beginning of the activities just announced.

**3.3.2.** We'll now pass to an examination of **the grammar of the clause as exchange**: the lexico-grammar instantiating the **interpersonal meanings** determined by the **Tenor** of discourse.

**The realization of Interpersonal Meanings:**

The first thing we should note is that the *we* of the text enacts an ambivalent relation between speaker and hearer, teacher and students. The asymmetrical relationship between these human participants that we spoke of above is always in force of course, so that this typical marker of speaker-hearer inclusion and identification, 'we', does not 'really' construe the [+ solidarity] it apparently, conventionally, but only 'cosmetically', does. Indeed, in the lecture environment, the didactic activity is carried out under the strict guidance of the teacher, according to his/ her plan.

**All Moods** are used in this text. The **indicative: declarative**, as predicted, is dominant and used for making statements, giving information, in this case concerning the lesson-plan. The **indicative: interrogatives** are worth noting. They construe, in one sense, 'real' questions, 'real' demands for information, all regarding the functions of the NG – which the lesson has been designed to investigate. On the other hand, however, it is obvious that the teacher already knows the answers to these questions, and indeed will be the one to offer them to the students, so that the demand for information is made solely for the benefit of the hearers, the students, for the purpose of outlining the information the lesson is aimed at providing and so is, in this sense, 'rhetorical'. This is of course made even more explicit with the assertion which precedes the list of questions. *We'll be trying to answer the questions:...*We had also expected to find proposals, demands for 'goods & services', enacted with the **imperative**, and we do, if only one. It is located in the final clause of the text, at the boundary point we've already noted, where the activity changes from prediction to action – rendering this semantic location even more significant. Rather than the collaborative form, it is an **imperative: coercive**, so an *un*-softened command – here, for attention to what the lesson is about: *Look at the first instance of the NG in our text...* The teacher does not include herself in the action demanded, but, interestingly, she still opts to represent the text as *our*s.

**Modality** is for the most part implicit. Recall the Modality is always linked to Mood, and to the Communicative Functions of language, i.e. to what is being exchanged in the text: Information (through Propositions) or 'goods & services'

45

(through Proposals). The initial, 'bare', **declaratives** of the text segment all enact **subjective: implicit epistemic modality (modalization)**, in terms of high value probability, or what we can call speaker certainty; they are predictions as to what will happen in this lesson. On the other hand, at the same time we also need to look at them in terms of the very explicit **proposals** they construe, which are once again typically related to the didactic text-type we're dealing with. The future of 'intention': *what we are <u>going to</u> do*, and those of speaker 'desire': *we<u>'ll be</u> looking at it…*; *we<u>'ll be</u> trying to answer…*imply **a demand for collaborative action** involving both teacher and students (*we*). The interrogatives are once again particularly interesting – this time for the **presuppositions** they contain (Toolan 1998: chapt. 9), and thus for the speaker certainty they imply with reference to the propositions of these interrogatives. Take the first question: *what does the NG denote in the 'real' world?* Presupposed here is that the NG DOES indeed denote *something*. What is queried is simply *what* that something is. The same can be said for the next question, about what it connotes. It is presupposed that it connotes *something*. The question: *how does it work with the rest of the text?* presupposes that, *somehow*, it DOES work with the rest of the text. It is only the wh-*how* that is queried. And the final question: *what intertextual formation can the NG be seen to be a part of?* presupposes that it IS a part of some ITF; we just need to identify *which* one it is a part of. In short, none of the demanded answers will deny these presuppositions. Now, our point here is that such presuppositions imply speaker certainty regarding them. A final observation needs to be made about that modal operator, ***can***, in *what intertextual formation <u>can</u> the NG be seen to be a part of?* The category of Modality enacted here is modalization: **possibility** (*what intertextual formation <u>is it possible</u> for us to see the NG as a part of?*), but also **ability**, (*what intertextual formation <u>are we able</u> to see the NG as a part of?*). As you will surely recall, ability is considered by Halliday to belong 'properly' to neither of the 2 categories of epistemic and deontic modality. It is seen as being semantically closer to the latter, but distinct. The conflation of possibility and ability in *can* (and of impossibility and inability in *cannot*) is not atypical; it often occurs, and not only in this register.

  **Appraisal**: As we expected would be typical in this text-type, explicit appraisal is indeed low in this text, apart from the resources of Engagement that are used.

However, implicit, or '**evoked**', or '**tokens**' of appraisal, are worth commenting. Indeed, due to the specialist lexis adopted globally, along with the ways it is being spoken about that are emerging from analysis, we can say that the apprais*er*'s, the speaker's, positive evaluation of the apprais*ed* discipline (**Appreciation: quality**) as well as of the human intellectual activity of text analysis in general (**Judgement: propriety**) are evoked. More in particular, her inclusion of the hearers, the students-as-apprais*ees*, in the activities to be carried out ( again, through the use of *we*) also 'tokens' **Judgement**, this time of their own intellectual **capacities**. In addition, perhaps even the positive emotions of the speaker towards her discipline (**Affect**) can be said to be evoked by the [+ serious], [+ interested] and [+ respectful] attitude that her very treatment of both the activity and the subject matter implies. As is typical in this register, Engagement resources are more explicitly used by the speaker to position herself vis-à-vis the students. The text is primarily composed of a series of what are called **Proclamations** regarding what will be done and ends with a coercive command to start doing it. Thus the speaker **Contracts** her meanings, i.e., she leaves little room for negotiating the meanings her wordings construe. They presume **Concurrence** on the part of the students and their **Alignment** with her wishes (see White 2003a for more details on these notions and categories).

**3.3.3.** We'll now pass to an examination of **the grammar of the clause as message**: the lexico-grammar instantiating the **textual meanings** determined by the **Mode** of discourse. Firstly, though, let us say that the expected features of the mode as outlined above do indeed correspond to those of this text. A further consideration of 'rhetorical aim' will be made at the end of our analysis.

**The realization of Textual Meanings:**
**Structural Cohesive Devices:**

  **Thematic progression, or method of development:** As you will recall, in order to trace Thematic Progression across texts, we need to identify the Topical Theme of each clause. For this purpose we will divide the text segment into its ranking clauses below:

Cl 1    Now then, **what we're going to do today** is to examine the expression "family values".

Cl 2    **We**'ll be looking at it from various points of view.

Cl 3    That is, **we**'ll be trying to answer the questions:

Cl 4    '**what** does the NG denote in the 'real' world?';

Cl 5    '**what** does it connote?';

Cl 6    '**how** does it work with the rest of the text?',

Cl 7    and, finally, '**what** intertextual formation can the NG be seen to be a part of?'.

Cl 8    O.K., **now** look at the first instance of the NG here in our text.


In Cl 1, the Topical Theme (hereafter TT) is the embedded clause as identified: *what we're going to do today*. (Recall that *Now then* is a continuative and thus Textual Theme.) The structure of the clause is what in traditional grammar is called a 'pseudo-cleft sentence', and what in FG is called a 'thematic equative'. In other words, the Theme is equal to what follows the relational Process of identity *is*. The function of thematic equatives is to highlight the content of the Theme by fronting it. Here, what is being highlighted is precisely the intention of the speaker.

In Cl 2 and Cl 3, the parallel TTs are both *We*, which link back to a part of the clause-as-theme in Cl 1: *what <u>we</u>'re going to do today*. So this logical subject is featured consecutively in the first 3 clauses.

In Cl 4, 5, 6 and 7, things change. We have wh- elements as TTs: *what*; *what*; *how*, and *what*, and so a progression of parallel wh-elements as TTs. This gives us basically 2 groups of parallel Themes: *we*, plus wh- elements. And, as we have already seen, these have important ideational and interpersonal functions as well. Thus they are multifunctional. That they should also function textually adds to their semantic significance in the text.

The final clause (8) is different – something we have noted repeatedly – and so it is unsurprising that the same can be said about its function with reference to Theme development. Its marked TT is the circumstance of Location: Time: *Now,* which, as has been noted, marks the move from prediction to action.

The Structural/ Textual Themes in the above clauses are the following: in Cl 1 – *Now then*; Cl 3 – the elaborating *That is to say*; Cl 7 – *and finally,* and Cl 8, the

continuative *O.K.* The continuatives however, as we said above, can also be said to have an interpersonal function. Here, similarly to the first one in our text, *O.K.* adjusts our expectations regarding the temporality of the on-going didactic activity. Working together with *Now*, it functions as boundary marker, putting an end to what has preceded it and marking the start of a new phase in the lesson. So its function is multiple: notably textual but also interpersonal.

Before leaving Theme, note that there is an interesting, and highly cohesive, progression of elements of the rhemes in these clauses as well. Apart from Cl 3, all clauses contain co-reference to *the expression "family values"/ NG/ it*, which, as we'll see below, also functions as a vital participant chain in the text.

### Information structure:

In making our predictions regarding this text-type above, we said that "in analysis, we will merely presume, as one does, the typical unmarked overlap that the Given has with the clause's Theme, and its New with some part of its Rheme". At the same time, however, we made clear how unsatisfactory such an assumption was. Indeed, though prosodic features are not provided or analyzed, we can see here how in some cases the New would most likely correspond to the TTs we have identified, rather than to some element of the Rhemes! In particular, the New might be located in the wh-items, which signal the part of the propositions that is *not* presupposed (see the discussion above on presuppositions).

### Grammatical Parallelism:

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

<u>Words</u>: *it* and *NG* occur 3 times; *we* does as well, and the wh- items are 4 (3 *what*s and 1 *how*). The significance of the reiteration of these units is the corresponding reiteration of their meanings – which makes sense after all. We've already seen how that *NG* (*it*) functions as an important participant in the transitivity structure of the clauses and how the wh- signals the questions to be answered in the Mood structures. We've also seen the predominance of *we* and wh- items as TTs. Now we see these elements being functional in another way. Their significance for the making of meaning in this text is thus compounded.

Groups: There are 9 instances of definite deictic *the* + Thing in the text, reiterating the accent on definiteness being enacted by the speaker. They are, in order of appearance: *the expression "family values"*; *the questions*; *the NG*; *the 'real' world*; *the rest of the text*; *the NG*, and *the first instance of the NG*.

Clauses: It is again hardly surprising that there should also be a reiteration of the transitivity structures we've already noted as dominating the text:

- Senser ^ Process: mental ^ Phenomenon     and
- Ided ^ Process: relational: identity ^ Ider

The first of these, recall, is intimately linked to the register that the text belongs to, while the latter is connected to both the text-type and the text's specific subject-matter. When describing clause structure reiteration, one can make use of the Mood or Thematic structure as well as that of Transitivity. For instance, here we can also speak of the reiteration of Subject ^ Finite for the declaratives and Finite ^ Subject in the wh-as-Complement, or wh-as-Adjunct interrogatives (the unmarked positive imperative has no Mood element of course). We can even describe those first person plural pronouns *we* and those wh- items as being a question of parallel thematic structure, i.e., TT ^ Rheme. It is worth pointing out how it would be impossible for us to note how the text compounds its own meanings at different levels, multifunctionally, if we were working with a traditional grammatical framework, according to which all structure is talked about in terms of variations of S(ubject) ^ V(erb) ^ O(bject) or C(omplement)!


**Non-Structural Cohesive Devices:**

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

**Reference:** we have various kinds of reference: of the **exophoric**, or **situational,** type there is the first *we*, which refers to the human participants in the speech event who are physically present in the classroom. After this instance, reference through *we* becomes **endophoric**, or **textual**, and anaphoric, i.e., *back* in the text to this first instance. We have already pointed out the reiteration of *the* + Thing under grammatical parallelism. Sometimes *the* or other deictics instantiate exophoric reference, e.g., *our text*, which refers to the text actually being analyzed in class, along with *the expression "family values"* and *the first instance of the NG*, which are clearly present in this same

text, as well as being then textually referred to within this text by either *it* or *the NG*, and so also functioning endophorically to construct an important **participant chain** (Halliday 1994: 337). Also exophoric are *the 'real' world*, and *the rest of the text*. Cataphoric (front-pointing) textual reference is enacted with *the questions*, which then immediately, specifically, follow.

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

**Lexical Relations:** Halliday includes repetition among the non-structural cohesive devices (1994: 330), but we prefer to analyze this phenomenon under the heading of grammatical parallelism, as we have already done above. Lexical relations are also at work to make this text cohere. Synonymy which is **textually-created**, i.e., not one usually found in dictionaries, is that obtaining between *the expression "family values"* and *the NG*, with identity of reference. A very important point to remember is that **Reference chains** and the specific **lexical relations** of **repetition** and **synonymy** typically combine to give us the **participant chains** we spoke of above. In this text, there are fundamentally 2 such chains, and they are typical of the register: that pertaining to the human participants in the lesson: *we*, along with the focus of we's activity: that *NG*, both of which we have seen functioning to construe meanings at other levels too. Additional lexical relations in the text are: the quasi-synonymous *examining* and *looking at*, again typical for the register; the quasi-antonyms *denote* and *connote*, and the relation of hyponomy between *the questions* and the 4 specific ones that immediately follow. Recall that the initial elements of these also function as important TTs, and were also seen as being grammatically parallel in their Mood structures. Once more multifunctionality is in evidence. Finally, strong **collocation**, or the tendency to co-occur, can be seen between the VG *answer* and NG *questions*, again typical lexis in this text-type.

**Conjunction:** logico-semantic relations being constructed *between* clause complexes, and thus functioning textually, as well as logically. can be seen explicitly only in the elaborating *That is*, which begins Cl 3, and which we mentioned above under 'logical meanings'. Remember, however, that the transcription of the audio tape could just as well have punctuated Cl 2 and Cl 3 as a single clause complex, its parts

separated by a semi-colon. In that case, the logico-semantic relation would have been the same, but we would also have had *interdependency* within the clause-complex between the 2 clauses, or *taxis*…in this case, parataxis. Other implicit/ explicit logical tactic relations have been treated under logical meanings above.

**Rhetorical/ Discourse Structure/ Staging**  At this point we need to consider the steps or sequencing of communicative acts that the text can be broken down into. This is of course a kind of structural cohesive device as well, but one that we will treat separately. Also due to the differences of opinion as to where to locate this 'structure' within the model!

We had predicted, globally, some sort of initial 'Statement of Intent', and indeed, we get one:

Cl 1    Now then, what we're going to do today is to examine the expression "family values".

We had then very generally predicted some sort of 'Elaboration' on that intent. Again, we are not disappointed. First, however, Cl 2 might be labelled 'Additional Information' (regarding the intention):

Cl 2    We'll be looking at it from various points of view.

Then we get the Elaboration on the preceding statement, which is explicitly signalled by the conjunctive group *That is*:

Cl 3    That is, we'll be trying to answer the questions:

Cl 4    'what does the NG denote in the 'real' world?';

Cl 5    'what does it connote?';

Cl 6     'how does it work with the rest of the text?',

Cl 7    and, finally, 'what intertextual formation can the NG be seen to be a part of?'.

The final Clause might be called a 'Demand for attention':

Cl 8    O.K., now look at the first instance of the NG here in our text.

So that the structure locally can be labelled as:

Statement of Intent ^ Additional Information ^ Elaboration ^ Demand for Attention

Labelling of the acts is certainly not an 'exact' science! There is general agreement among scholars on many of the labels that are typically used, but there are many quasi-synonymous ways of labelling the same act (e.g.; Statement/ Assertion/ Proposition…).

And there is no reason in particular for excluding a new possibility *a priori*. In short, it's not something you need worry about!

There remains for us to re-think the **Rhetorical Aim** of the text. Recall that we predicted, using Jakobson's categories, that the text would most likely focus on addressee and on context, giving us typical didactic **conative** and **referential** functions. At this point – on the basis of our analysis – we can add that the 'context' that is focussed is most often *text* and *co-text*, indeed language itself, and so this text also must be said to have a strong **meta-linguistic** and **meta-textual** function. This is of course typical of the subject matter of the text. In addition, a minor **'poetic'** function results from the instances of parallelism, the focus on the message itself, but, as we have said, this reiteration of the wordings, and thus of the meanings, of the text is another typical feature of the didactic text-type.

**3.3.4** Further considerations to be made include **intertextuality, heteroglossia** and **coding-orientations.**

The text is an example of strong **intertextuality**, as predicted. In no way does it challenge the conventional ways of making meanings of the 'set' of texts to which it belongs. As we've also seen, Engagement resources are explicitly employed for positioning the speaker as [+ powerful] and the hearers as being 'expected' Concurrers with the wishes and opinions of the speaker. Again, this way of meaning is thoroughly intertextual with conventional, i.e., not 'alternative' (or contratextual) classroom discourse. Therefore, again as we expected, in terms of Bakhtin's theory of **heteroglossia**, the dominant force at work is the **centripetal**, rather than the **centrifugal,** one.

As far as Bernstein's **coding orientations** go, we predicted that the coding orientation regulating the teacher's choices of language would be primarily the elaborated one, and indeed it is. Highly abstract experiential meanings are realized in the mental: cognitive Processes of study: *examine*, *look at…*, and in the descriptive and classifying relational Processes as well. Moreover, the students' attention is being focussed on the decidedly abstract features of the 'virtual' world of text itself (cf. Williams 2001: 42).

Interpersonal meanings, on the other hand, are an interesting mixture of the explicit and implicit. As we've seen, from one point of view Mood and Modality options give us a teacher who frames very clearly what *we* are going to do. Her control, her power, over the agenda: the selection of the activity, its sequencing, pacing, criteria etc., is absolute, non-negotiable, but explicitly so. And, at the same time, some attention is being paid to giving the reasons for her decisions. In short, if it is true that the text ends in the coercive imperative style, it does so only *after* the speaker has explicitly stated her intentions and elaborated on them, amply explaining what the objective of the lesson is, i.e., *why* she wants them to do what she then commands them to do. And yet, in particular the presuppositions and the evoked positive appraisal of the discipline being taught and the teaching of it, which we've noted in the text, provide evidence of an implicit and so *less visible* classifying pedagogy (Hasan 2001: 65) – one that, it must be admitted, has to do with the less positive side of the elaborated code's workings which we spoke of above in part I., those that Halliday refers to when he asserts:

> The elaborated code is not merely the code in which the genres [3] of power are written; it is the code in which material and social reality is construed from the standpoint of those who dispose of it. (1992: 71)

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[3] Halliday in recent years has normally eschewed use of the word 'genre', having even publically declared being sorry he'd ever used the term (workshop, University of Bologna, 1989)! Every now and again, however, it does appear in his work, as here. As to why this is so, one can only conjecture, which we won'.

# 4. The Procedural, or 'How-to', register: one instance

**"Interviewing 101: Tips for a successful interview"**

With this TOP→DOWN analysis we would like to give you a further example of how, when one knows the specific Context of Situation of a text, one can make predictions about the typical wordings and meanings that will presumably result from analysis. As we have already seen with the didactic text in Part I, a comparison between these predictions and the actual results of the analysis we will perform, following the Hallidayan model, will help us to see just what linguistic resources speakers typically choose to make use of for the purposes of this functional variety of text.

## 4.1 The Context of Situation of the Procedural Register → Predicted meanings and Wordings

As before, our predictions will be made in terms of our expectations, on the basis of the CC of a typical text-type: in this case, we have chosen to look at an instance of the **procedural, or 'how-to', text**. As you can already see from the title of our text, however – "Interviewing 101: Tips for a successful interview" – the specific subject-matter is how to conduct yourself in any kind of job interview, and so the **sub-register** that this text belongs to might be labelled 'a how-to-behave in an interview text', meant to give advice to people about how to behave in a way that will get them a job. The addressees are those looking for a job for the first time We know this simply from the first part of the title of the text. Indeed, "Interviewing 101" alludes to the labels that US university courses typically are given: 101 would be a very basic course that offered the fundamentals of the subject; 201 would 'flesh out' those basics; 301 would go into even further detail, etc. If we were in a US university then, our FG components would most likely be labelled 101 in the first year, 201 in the second, and 301 in this, your third year. The text doesn't go into details about any specific kind of interview, so it can be applied in all cases of people having to perform such a task. It would simply teach you how to best go about it.

Let us begin then with a description of the typical Context of Situation in which this text may be realized, making predictions about the typical meanings and wordings that we foresee being activated by each of the three fields of discourse.

### 4.1.1 *The Field*

- The kind of **ongoing social activity** which is taking place is basically that of teaching/ advising on how to carry out a procedure, typically step-by-step.
- The specific **subject matter** of this text is how to behave verbally, but also non-verbally, in order to have a successful job interview.

*As a result, we can predict that:*

- The **ideational (experiential) meanings** of the text, realized in/ by its **transitivity structure**, will typically feature **material Processes**, due to the fact that this text should 'tell' inexperienced people *how to do* things in the context of the job interview, or better, how to do them *successfully*. In addition, since an interview, in itself, usually consists of a conversation between two or more people asking and answering questions, this will imply an 'ideal' *verbal exchange*: we can therefore also predict that this text will typically feature **verbal Processes**, as those who will follow this procedure will probably have to know how to answer, but also ask, certain kinds of questions. In order to have a "successful interview", as the sub-title of the text itself seems to promise, those who will follow the steps in this procedure will also have to learn *how to behave* when answering those questions. We can expect therefore that this text will also typically feature **behavioural Processes**. As for the **grammatical participants**, you have to keep in mind that this text is one in which suggestions and instructions are given to the *addressee*, so we can easily predict that s/he will almost always be the logical Subject in the

transitivity structure (as **Actor, Sayer, Behaver**). We might also predictably have 'Things' related to appropriate dress and demeanour functioning as **Goals**, and expressing wordings functioning as **Verbiages** – probably expressing what the interviewee should and/ or should not say. As for the **circumstances,** which will most likely define the temporal and spatial setting of this procedure, they are likely to be related to a general time and place that the *speaker* uses as a model, an example, in order to describe the procedure to the *addressee*: we can therefore predict that this text will feature contextual circumstances of **Location: Space** (with possible references to settings like offices, rooms, and the like) and those of **Location: Time** (future oriented, since the interview being spoken about is 'virtual', hypothetical, and not taking place in a specified time and place). Predictably, circumstances of **Manner** will also be in evidence in the text. Through these, the *addressee* will be 'told' *how to do and to say things* during an interview, i.e., *how to behave non-verbally as well as verbally*. In addition, perhaps a certain number of circumstances of **Matter** and **Angle** can also be predicted, since suggestions might also concern general topics which may be discussed during a job interview and the point of view which should be adopted. Then, as the text is almost sure to suggest that the interviewee's past experiences and present aspirations be related, circumstances of **Cause: Reason** and/ or **Purpose** may be found as well. A high incidence of *ideational grammatical metaphor*, and in particular of nominalization, is perhaps not to be expected, since the text is likely to be 'reader-friendly', and so NOT too-tightly packaged as far its information is concerned. But we need to re-think this when describing the Mode below.

- Being a procedural text-type, it should be easy to follow and predictably will therefore be very simply structured: we can thus

expect that, as far as the **ideational (logical) meanings** are concerned, we will find simple clauses or simple **clause interdependency,** and not a great variety of **logico-semantic relations**: therefore, **simple clauses**, through which different steps of the procedure will be explained, and mainly **paratactic extension** between them is likely. We can also reasonably expect to find some **temporal and manner enhancing clauses**, and for the same reason as we predicted these kinds of circumstances above: due to the fact that the text should explain *how* to act, behave, answer, etc. *during* an interview, which will certainly last for a certain amount of time. Likewise, Reason and Purpose enhancing clauses may also be found.

### 4.1.2 *The Tenor*

- The **human participants** who will predictably take part in this activity will include an at least implied *addressee*, i.e. students about to go out and try to find their first employment, and a presumably 'disembodied' (never-explicitly-appearing) *speaker*, who is unidentified, but universally acknowledged as expert, as *teacher*. As the very title, but also the article in which this sub-text appears, make clear, the addressee is a soon-to-be graduate, of university or post-graduate work, and so somewhere between 22 and about 30 years old. *Teacher* and *learner* (or, *instructor* and *instructed*), are the at least semi-permanent social roles, that is to say, the **statuses** of the human participants in the exchange. Such asymmetrical statuses will of course influence the **attitude** of the speaker to both subject-matter and addressees.

- This also means that the **discourse role** of the *speaker* will be typically *active* and fixed, and be, generally speaking, to teach, involving also the related need to explain; to advise; to inform etc… The *in*expert *addressee* in this variety of text is never expected to do other than 'listen and learn'. Consequently, the

addressee's discourse role in the context of the exchange is invariably *passive*. Of course the addressee is expected to read the text in order to follow the procedure correctly and learn precisely *how* to act and interact during a job interview, but this is *not* what is meant by one's discourse role in the on-going social event.

- The **attitude of the speaker** to the subject-matter will probably be [+ professional] and [+ serious], as getting a job is serious business indeed! Regarding the speaker/ instructor's attitude to the hearer/ instructed, precisely because their statuses are always *asymmetrical*, and their discourse roles so very different, an interpersonal relationship of [+ distance], [+ power] and [- solidarity], is likely to be construed. This is precisely due to the fact that the speaker has [+ knowledge] on the subject and is acting the role of teacher/ informant.

*As a result, we can predict that:*

- **Communicative functions and MOOD SYSTEMS:** we can easily expect that the *instructor* or *teacher*, having [+ knowledge] and therefore being [+ expert] about the subject matter, will tend to be the one to **give information** to the *addressee* or *learner*, thus making **propositions** in the form of **statements**, which are typically realized by **declarative** mood clauses. We don't expect that information be demanded from the *addressee*, and so do not predict **questions**, though we cannot exclude 'rhetorical' ones, employed for 'didactic' purposes. Because a procedure is not typically 'negotiated' and is meant to be followed step by step in order to be effective, we can also predict that the *speaker* will realize his/ her [+ power] and [+ knowledge] in and by demands for the **'goods & services'** of certain forms of behaviour, thus using the **imperative** mood to make **proposals** about the necessary steps to be made.

- **MOOD** and **MODALITY** being strictly connected, we can also make predictions about the use of this second system. AS we have said, we expect an **exchange of information** in the form of 'tips' and information being given by the *speaker* to the *addressee*, and therefore we will probably find an implicit use of both categories of possibility and usuality of **epistemic modality,** or **modalization**. In addition however, the predictable use of imperative clauses to enact an **exchange of 'goods & services'** regarding the behaviour being demanded also allows us to predict the implicit use of **deontic modality,** or **modulation,** on the part of the speaker/ teacher. More explicit forms of obligation or willingness may also be in evidence, and so also metaphors of Modality. We do not, however, predict too many instances of metaphors of Mood, due to the need for clear and unambiguous advice-giving.

- **APPRAISAL SYSTEMS**: perhaps a procedural text is *not* the best text-type in which to find many examples of explicit evaluative language, either on the part of the *speaker* or on the part of the *addressee*. The speaker, as has been mentioned, is most likely *not* to be a subjective 'I', whose subjective evaluations are explicitly voiced. This is because s/he will most likely be concerned with giving instructions in the simplest, most 'objectively' concise, 'no-nonsense' way possible. Perhaps, however, we can reasonably expect a certain amount of **implicit Affect** to be enacted by the speaker, who will presumably show 'interest' in the *addressee's* success. Moreover, advised behaviour might well be judged as positive, explicitly or implicitly. And it is highly likely that we will find **Engagement** resources at work to 'contract' the speaker's meanings and position the hearer as aligned with the speaker's opinions. After all, this particular example of procedural text is one that presumes people who go to it for advice are ready to 'do the right thing' in order to have good

results. Indeed, a procedure, as we have already suggested, is usually a *non*-negotiable text-type and therefore we can even expect a high incidence of **monoglosses** on the part of the speaker.

### 4.1.3 *The Mode*

- This text is basically **context-*in*dependent**, that is to say that one is able to easily understand it in its written form at any time and place. The intended *addressee* is naturally presumed to have a certain knowledge of the second order, or 'fictional', Context of Situation that is being concretely construed in and by the text itself (Halliday 1978: 146-147), i.e., is expected to know something about the interview setting, its typical human participants and purposes, etc., though probably only in general terms.

- The **role of language** of the text is **constitutive**, as far as the written text is concerned. Of course, it may also be thought of as being **ancillary** to a future performance, as it is meant to help some activity (in this case an interview) to take place successfully, but vis-à-vis the concrete text itself, the role language plays is wholly constitutive.

- The *speaker* and the *addressee* do *not*, of course, share in text creation, otherwise we would not have a procedural text, whose *speaker* is typically monologic.

- the **register** will therefore presumably be more **action-oriented**.

- The **channel of communication** is exclusively **graphic**. It should be said that this specific text appeared within a highlighting frame which was inserted into a newspaper article about the 'first-job-market', and thus was part of its original 'multi-modal' presentation. The newspaper was the May 12, 2003 edition of *The Journal News*, a local newspaper in lower Westchester County in New York State (USA), which, however, largely carries

61

syndicated news that is published in all Gannett-owned newspapers in the US [4]. It can be located somewhere towards the 'popular' side of the 'popular'-'quality' newspaper continuum, which means that there is very little in-depth news coverage or attempts at multiple sourcing of the news. It is also basically center-right and 'middle-of-the-road' in its ideological and political leanings, which, in the USA, fundamentally means it endorses Republican Party candidates and policies. This background is important for 'reading' the text properly, as a 'model' reader would [5].

- The **medium** is slightly **more written** than spoken. Compressed ways of saying contribute to a certain degree of lexical density and information packaging. [6] At least in part, this goes against what we had predicted concerning 'reader-friendliness' above. 'Telegraphic' ways of saying here are not particularly difficult to 'consume', but do make for more information packaging than had been foreseen.

- Due both to the typically step-by-step nature of this text-type and to the specific how-to-behave aims for which it was written, it is reasonable to expect that its **organization** will be functionally 'rational'.

- One expects that the **rhetorical aim** of this text will be primarily **conative**, as its primary function is that of *teaching* or *instructing*, and so *addressee-focussed*. A secondary focus might predictably be **representational**, as it is to be expected that 'reality' will be referred to as well.

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[4] Gannett is one of the largest newspaper groups (monopolies) in the USA. By the late 1980s, the Gannett Co. owned more than 90 daily newspapers with a total circulation of more than 6,000,000.
[5] The word 'model' here is being used with reference to notion of addresser-addressee *alignment*, i.e., the kind of addressee that has been variously termed the 'intended', 'ideal', 'model' or 'implied' reader/ hearer, what Bakhtin himself called the "super-receiver", the ideal recipient whose absolutely appropriate understanding every author more or less imagines (Todorov 1984: 110).
[6] Recall that we calculate lexical density by dividing the number of lexical items by the number of ranking (non-embedded) clauses (Halliday 1994 : 351).

*As a result, we can predict that:*

Recall that **textual meanings** are those which 'enable' ideational and interpersonal meanings to find their realization, to become, that is, text. As with most texts then, here too it is likely that they will be realized through the following lexico-grammatical devices:

**Structural Cohesive Devices:**

- **Thematic Progression:** it is reasonable to expect that the 'method of development' of this text should be as easy as possible to follow. Predictably then, some identifiable form of **thematic progression** will probably prevail and serve as a method of development of the text construction by stages. If **imperative clauses** will dominate, Process as Theme will be a constant feature, along with the always-implied message of 'I want you to' which precedes an imperative. In this case, progression would be parallel.

- **Information Structure:** as we have already said, we are making predictions about a *written* text, therefore no real **GIVEN – NEW structure** can be properly investigated, except of course in its unmarked clause correspondences of **Given** with **Theme** and **New** with **Rheme**. Indeed, we might predict just such an unmarked correspondence between these elements as being perhaps even typical of procedural, 'non-creative' texts.

- **Grammatical Parallelism:** certainly no important 'poetic' function can be expected to be found in a procedural text. However, some prediction about certain kinds of structure repetition – perhaps functioning to make the text easier to follow, and so also to remember (with a mnemonic function) – can reasonably be made. In this case, for example, due to the fact that **imperative mood clauses** will, as said, probably be present, we can expect to find reiterated Predicator as Theme in the Thematic structure, along with perhaps a prevailing presence of the $2^{nd}$ grammatical participant (as, e.g., Goal, Verbiage or Behaver) in

the Transitivity structure, which may itself be reiterated in terms of a Do X/ Do Y structure.

**Non-Structural Cohesive Devices:**

As you already know by now, the cohesive devices pertaining to this category are **reference, ellipsis/ substitution, lexical relations** and **conjunction** (this last in terms of logical relations *between clause-complexes,* over stretches of text, thus having a textual function in addition to the logical one). Of course, making precise predictions about textual reference and ellipsis/ substitution is almost impossible. However, a high incidence of ellipsis/ substitution is not to be expected, once again for reasons of clarity. In addition, we can foresee –in terms, as always, of the typical grammar of this register – the presence of **reference chains** constructed through personal pronouns (e.g. the "you" referring to the *addressee*), as well as **lexical strings**, perhaps related to the 'actions' which one is advised to take place during an interview. If present, these will function to form cohesive **participant chains**.

As we said above when speaking of logical meanings *within* clause complexes, we will expect these to be simple but clear. This prediction holds good here at the level of text as well. Indeed, since a procedural text should presumably be organized by stages or steps to be followed, it is reasonable to expect a use of 'internal' temporal **conjunctives** between clause-complexes, e.g. *first do X, then do Y*. Another way of enacting logical connection of this type is by means of an extensive use of simple, independent clauses, one following the other. In this case, a more implicit internal ordering of the steps to be followed would result. Generally speaking then, we expect that conjunction will serve to link up, explicitly or implicitly, recognisable stages of a well-structured text and that its **rhetorical/ discourse structure** will also reflect these.

Indeed, we can easily predict that this procedural text will be clearly divided, explicitly or implicitly, into neatly defined steps to be followed by the *addressee*. It is not easy to predict the **local** stages in detail, but **global** staging may be expected to contain something like: a first series of steps suggesting, for instance, a proper 'preparation' for the interview, ^ (followed by) another set of stages in which the virtual interview will be dealt with ^ a third section containing perhaps some final general considerations and concluding remarks.

**4.2** At the end of this set of predictions, we have, as usual, some **further considerations** to make: i.e., what can we expect from this text in terms of **intertextuality/ contratextuality**, and of **Bakhtinian heteroglossia** and then **Bernsteinian coding orientations**? On the basis of what we have said about its Context of Situation, and the kind of newspaper it comes from (including its ideological positioning), we should *not* expect this procedure to be some kind of contratextual, alternative, or 'experimental' instance of its text-type. As we've said, it is the typical kind of short and clear-cut text one typically finds accompanying a highly standardized feature newspaper article which is aimed at mass-consumption, and has a conventional subject matter which is ritually re-proposed at least once a year at graduation time for those having soon to face a first-job interview. From this point of view, therefore, we can reasonably predict that it will function mostly **intertextually**. Likewise then, the dominant force of heteroglossia at work here will most likely be the **centripetal one**. It will, that is, enter unproblematically into a conventional set of texts that goes under the label of 'procedure', or 'how-to' texts. The only doubt we have is whether that tradition will be a diachronically long-established one, or will be to a certain extent contemporary. If the latter, then more 'modern', perhaps 'youthful', voices may be brought into the text, perhaps in an effort at reader-friendliness with an audience of about 22-to-30 year olds. In this case, the **'polyphonic'** nature of the text would most likely be greater and the **centrifugal** forces of heteroglossia would be more active.

As far as **coding orientation** is concerned, it is highly probable that the language choices will be regulated by a **mixture of the elaborated and the restricted coding orientation**. From one point of view, the procedural text can be considered a '**hybrid' register**, a mixture of two text-types, and in fact it isn't hard to see how it shares some of the characteristics of the didactic text as well. Although it is a course of action which is being demanded, the rationale for this 'procedure' may also be, at least in part, 'explained', even if by a presumably disembodied 'teacher'. Indeed, as we've said, this is a variety of text that in many cases should ideally 'teach', giving general suggestions which would be applicable to different cases. So, generally speaking, a certain amount of abstraction and generalization in experiential meanings is to be expected, as well as some explicitness in interpersonal ways of meaning – which would

mean, for instance, that the imperative we've predicted should be accompanied by at least some clear reasons and explanations. In this case, we would have an **elaborated coding orientation**. On the other hand, we may find options for easier-to-grasp concrete and particular (rather than universal) meanings and an accent on *what to do* more than on *why to do it*. In that case, certain choices of language would probably be regulated by the **restricted coding orientation**, but we will have to wait and see.

### 4.3  *The Text*

We will now concretely analyze the procedural text we have been making our predictions about up to this moment, basing them on a description of its CC (and recall, this is Hasan's term to describe the "significant attributes of the social activity" which is receiving its expression in a text (in Halliday & Hasan, 1985/ 1989: 56).

The text is the following:

We will begin our analysis by looking firstly at the **clause as representation**, therefore at words and meanings as the realization of **experiential** and **logical meanings** which have been activated by the **FIELD**. Secondly, we will analyze the lexico-grammar realizing **interpersonal meanings** that have been activated by the **TENOR**, that is, we will investigate the **clause as exchange**. Finally, we will analyze the **clause as message**, that is, we will consider the lexico-grammar realizing the **textual meanings** that have been determined by the **MODE**.

### 4.3.1 The grammar of the clause as representation

### 4.3.1.1 The realization of Experiential meanings

The first thing that needs to be said is that this first part of textual analysis does not wholly confirm the predictions we made in terms of transitivity. The text does feature, as we had foreseen, mostly **material Processes** (*research, have done, begin rehearsing* – a VG complex of the elaborating 'time-phase' kind – *write down, maintain, pay, encourage to share* – this last one being an example of a causative VG complex, with only an implied Initiator/ Agent however). Indeed, we had foreseen a predominant **Actor** 'You', which here in the text is almost always realized only implicitly, as *all* clauses are largely in the imperative mood that we had expected, but not to this degree. **Goals**, as we had predicted, are realized by NGs featuring 'Things' and Persons having to do with job interviews in general terms: e.g., *the company and the position, the people you will meet with, your homework, answers, questions you could be asked, questions you want to ask, attention, information*. There is also an example of a **Range** as participant: *eye contact*, which reiterates the title of "Tip 3". Also as predicted, the text does enact **verbal Processes**, but, contrary to expectations, they are exclusively of the *symbolic* kind: i.e., *show, avoid, demonstrate*, which enact the sending of a 'signal', and have as their **Verbiage** the proper signal to be sent out, or not. Such **Verbiages** comprise a post-modified NG (*interest that you want the job*) [7] and two pre-modified NGs (*negative comments, your interest*). The **Sayer,** however, is once more an always implied 'You', again because these Processes are realized in/ by imperative mood. Quite surprisingly, and again against our expectations, **no behavioural Processes** are to be found. What we find, on the contrary, are two instances of **relational Processes**, which we did not foresee, but which are certainly *not untypical*: *have* (possessive, "Tip 1"), and *be* (attributive, "Tip 5"). Again, these processes are being realized in imperative mood clauses, so, the **Possessor** and **Carrier** are once more only an implied 'You'. The **Attribute Possessed**, *your facts*, is an unspecified but typical Thing to be told to 'have' ('to have your facts' could more congruently be represented as 'to know what you need to know about something', so is a kind of experiential metaphor, which we'll come back to below), and the **Attribute**, *sensitive*, is something the **Carrier** must be, in order to be able to understand what kind

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

of 'style' is required if s/he wants to make a 'good impression' as an applicant for a job. We also find three examples of **mental Processes**, one of the perceptive, and two of the cognitive type: *listen, try to relate* – a VG complex of the 'trying and succeeding' category, which should have been foreseen as typical of a 'how to' text! – and *focus on*. As with the other kinds of logical Actors, the **Senser** is again always an implied 'You'. There is **no Phenomenon** realized in the **perceptive mental Process**, while the **Phenomena** functioning in the **mental Processes** of the **cognitive** type are both realized by NGs 'possessed' by 'You': *your answers* and *[your] achievements*. Thus the *addressee* appears much less than we had predicted, almost all clauses being in the imperative mood. However, s/he is always implied, even as Initiator/ Agent in the case of the causative VG complex. His/ her importance to the 'goings-on' in the text was thus rightly, if imprecisely, predicted.

As far as **circumstances** are concerned, our predictions in terms of **Location: Time** (*at the interview*), and **Space** (*to the position*) referring to a general spatial and temporal setting are confirmed, even though they are rarer than expected. The text, moreover, is implicitly **future-oriented** as a result of the prevailing presence of imperative mood clauses. We also have at least one example, fewer than expected, of circumstances of **Manner** (*carefully*), of **Angle** (*to the interviewer and the company*), and a non-finite enhancing clause of **Cause: Purpose** (*to assist in tailoring your presentation*), all pertaining to different general aspects of a possible interview and therefore typical of the grammar of the subject matter of the text. The text also has a number of those predicted circumstances of **Matter**: *to questions you could be asked; about past employers; to the style of the interviewer; to details of dress, office furniture and general décor; about the company*), all giving specific details about what precisely counts in this setting. We also get an instance of a circumstance of **Accompaniment** (*with your interviewer*), which we didn't predict.

We also didn't predict much **ideational/ experiential metaphor**, since the text in question should be a rather technical and concise example of procedural text. However, the text contains some clauses for which an at least slightly more congruent realization could be given. One of these we have already mentioned above: *Have your facts ready*. Indeed, 'to have your facts' could more congruently be represented as 'to discover what it is that you need to know about something', which is confirmed by the

meanings of the following clause in the text: *Once you've done your homework.* So the more congruent wording would involve **abstract material,** if not actually **mental,** activity, rather than the result of it, as in the original: **possession**. Another somewhat metaphorical wording is *Be sensitive to the style of the interviewer*, whose more congruent realization would be: *listen carefully to* or *monitor the style of the interviewer*, thus realizing **mental cognitive Processes** instead of a **relational** one with only an implied **Carrier**. Still another is the even more common way of saying: *Pay attention to details of dress, office furniture and general decor*, whose more congruent realization could be said to be: *look carefully at*, or *notice details of dress, office furniture and general decor*, thus once again realizing **mental Processes,** instead of what is here, on the surface, an **abstract material** one.

### 4.3.1.2  The realization of Logical meanings

As we expected, as far as **taxis and logico-semantic relations** are concerned, the text realizes mainly **independent clauses, either single or paratactically extended**. We also have instances of **hypotactic enhancing clauses**, also as predicted, and a certain, unexpected, amount of **embedded clauses**, mostly functioning as qualifying post-modifications. All relations are **explicit**.

"Tip 1" of the procedure opens with a clause-complex formed by a 1st independent clause to which a $2^{nd}$ dependent, **hypotactic enhancing** clause is linked (conditional: *if possible*, from which the *it is* is ellipted, as is very usual in both spoken and written English), but only in relation to the third Goal (*the people*). Then a single clause is realized.

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

"Tip 3" only contains one clause-complex, which is formed by another two independent clauses. Again these are in a relation of **paratactic extension** (again, the

'and' relation), the second of which contains that rather marked **embedded** post-modifying clause (interest *that you want the job*) which we spoke of in note 1 above.

"Tip 4" only contains a single clause.

"Tip 5" opens with two single clauses. These are followed by a clause-complex formed by a 1st independent clause to which a 2$^{nd}$ non-finite dependent clause is linked by a relation of, once again, **hypotactic enhancement** (purpose: *to assist in tailoring your presentation*). The latter contains a further **embedded non-finite clause**, realizing an **Act** (*tailoring your presentation*). *To assist in tailoring your presentation* could be more congruently reworded as a causative: i.e., To help to make your presentation fit the setting. From the notion of 'fit' comes the semantics of the material Process 'to tailor'.

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

Notice that, although this text contains **embedding**, which we didn't expect to find in the typical grammar of the procedural text-type, only the last instance, *To assist in [[tailoring your presentation]]*, departs in any note-worthy way from the basically 'every-day' language characterizing the text. The co-representational version offered above would be less nominalized. The rest are basically typical examples of post-modifying relative clauses (with the relative pronoun deleted, as is typical – generally speaking – both in spontaneous conversation and legal language!).

### 4.3.2 The grammar of the clause as exchange – the realization of Interpersonal meanings

We are now going to analyze this text from the point of view of the **clause as exchange**. First of all, notice that the *speaker* in this text really never appears, as we predicted, and is thus always only a disembodied 'I' voice, whose asymmetrical relationship with the addressee we commented when sketching their respective *statuses*. The *you* referring to the *addressee* appears 5 times, and deictic possessive *your* 6 times, a considerable amount in such a short text, though far less than it would have if the text hadn't contained so many imperative mood clauses (which, as you know, don't have a Mood Block). This permanent relationship construes, as we have predicted, a participant (the *speaker*) having [+ power] than, and keeping [+ distance] from, the second human participant (the *addressee*). The activity is totally carried out by the first,

who is [+ expert] and has [+ knowledge] and has absolute control over the subject matter.

As we have said, the text uses almost exclusively **imperative mood clauses** (15). Although we had predicted the presence of a certain number of **declarative mood clauses**, these never appear in *in*dependent clauses. Only once is this Mood found, but in a fronted, *de*pendent clause, construing the passage from one stage of the activity to another: *Once you've done your homework*. The accent in the text is thus clearly on demanding 'goods & services' rather than in giving information, at least directly. Much 'information' is presumed as being shared between text-creator and addressee however. This is linked to the system of Engagement, and also of Judgement as construed in and by the text, but also to the whole notion of intertextuality, to which we will come back presently.

Regarding Engagement, it is actually the almost permanent use of **imperative mood** of the coercive positive type that helps to construe the *typical non-negotiability* of a procedural text, and this text is no exception. Moreover, the continuous demand for 'goods & services' through the imperative also gives us, as always, implicit **deontic modality**, which is thus the predominant Modality direction in this text. But let us stop and think a moment about what the use of such interpersonal ways of saying implies. First of all, the speaker is *assuming* that the addressee is aligned with his/ her own position. No alternative positions are invoked or acknowledged. This is *not* done through the **monogloss**, or even by means of other typical 'Contracting' resources of Engagement: e.g. the Proclamation or the Denial. It is done much more covertly, simply by the speaker *assuming* the right to make such demands and *presuming* that whoever goes to the text for such advice will 'naturally' agree with the speaker's opinions on the subject. The 'Do X/ Do Y' message presumes that Doing X and Y is the *right thing to do*, and that the reader will agree. No space for negotiating this is allowed. It is 'obligatory', IF, that is, the reader would make his/ her interview a successful one. We will take this question up again below when considering both the system of Judgement as well as the wider ideological implications of the text: its 'intertext'.

As far as additional instances of evaluative language are concerned, the results of the text analysis, in terms of **APPRAISAL SYSTEMS**, give us more or less what we had predicted. The language used by our disembodied speaker does indeed give us

**implicit Affect** on his/ her part: The text, globally considered, presumes, (and 'tokens', or 'evokes') an interest, an 'investment' so to speak, on the part of the *instructor* in the success of the interview. The care taken with details of how-to-behave underlines such 'interest': e.g. *Once you've done your homework, Listen carefully, Be sensitive, Try to relate, Encourage the interviewer*, etc. etc. In addition, there is an explicit, inscribed, demand for the addressee to at least *appear* to have the same kind of Affect as well: *show interest, Demonstrate your interest*. **Implicit Judgement** is also present. The system of Judgement, recall, draws upon the system of **Modality/ Modulation**, which, as we've said, is overwhelmingly deontic in this text. So, with reference to what we've already said above regarding Engagement, the implied assumption that the *addressee* is being taught the *proper way* to conduct a job interview gives us globally evoked Judgement in terms of the **'social sanction: propriety'** of the recommended behaviour. In short, all the proposals – *Research the company and the position, Have your facts ready, Maintain eye contact, Avoid negative comments, Pay attention, Focus on achievements relevant to the position* etc. – are being textually legitimated as socio-culturally proper ways of doing. In this sense, evoked 'social esteem: normality' can also be hypothesized.

### 4.3.3  The grammar of the clause as message – the realization of Textual meanings

**Structural Cohesive Devices.**

**Thematic progression, or how the text develops:** as you already know, we can trace the **Thematic progression** through which a text is developed when we have identified the Topical Theme of each of its clauses. To this purpose, we'll now divide the text into its ranking (i.e. not embedded) clauses, as follows:

Cl 1  **Research** the company and the position, and [if possible [8]], the people you will meet with at the interview.

Cl 2  **Have** your facts ready.

Cl 3  Once **you**'ve done your homework,

Cl 4  **begin** rehearsing.

Cl 5  **Write down** answers to questions you could be asked,

---

[8] Although technically dependent and so ranking, this elliptical clause – which we have interpreted as pertaining only to the 3rd Goal of Process 'research' – will not be analyzed separately.

Cl 6     and **write down** questions you want to ask.

Cl 7     **Maintain** eye contact with your interviewer

Cl 8     and **show** interest that you want the job.

Cl 9     **Avoid** negative comments about past employers.

Cl 10    **Listen** carefully.

Cl 11    **Be** sensitive to the style of the interviewer.

Cl 12    **Pay attention** to details of dress, office furniture and general décor

Cl 13    to assist in tailoring your presentation.

Cl 14    **Try to relate** your answers to the interviewer and the company.

Cl 15    **Focus** on achievements relevant to the position.

Cl 16    **Encourage** the interviewer to share information about the company.

Cl 17    **Demonstrate** your interest.


In Cl 1, the Topical Theme (TT, which, remember, must correspond to the first experiential element of a clause: either a participant or the Process or a circumstance), is the Process: *Research*.

In Cl 2, the TT is again the Process: Predicator *Have*. In **Cl 3,** the TT is the reader as participant: *you*.

In Cl 4, the TT is the VG complex: *begin rehearsing*.

Cl 5 and 6 present an example of **parallel thematic progression**, both having as TT the exact same Process: *write down*.

Cl 7, 8, 9, 10, 11 and 12 all have different Processes as TT: *Maintain, show, Avoid, Listen, Be, Pay*.

Cl 13 is a non-finite purpose clause, which we will *not* need to analyze for TT (Halliday 1994: 264-272). If we were to propose a finite paraphrase however, e.g., *so that you can help yourself to tailor…* 'you' would be the TT.

Cl 14 also has as TT a VG complex: *Try to relate*.

Cl 15, 16 and 17 again all have different Predicators as TT: *Focus on, Encourage, Demonstrate*.

As you can see then, apart from a single example of proper **parallel thematic progression,** each TT is actually different. And yet, as we predicted, these Predicators, being imperatives, always have the implied meaning of 'I want you to (do X)' preceding

them. Thus, this implicit 'I-You' semantics of the TTs gives the text an implicit parallel progression almost constantly throughout. In addition, if we look more carefully at the Rhemes, we can see that *you* or *your* appears in 9 of the 17 clauses. This gives us a considerable parallel progression of this element of Rheme as well. As a result, the text can be said to be highly cohesive in terms of its method of development, and so easy to follow, as we predicted it should, typically, be.

Before leaving Theme/ Rheme, have you noted any other kinds of Themes? Besides the Topical? Are there, that is, any cases of 'Multiple Themes'? Very few. In both Cl 6 and 8 we have *and* as Textual Theme, and, in cl 3, note how what is a temporal Mood Adjunct, *Once*, functions as Interpersonal Theme, perhaps in order to underline that the action demanded (*begin rehearsing*) shouldn't take place before the time is 'right'. If we were to paraphrase this temporal clause however, as is of course possible, say as: *After you have done you homework*…then we would have temporal conjunctive *After* as Textual Theme instead.

Notice also that, once more due to this procedure being realized almost exclusively by imperative mood clauses, if we should investigate its *un*marked **Information structure** here (and, again, we know that a truly relevant analysis of this structure can only be carried out when we have a *spoken* text)*, we would have a correspondence between **GIVEN** and **Theme** in all of the clauses starting with those diverse predicators as TT. Such an analysis is probably quite mistaken, however, as it is easy to imagine that each new predicator would be accented prosodically by the speaker, thus marking it as also being the location of the **NEW**.

**Grammatical parallelism:** as we expected, this is certainly not a text where language, in Jakobson's terms, has any real poetic function. However, we can detect a form of **grammatical parallelism** in the constant reiteration of certain items, and link it, as Jakobson does, with a corresponding reiteration of their meanings. In ascending order then:

Words: the word *interviewer* is repeated 4 times, which puts the presence of this participant in the interview in the spotlight. As we've already noted, the word *you* is repeated 5 times, while the deictic possessive *your* is repeated 6 times. Now, the fact that this $2^{nd}$ person pronoun and deictic possessive have been seen to function at various levels of the clause means that they are vitally important to the construction the text's

meanings globally. It underlines the importance of the *addressee* as potential performer of the proposals made in the text. Indeed, the procedure is constructed around his/ her figure.

Groups**:** accordingly, the group *your* + 'Thing' ( *facts, homework, interviewer, your presentation, answers, interest*) is also repeated 6 times, construing a 'personalized', 'individualized' message.

Clauses: due to the predominance of **imperative mood clauses**, as we had at least in part predicted, a specific clause structure is almost always reiterated:

- in terms of transitivity: Process + 2$^{nd}$ participant only, or,

- in terms of Mood structure: Predicator + Complement.

which is indeed what we had predicted: the Do X/ Do Y structure.


### Non-Structural Cohesive Devices.

Again, as expected, the typical grammar of this text-type includes only selective, but important, use of **non-structural cohesive devices**. There is hardly, as foreseen, any **ellipsis/ substitution**, which fundamentally consists in extremely unmarked deletion of relatives. We expected, however, to find **participant chains** in the text, focussed on the presence of the *addressee*: and this is exactly what we get. As is usual, this is the result of a **reference chain** composed of all those *you*s and *your*s which we've noted having important functions at many levels of analysis. Once again they result noteworthy: here, for making the text cohere around this figure. Within the text, there are also lexical relations of quasi-synonymy: e.g. *job* and *position*, and we could say that the text itself constructs a relation of meronymy (whole-part relation), which obtains between, as it were, THE INTERVIEW and its parts, seen as all of the separate 'Tips' given about it, and more in particular, the activities being demanded: researching, rehearsing, adapting, relating, etc. etc. No one **lexical string** emerges in particular, but **collocation**, which is, as we know, the tendency of specific lexical items to co-occur, can be seen in the twice repeated simultaneous presence of the NGs *answers-questions-interviewer*, which can be considered as a typical collocation with respect to the subject matter of the text.

Our expectations regarding **conjunction** were at least in part right: no conjunction *between* clause complexes takes place, as the physical structuring of the text into separate "Tips" makes it unnecessary. In addition, we said that an implicit

internal ordering of steps to be followed could be achieved simply by a series of independent clauses following one upon the other, which is what we find throughout the text. However, if we look at the 'steps' carefully, we see that one of our basic expectations is actually overturned! That is to say that they do *not* wholly consist of a logical or even temporal progression! If the order were to be different, at least after "Tip 2", or maybe 3 (as eye contact comes about as soon as one finds oneself in the room with the interviewer), not all that much would change! Try it yourselves! In short, this procedural text, radically different from a recipe or how-to-assemble-something text, is *not* ordered precisely step by step. So that, if on one hand we do have, as we thought we would, clearly distinguishable and recognizable 'stages' of some kind, because we get clearly labelled "Tips", on the other, the ordering after a certain point must be seen as being rather arbitrary.

This reflects on the **rhetorical/ discourse structure** of the text as well, which we expected to be a lot more 'ordered' than in fact it is! We *were* right about the first 'step', i.e., a proper 'preparation' for the interview. Indeed, a proper *pre*-preparation for the job interview is dealt with in **"Tip" 1 and 2,** related to the 'ground work' needed before even arriving on the scene: looking into the company, its job offerings and personnel, and then compiling questions which might be asked and those 'you' might want to ask. We were even quasi-right about what follows this: another set of stages in which the virtual interview is dealt with. The problem is that the 'stages' aren't really obligatory 'stages', but general points whose ordering could well be different. There is also no discernible stage in which final general considerations and concluding remarks are made. Hastily put-together journalism, or just a subject matter that doesn't really require step-by-step instructions  in the same way as making an apple pie does? Although deadlines have their effects, in this case a change in subject matter is what makes the difference we think. Indeed, perhaps 'procedure' isn't the best category to put the text into at all! Shall we just label the register 'how-to' then? Let this 'finding' be a lesson in how reader's 'too-automatic' expectations can lead to imprecise predictions! Sometimes *too* much familiarity with text-types can make for less attention to the single text instance than is ideally needed!

After this rather surprising discovery, we can go on with our considerations. As we did predict, the Jakobsonian functions of the text are, firstly, **conative**, focussing as

it does on demanding behaviour from *you*, addressee, and secondly, **representational**, through its focus on the context of the interview. In addition however, we find a noteworthy **meta-lingual** function due to the focus in the text on the **linguistic activity** of questioning and answering as well. Finally, a very minor **'poetic'** function is the result of a certain amount of Do X/ Do Y clause structure parallelism especially, perhaps with that mnemonic function we mentioned above.

### 4.3.4 Intertextuality, Heteroglossia and Coding Orientation

This particular text is also a 'typical' example of its type, strongly **intertextual** and an example of Bakhtinian **centripetal forces** of heteroglossia at work – one possibility we foresaw. The reasons for this have to do with the re-proposal of long-established ways of giving advice regarding how to behave in interviews, but also, however, with the total re-legitimation of a certain perhaps more recent 'market model' of the job-seeker, in a world where the competition for jobs gets only more and more aggressive. The "Tips" here are on how to be the kind of employee that a company is seen as desiring: interested, knowledgeable, extroverted, personable, ambitious – someone, in short, who is better than the 'average' job-seeker – indeed, the best! This market-world-view construed by the text is wholly unquestioned and fits perfectly into the American dream's notion of anything being possible to those who try hard enough to get it. It fits perfectly with the rather simplistic idea that a huge dose of ambition is all one needs to succeed.

Regarding Bernstein's **coding orientations**, we find the mixed orientation we predicted above, but the options for the wordings and meanings characterizing this instance of the 'how-to' register would appear to be regulated by the restricted code to a greater degree than expected. Although the text is addressed to educated middle class graduates who have certainly had access to an individuated role system, the semantic directions of the text are rooted in dominant cultural ideological norms that are to a great extent 'positional' rather than 'personal'. Experientially, orientation is more towards the concrete and the particular (e.g. to details of virtual place of interview), rather than to the abstract and generalized, while, interpersonally, demands are being made *without* ever really explaining *why* they are. Perhaps the 'why' is so obvious that it needn't be elaborated on, but the fact remains that the speaker's voice in this text

would appear to have much in common with the imperative style of control of the mother who commands her child to 'just do it'. Despite its organization being in some ways haphazard – no inter-segment conjunction, no clear ordering of 'Tips' – the text is, however, basically 'self-sufficient', IF, that is, the reader shares the needed cultural background knowledge of the material and social context it is produced in and refers to. And part of that knowledge is the social value our society attaches to the *role* that it is taken for granted that a job-applicant must learn to play. This kind of shared knowledge is always needed for full 'model' reading of a text of course. Only the degree to which it is indispensable will vary.

*Exercises to Part II*

## Exercises on the 'Didactic' text-type

## THE TEXT [9]

Good morning. /Now, what we're going to be doing today is to analyze the nominal group "human rights"/. I want us to examine it from various points of view,/ that is, investigating the different meanings that the term can be seen to be instantiating in the lexico-grammar of the text./ Now, firstly, consider its function in the first clause-complex here./ Notice that,/ as Halliday tells us,…

## *QUESTIONS*

1. What is the **main Process type** and its inherent **participants** in the first clause?

2. Is this Process typical of the didactic register? If so, why? If not, why not?

3. What is the dominant Process type in the text, globally considered? Is this typical of the didactic register and/or the subject matter? If so, why? If not, why not?

4. Classify all the **circumstances** in this text. Are they typical of the register and/or of the subject matter? If so, why? If not, why not?

5. In the above text, there is an **extended VG complex**. This is a way of saying that is typical of both the register and the subject matter. What is it? And what can be said about it?

6. What is the first **Grammatical Subject** in the text? Is it significant for the register or not?

7. What is the **Mood** of the second clause complex, beginning *I want us to*…?

8. What is the **communicative function** of this clause complex?

9. Therefore, is the **Mood** of this clause complex congruent or incongruent? Why?

10. Concerning **appraisal**, which system is in evidence in the first clause, and why?

11. In the first clause, what is the **TT** (Topical Theme)?

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[9] The slanted lines in the text mark ranking, i.e., not embedded, clause divisions.

12. What do we call this kind of **Thematic structure**? What is its function?

13. What kind of **non-structural cohesive devices** typically go into forming the participant chain?

14. How many **participant chains** are there in this text? Are these typical of the register? If so, why? If not, why not?

15. Trace the instantiations of the participant chain beginning with *the nominal group "human rights"* in the text.

16. What kind of **reference** do we have with *it* (line 2) and *its* (line 5)?

17. Describe the **rhetorical** or **discourse structure** of this text.

18. What is/are the rhetorical aim/s of this text, with reference to Jakobson's model?

19. According to Bakhtin's categories, is the dominant force at work in this text centripetal or centrifugal? Why?

20. Define the **coding orientation** of the text. Which lexico-grammatical aspect/s that we have already mentioned in the analysis of this text can be connected with this orientation?

# Exercises on the 'Procedural, or 'How-to', text-type

## *THE TEXT* [10]

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**First impressions count/**
Your first impression can make or break your chances of success:
- Wear comfortable and appropriate clothes; / don't be tempted to be too flamboyant or individualistic/ – you may stand out for the wrong reasons!
- Smile and look enthusiastic – / interviewers are only human /and respond to personal warmth.
- Shake hands firmly and warmly.
- Remember your body language/ – relax, sit up straight and make good eye contact with the interviewer.
- Listen carefully to the first few questions/ – answering these well will boost your confidence.

Insert included in an article entitled *Interviews: Selling Yourself* by M. Pennington, Head of Service, University of Leicester Careers Office.

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## QUESTIONS

1. What is the **subject matter** of this text?

2. Identify the behavioural Processes in the text. Remember that if a behavioural Process has <u>more than one participant</u>, then we prefer to analyze it in terms of either a material or a mental one.

3. Are these Processes typical of the **register** and/or **subject matter** of this text? If so, why? If not, why not?

4. Identify the kind of paratactic expansion that is constructed between the following VGs by means of the underlined words:
a) Make <u>or</u> break
b) Smile <u>and</u> look enthusiastic
c) Relax, sit up straight <u>and</u> make good eye contact

5. Who is the addressee of this text? Who is the speaker?

6. What are their **social roles**, or **statuses**?

---

[10] The slanted lines in the text mark ranking, i.e., not embedded, clause divisions. On the whole, VG expansion has been somewhat arbitrarily interpreted as taking place *within* the clause, i.e., as not forming additional clauses

7. In this text, globally considered, the speaker can be said to adopt an attitude of [+ power] towards the addressee and [+ knowledge] towards the **subject matter**. What **Mood** option(s) realize(s) such meanings?

8. In the text there are many instances of **implicit deontic modality**. What kind of modulation do these enact? What kind of **proposal** is being made?

9. What kind of Modality is enacted in/ by the following propositions: *Your first impressions <u>can</u>…*; *you <u>may</u> stand out …; answering these well <u>will</u> boost…*?

10. Is the modality instantiated in/by the text typical of the **register** and/or **subject matter**? If so, why? If not, why not?

11. In the clause *don't be tempted to be too flamboyant or individualistic*, what words are construing appraisal? What APPRAISAL SYSTEM is being enacted? Is it positive or negative? How do we know?

12. Each of the **TT**s in the text is different. However, there is an implicit parallel thematic progression that works across the text. What is it?

13. Is this typical of the **register**? If so, why? If not, why not?

14. In the text, globally considered, is the logical connection between the clause-complexes explicit or implicit?

15.     a) Can you describe this logical connection globally?
        b) What is the implied connection between *Smile and look enthusiastic – interviewers are only human*?

16. The **textually-created cohesive relation** between 'The interview: Selling Yourself' (title of the article this segment is taken from) and all the single instances of advised behaviour in this segment is that of:
a) synonymy              c) meronymy
b) antonymy              d) repetition

17. According to Bakhtin's descriptive categories of the 'forces' of heteroglossia, the dominant force at work in this text is centripetal. <u>True or False</u>? Say briefly why.

18. **Fill in the blanks with one of the options provided below (use each option only once)**:

As is typical of this (-1-), the text has a predominant (-2-) function, due to the dominant semantic direction of demanding 'goods & services' from the (-3-). It also has a secondary representational function, realized by the text's focus on the (-4-) of the interview. Grammatical parallelism of (-5-) structure ('do this/ do that') also gives us a minor 'poetic' function, once again (-6-) for the register. Such reiteration is thought to be an effective attention-getting and mnemonic device.

**a.** addressee; **b.** context; **c.** typical; **d.** conative (persuasive); **e.** Mood; **f.** register

19. The focus on the imperative style of reasoning is a sign of Bernstein's **elaborated coding orientation**. <u>True or False</u>? Say briefly why.

20. The coding orientation of this text, as exemplified in: *Wear comfortable and appropriate clothes; don't be tempted to be too flamboyant or individualistic – you may stand out for the wrong reasons!* can best be described as:
a) extremely restricted       c) a mixture of the types
b) extremely elaborated     d) impossible to identify
Say why.

# PART III

## More practice:

## Illustrating BOTTOM→UP analysis

# 5. *The Formal Letter Register: one instance of a sub-register – the CV cover letter*

We would like to show you here an example of BOTTOM-UP functional linguistic text analysis, which is the kind of work one performs by starting from the 'bottom level'. That is to say that, instead of predicting possible realizations of the meanings of a text on the basis of our knowledge of its general Contextual Configuration type and particular Context of Situation – as we illustrated the possibility of doing with a TOP-DOWN kind of text analysis -, we will start from the **clause level**, investigating wordings, in order to understand what meanings are being realized in/ by these. In this way, we aim at finally reconstructing the material and social Context which activated/ determined the text, i.e., the total CC type which initially activated its **ideational, interpersonal** and **textual meanings** which were realized in/ by the wordings at the lexico-grammatical level, in the **clause as representation, as exchange and as message**, respectively.

The text we'll be dealing with is an instance of the general register category of the 'letter'. In addition however, it is an instance of the sub-register, the 'formal letter' which can be contrasted with the '*in*formal letter'. Another common label for the 'formal' sub-type is 'business' (meant in a fairly wide sense), while informal letters are often also known as 'friendly' ones, as in the figure below:

LETTER {
  Formal/ 'business'
  Informal/ 'friendly'
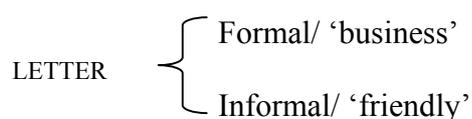
**Fig. 9 –The letter as register/ sub-register**

The two types can be distinguished according to many typical semantic and lexico-grammatical features, as one would expect. For instance, the former typically have addressees that are unknown to the speaker, while the latter have readers such as family members and friends…hence the term 'friendly'. Semantically, this makes for [+ distance] between interlocutors in the formal variety, which makes for various other of its characteristics as well: higher context *in*dependency, a more 'written' medium, etc.

etc. Variations, of course, will occur as a result of the specific kind of text being instantiated: its subject matter; its interactants, and so on.

## 5.1 The Text

Our text instance is reproduced below:

> *Dear Ms. Wise*
>
> *I am looking for a placement within a pharmaceutical company from July to September of next year. I am writing to you as I understand that your company may have appropriate vacancies available. I would be most grateful if you could consider me for any suitable positions within your company.*
>
> *I first became interested in the pharmaceutical industry through talking to a Kent graduate at the University Careers Fair last March. Since then, discussion with my careers adviser has confirmed my decision to aim for a career in this field.*
>
> *Through my degree course, I have been able to develop my interest in biochemistry, plus my practical laboratory and numeracy skills. While at University, I have also been able to utilise my skills in working with people through a variety of vacation jobs. My work at the Tourist Information Office was valuable in teaching me the importance of ascertaining customers' needs and providing clear and accurate information.*
>
> *I will be available for interview if required at any time up until Easter. Please find enclosed my CV, where you will find further information.*
>
> <div align="right"><i>Yours Sincerely,<br>John Andrews</i></div>
>
> **From:** *Career Management Skills: personal development workbook,*
> **A publication of the Careers Advisory Service,**
> **University of Kent, Canterbury, 2001**

## 5.2 Meanings and wordings

Let us now start to analyze what **ideational meanings** (**experiential** and **logical**) are realized at **clause level** by the 'Speaker as Observer', thus looking at the **clause as representation**.

## 5.2.2 The grammar of the clause as representation

## 5.2.2.1 The realization of Experiential meanings

As far as **Processes** and **participants** are concerned, the text features primarily **material Processes**, which describe the present actions, including the very act of writing, as well as the past experiences and activities of the writer of the text (*looking for, am writing* [11]*, have been able to develop, have been able to utilise*). Such Processes can be said to be typical of those which this kind of letter would instantiate. Also material, and very typical as well, is an action the addressee is told to perform (*find*). Almost all **Actors** are realized by the pronoun *I*, which refers to the writer of the letter, the applicant, except for when the NG *discussion* (which, note, is the **nominalization** of an 'action', performed once more by the applicant, with someone else), functions as inanimate Actor, and in the final clause, where the **Actor** is realized by the pronoun *you*, referring to Ms. Wise. **Goals,** and the only example of a **Range** (*skills*, as 'domain' of the material Process, *utilise*), are all, once again typically, related to the applicant's aim, resolution, skills and achievements (*a placement*, *my decision, my interest, my skills, my CV, further information*). Even in the first clause, the **Goal** explicitly refers to what the applicant hopes to get with this letter, a future achievement as it were (*a placement*). Also typically, the **Beneficiary: Recipient** of the 'action' of writing, in the second clause, is the addressee of the letter: Ms. Wise herself (*you*), as representative of the pharmaceutical company, perhaps the person in charge of hiring their personnel.

A considerable number of **relational Processes** are also realized, especially those of the **attributive** type, which, again typically, function to describe the applicant and his experience. Once more, almost all **Carriers** are realized by the pronoun *I* of the applicant, except for one case when it is realized by the NG *my work* (where the deictic possessive, however, again refers to the applicant). **Attributes** are realized by NGs, which are related either to the applicant's attitude (*most grateful, interested*, i.e., in terms of Affect – see below) or to the value and quality of his experience and willingness (*valuable, available*). The only **Attribute Possessed** is realized by a NG, a 'Thing' represented as being possibly, or hopefully!, possessed by the pharmaceutical company (*appropriate vacancies*).

The text also features two very typical **mental Processes** of the **cognitive** type (*understand, could consider*), where the **Senser** is, in the first case, the pronoun *I*

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[11] The Process 'write' can be considered verbal as well, with inherent participants Sayer, Receiver and Verbiage. As a Process it also can project: e.g. "He wrote me that he couldn't come". Here, however, as the 'real' present seems to be underlining the material activity, we have opted for Process: material.

(letter-writer John Andrews) and, in the latter case, the pronoun *you* (Ms Wise). Interestingly, when the **Senser** is realized by the pronoun *I,* it is followed by a *projection*, where the projected clause features the **relational possessive Process** noted above, with *your company* as Possessor (*I understand that your company may have appropriate vacancies available*), whereas, when the **Senser** is realized by the pronoun *you*, the **Phenomenon** is, significantly, realized by the NG *me*, referring to the applicant (*I would be most grateful if you could consider me for any suitable positions within your company*). Thus, a kind of circular inter-relationship between the applicant and the company to which he is applying is being immediately set up.

All Processes are realized in the **active voice**. The applicant typically shows himself as an 'active' participant with respect to all his experiences. There are no instances of overt causation, or ideational grammatical metaphors, except in the clause: *discussion with my careers adviser has confirmed my decision to aim for a career in this field*. As already noted above, here we have a nominalization (*discussion)* of what is essentially a verbal Process (*discuss*). The clause could indeed be more congruently realized as, e.g.: My careers advisor and I discussed X, and as a result I have confirmed my decision to aim for a career in this field. In such a co-representational clause-complex, not only is the Process made explicit, but we also have two explicit 'discussants' (rather than only one, which in the original appears within a circumstance of Accompaniment: *with my careers adviser*). Moreover, in this more congruent version, we also have a clear logico-semantic (enhancing) relation of consequence: result (*and as a result*), and the explicit Actor *I* of that cognitive mental Process of 'confirming'. In addition, if we look at the clause-complex we've re-constructed as a whole, we can also perhaps more easily discern the implied **causation** which, even in the original version, is seemingly 'going on': in short, it is this *discussion* with the careers advisor that MADE (to be) CONFIRMED that *decision*…So then what we have here essentially is *discussion* as Initiator/ Instrument of a causative verbal group complex. All this should not give you the impression that the original is *not* a very typical, though 'metaphorical', way of saying in this kind of text. It *is*! But only by considering the less metaphorical, more congruent, version, do the semantics of the clause emerge more clearly (see Simon-Vandenberg, A-M, Taverniers, M. and Ravelli L., (eds.) 2003 for recent studies of lexico-grammatical metaphor).

As far as **circumstances** are concerned, the text features a considerable number of circumstances of **Location: Space** (*within a pharmaceutical company, within your company, at the University Careers Fair*), through which the *spatial setting* of the applicant's ambitions and experience are described. In one case however, (the last clause-complex) the formulaic circumstance of **Location: Space** inherent in the Attribute *enclosed* functions *meta*-textually, as it is short for 'enclosed *herein*' (i.e., in the letter itself).

A considerable number of circumstances of **Location: Time** is also realized. Most of these are of the 'Extent' type: *from July to September of next year, last March, Since then, While at University, at any time up until Easter*. These help to construct the temporal setting of the speaker's past experiences and that of his availability for interview. Considering tense/ time, the text is basically **oriented towards the recent past** (through simple past and present perfect tenses), serving as a presentation of the kind of *background* information typically accompanying a CV.

The text also features circumstances of **Manner: Means** (*Through my degree course, through a variety of vacation jobs* and the circumstance + nominalized Act we will be coming back to below: *through talking to a Kent graduate*). These all function to describe 'by what means' the applicant achieved his skills or came by his interest in the field of work he is trying to get into. Two circumstances of **Cause: Purpose** (*for any suitable position*; *for interview*) are also instantiated, the first as the desired result of the 'consideration' the applicant is asking the company for, and the second, as the motive for which the applicant expresses his availability.

### 5.2.2.2  The realization of Logical meanings

As far as **taxis** and **logico-semantic relations** *within* the clause complex are concerned, the text realizes a good number of single, if lengthy!, clauses, through which the *applicant's* background is described with reference to different stages and kinds of experience. The text also makes use of a considerable amount of **embedding**, through which a great deal of detailed information about these experiences is economically 'packaged'.

The **embedded clauses** have different functions: as the kind of nominalized process known as an Act (*through [[talking to a Kent graduate]]*); as post-modification

of a 'proposal' noun (*decision [[to aim for a career]]*) (Thompson 1996: 184; Halliday 1994: 268); and to post-modify other NGs and Epithets (*skills in [[working with people]]*); *valuable in [[teaching me the importance]]*). Do notice, however, how this last instance could also easily be paraphrased as an enhancing finite clause of cause: reason: …*valuable <u>because</u> it taught me*…

The text opens with a conventionally formulaic, interpersonal *vocative* – a 'salutation' addressed to Ms Wise: *Dear Ms. Wise*. It then features a single clause:...*I am looking for a placement*... Then a clause-complex is realized in which the second clause is linked to the first through a relation of **hypotactic enhancement** (cause: reason): *I am writing to you <u>as</u> I understand*…, which also **projects** a **reported idea**: *that your company may have appropriate vacancies*.... What follows is another standard CV cover letter clause-complex, where the second clause is linked to the main one by another relation of **hypotactic enhancement** (condition): *I would be most grateful <u>if</u> you could consider me...*

Afterwards, beginning with the second physical paragraph, we get a series of 5 **single clauses**, 3 of these featuring **embedded clauses** functioning in the ways already described above (for the last of which we have proposed a possible finite hypotactic version).

The last 2 sentences, located in the final paragraph of the text, are clause-complexes. The first of these features two clauses in a relation of **hypotaxis**, the second clause being an elliptical non-finite clause, again of the **enhancing** type (condition): *I will be available for interview if [it is] required (...)*. The second clause-complex is formed by two clauses in a relation of **hypotactic elaboration:** *Please find enclosed my CV, where you will find (...)*.

The text then ends with a typical formal closing and applicant's signature.

Continuing to work at clause level, let us consider now, what kind of **interpersonal meanings** are realized in this text, considering the speaker as participant in/ 'intruder' into his text. We will now begin to analyze the **clause as exchange**.

## 5.3 The grammar of the clause as exchange – the realization of Interpersonal meanings

As you know, **interpersonal meanings** are realized at clause level typically through the use of MOOD SYSTEMS, MODALITY SYSTEMS (modulation/ modalization) and APPRAISAL SYSTEMS, with a considerable and constant overlapping of the meanings these instantiate. Recall that these systems, *working together*, tell us about the *attitude* of the speaker, both towards the *subject-matter* of the text and towards the addressee. Moreover, the *I* and the *you* that were seen above as important grammatical participants in transitivity with reference to the **clause as representation** obviously also function interpersonally, to establish a relationship between the speaker and his interlocutor. Halliday (in Halliday and Hasan 1985/ 1989: 33) calls these PERSON SYSTEMS.

But let us look at Mood first.

MOOD SYSTEMS

The text features almost entirely **indicative: declarative mood clauses** (Mood Block: Subject + Finite), which means that **information** is being primarily given here. Only the formulaic penultimate clause is different, being realized in the **imperative mood** (which, recall, in its unmarked coercive form has no Mood Block). Although **'goods & services'** are technically being demanded here, the imperative is far from a 'coercive' demand communicatively. It is actually a courteous, prescribed way of saying (note too the formulaic *please*) which carries no threat to the reader's 'face'.

MODALITY SYSTEMS

There is a great deal of subjective implicit modalization expressed in this text, starting with high value subjective implicit **probability**, or **speaker certainty**, which is <u>always</u> implied in the bare declarative, or monogloss (e.g.: *I am looking for a placement…*). All of the statements describing the applicant's background, his interests and achievements, enact this kind of modalization: *I first became interested…, discussion...has confirmed…, my work...was valuable…* In addition, subjective implicit modalization is construed with explicit instances of modal auxiliaries, (**possibility**: *your company <u>may</u> have…,* **conditional prediction**: *I <u>would</u> be...if you <u>could</u>...*). Subjective implicit **certainty/ prediction** is also enacted with: *I <u>will</u> be available…* and *you <u>will</u>*

*find…. .* However, *I will be available…*should also be seen as an instance of subjective implicit and high degree modulation: **willingness** on the part of the applicant himself.

The penultimate clause, the only **imperative mood clause** remember (*find enclosed*), implies – as the imperative coercive, construing a **proposal**, always does – modulation: **obligation**. In this instance, however, the semantics of the Mood and Modality construed are, as we've just said above, attenuated by the ritualistic nature of this 'proposal', preceded by the formulaic *Please*.

**Ability/ capacity** – which, recall, we see as neither modalization nor modulation, though closer to the latter – is twice enacted with: *I have been able…, I have also been able….*

APPRAISAL SYSTEMS

This text realizes both *explicit* (or *inscribed*) and *implicit* (or *evoked*) appraisal, and of different kinds. **Inscribed (explicit) Affect** on the part of the speaker is realized in relation to his account of past experiences and present expectations (*I first became interested, I would be most grateful* – and note that here **Graduation** is also instantiated with *most*). The text also enacts **evoked Affect** (*discussion with my careers adviser has confirmed my decision…; I will be available…*), which can be said to function to imply additional interest in a career on the part of the applicant. But the penultimate instance especially (*…confirmed my decision*) could also be seen to *evoke* **Judgement: social esteem: tenacity** (re: his getting the job he's decided he wants!). **Inscribed Judgement** in the category of **social esteem: capacity** is also realized on the part of the speaker in *I have been able…, I have also been able….* Moreover, in relation to the validity of his experience, **Judgement: social sanction: propriety** may also be said to be evoked: (*my work…was valuable in teaching me the importance of ascertaining customers' needs and providing clear and accurate information*). Why? Because the 'rightness'of doing these things is being expressed.

This last instance is also one of **explicitly inscribed Appreciation** (the *valuable* quality of his *work,* treated as 'object', rather than as 'behavior', an example of the not unusual overlap we often find between Appreciation and Judgement). This kind of appraisal is almost invariably construed when the speaker is describing his career aims and qualifications. Other textual instances are: *appropriate vacancies, suitable position,*

*clear and accurate* information. **Evoked Appreciation** occurs as well, in e.g., *a variety of vacation jobs…* Here Appreciation is being implied in relation to the widespread cultural belief that having many and different (*a variety of*) jobs provides one with a richer experience. By the same token, however, positive **Judgement** of the **propriety** of having/ doing this *variety* of jobs, and perhaps of the **capacity** of s/he who has/ does them, is also being evoked.

Furthermore, **Engagement** is enacted throughout the text by the large number of monoglosses, already mentioned, which simply and *un*qualifiedly state the speaker's interest and aptitude and thus assert his, non-negotiable, self-confident stance. To put it bluntly, he comes across as very 'sure of himself', which is of course what is typically, socio-culturally, required in this kind of text. In short, it is indeed how a job applicant is 'supposed to' come across: confident, self-assured, but always stopping short of being *too*-proud, *over*-confident!

So then, overlap is characteristic of the way in which the three main interpersonal systems function in the realization of interpersonal meanings and this specific text instance is an ideal illustration of such inter-relatedness.

Let us now consider the question of **textual meanings**, the *meanings* realizing the **textual metafunction**, realized within the **clause as message**.

## 5.4 The grammar of the clause as message – the realization of Textual meanings

When we talk about **textual meanings**, as you already well know, we talk about *texture*: that is to say, we consider all those linguistic devices that make a text what it is.

Recall that *Texture* is the quality a text must have in order to be considered both as text and as discourse (Halliday 1994: 334-339). Remember too that texture is constructed, firstly, through **Structural Cohesive Devices** (**Thematic Structure, Information Structure, Grammatical Parallelism**), that is to say, all those devices where *structures* of different kinds are used in order to make a text cohere. It is also achieved through **Non-Structural Cohesive Devices** (**Reference, Ellipsis/ Substitution, Lexical relations, Conjunction**), that is to say, all those devices that make a text cohere without involving the use of *structures*.

**5.4.1 Structural Cohesive Devices**

In order to better understand how structural cohesive devices work in this text, we'll look firstly at its **discourse or rhetorical structure**, since all structural cohesive devices here would appear to be strongly and obviously linked to it, i.e., in a more noteworthy way than is typical. In approaching our analysis this way, we aim to draw your attention to how these overlapping phenomena are functioning together to construct the texture of this text.

This letter serves as an introduction to a CV, therefore its **discourse structure** reflects the material, and rhetorical, purpose of the speaker (finding a job). Furthermore, as is usual, the letter's division into 'stages' can also be seen to be linked to the way in which both the ideational and interpersonal meanings are realized in the text. The discourse stages can be globally grouped into four main sections which we will gloss as:

**Presentation (including Motivation) ^ Background Information ^ Additional Information ^ Closure**

More 'locally', within these global steps, we can see the staging as consisting in:

1) *formal salutation ^ self-presentation of the speaker ^ motivation for the writing of application letter* (physical paragraph 1) ^ ;

2) *reason for his interest in a position in this field* (paragraph 2)

3) *report on the speaker's education, interests, past job experiences and resulting achievement and qualities* (paragraph 3) ^ ;

4) *declaration of availability for job interview ^ formal invitation to read the enclosed CV ^ formal closing ^ signature* (paragraph 4).

Let's see now how this proposed **discourse structure** works together with **Thematic progression** in the text, which is traced through the mapping of the Topical Theme (TT) of its ranking (non-embedded) clauses:

Ø      Dear Ms Wise,

Cl 1    **I** am looking for a placement within a pharmaceutical company from July to September of next year.

Cl 2    **I** am writing to you

Cl 3    as **I** understand

Cl 4    that **your company** may have appropriate vacancies available.

Cl 5    **I** would be most grateful

Cl 6    if **you** could consider me for any suitable position within your company.

Cl 7    **I** first became interested in the pharmaceutical industry through talking to a Kent graduate at the University Careers Fair last March.

Cl 8    **Since then**, discussion with my careers adviser has confirmed my decision to aim for a career in this field.

Cl 9    **Through my degree course**, I have been able to develop my interest in biochemistry, plus my practical laboratory and numeracy skills.

Cl 10   **While at University**, I have also been able to utilise my skills in working with people through a variety of vacation jobs.

Cl 11   **My work at the Tourist Information Office** was valuable in teaching me the importance of ascertaining customers' needs and providing clear and accurate information.

Cl 12   **I** will be available for interview if required at any time up until Easter.

Cl 13   Please **find** enclosed my CV,

Cl 14   **where you** will find further information.

Ø       Yours Sincerely, John Andrews.


Even from the point of view of its **Thematic progression** the text seems to be divisible into four clearly distinguishable sections, each corresponding to one of the global stages of the **discourse structure** we identified above.

The first of these goes from Cl 1 through Cl 6, where the *I* of the speaker is almost always thematized as TT and progression is mostly **parallel** (TT in one clause becoming TT in the next one). In this segment, corresponding once again to the first (physical but also conceptual) paragraph of the text, the speaker is basically giving information about himself as an applicant for a job. In addition, however, in Cls 4 and 6 the addressee appears in the form of a deictic possessive of the thematized NG *your company* (Cl 4) and in the thematized personal pronoun *you* (Cl 6). These link up with the *you* of the Rheme in Cl 2. Even through **Thematic progression** within this first discourse stage, therefore, the personal relationship between the two human participants in this text is being furthered.

The second stage corresponds to the second paragraph and includes Cls 7 and 8, between which there is **linear thematic progression**, meaning that some element of the **Rheme** of a Cl is re-proposed in the **Theme** of the following one (Rheme ...*through talking to a Kent graduate at the University Careers Fair* <u>*last March*</u>, linking to Theme, *Since then*…). Temporal considerations are what are being focussed here: i.e., *when* it was that the writer's decision to aim for a career in this field was made – as the reason for the letter-writing.

In paragraph 3, Cls 9 through 11, what we've called above the third stage of the discourse structure – where the aspiring applicant's detailed experiences and skills are related – the method of development continues to be basically linear: i.e., *discussion with my careers adviser*, part of Cl 8's Rheme, is something that typically occurs within the activities of the *degree course*, which is the main focus of Cl 9's TT, and the elements of the Rheme of Cl 9, *biochemistry, plus my practical laboratory and numeracy skills*, can be easily seen to be things that are followed and learned *at University* – the focus of Cl 10's TT. Finally *the variety of vacation jobs* of Rheme 10 finds exemplification in the TT of Cl 11: *My work at the Tourist Information Office*. In addition, there is a continued focus on particularized circumstances as TT: in Cl 9, one of Manner: Means and in 10, again of Location: Time.

The fourth and final section goes from Cl 12 through Cl 14 in paragraph 4. The progression here is that of the typical conclusion to a letter of this type. The TT of Cl 12 is again the *I* of the speaker, while the TT of Cl 13 is the typical Process of the formulaic expression (*find*), which, recall, being an imperative, also contains the semantic implication of 'I want you to [do X]' prefixed to it. The TT of Cl 14 is, *by default rather than choice*, the relative pronoun *where*. But as it *is* TT only by default, it does not take up full thematic potential (Halliday 1994: 51). Thus we add *you* to the TT as well.

If we take into account the implied prefixed message of Cl 13 (i.e., 'I want you to [do X]'), then Thematic progression in this segment is again essentially of the **parallel** kind. This stage of the text constructs the closure of the text, which is symmetrical to the first stage, insomuch as it brings together speaker and addressee once again in a similar way.

Note that the text also features **textual themes** (*as*, which links Cl 2 to Cl 3 through a relation of cause/ effect; *that*, which links Cl 3 to Cl 4, constructing the latter as a projection of the former; *if*, which links Cl 5 to Cl 6, specifying a condition; and *since then*, linking the temporal moments of the speaker's account). Also one **interpersonal theme** (*Please*) occurs, which, as we've noted, typically appears in the conclusion of this type of letter, coupled with the final formulaic proposal of the speaker to the addressee (*find enclosed*).

Regarding **Information structure**, as far as we can talk about it, the text being a *written* one (as we know that the analysis of the GIVEN-NEW structure is best applied to *spoken* texts), it too seems to be working together with the global **discourse structure** and **Thematic progression** identified above. If we consider the *un*marked structure, according to which the Given corresponds to Theme and the New to Rheme, what we observe actually seems to make 'sense', and this is that:

- In the first discursive stage identified above, the *I* of the speaker almost always corresponds to the GIVEN element, while the information he gives about himself corresponds to NEW information. In Cls 4 and 6, *your company* and *you*, related to the addressee, are the GIVEN element, while a desire for information about job vacancies in the company (the motive of writing) corresponds to the NEW one.

- In the first clause of the second stage, *I* as TT is still, reasonably, the GIVEN. The temporal aspect of the NEW of this same clause, which corresponds to background information concerning the speaker's initial interest in this field, then becomes the TT (GIVEN) of Cl 8, while the NEW of this clause details the transformation of that same interest into a firm decision.

- Throughout stage 3, again the unmarked information structure works credibly, the TTs being indeed GIVEN (as they re-propose at least implicit parts of the previous Rhemes: e.g.: those specified courses in Cl 9's Rheme were clearly taken *at university* – TT of Cl 10) and the NEWs of the Cls are undeniably just that: 'new',

additional details about the applicant's experiences and achievements.

- In the fourth stage, basically the *I* of the speaker and/ or the *you* of the addressee are the GIVEN elements, while additional, typically concluding details about the addresser's availability for an interview and his enclosed CV are consistent with the NEW.

Thus **Information structure** too can be seen to be functioning in relation to the **discourse structure** of the text.

Finally, the use of **grammatical parallelism** as a structural cohesive device also appears to be functioning together with the four stages of rhetorical development, or the **discourse structure,** as identified above:

- The first stage is characterized by the **repetition** of words: the personal pronoun *I* (repeated 4 times); the personal pronoun *you* (twice), and the deictic possessives *your* (again twice). Thus the two human participants in this 'exchange', which have been seen to function importantly in many different clause features, are once again focussed, this time with reference to parallelism. In addition, the word *company* recurs (3 times). Moreover, the clause structure *X is doing Y* is reiterated (in Cl 1 and 2) where X = *I* (referring to the speaker) and the Processes are both material: *looking for* (placement) and *writing* (to you). Thus the speaker's initiative in job-hunting, the stage's semantic focus, is also being reiterated.

- The second stage is characterized by repetition of the deictic possessive *my*, again referring to the speaker (twice). Semantically then, speaker-focus is continued. The *pharmaceutical industry* re-proposes, albeit in only quasi-synonymous form, the *pharmaceutical company* of stage 1 and the word *career* appears in this one paragraph 3 times, twice in the plural. Thus the denotational semantic focus is as it should be

in a 'reason for writing' stage: on the job the speaker is declaring he has decided he wants.

- This stage, as already confirmed by our analysis of **Thematic structure** and **Information structure**, is being dedicated to a further detailed description of the speaker and his experiences and achievements. We have, once again, the repetition of the personal pronoun *I* (twice), as well as that of the deictic possessive *my* (5 times), both referring to the speaker. The word *skills* also appears twice. A transitivity structure which is repeated here is the *X has been able to do Y* structure, in Cls 9 and 10, where *X = I* (the speaker, unsurprisingly!) and *do Y = develop my interests in…* and *utilise my skills in….* Thus the meanings that are being contemporaneously reiterated here are those stressing the speakers' acquired qualities of awareness and expertise – exactly what the stage has been said to deal with.

- The fourth stage, that of closure, has no explicit reiteration in itself, but once more focuses upon those pronouns *I* (the speaker) and *you* (the addressee) and the deictic possessive *my* (referring once more to the speaker). Thus this final part of the letter is made to cohere with the preceding ones, as well as to symmetrically conclude the text, through reiterated focus on the letter-writer himself, and on his addressee.

In sum then, the text is highly textured by means of inter-functioning structural cohesive devices.

## 5.4.2 Non-Structural Cohesive Devices

As far as non-structural cohesive devices are concerned, rather than treat **reference** and **lexical relations** separately, we'll talk about their interactive functions, meaning that we'll focus on the **participant chains** running through the text, made up of **reference chains** and **lexical strings**.

Two very important reference chains are constructed of the same personal pronouns we have observed to be functioning importantly at myriad points in our

analysis, i.e. they focus once more on elements that have emerged as having important functions within the clause as representation, as exchange, and even thus far as (structural) message as well, thus adding to their impact on the predominant meanings in the text. These are:

- the **reference chain** *I*/ *me*/ *my*, referring to the speaker and
- the **reference chain** *you*/ *your*, referring to the addressee, as representative of a company.

An inter-related **lexical string** having to do with what we might label 'job-seeking' might be seen to comprise the words *interest*/ *interested*, an example of lexical 'scatter', but especially the quasi-synonyms which tell us <u>what</u> the speaker is interested 'in' – *placement within a pharmaceutical company*/ *appropriate vacancies* and *suitable positions within your company*, as well as *jobs* and *work*. The lexeme *skills* can also be included in this chain, together with the specific skills of *working with people* and *the importance of ascertaining customers' needs and providing clear and accurate information*, with which *skills* also relates hyponymically (general – specific relation). And these relate back once more to the speaker-as-job-seeker, as Possessor of these skills.

Apart from 2 instances, the writer *avoids* **ellipsis** and **substitution**, perhaps typically, since the giving of clear and unambiguous information is a typical rhetorical aim of this kind of text. The deleted relative plus finite in the NG *appropriate vacancies* [which are] *available* and the ellipted pronoun plus finite in the conditional clause *if* [it is] *required* are very typical phenomena, and *not*, of course, only in letters of this type.

Interestingly, however, as far as **conjunction** *between* clauses and clause-complexes (working textually) is concerned, the logical relations between, and within, the stages which were identified in the **discourse structure** are, for the most part, only implicit.

As an exercise we might hypothesize the following logical expansions, in square brackets [..] below:

> *I am looking for a placement within a pharmeuceutical company from July to September of next year* **[Enhancement: cause: Therefore/ To that end…]** *I am writing to you as I understand that your company may have appropriate vacancies available.* **[Extension: Addition: And…]** *I would be most grateful if you could consider me for any suitable positions within your company.*
>
> *I first became interested in the pharmaceutical industry through talking to a Kent graduate at the University Careers Fair last March.* **Since then**, *discussion with my careers adviser has confirmed my decision to aim for a career in this field.*
>
> *Through my degree course, I have been able to develop my interest in biochemistry, plus my practical laboratory and numeracy skills. While at University, I have <u>**also**</u> been able to utilise my skills in working with people through a variety of vacation jobs.* **[Elaboration: exemplification: *For example*,]** *My work at the Tourist Information Office was valuable in teaching me the importance of ascertaining customers' needs and providing clear and accurate information.*
>
> *I will be available for interview if required at any time up until Easter. Please find enclosed my CV, where you will find further information.*

*Since then*, already explicitly in the text, is a special case: as we have seen, *since* can be seen to function both as a preposition + element of time, realizing a circumstance of Location: Time: extent, and here, in terms of <u>clause as message</u>, as an enhancing temporal conjunction. We have underlined the *also* in paragraph 3 above to show that there is a kind of extending connection between this and the previous clause, regarding their respective VGs, both modalized for ability.

## 5.5 The Context of Situation

Now that we have completed the analysis of this text in a BOTTOM-UP perspective, that is to say, starting from clause level and examining lexico-grammatical realizations there, we can proceed to reconstruct its **Context of Situation** through a description of its three components: **Field**, **Tenor** and **Mode**. In order to do this, we will draw upon the analysis we have performed of **clause as representation**, **as exchange** and **as message,** where much of the typicality of the features was already highlighted. Our aim here is to, firstly, make the semantic metafunctions (ideational, interpersonal and textual meanings), which are being instantiated in the clause, more explicit, and then to link these to the specific material and social situation, i.e., the contextual *determinants* (Field, Tenor and Mode) which it is our aim to reconstruct.

**5.5.1** *The Field*

*What is going on in this text?: i.e., what is the nature of the social activity going on in the speech event enacted by this text, and what is its specific subject matter?*

The **social activity** of the CV cover letter can be said to be, generally-speaking, writing a formal letter (accompanying a CV) in order to apply for a job. The particular **subject matter** can be said to consist in the specificity of the job being sought (in the pharmaceutical field) and of the writer's experiences and skills that are reported as being relevant to that job.

Typical of the subject-matter are the **material Processes** realized in this text, where the **Actor** is almost always the speaker, as applicant, as well as the **Goals**, insomuch as they typically represent what he is doing/ has done. The **active voice,** which characterizes all Processes, constructs the speaker's role as 'doer' of the 'action' in the first person – and it must not be forgotten that *active and efficient agency* is a highly-valued personal characteristic in the dominant Western capitalistic world view. The writer, again typically, gives the addressee as much pertinent information as possible about his past activities and experiences, representing these as relevant to the specific job being sought.

**Relational Processes** typically have the speaker as **Carrier** and function to describe his attitude and experiences (**Attributes)** to the addressee. Through the two **mental Processes,** which have as **Sensers** first the speaker and then the addressee, while the only **Phenomenon** is the speaker himself, the letter also experientially represents the relationship between the animate grammatical participants *I* and *you*, as speaker and addressee (and here of course we necessarily intersect with Tenor considerations).

Through the options of **circumstances of Location: Space** and **Location: Time**, as well as that of **Manner**, the letter also typically serves the purposes of an informative introduction to the CV, which will of course deal more in detail with specific aspects of the applicant's qualifications and achievements. In addition, temporal setting is also construed by means of tense time. VGs here are basically in the **'real' present (continuous)** or **(recent) past time**. This can be hypothesized as being typical of the

subject matter, as focus is on: 1) the present act of looking for a position and writing with the aim of getting it and 2) the study and work experiences that firms are most interested in, i.e., recent relevant ones.

The e**xperiential meanings** that are realized, then, can be seen to have been activated by the need to write a concise personalized introduction to someone's more detailed CV. The **logical meanings** are similarly determined by a need to 'package' a certain amount of information into the text in an economical way. As we have seen, such details are given primarily in grammatically simple clauses that are lexically dense due to **embedded clauses**, mainly with a post-modifying function. There is only a very low incidence of Clause interdependency, and this is primarily of the hypotactic (basically enhancing: condition or cause) type: e.g., wordings such as: *I would be most grateful if you could consider me...* which are highly typical of this kind of text. Enhancing meanings are also realized, however, in and by the prepositional phrases functioning as circumstances and Projection of the reported idea ([…] *as I understand that your company may have appropriate vacancies*) is also a standard way of introducing the reason one is writing to the specific firm at all.

### 5.5.2 *The Tenor*

Let us now see what kind of **Tenor** can be seen to have activated the **interpersonal meanings** of this text, which we have seen being realized in the **clause as exchange**.

*Who is taking part in the exchange enacted by this text?*

The **speaker** (the *applicant*) in this text is a particular person, John Andrews. His (at least temporary) **status** is 'job-seeker', and one who has the particular **discourse role** to provide the reason(s) why he's applying for a job and pertinent information about himself in terms of his qualifications. As this information must ultimately help him to 'sell' himself as a viable employee, it must be persuasive. So then, his overall discourse role can be said to be:

- to explain (his purpose in writing);
- to inform (with reference to his qualifications for the job).
- to persuade (X to give him an interview and subsequently a job)

He appears explicitly and repeatedly in the text, in the personal pronoun *I* and his full signature at the end.

The **addressee** is a particular person as well, Ms Wise, whose **status** is presumably something akin to 'representative' of the pharmaceutical company (responsible for hiring of personnel?), as has also emerged from the analysis of the *Transitivity system*. Though she appears explicitly as *you/ your* in the text, she has no active discourse role. The speaker is one only: *I*.

The text is therefore ***personal***, that is to say that both ***speaker*** and ***addressee*** are specific and explicit. The letter accompanies the CV of a specific individual who writes to another specific individual (unknown, apart from her name, however) to apply for an appropriate position.

The speech activity is carried out exclusively by the speaker, whose text instantiates his position of [- power], as it is he who is asking for something from someone in a position to give it to him. Due to her legitimated institutional position of power, the position of the addressee is obviously, if only implicitly, [+ powerful], though she is but a 'passive' participant in the 'action' which the letter performs. The relationship between ***speaker*** and ***addressee*** is therefore ***asymmetrical***, due to their at least semi-permanent **statuses**.

It follows – and the text indeed construes these meanings – that the speaker's **attitude towards the *subject matter*** (getting a job in the pharmaceutical company), is [+ serious/ professional]. He does what he *should* do in this formal, 'business' setting. As we have seen, the prevailing indicative: declarative mood functions, typically, given the discourse roles as described above, to give information. Modality options were seen as enacting: 1) high value speaker subjective implicit **probability**, or **speaker certainty** (construing that [+ confidence] concerning the speaker's capacities that is also a highly valued characteristic in our western culture), but also 2) a certain degree of [+ tentativeness], by means of **possibility**: *your company may have…*, and **conditional prediction**: *I would be most grateful if you could…*(also construing a slight degree of [+ deference] – an **attitude towards the addressee** that mitigates [+ confidence], so that it does not become what is called 'o*ver*-confidence'). The required speaker **attitude toward the addressee** is completed with the subjective implicit and high degree **willingness** on the part of the applicant himself enacted with *I will be available…*. Thus

he shows his [+ flexibility], another highly valued characteristic in today's business world, indeed an often indeterminate 'catchphrase', or 'buzz-word' of the early 21<sup>st</sup> century.

The only imperative mood clause, which implies obligation, is, as we've seen, formulaic, and preceded by the courteous *Please*, which enacts expected and typical [+ politeness]. All this construes the speaker as [- powerful] with respect to the addressee.

As analysis has also shown, speaker attitude is also largely enacted in/ by **APPRAISAL SYSTEMS.** For instance, with **inscribed Judgement: social sanction: propriety** and through both **inscribed** and **evoked Judgement: social esteem: capacity,** we've seen how he evaluates his past job experiences positively and construes his acquired skills and qualifications as meaning he is prepared, skilled and thus qualified to work in this field. With **inscribed** as well as with **tokens of Affect**, he also enacts his [+ interest] and [+ enthusiasm] about finding an appropriate position in the company, which he evaluates through **inscribed** as well as **evoked Appreciation**. Speaker **Affect** is also enacted, and 'bumped up', in: *I would be <u>most grateful</u> if*…(Affect: gratitude; Graduation: high force). Gratitude is a also typically a positive feeling to make explicit in a letter of this type. His being [+ ambitious] – another cultural value – is underlined by a considerable use of **evoked Judgement** in the category of **social esteem: tenacity**, for instance through his highlighting his decision to aim for a career in this field.

Thus options made in APPRAISAL SYSTEMS also contribute to the realization of the **attitude of the speaker towards both subject matter and addressee**. Actually, almost 'by extension', the attitude towards the subject matter (getting that job…) is to a large degree conflated with that towards the addressee, as representative of the company he is applying to for the job.

All in all then, the lexico-grammar realizing the meanings activated by the **Tenor** in this text is highly typical of the CV cover letter. Mood, modalization and modulation, and appraisal choices instantiate **interpersonal meanings** that are typical of a situation in which a candidate who is applying for a job, and job interview, has to convincingly demonstrate his qualifications, his eligibility for that job, to whomever is responsible for deciding whether or not he *is* a suitable candidate for employment, or not.

### 5.5.3 *The Mode*

Let us now consider the results of our text analysis on **clause as message**, in order to talk about what kind of **Mode** has determined the **textual meanings** of this text. Recall, however, that, as Halliday says (1978: 145), the **textual metafunction** is to be considered as the **'enabling' metafunction**, meaning that it enables, allows, all other meanings (the ideational and interpersonal) to *be*, and to *function*, as text. What kind of meanings, therefore, does the speaker as 'text-maker' realize in this covering letter, and how can they be seen to be determined by the Mode of this text, the role that is being assigned to language in this text?

First of all, we will consider the general features of the **language as** used in this text (Cf. the Text Analysis Checklist):

It is **self-sufficient** or **context-independent**, because one can easily understand the text even without a first-hand knowledge of the Context of Situation that produced it. Recall that we said that formal letters tend to have this characteristic.

Its role is **constitutive**: language here actually construes the activity going on in the social speech event, i.e., the text is the whole of the relevant activity.

The process of text creation is *never* shared by the speaker and the addressee: i.e., it is construed in/ by a **monologue,** where it is solely the former who speaks, who gives information about himself.

The text is decidedly **talk-oriented**. Here we have **language as reflection**, except in the textual location of Cl 13 (the only **imperative mood clause**), where the speaker invites the addressee to perform an action, suddenly making the text more **action-oriented** (formulaic or not, the meaning of this demand for 'goods & services' – *Please find…* – is an unmistakably specific one: 'retrieve my CV from the envelope in which it is enclosed'!)

The *channel* is totally **graphic** and the *medium* is much more **written** than spoken. By this we mean that it is quite 'lexically dense', and 'packaged', especially in the third paragraph, containing many embedded phrases and clauses, extended NGs, which are typical of 'written-ness': e.g., *appropriate vacancies available, any suitable positions within your company, my decision to aim for a career in this field, importance of ascertaining customers' needs and providing them with clear and accurate*

*information*. Through the constant use of **embedding**, as we have seen, a great deal of information gets packaged in the relatively small space of this cover letter. This gives the typical conciseness that is a feature of the formal letter, which is typically 'pre-scripted', pre-prepared, rather than spontaneous.

Moreover, according to Jakobson's categories, we can also say that the rhetorical function/ aim of this text is mainly *referential*. This means that the context, i.e., 'reality'(in this case, the speaker's 'reality'), is focussed. Furthermore, we also have – as a result of the high incidence of the pronoun *I* – an ***emotive***, or expressive, function. These are perhaps the two most typical purposes a covering letter might be said to serve. In addition, however, the reference made to the addressee (*you*), along with that single imperative in the text, also indicates a ***conative***, or persuasive, function and, in the same textual location as the imperative, in Cls 13 and 14, language also becomes ***meta-lingual* and *meta-textual***, focusing on the text itself (the CV enclosed with the letter). Finally, grammatical parallelism, as we've seen, functions to reiterate many meanings that are otherwise constructed in/ by in the text, and so, although this is certainly NOT poetry, a minor ***poetic*** function must also be identified. Indeed, the only communicative aim that is wholly missing is the ***phatic***!

Regarding the **organization** of the text, analysis has shown that it is highly cohesive, structurally and non-structurally. We saw that its **discourse structure** worked symbiotically with all other structural devices (Thematic progression, unmarked Information structure and Grammatical parallelism) of the text. As we noted, the TT options the speaker makes can be seen to work, together with transitivity and Mood choices, to further accent the speaker-focus of the text, as well as its explicit inclusion of the addressee (*I – you*). Unmarked information structure identification of Given and New elements made 'sense', and, as we've just said, the reiteration of certain units (parallelism) appeared to functionally reiterate important meanings as well.

The text in short is highly organized and highly cohesive. It is a carefully written, self-contained text with strong internal texture and our analysis of the use of non-structural cohesive devices confirmed this as well. We noted clearly identifiable **participant chains (reference chains + lexical strings)**, which function once again to highlight the human participants *I* and *you*, together with the final aim of the applicant: the job, the position itself.

The lack of **ellipsis** is also linked to the medium being more written than spoken, and to the fact that it is basically a monologue rather than a dialogue.

As far as **conjunction** *between* clause-complexes (therefore working textually) is concerned, we noted that logical connection is largely implicit, but identifiable. The ongoing connectedness of the monologue, however, is mainly achieved through anaphoric reference and lexical relations.

All these aspects of the texture of this text reflect the Mode, i.e. the particular role that the text is playing in the Context of Situation, or, to put it differently, what the speaker, the applicant, is doing with the language choices he, as text-maker, makes.

### 5.5.4  The Situation – a schematic overview

At this point an overall scheme of the three register variables activating the meanings realized in/ by this text can be outlined in schematic fashion, as follows:

**FIELD**

**Social activity**: that of a job-seeker who is writing a cover letter to his CV and sending it to a firm with the aim of obtaining a position.

**Subject matter**: typically the applicant's interest in and suitability for the job being sought. In this specific instance of the sub-register, i.e., this specific letter, the subject matter is more particularly the writer's interest in and suitability for a position in the specific pharmaceutical company he's writing to.

**Denotational lexis of subject matter**: those we included in the inter-related **lexical string** having to do with what we labelled 'job-seeking', above.

**Temporal setting**: 'real' present; recent past.

**Spatial Setting**: the mostly concrete spatial Locations circumstantially constructed: *within a pharmaceutical company*; *within your company*, *at the University Careers Fair*; *in this field*; *at University*; *at the Tourist Information Office*; *enclosed*.

**TENOR**

The relationship between the speaker and the addressee is *a*symmetrical. Attitude, usually divided between that which is enacted towards the subject matter and towards the addressee, has been conflated, as explained above.

| | Speaker | Addressee |
|---|---|---|
| **Status**: | Applicant | company representative |
| **Discourse role**: | explain/ inform/ persuade | none |
| **Attitude**: | [+ formal] [+ distant] | |
| | [- powerful] [+ serious] | |
| | [+ confident] [+ deferential] | |
| | [+ interested] [+flexible] | |

**MODE**

Context-independent letter (CV cover letter). Formal, pre-prepared, highly organized and cohesive monologue. Graphic channel. Written mode. Informative, expressive (self-presentation of the speaker) and persuasive rhetorical aims primarily.

## 5.6 Intertextuality, Heteroglossia and Coding Orientation

On the basis of the description we have made of the three variables of the **Context of Situation** of this text – *Field, Tenor* and *Mode* – drawn from our BOTTOM-UP analysis of **clause as representation, clause as exchange** and **clause as message**, we can say that this text functions **intertextually, rather than contratextually**. It fits, unproblematically, into the dominant cultural paradigm which values this kind of text. This means that the speaker, looking for a job, presents himself and his achievements and qualifications according to the conventional manner that is valued by the belief and value system he is operating within. This world view dictates the ways of saying and meaning that have emerged from our analysis of the text, ways of behaving linguistically that show the speaker adeptly 'playing his social role' in the culturally institutionalized social activity going on in this text.

Correspondingly, according to Bakhtin's theory of the conflicting forces of **heteroglossia**, we can also say that the force at work here is essentially **centripetal**: this text is a 'typical' example of its **sub-register**, the formal letter, and its **subject-matter**. The monogloss (unqualified assertion) prevails and functions to 'contract' the speaker's meanings, make his position unarguable, and thus also to enact the basically [+ confident], 'monologic' voice of the text. No space for negotiating what the applicant states are his interest, decision, experience etc. is given. This is the language of one who acknowledges the unified and unquestioned socio-cultural and economic structure which he is aspiring to work within.

With reference to Bernstein's theory of **coding orientations**, this text basically selects for the **elaborated code**. Its lexico-grammar instantiates generalized abstract ideational meanings (e.g. applicant's *decision to aim for a career…,* and what the experiences he has had were valuable in teaching him: *ascertaining customers' needs, providing clear and accurate information*). Agency is explicit and active: Processes where this *I* functions as inherent participant are always in the active voice. The accent is thus more on **who** the speaker *is*, as a **person**, rather than on **what** he does, although he recounts the concrete experiences which have gone into making him the (skilled) person he is.

Interpersonal *I – you* meanings are also to a large degree explicit: the speaker is a particular person who signs the letter written to another specific person and gives clear and concise information about himself through declarative mood clauses whose Subject is chiefly the personal pronoun *I*. Modality and appraisal, however, are also implicitly instantiated.

Analysis has shown  the text to be highly organized and coherent. As our tracing of participant chains in the text evinced, reference is for the most part endophoric (textual). All told, it is context-*in*dependent, self-sufficient. Even logical meanings, where only implicit, can easily be inferred.

We can therefore say that, globally speaking, the speaker selects in this text for an **elaborated code**, one which typically regulates the social practice of writing this kind of 'ritualized' letter, a practice which is taught to students of higher education in the Western liberal cultural context, and which fits perfectly into its dominant cultural paradigm. In short, the code here is governing grammatical selections that merely re-

propose and re-legitimate that paradigm. As we have already noted with reference to the text's intertextual, centripetal quality above, as far as the ways of saying and meaning of this particular kind of text are concerned, the potential for questioning dominant belief and value systems that is inherent in the elaborated code is nowhere in evidence.

# 6. *An Instance of a Hybrid Register: the Advertising/ Cultural-Tourism text-type*

The text-type we offer you here will be the object of another BOTTOM-UP text analysis. With this kind of analysis, as you know from the previous chapter, we start working on the text from the 'bottom level', that is to say at **clause level**, where we investigate wordings to see what kind of meanings these are instantiating, with the aim of reconstructing the **Context of Situation** which can be seen to have activated the ideational (experiential and logical), interpersonal and textual semantic metafunctions, or meanings, of the text. Thus we will analyze the text by looking closely at each **clause** with reference to its functions as **representation**, as **exchange** and as **message**.

## 6.1 The Text

The original text is reproduced below:



**Source: *StaTravel* study abroad offers brochure of *AmeriSpan Languages Organization*, entitled: "Learn a Language Abroad", 2003.**

**6.2  Meanings and wordings**

As you can see, the text is a sort of advertisement, but one that is describing and giving information about a language school in Italy (i.e., this is its subject matter, and at the same time its connection to the cultural tourism variety of text). Because the lexico-grammar of the text will be seen to be realizing meanings that are being activated by a composite context of situation, we call the register a 'hybrid' one.

Let us now start to analyse what **ideational** (**experiential and logical**) meanings are realized in/ by **clause as representation.** In some respects, analysis will be somewhat more detailed that up to now.

**6.2.2  The grammar of the clause as representation**

**6.2.2.1  The realization of Experiential meanings**

As far as Processes and Participants are concerned, one would expect this text to feature **relational Processes**, a Process-type which is typical of informative texts describing products of some type. Indeed, it is usual for this particular kind of text not only to describe and/ or classify the place where the language school is situated, but also to link ('identify') this place with reference to particular features of the foreign country where the foreign language is to be learnt. The title of the text immediately names that language and place: *Learn Italian in Italy*. Rather than do this explicitly with relational Processes of the attributive and the identifying kind, however, the text makes use of only implicit **relational** processes, as well as interesting **material** and **mental** Processes. Explicitly described are the **Carriers**: *our school*, as being *just 5 minutes walk…,* and *School Facilities*, as being *easy to reach* (with ellipted VG *are*, however). Implicit **Identifieds** include *Italy* and *Florence*, with their implicit **Identifiers** being their special characteristics, but mental Processes (*Italy is known … Florence may be considered…*) are used to represent these, which we'll come back to below. In addition, an interesting case of relating is found in the final section of the text, which is graphically set off into two juxtaposed columns. Here we have what we can reconstruct as the two final 'clauses' of the text: ellipted relational identifying Processes, both of whose Identifieds (both these clauses are **thematic equatives**) are realized by embedded clauses containing the pronoun *we* – *What we like* and *What we don't like*. The Identifiers can be said to consist of the two lists of 'Things' realized by extended NGs

(some being **nominalizations**, such as *travel* and *choice*), with a final clause in parenthesis (*private room is extra*). As we will see in talking about Thematic structure below and, in so doing, filling in the 'missing' clause elements, these Identifiers can also be seen as embedded grammatical **'Fact' clauses**, paraphrase-able as 'What we like is *the fact that* […]' [12]. Through this particular use of transitivity (and of Thematic structure, as we'll see below), the text foregrounds the school but also its proprietors' speaking position, clearly stating what they like and what they don't like about the foreign country.

As we said above, description is carried out by means of **material Processes** too (also of the abstract kind): *Italy vibrates with a special soul […]*; *The streets of Florence radiate the charm of Italian culture*. Both these **Actor**s are *in*animate, which is typical for this text-type, but are made to *act* as though they were, somehow, very much alive. The **Actor** of the third material Process clause (*Students from all round the world join each other in discovering the 'Florer' …*) is collective, and also functions as **Goal**. Here, for the first time in the text, the students are brought in. These adventurers/ discoverers are realized by an extended NG which highlights the international character not only of the students themselves, but, by association as it were, also of the school (post-modifying, embedded PP: *from all around the world*). The **Act** of discovery they are engaged in focuses upon, once more, *Florence*. All of these clauses construe a clearly flattering historico-cultural representation of both the country and the town where the Italian language school is located.

As we've also said, **mental Processes** do the job of description as well. These are located in the title and in the segments dedicated specifically to Italy and Florence. In the title, we have a congruently functioning process of **cognition** ("learn") – typical of an advertising text for a language school, as language is something one must learn! The focus then switches from learning to *where*, ideally, it should occur (*in Italy*). The **Phenomenon** is realized by the noun *Italian*: the foreign language that students can learn in this school.

But the clause *Italy is known for its diverse regions…*, which above we signalled as implicitly identifying, is a mental Process clause, again of cognition, in the Senser-less passive voice. The **circumstance of Cause: Reason** tells us why/ for what Italy is

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[12] As you will recall, 'Facts' are embedded clauses functioning as objectified, pre-packaged participants in other clauses (see Halliday 1994: 264-272).

well-known, celebrated, 'identified', if you will. Similarly, the third mental Process, again of cognition and in the passive voice, is an extended VG whose main verb is semantically relational, though, as said, only *implied* (*Florence may be considered* [to be]…). The **Phenomenon/ Identified** is *Florence*, but once more the **Senser** is only implied. One effect is to make such knowledge seem so universal that there is simply no need to specify the Senser, i.e. that implied is 'by everyone'. On one hand, a co-representational version of this clause in the active voice could be the subjectively modalized: 'We may consider Florence to be X', the semantics of whose modal we'll take up again below. On the other hand, it is not difficult to imagine a 'factive' environment for both these clauses, of the type: 'The fact that Italy has …is well known', and 'The fact that Florence is the heartbeat […] is generally accepted'. This option would highlight the proposition as universally-accepted-fact.

Another Process type, which is missing its usual 'signaller', 'there', but also its Finite, is the **existential** Process. An elliptical clause such as the NG, *Many tourists in the summer*, is one example. In other words, here we are hypothesizing putting [There are] in initial position.

All other Processes are in the active voice, and almost always realized in the present tense, which is another typical feature of this kind of text.

**Circumstances of Location: Space** abound and have an important descriptive, and consequently also 'selling', function: in the title (*in Italy*); in the segment on Italy (*from its beaches to its Alpine mountains*)and in that on Florence (*from both Florence and Rome airports*; *in a safe corner of Florence*; *from the piazza della Stazione*…, and *to shops and cafes*). Semantically linked to these, two **circumstances of Cause: Reason**, the first of which we saw above (*for its diverse regions, rich culture, and fabulous foods* and *with its breathtaking architecture and sculpture, cultural events and museums* [13]), specify why Italy is such a great place to want to go to study Italian. Another circumstance apparently tells us how Italy vibrates: *Italy vibrates with a special soul* [[*that is reflected in its people, music and art*]]), so we might classify it as **Manner: Quality**. But since this ideational metaphor could, we feel, be more congruently realized as: 'Italy has a special, vibrant character that is…', we could also

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[13] The preposition 'with' typically construes Accompaniment circumstances. In this case, however, it is easy to see how the clause can be re-written as: *Florence may be considered the heartbeat of the nation* because of *its breathtaking architecture.*

opt to call it a **circumstance of Accompaniment**; it personifies Italy as a country *having* a fundamental nature of its own. Another 'true' **circumstance of Accompaniment** occurs where the nationalities of students usually attending courses are specified: "with some US/ Canada students". All these circumstances typically highlight the school site as an interesting, and convenient place to be.

### 6.2.2.2  The realization of Logical meanings

As far as **taxis** and **logico-semantic relations** are concerned, the text is almost exclusively realized in single, and sometimes elliptical, clauses: this is typical of the advertising text-type, which tends to give information – when it gives it at all! – in short, simple, easy-to-process-and-recall chunks. Select **embedded** clauses have already been noted and these too are typical of the kind of information-packaging often found in texts of this kind. Further comment on logical meanings across the text will be made below.

Let us turn now to the **clause as exchange,** to investigate what kind of **interpersonal meanings** are being realized there.

### 6.3  The grammar of the clause as exchange – the realization of Interpersonal meanings

MOOD SYSTEMS

The text features almost exclusively, if at times 'telegraphically', elliptically, **declarative mood clauses** (Subject + Finite), which typically realize statements. Thus, what is mainly being exchanged is information, given by the school (and/ or by those who are responsible for its advertising) to potential students in the form of **propositions**. Only the title features an **imperative mood clause,** of the coercive type, which is typical of certain types of advertising text which starts and/ or ends with an 'invitation' to try the products advertised. Now, strictly speaking 'goods & services' are being demanded here, through a **proposal**. However, the **Tenor** of the **Context of Situation**, which is being expressed in the interpersonal function here, turns the communicative function of this instance of the imperative into a formulaic invitation which is better read as an offer of services, rather than a demand to join the school: another typical feature of advertising texts, and one we will talk more about below. One

116

should also keep in mind that a typical characteristic of the advertising text is that it *never* tells, asks or invites the reader to do anything that is not in his/ her own interest and/ or pleasure. In addition, the imperative of the title functions to focus the attention of the reader on the upcoming text.

MODALITY SYSTEMS

As far as Modality is concerned, the text largely realizes **subjective implicit modalization** (or **epistemic modality**), which we see as always being implied even in bare declarative mood clauses which are not explicitly being modalized. For us then, these express the highest high degree of subjective implicit probability, or hard-to-negotiate speaker certainty: *Italy is known...*; *Italy vibrates with...*; *The streets of Florence radiate...*; *Students from all around the world join each other...*; *most are Europeans...*; *Capacity is...*; *Our school is...*; *What we like [is]...*; *What we don't like [is]....* This is typical where an informative aim characterizes the advertising, or tourism, text, where the speaker tends to take the attitude of someone having [+ knowledge] and being [+ expert] with reference to the subject matter. In terms of **appraisal**, these are of course **monoglosses**, to which we'll be coming back below.

Another instance of **subjective implicit modalization**, *apparently* expressing a low degree of probability, i.e. possibility, is: *Florence <u>may be considered the heartbeat of the country</u>….* On the basis of all we've said above on the universalizing/ 'factive' meanings of the clause, however, this modal operator "may" could perhaps be better read as 'should'. Indeed, here it seems to enact an 'ought' statement ('ought to be'), rather than the typical meanings of 'may': epistemic possibility, or permission.

The imperative mood clause *Learn Italian in Italy*, construes, as imperatives always do, the **subjective implicit modulation** of obligation. But, being a formulaic exhortation to attend the school, it should be read as a strong suggestion/ recommendation (typical of advertising, but somewhat typical of tourism texts too): i.e., 'You (potential students) should learn Italian in Italy'. In addition, the initial imperative in advertisements often seems to evoke the meaning of 'could': capacity, with reference to the *opportunity* one is being offered, rather than their individual learning competence! It is worth noting that, while *we* − the speakers − are explicit in the text,

117

the addressee, in the form of the pronoun 'you', does not explicitly appear. Explicit 'you' is a typical feature of the advertising text which is *not* in evidence.

APPRAISAL SYSTEMS

As is of course typical of advertisements and travel/ tourism literature in general, this text gives us a great deal of **inscribed positive Appreciation** of the country (*Italy*) and the city (*Florence*) where the school is located. Instances are mostly of the category of reaction: likeability: *diverse regions*, *rich culture*, *fabulous food*, *special soul*, *breathtaking architecture and sculpture*, the *charm* of Italian culture, *easy to reach*, *typical renovated building*, *beautiful historical city*, *easy travel*, *many cultural activities*. Obviously, the evaluation construed by this language relies on shared cultural background knowledge. *Easy*, e.g., is almost invariably positive (unless pre-modified by 'too'). There is, however, a rather risky use of an Epithet at one point. Can you identify which? Although clearly 'meant' positively, it is *safe* in: …a *safe corner of Florence*. Why 'risky'? Well, after all, if this corner needs to be explicitly characterized as safe, doesn't it imply there are other corners of the city that are less so? Frankly, just mentioning the quality of being 'safe' brings up the better-hidden issue of safety as problematic! There is also one instance of **inscribed negative Appreciation**, rare in advertisements, and in conventional tourism texts: *Shared room*.

Many **tokens of Appreciation** (mostly falling in the category of reaction: notice-ability) are also featured, especially in the first, more descriptive part of the text, whose experiential meanings enact a continuous and cumulative eulogy in at least implicit praise of the school's location: *From its beaches to its Alpine mountains, Italy vibrates with a special soul that is reflected in its people, music and art*; *Florence may be considered the heartbeat of the country...; The streets of Florence radiate the charm of Italian culture*; *…the birthplace of the Renaissance*. Mixed into the preceding segment are some already noted explicit appraisal items too.

As is conventional in this kind of text, over- (rather than under-) statement is the rule. Explicit **Graduation** is enacted in the median force of *Many*, which can be 'good', as in *many cultural activities*, or not-good-at-all, as in *many tourists in the summer*, the other negatively appraised aspect of the offer. Graduation is also implicit in the very choice of superlative epithets like *fabulous*, and metaphorical, personifying NGs and

VGs, like *Italy <u>vibrates</u> with a special soul, Florence may be considered <u>the heartbeat</u> of the country, The streets of Florence <u>radiate</u> the charm of Italian culture*.

Such hyperbolic Appreciation also evokes the speakers' **positive Affect** vis-à-vis Italy and Florence. Once we have analyzed appraisal in its 'institutionalized' forms of Appreciation or Judgement, however, that layer of analysis is usually enough, which means that we don't usually go 'back' to the core system of Affect from which these 'institutionalized' systems are seen as being derived.

But **inscribed positive and negative Affect** can be found in the final section of the text that lists: *What we like...* and *What we don't like…*At the same time, however, these listing headings **evoke positive** or **negative Appreciation** of these liked and disliked things themselves. That is to say, implicit in this liking/ disliking of the speakers (and even in the fact that the reader *is being told* about the speakers' likes/ dislikes) is that the things <u>are</u> likable/ unlike-able! So what we get is a sort of Appreciation construed as Affect (the reverse of the Affect-as-Appreciation just noted above), which, as always, relies for its 'constrained' reading on a shared cultural background. Thus, readers who might not share those same values are being in a sense excluded as consumers of the message here. We might even say that this amounts to a sort of implicit 'pre-selection' of the school's potential students!

Which brings us to the **Engagement** resources the text makes use of in order to 'contract' its meanings and align its reader(s) with the speakers' point of view. Such resources include an extensive use of the **monogloss**, as noted above, which effectively checks negotiation of the message. An extended example can be found in that *What we like…/ don't like* section, which we think presumes reader-Concurrence with the message and indeed acts to increase the interpersonal 'cost' to those who would challenge the stance being advanced by the text. The use of negative polarity (*don't like*), 'denying' like-ability, is in itself another typical 'message-contracting' element. It is also to be noted that if we're right about that *may* in the clause *Florence may be considered the heartbeat...* being better read as an 'ought' statement, then it too functions as another contracting resource which allows very little space for negotiation on the part of the reader(s).

But it is time to start to analyze the **textual meanings** realized in this text in/ by **clause as message**.


### 6.4  The grammar of the clause as message – the realization of Textual meanings
### 6.4.1  Structural Cohesive Devices.

In order to analyse the **thematic progression** of the text, let us first make our division of the text into clauses, and then identify and map their **Topical Themes**. At the same time, we will also 'fill in' the presumed-to-be-missing clause elements:

Cl 1       **Learn** Italian in Italy

*Italy*

Cl 2       **Italy** is known for its diverse regions, rich culture, and fabulous food.

Cl 3       **From its beaches to its Alpine mountains**, Italy vibrates with a special soul that is reflected in its people, music and art.

*Florence*

Cl 4       **Florence** may be considered the heartbeat of the country with its breathtaking architecture and sculpture, cultural events and museums.

Cl 5       **The streets of Florence** radiate the charm of Italian culture.

Cl 6       **Students from all around the world** join each other in discovering the 'Florer' (Florence or Florentina in Italian/ Latin) and the birthplace of the Renaissance.

*At A Glance*

*School Facilities*

Cl 7       [**Our school** is] Easy to reach by train from both Florence and Rome airports.

Cl 8       **Located in a safe corner of Florence**, **our school** is just 5 minutes walk from the Piazza della Stazione, (main train station) and the city center.

Cl 9       [**Our school** is in] A typical renovated building close to shops and cafes.

Cl 10      [**Its**] **Capacity** is 48 students.

*Participants*

Cl 11      [**Participants** are an] International mixture,

Cl 12      **most [of which]** are Europeans with some US/ Canada students.

*What we like/ What we don't like*

Cl 13    **What we like** [is]: [the] beautiful historical city, [the fact there is] easy travel throughout country, [the fact there are] many cultural activities, [the fact there is a] choice of homestay or apartment.

Cl 14    **What we don't like** [is]: [the fact there are] many tourists in the summer, [the fact that there are] shared room[s], ([and that a] private room is extra).

The **Thematic structure** of each clause, and **thematic progression** across the text, works together with the five distinguishable sections the text is divided into, both physically and semantically.

The first section comprises the title's single clause, whose TT is the predicator *Learn*. As with all coercive imperatives, however, we need to take into account the implicit meaning of 'I want you to…' which precedes this.

The second section, whose subtitle is *Italy*, comprises Cl 2 and Cl 3. The NG *Italy* is the TT of Cl 2, and links back to the Rheme of Cl 1, while Cl 3 markedly thematizes the circumstance of Location: Space referring to the extent of Italy's territory: *From its beaches to its Alpine mountains. Its*, however, is deictic possessive for 'Italy's' and the word "Italy" once again appears as the logical subject of the clause in the Rheme. So then, a thematic progression of the **linear type** 'links' the first section to the second, while the second section itself is characterized by a **parallel thematic progression** through the word *Italy* and pronominal reference to it (*its*).

The third section, whose subtitle is *Florence*, comprises Cl 4 through 6. We pass from a section on the country where the school is located to one on the specific city of this country, where thematic progression is similar. The NG *Florence* is TT of Cl 4 and links back to the sub-section's title (*Florence*). The same word is then repeated in the post-modification of the NG functioning as TT in Cl 5: *The streets of Florence*. Thematic progression is **parallel** up to Cl 6, in which the extended NG, "Students from all around the world" is the new TT . The Rheme of the clause, however, contains the word *Florence* once more, and synonyms thereof ("Florer", "Florentina").

The fourth section goes from Cl 7 through Cl 11, and is mainly concerned with the description of the school's characteristics and facilities. This section, whose subtitle

121

is *At A Glance* (meaning information being given 'telegraphically', or in a 'nutshell', i.e. summed up in a few words) is divided into another two sub-parts: *School Facilities* (re-constructed Cl 7 through 10), and *Participants* (Cl 11). Reconstruction of this first section has given us uninterrupted **parallel** thematic progression of *school* throughout, apart from the non-finite clause-as-theme, *Located in a safe corner of Florence*, which is about *our school*, as well. This distorts, of course, what we actually find on the page, i.e., what the clause-initial choice of TT actually is: the Attributes of the school (*Easy to reach*, *A typical renovated building*…) rather than the school itself. The next sub-section, in Cl 11, switches initial clause focus to the participants in the school's program. Reconstruction gives us 'participants' as TT, while what we're actually given textually is the Identifier – the NG *International mixture*. The TT of Cl 12 is *most*, a pronominal form of *participants*.

The fifth section comprises the two implicit **thematic equatives** mentioned above, traditionally called 'pseudo-cleft sentences': those special thematizing structures where the Theme = the Rheme: *What we like*, which = the list of things that follow this heading, and *What we don't like*, which = the second, shorter list. Again there is **parallel** thematic progression between Cl 13 and Cl 14, apart from the negative polarity of the latter, construing evaluative contrast between what's on one list and what's on the other, as discussed under appraisal above.

Once again, we remind you that **information structure** (GIVEN – NEW structure) is basically a feature of spoken texts, but that in an unmarked use of these, the GIVEN in a clause is said to correspond to its Theme, while NEW information is generally given somewhere in the Rheme, except, as we're about to see, for the title clause. Thus:

- in what we have labelled the first section, only NEW information is given, this being the title, and thus the start, of the text; so NEW corresponds to both Theme and Rheme
- In the second and third sections, one can say that the NEW topic is immediately signalled by headings (*Italy*, *Florence*). Within the sections, the GIVEN elements correspond to the words and phrases thematized, referring respectively to Italy and Florence, and to the students attending

the school, while NEW elements correspond to their identities, qualities and the students' actions, contained in the Rhemes.

- In the fourth section, in terms of our reconstructed clauses, the GIVEN elements corresponds to NGs referring to the school's facilities and participants, while the NEW information corresponds once again to the characteristics given in the Rhemes. If we ignore our reconstruction, however, we'd need to say the information was being economically packaged in terms of only Rhemes, or New information, which is precisely what *At a Glance* language is meant to do!

- In the fifth section, in those thematic equatives, subsequent to the headings, only NEW information is being given. Remember (from the exercises on the didactic text-type at the end of Part II) that the function of thematic equatives is:

  - to identify the Theme with the Rheme, and
  - to add a semantic component of <u>inclusiveness</u>, that is to say that the meaning of *what we like/ don't like* is something like 'I am now going to tell you about what we like/ don't like –<u>and nothing else</u>' (see Halliday 1994: 42).

This text also makes use of a great deal of **grammatical parallelism**. Firstly there is **repetition of select lexical items**: these are concentrated within the different sections of the text and function semantically not only to lend the sections coherence, but to reiterate and accumulate all the positive meanings being construed about them.

As our thematic progression analysis has already implicitly revealed, the first three sections, though quite short, are characterized by the repetition of the words: *Italy* (4 times), *Italian* (3 times – and *Italy-Italian* constitutes relation of lexical 'scatter'), *Florence* (4 times; again note the lexical scatter among *Florence*, *Florer* and *Florentina*). The word *Florence* is also repeated twice in the fourth section. Other reiterated words include: *students*, twice: in the fourth section; *cultural*, twice: third and fifth section; *country*, twice: third and fifth sections; *city* and *easy*, twice each: in the fourth and fifth sections. Of course, the exact reiteration of words also gives us the

reiteration of their phonemes. But we will make no attempt to hypothesize on any possible sound symbolism being construed as a result. Assonance and Alliteration comprise sound parallelism as well.

**Repetition of group structure:** We have already noted the common Epithet + Thing structure in this text when we were talking about inscribed positive appraisal: e.g., *diverse regions*; *rich culture*; *fabulous food*; *special soul*; *breathtaking architecture*, etc. etc. as the Epithets are 99% positive, the reiterated structure serves to compound this positivity. The Classifier + Thing structure is also reiterated: *Alpine mountains*; *Italian culture*; *cultural events; city center*…**Phrase structures**, in particular those Location: Place circumstances with *in* and *from*, repeatedly highlight the positive qualities of the physical locations being described in the text.

**Repetitions of clause structure** include: the abstract material Processes: Actor ^ Proc.: mat.: *Italy vibrates*; *The streets of Florence radiate*…, highlighting the uncanny 'powers' of these inanimate Things; the passive Phenomenon ^ Proc.: mental (*Italy is known*, *Florence may be considered*), foregrounding widespread positive ideas about these Places; X = Y, characterizing the relational transitivity structures and, in particular, those in the fifth section, where the 'assets and liabilities' of the school are given. Remember that, according to Jakobson, repetition of grammatical structure implies a repetition of the meanings of those structures. Here the semantic functions of these equative clause structures are enhanced by their reiteration: the pros are emphasized 4 times, the cons, only 2.

As we have at least implicitly pointed out repeatedly, the **discourse structure** of the text is a series of graphically separated out and well-marked sections, each dealing with different aspects of the language school being advertised.

The main umbrella title, *Learn Italian in Italy* (Cl 1), is immediately followed by the first sub-title: *Italy*, labelling the section which focusses on the country where the learning is to be done (Cl 2 and 3).

Then the second sub-title, *Florence*, introduces the segment (Cl 4, 5 and 6) which focusses on the city where the school is located.

The third sub-title, *At a Glance*, is, as we have seen above, further divided into two sub-sections: *School Facilities* (Cl 7 through 10) and *Participants* (Cl 11 and 12).

There follows what we have reconstructed as Cl 13 and 14: the pros and cons of the proposal.

The **global discourse structure** can thus be glossed as:

Demand (Invitation) of the title ^ Detailed Elaboration on the country mentioned in the title: Italy ^ Detailed Elaboration on one city in Italy hosting the study-abroad program: Florence ^ Particularized Information on school facilities and students at the Florence school ^ Summary through Evaluation of the study abroad program in Florence, Italy which is being offered.

In terms of discourse structure, we need to say a word about the text's **'visual' grammar** (Kress & Van Leeuwen, 1995; Van Leeuwen & Kress, 2001), insomuch as the graphic representation of the text visually separates out the chunks of text as well. It is to be noted that this kind of text organization, and indeed the whole lay-out in general, are typical of text-book-style summarizing tables and figures (especially those in 'introductory' text-books), i.e., in the didactic register. It is a characteristic that has been 'imported' into the text-making procedures of many different functional varieties of text for the purpose of informing briefly and succinctly. And the 'language learning abroad' brochure clearly has this need.

Color plays a part in the separating out too. Note that the title and first two segments are in white print on a deep blue background, while the *At A Glance* chunk is the most clearly highlighted, being in black print on a white background. The comparative *What We Like/Don't Like* segments are also contrasted by means of their layout into two columns that are placed side by side and distinctly labelled, where once again the color scheme plays a role. This time they are two additional shades of blue that set off the chunk. We'll be coming back to the 'multimodality' at work in this hybrid text when talking about Mode below.

The staging into which sub-titles and sections are presented clearly makes the text cohere as a whole. It moves discursively from the general to the specific, and then 'pans out' at the end to take in an overall, synoptic view [14]. It does this in a gradual but discernible way, shifting focus from *Italy* as an eligible place to study a language

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[14] To pan means "to swing (usu. horizontally) to take in a scene too large for a fixed shot or to follow a moving object. M20" (Brown (ed.) 1996).

abroad, to the Florentine school as an ideal place to study *Italian*, to a schematic run-down of the (largely) positive and (decidedly fewer) negative aspects of the scheme being offered.

### 6.4.2 Non-Structural Cohesive Devices

**Reference** too works together with the different sections we have identified. In the second and third sections of the text, **endophoric anaphoric reference** is realized through the repeated use of the deictic possessive "its", which refers back, respectively, to *Italy* (in the first indented paragraph of the text) or to *Florence* (in the second indented paragraph). Then, in the latter part of the text we have *we*, with extra-textual reference to the speakers. But more of this below.

Regarding **Lexical relations**, **meronymy** (the whole-part relationship) is repeatedly to be found within and among the various segments: first of all, between *Italy* and its *regions*, its *food*, and its *culture*. Then, between the *regions* of Italy and their *beaches* and *mountains*. The same relationship is also constructed between *Florence* and *the streets of Florence*, and also its *safe corner*. Finally, we also have meronymy between *culture* as a whole and its various manifestations: *music*, *art*, *architecture*, *sculpture*, *cultural events*, *cultural activities*, and, though slightly different, its 'container': *museums*. Whole-part relations are of course typical in tourism texts, generally speaking, where compartmentalization is the rule and ever-smaller parts are successively described: countries → regions → cities → zones of these, etc. etc.. Note again too that Italy is represented as a *body* with a *soul* and that Florence is seen as being, meronymically once more, the *heartbeat* of this same *body*. Through reference chains and lexical strings **participant chains** working cohesively within these by-now familiar segments are forged. These regard: *Italy* the country; *Florence* the city; the *school* in Florence and its *facilities* and *participants*, which re-emerge in the summarizing section on *What We Like* and *Don't Like*.

As we saw when reconstructing the grammar at points of the text when looking at its thematic structure, **Ellipsis** characterizes both the fourth section (in terms of *our school*) and the fifth section, where relational process, *is*, is twice ellipted. Again, this is a typical example of the 'telegraphic', truncated clause structure that is often used in the brief  and compressed information-giving texts..

There is **no explicit conjunction** between the clauses and clause-complexes of the text. Rather, the text, as we have seen over and over again, is logically organized into clearly distinguishable (if not totally 'autonomous', because semantically linked), easy-to-read-and-to be-remembered parts, each having a sub-title**.** These segments are only implicitly linked one to the other, in particular through lexical relations and grammatical parallelism. This is also due to its particular **discourse structure**, discussed above.

## 6.5  The Context of Situation

Now that the analysis of the text at clause level has been performed, we'll proceed to the next step: its contextualization, i.e., a reconstruction of its **Context of Situation**. This means that we will now describe the three contextual determinants, **Field**, **Tenor** and **Mode**, which we can say have activated the meanings that have emerged through our investigation of the wordings of this text, at the level of: **clause as representation** (realizing experiential and logical meanings), **clause as exchange** (realizing interpersonal meanings), and **clause as message** (realizing textual meanings).

### 6.5.1  *The Field*

*What is going on in this text?: i.e., what is the nature of the social activity going on in the speech event enacted by this text, and what is its specific subject matter?*

As far as the nature of the **ongoing social speech event** and its **subject matter** are concerned, again we must think in terms of the hybrid nature of the text. In large part, as said, it falls within the category of functional variety of text which is called the advertisement. However, as we well know, adverts are not unvaryingly homogeneous, and so at this point it may be useful to have an overview of the sub-types of the register that have been identified. What follows is a proposed network of options for this text-type:

Goods (eg, coke ad)

Offer ⇨

127

Advertisement ⇨                          **Services (eg, study abroad ad)**

                                          Contribution (eg, donation request)

                        Solicit ⇨

                                          Vote (election plug)
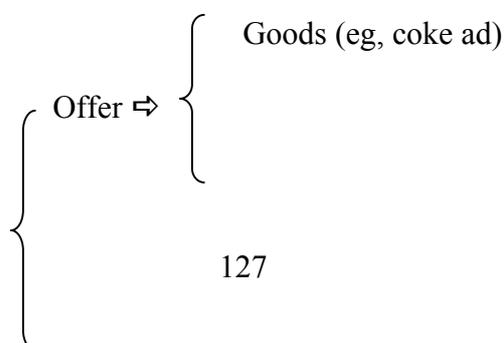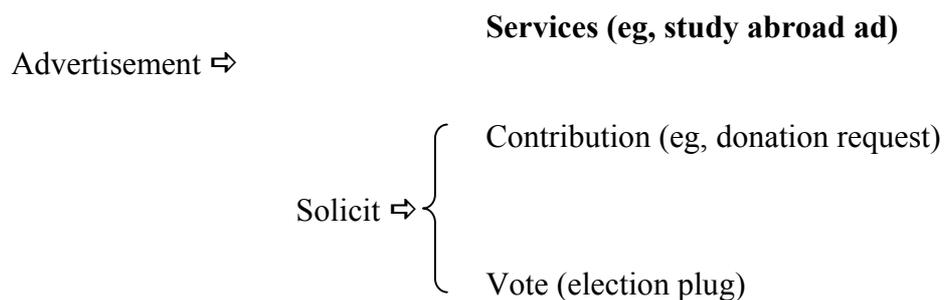
**Fig. 10 – The advertisement as register (adapted from Martin in Mann and Thompson 1992: 361)**

Very briefly, as Martin's figure above makes clear (although in what we're about to say here we overlap with Tenor and the activation of interpersonal meanings), the advert is a kind of overall proposal: either it functions globally as an offer of, or as a demand for, certain kinds of 'goods & services'. In this case, what is being offered (or better, 'sold'…as it is *not* being offered free of charge!) is a certain particular service (language-learning in a school in Florence, Italy). We can call this the text's **subject-matter**.

Of course, this global purpose of the text, as an instance of this particular text-type, works together with its particular Context of Situation to determine the more or less typical ideational, interpersonal and textual meanings which are then instantiated in typical conglomerations of linguistic resources. But let us now return to a description of the Field of this text's situation, reconstructing it, BOTTOM-UP, i.e., on the basis of our analysis.

The experiential meanings of the title immediately clarify the service being offered/ sold (mental Process of cognition *Learn,* Phenomenon *Italian)*, and where (*in Italy*). But it is the 'means' by which this selling is getting done that is responsible for other specific features of the clause as representation.

These means of 'selling' are at least two: 1) providing all the basic necessary information, i.e., the facts [15]! – which gives us the language of the informative/ descriptive text, and, 2) evaluating the package as attractive and worth-while for the potential buyer, which – precisely because **the location** of the cultural service is the vital factor here – links us up the typical language of the (re)commending tourist

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[15] Many very essential facts are given in the upper right-hand corner box, not analyzed. These, typically, include all program details with starting/closing dates as well as, importantly, prices.

brochure. Of course, this need to inform the addressee about the advertised product's characteristics and other details and to make it appealing are **typical** means to **any** selling end. In short, one could say that hybridity is always a feature of the advert, at least to some degree. But our point is that what is particular about *this* advertising text's hybridity is its conflation with the tourism text-type, which is due to the 'foreign' location of what is being advertised.

So then, the tourism text needs to concretely define/ describe/ characterize that location and what it offers. And so, here too, we get relational Processes of both the attributive and the identifying type which paint the eminent eligibility of the location for this kind of cultural tourism (language-learning abroad), traits which are then summarized and explicitly evaluated in the "What we like" and "What we don't like" conclusive segments. And the advertisement and the tourism text both need to extol their subject-matter [16]! Thus, we saw material Processes being employed to foreground Italy and Florence as inanimate Actors, almost personified living beings, *vibrat*[ing]/ *radiat*[ing] vague, but invariably positive, abstractions. But the widespread fame of Italy and Florence is also constructed through Senser-less mental Processes. And circumstances also serve this purpose, i.e. are the result of the social activity of 'selling' the advertised 'cultural product' too. Recall in particular those of **Location: Space** and of **Cause: Reason** which specify why Italy is such a great place to want to go to study Italian and highlight the Florentine school site as a convenient, and fascinating, place to be.

As we'll see below in talking about the Tenor of the text, these 'means' to the selling 'end' also determine the diverse discourse roles of the textual speaking voice and their grammatical instantiations. As far as Textual meanings go, their role in determining the grammar of the clause as message will emerge as well.

### 6.5.2 *The Tenor*

Let us now see what kind of **Tenor** can be said to have activated the **interpersonal meanings** of this 'hybrid' text, which we have seen being instantiated in the **clause as exchange**.

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[16] Noteworthy exceptions are 'alternative' guide books which also pride themselves on 'exposing' what they – and what they think their readers – 'don't like'. As we've seen we get a bit of this kind of exposé in this text as well.

*Who is taking part in the exchange enacted by this text?*

We've seen that the **speakers** of this text are explicitly instantiated in the pronoun *we*. Yet just who this *we* refers to is only made clear in the general introductory sections to the brochure, which we have not reproduced here, in which the **status** of AmeriSpan is identified as being that of a prominent international organization which, *for years* (= expertise), has specialized in sending *thousands* of students (= more expertise!) all around the world (= 'international') to learn languages in the countries where they're spoken (= the 'right' way to learn them!). So, essentially *we* = 'we at AmericaSpan'. Of course, this *we* is 'once-removed', in the sense that the actual 'authors' of the text are the advertisers, who (are being paid to) speak in the name of *we*, in order to help them to sell their services. In any case, *we* is decidedly *not* Italian, which in itself implies a set of shared cultural values. But more on this point below.

As said, the main social activity going on here is the offer of services − at a price. As a result, the speakers' principle **discourse role** is that of *persuading* the reader of the necessity for and the advantages of the goods or services offered. As also mentioned, the means of doing this includes 'selling' the location and providing all relevant facts about it and the school, and so *eulogizing* and *informing* are key sub-discourse roles as well. In addition, we have that initial *exhortation* in the title.

What is the **status** of the **Addressee**? In our text, the speakers are already greatly helped in their persuasive task by the fact that the addressee came to *them*, so to speak, in the sense that the reader most likely actively searched for and got hold of the dépliant that advertises these study abroad programs, for the simple reason that s/he was already interested in learning a language abroad and looking for a place to go. So the reader's **status** = student and/ or student's family who is/ are interested in studying abroad services. Recall that the addressee is *not* explicit in the text; indeed, only in the implicit meaning of the title's imperative mood (i.e., '*We want you to…*') does s/he emerge. The text, as a result, can be said to be largely 'impersonal', at least as far as its explicit *reciprocal* interpersonal meanings are concerned. It is worth noting that this is an *a*typical feature of the advertising text-type, where 'you' usually appears. Recall to that this missing 'you' is strange in an advertisement, and so is also an index of the text's hybrid nature: it is much more typical of descriptive/ informative texts which concentrate on the object of description/ information, and, in particular, of the

conventional kind of tourist guide-like text, which typically focuses on the sites and facilities it describes. [17] The addressee obviously doesn't have any explicit discourse role.

In sum, the **statuses** of speakers and addressee are, fundamentally, **asymmetrical**: the former have [+ knowledge/ expertise] regarding the subject matter, while the implicit **addressee** is represented as having [- knowledge]. *We* is the informer, as the indicative: declarative mood which predominates demonstrates, while only an implicit 'you' is s/he who needs to be informed. In part, however, a certain **symmetry** is being construed between their respective positions in the text. The addressee is being positioned as one who is *presumed to concur* with the claims and evaluations being made, so much so that *we* seems to *nearly* amount to an 'I' + 'you'.

But who, exactly, *is* this addressee? We know that the speakers are American, thus one might infer that the intended audience is also American. But that does not necessarily hold, since we found this brochure in Great Britain. That, of course, only means that the potential addressee was extended to include students in the UK, but the possibility of there having been an even wider distribution cannot be rejected. Many of the values at least implicitly treated as shared are indeed common not only to Anglo-Americans, but to a 'globalized', and thus an ever-more homogeneous, western world: in its beliefs, its standards, its tastes, and so also in its meaning-making practices. But this brings us to **speaker attitude towards subject matter** and **addressee** as instantiated in our text.

The speakers' attitude towards the **subject matter** (which is learning Italian in a specific language school in Florence, Italy) has already been described as being (almost) wholly [+ positive], as a good ad's voice should be! It is in fact [+ enthusiastic], as our appraisal analysis of the text in particular revealed. Indeed, it is mainly in/ by APPRAISAL SYSTEMS that the speakers' attitude towards the subject matter is enacted.

Recall the phenomenon of Affect-encoded-as-Appreciation in this text: the extensive use of **inscribed**, but also **evoked Appreciation** of Italy and Florence, as places rich in natural beauty and cultural/ tourist attractions, and therefore highly worth

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[17] Again, exceptions can be found. The more unconventional type referred to above may be almost 'chatty', frequently referring to what 'you' will/ won't do, find, like etc..

visiting, also expressing the speakers' [+ enthusiasm] towards the school's location and facilities. The use of primarily implicit **Graduation** enhances this [++ positive] attitude as well.

**Engagement** resources help construe speaker attitude *both* towards the subject matter and towards the addressee. An extensive use of the **monogloss** construes the propositions being made as being non-negotiable. This is typical of texts of the advertising, but also tourism, type: to assert unqualified, non-arguable propositions.

As noted in analysis, with the final thematic equatives (*What We Like…/ What We Don't Like…*) the speakers actually seem to be indirectly 'selecting' their addressees according to certain cultural values and tastes that are being construed as valued and shared. Affect-as-Appreciation, we said, always relies for its 'constrained' reading on a shared cultural background. This too is typical of both advertisements and tourist texts.

This also brings us back to what we were saying above with reference to the status of *we*-at-AmeriSpan as being non-Italian. Interestingly, *we* in this segment of the text becomes [+ distant] from the services and the country in which they're being sold, insomuch as they seem to be vetting the offer for their readers – telling them not only about the offer's good points, but also about its decidedly *less* good ones, i.e., they are being [+ critical] as well. This is certainly *not* typical of an advertising text type (though, as said, we can find this phenomenon of 'negative connivance' in certain tourist texts). But it has the advantage here of enacting a [+ frank/ sincere] attitude – one that is therefore also being set up as an implicitly shared cultural value, which of course it is!

Speaker attitude towards the addressee is also construed through MOOD and MODALITY SYSTEMS. *We*-as-informer construes (in/ by declaratives) [+ power] – due to [+ knowledge/ expertise] on the part of the speaker. This is typical of advertisements, but also of tourism texts, and, indeed, of most descriptive/ informative texts. Moreover, the coercive character of the only proposal (that of the title) and the implicit modulation it contains, together with that *may* functioning as 'ought to', work in a similar way to position the addressee as one who needs to be informed and guided, in short as a potential client with needs that the services the speakers offer are highly designed to meet. So, essentially, if only implicitly, the speakers are being [+ attentive]

to those needs. Recall too that the typical function of the command in this kind of text is to tell the addressees to do *only* what is in their interest to do.

### 6.5.3 *The Mode*

It's now time to re-think the results of our text analysis on **clause as message**, in order to talk about what kind of **Mode** has determined the **textual meanings** of this text. What kind of meanings, therefore, does the speaker as 'text-maker' realize in this hybrid text, and how can they be seen to be determined by its Mode? What are the general features of the **language** used in this text, which, as we have seen, shares the characteristics of various text-types?

First of all, we need to take into consideration the larger text from which this one was taken, and whatever relevant situational variables of its publication, so we will take time out to do this immediately. Comment will be made upon both the linguistic and the visual semiotic of the pamphlet.

As specified under the text itself, its source is a magazine-style, *StaTravel* brochure, containing the language study abroad offers of the *AmeriSpan Languages Organization* for the year 2003. The brochure is entitled, "Learn a Language Abroad", 2003. As further reported above, AmeriSpan is identified inside as being an experienced "international organization". The hot pink brochure cover, which we do not reproduce here, is another deserving target of **multimodal analysis**, as its Superscript interacts with various snapshots of 'happy' young people all over the world apparently socializing and having a grand time. This already identifies it as a publication whose target is the student/ young adult. Also on the cover we get AmeriSpan's slogan: *The Bridge Between Cultures*. Next to the logo, another 'invitation' is given: *Discover the culture; Learn from the locals*. To be noted is the intertextuality, through grammatical and semantic parallelism, between the cover of the brochure and various features of our text. They work together to focus on culture, inter/ multiculturalism, and learning. The interplay of meanings on the brochure cover underlines the language-culture connection, which is precisely what our text foregrounds. In fact, as we've seen, it actually focuses more on the cultural value of the language school location than on the language courses it offers. Even the ingredients of group adventure – and fun! – which receive much more attention in the general introductory sections of the dépliant than in

the text, are not totally missing there: recall, in the segment dedicated to *Florence*, those *Students from all over the world* [who] *join each other in <u>discovering</u>…*

A word should also be said about the multimodal, and particularly the visual, aspects of our own text's environment. Firstly, the text dealing with the Florence school appears on the same page as another language school location in Italy: Rome (not reproduced here either). The two parts are both graphically structured into comparable sections. They occupy half a page each, but 'share' both the title and introductory segment on *Italy*, as well as the composite images which reproduce typical – indeed *stereo*typical –Italian cultural, gastronomic, or agricultural, scenery. Just above the title, we have a brightly colored photograph (recall the text's VGs *radiates* and *vibrates*) of smiling young people, perhaps enjoying a meal on a sunny restaurant terrace ('sunny Italy'), with the red domes of Florence's churches in the background. Another photograph shows a typical vegetables and fruit market scene, with hanging garlic and hot chilli peppers in the foreground (symbols of 'Italian-ness' once again). Crates of ripe red tomatoes add warmth to the photo as well. The third image is different. It features a landscape with a farmhouse, or perhaps a small rural community, in the background. Foregrounded are the neatly aligned rows of green, growing vines. Here the colors are cool, non-vibrant and the switch is made from connotations of intense bustling animation to those of a more peacefully serene and un-peopled beauty: something else Italy is 'known for'. Perhaps significantly, this image is situated just to the right of the *What We <u>Don't</u> Like* segment, in which *Many tourists in the summer* are signalled as one thing *not* liked (perhaps in order to show one has an option to dealing with them?!) One can, of course, only guess, but having options/ choices is of course another positive Anglo-American cultural value, one that is textually highlighted with reference to the possibilities of dates, accommodations, prices etc., in the practical information table in the top right-hand corner of the page as well.

But at this point we'll leave our cursory excursion into 'reading' the text's images and return to a linguistic consideration of its Mode.

The text is in English, a global language, and thus may be read by any English-speaker who comes across it, or goes looking for it. As a result, the **language** of this text is, as it should be, basically **context independent**; that is to say, the text is 'self-sufficient' as it is: it can be easily understood without a specific first-hand knowledge of

the specific Situation of Context in which it was created. On the other hand, however, a certain knowledge of the context of *culture* 'behind' the text IS needed in order to best decode its meanings. This is clearly true of *any* text to some extent, but it is worth noting how in this text we have been repeatedly struck by a certain *complicity* being constructed between speaker and reader, i.e., numerous cultural ways of being and thinking are obviously being taken for granted as shared between speakers and readers – which links us back to our observations on the identity of the addressee above.

The role of the text is **constitutive** of the social activity of 'describing and informing – in order to sell'.

The **process of text creation** is never shared by speaker and addressee: the text is a **monologue**.

These characteristics are all typical of the language of descriptive/ informative texts, and, more in particular, of advertising and tourism texts. Typical especially of advertising, and another aspect of the text's 'user-friendliness', is an almost exclusive use of single clauses within the easy-to-digest text chunks we noted above: i.e., information is given in 'bits', in order to be more easily 'absorbed' by the targeted client of the advertisement. Such chunks include the convenient packaging of information into pre and post-modified NGs with parallel structure **the X of the Y**: *the heartbeat of the country…*, *the charm of Italian culture*, *the birthplace of the Renaissance…* The elliptical thematic equatives closing the text function in a similar way.

Apart from the Mood of the title, which invites the addressee to perform a mental 'action' (learning) and is therefore **action-oriented**, the text is mainly **talk-oriented**, as descriptive/ informative texts typically are.

The **channel** is **graphic** but, in addition to the linguistic semiotic, we also have the **visual**, which makes the text **multimodal**. The **medium** of the text is **more written than spoken**: especially as regards its lexical density, which is extremely high due to: 1) the packaging of information into the extended NGs; 2) the 'telegraphic' advertising convention which involves extensive ellipsis. In fact, it averages around an extremely high 7!

The text is highly cohesive, but more so *within* the sub-titled segments than *between* them, as analysis of structural cohesive devices in particular has shown.

Cohesion is also the result of **non-structural cohesive devices**, which make our text coherent in each of its parts, through endophoric anaphoric **reference**, **ellipsis**, and **meronymy**. This lexical relation is typical of advertising texts, which often focus the addressee's attention on the 'product' to be sold and its different 'parts' or 'components', but also of tourism texts, which deal with countries, cities, and the noteworthy attractions within these. The **participant chains** we noted, again primarily at work *within* the segments, also function to make the text cohere.

The **rhetorical aim** of this text is linked to its hybrid nature too. Generally speaking, its primary function is *conative* (*persuasive*), as all advertising ultimately is. Specifically here we have the aim of persuading potential clients to 'buy' the service offered: a language course abroad. In Jakobson's terms then, it is focused on the addressee. As the basic means of doing this is through the giving of information and description, focus is also upon both on the context it has to inform about and describe (in order to 'sell' this service). In this sense, the function of language here is also *referential*, which is typical of the tourism text. However, in/ by the enthusiastic description enacted with reference to this context, and the explicit expression of *We*'s likes and dislikes, an emotive function must also be said to be at work here. In this sense, the text is also focused on the addresser, the organization that speaks.

## 6.5.4 The Situation – a schematic overview

The following is an overall scheme of the three register variables activating the meanings realized in/ by this text:

**FIELD**

**Social activity**: describing and informing – in order to 'sell' a foreign language teaching service abroad.

**Subject matter**: learning the Italian language in a specific language school located in Florence, Italy.

**Denotational lexis of subject matter**: often hard to divide from evaluative connotative lexis – *Italy, country, regions, culture, food, mountains, people, music, art, architecture, sculpture, events, students, school facilities, train, airports, corner, city center, building, shops and cafes, participants* etc.

**Temporal setting**: simple present (general truth).

**Spatial Setting**: geographical and logistical: Italy and Florence; the mostly concrete spatial locations constructed in circumstances: *from its beaches to its Alpine mountains*; *from both Florence and Rome airports*; *in a safe corner of Florence*; *from the piazza della Stazione…*, and *to shops and cafes*.

**TENOR**

The relationship between the speakers and the addressee(s) is *a*symmetrical. Attitude is explicitly enacted primarily with reference to the subject matter of the text. Towards the addressee, who never appears explicitly, it is only implicit.

| | Speaker | Addressee |
|---|---|---|
| **Status**: | *AmeriSpan* | potential clients |
| **Discourse role**: | persuade/ inform/ describe | none |

**Speaker attitude towards subject matter**:

[+ expert] [+ knowledge]

[+ positive → enthusiastic]

at end: [+ 'frank'/ 'sincere'] in being [+distant/ critical]

**Speaker attitude towards addressee**:

Through imperative but also monoglosses: [+ power]

Implictly, through attention to needs, likes, dislikes:

[+ interested/ respectful]

**MODE**

Basically context-independent (self-sufficient) hybrid register (advert + tourism text). Carefully constructed and pre-prepared, highly organized into internally cohesive, graphically separated segments. Monologue. Graphic channel, but Multimodal: Linguistic + Visual semiotic. Written mode. Conative (persuasive) + Referential + Emotive functions of communication/ rhetorical aims.

## 6.6 Intertextuality, Heteroglossia and Coding Orientation

As far as Bernstein's **coding orientations** are concerned, this 'hybrid' text gives us evidence of a 'hybrid' code at work too! It tends towards concrete, strongly classified and framed, ideational meanings, in which the focus of interest is decidedly on practice rather than on principle. In addition, it makes only infrequent and highly clichéd use of ideational metaphors. These are all signals of the restricted code. Yet, interpersonal meanings are *both* implicit (towards the never-explicit addressee, positioned as potential client – sign of the restricted code), *and* explicit (regarding the subject matter, through APPRAISAL SYSTEMS particularly – sign of the elaborated code). Fundamentally, the text is context-*in*dependent (an elaborated code characteristic), but cultural context is a vital background that is presumed as shared (more of a restricted code feature). Thus, the 'semantic style' of the text is more restricted than elaborated, but is not an 'extreme' case in point.

As we have had the opportunity of noting time after time in the course of our analysis, both synchronically and diachronically the text clearly establishes connections, intertextually, with whole sets of texts belonging to both the advertising and the tourism type in terms of its typical conglomerations of lexicogrammatical features: very briefly, typical of the former, but also the latter, is the relational Process that describes and defines, and the circumstantial detail (Location being vital, especially for tourism texts). The declarative mood is typical of both text-types, while the imperative is more often typical of the advertisement. The present tense of unqualified general truths, or monoglosses, can be found in both registers, but is more typical of the advertisement. Highly positive evaluation is a typical feature of both text-types, because ultimately the tourist guide is commissioned by those who would 'sell' the place to tourists and so, when all's said and done, is a form of publicity/ promotion as well! Neither all advertisements nor all tourism literature is structurally or graphically exactly like this text instance, but it links up with the kind of didactic, informative text that needs to get its message across economically and in a 'user-friendly' fashion. This makes for an extreme form of written-ness, as we've seen, but at the same time an easy-to-process text. The combination of extreme written-ness and great intelligibility is indeed remarkable, but it has much to do with the text's highly recognizable and predictable language.

Anyone with experience of the advertising and tourism registers brings a knowledge of their typical, indeed clichéd, ways of meaning and saying to a reading of them. The degree to which this textual instance (and these text-types) rely on shared cultural paradigms can be tiresome, but in order for it/ them to succeed in persuading their readers to 'buy' their products, shared world views are something upon which they need to rely.

This is also a text construed primarily through a series of monoglosses and other 'contracting' resources which don't allow alternative voices to challenge that of the speaker. In terms of Bakhtinian **heteroglossia** then, the force at work here is the **centripetal** one, aimed at creating consensus upon the positive features of the advertised 'product' and thus at persuading potential clients to 'buy' it. [18]

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[18] The word has been placed in scare quotes in order to highlight our appropriation here of another of its meanings: "believe, accept, approve. *slang*. E20." (Brown (ed.) 1996).

## *Exercises to Part III*

## **Exercises on the (formal) Letter text-type: another CV cover letter**

## **THE TEXT** [19]

Ms. Natalie Jones
65 Harman Street
N.Y., 10012-1034, N.Y.
22nd April 2002

Proctor & Gamble
Marketing Division
[…]

Dear Mr. Willis,

    I'm looking for a position within the marketing sector of an important firm such as your own/ and have heard that/ there are openings in your company at present.

    A representative of your company came to speak at our Columbia University Career Day last week /and encouraged senior economic students /to apply for first job positions at P&G.

    At university, I have majored in economics /and will be graduating next month, most likely with honors. I have also taken various courses in marketing, /which is my special interest. In addition, I have had several summer jobs in the field,/ and have learned much from these experiences about customer's needs and wants, and advertising campaigns and PR in general. These experiences, /which I enjoyed immensely, /were central to my decision /to attempt to get a job in this sector.

    I can be available for an interview at any time /and am looking forward to hearing from you at your earliest convenience. Please find enclosed my CV, for any further information/ you may need.

Sincerely Yours,

Natalie Jones

---

[19] The slanted lines in the text divide the ranking, i.e., not embedded, clauses.

# *QUESTIONS*

1. What is the **register** and **sub-register** that this text instance belongs to?

2. Regarding the **Field** of discourse in this text, what is the nature of the social activity being performed?

3. What is the **subject matter** of this text?

4. **Fill in the gaps below**:
*Majored, graduating, taken…* etc. are abstract (- 1 -) Processes, which construct the speaker's past and forthcoming academic experience. They are (- 2 -) of the text's **subject matter**.

5. Who is the **speaker** of this text? What is her social role or **status**?

6. Who is the **addressee** of this text? What is his social role or **status**?

7. What kind of discourse role do the **Indicative: declarative** mood clauses realize in the text? Is this typical of this text-type? If so, why? If not, why not?

8. What kind of modality/ modulation is being enacted in *I can be available for an interview at any time…*?

9. As regards speaker's attitude, which of the following can the above clause be said to enact?
a) [+ confidence]
b) [+ deference]
c) [+ flexibility]
d) [+ ambition]

10. The clause complex, *These experiences, which I enjoyed immensely, were central to my decision …*, construes at least two types of appraisal. Specify which they are.

11. **Fill in the blanks with one of the options provided below (use each option only once)**:

(- 1 -) is enacted in paragraph 3 of this text by the large number of  (- 2 -), which simply state the speaker's (- 3 -) and thus assert her (- 4 -) stance, which communicates a confidence that is (- 5 -) expected and required, and so, (- 6 -) a feature of this kind of text.

**a.** non-negotiable; **b.** monoglosses; **c.** Engagement; **d.** socio-culturally; **e.** experiences; **f.** typically.

12. Describe the global rhetorical or discourse structure of this text.

13. Identify the text segments that the stages in the **body** of the letter correspond to.

14. Which of the following is <u>false</u>?
The language of this text:
a) is self-sufficient
b) has a constitutive role
c) is construed in/ by a monologue
d) is context dependent

15. According to Bakhtin's descriptive categories of the 'forces' of heteroglossia, the dominant force at work in this text is centripetal. <u>True or False</u>?

16. Is this typical of this kind of text? If so, why? If not, why not?

17. According to Jakobson's categories, the rhetorical aim of this text is mainly (- 1 -) because it is focussed on reality. As a result of the high incidence of the pronoun *I* we also have (- 2 -) function. The reference made to the addresser also indicates (- 3 -) function. In addition, reference to the enclosed CV gives a minor (- 4 -) function and grammatical parallelism gives it a minor (- 5 -) function.

18. The 'participant chain' constructed in this text, which is typical of this **register**, but even more of its **subject-matter**, starts with:

a) *Dear Mr. Willis*
b) *a position within the marketing sector* (line 1)
c) *I* (line 1)
d) *In your company* (lines 2-3)

19. The explicit Interpersonal *I-you* meanings being instantiated in the text, in particular in the first and last paragraph, are one sign that the elaborated code is being selected for. <u>True or false</u>? Why?

20. This text has a symmetrical structure whereby the first paragraph and the last one instantiate grammatically parallel units. Can you identify these? Are these significant in relation to the type of text? If so, why? If not why not?

*THE TEXT*

# Language Courses Abroad

Price List

## Naples

Naples offers the visitor a **unique** opportunity to experience and **fall in love** with the **'real Italy'**. The narrow streets of the old city, still following the original Greek layout, are a maze of cafes, pizzerias, artisans' shops, **churches**, piazzas, **palaces** and **historic buildings** of **all ages**. This is a city **full of history, bustling** with life, just waiting to be explored.
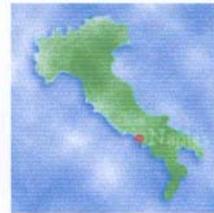
Our school is located in a **17th Century** building in the **historic centre** of Naples. There are 9 classrooms, a small library and a study room.

### Courses

- **Intensive Italian Course** (20 lessons/wk)

- **Long-Term Intensive** (20 lessons/wk)

- Semi-Intensive (6 lessons/wk)

- Commercial Italian (6 lessons/wk)

- **Total Immersion Personalised Course (40 lessons/wk)**

- **Colours and Flavours of Naples**(20 lessons, cookery classes, visits and excursions)

- **Italian Cookery** (9 hours/wk)

Max. in class: 12    Min. age: 16    Lesson: 55 mins.

### Accommodation

- host families
- self-catering shared student apartments
- living with an Italian host (self-catering)
- private studio apartments

**How to get there**

**Fly to Naples. Airport collection**
available. Alternatively, take airport bus/taxi
to accommodation.

**Star Points**

★ high quality Italian course in **the heart** of Naples
★ **excellent** programme of guided visits/excursions/activities and
cultural lessons
★ **personal attention** given to each and every student
★ Sorrento, **Amalfi** and the island of **Capri** nearby
★ **exceptionally friendly** and **welcoming** environment in the school

Contact us     Brochure     Prices

**From http://www.languagesabroad.co.uk/Naples.html**

# QUESTIONS

1. Why do we call this text-type 'hybrid'?

2. As you've learned, description is one typical social activity in this type of text, both with reference to
the 'product' being promoted and also the place where it is located.
a) Which Process type in paragraphs 1 & 2 is functioning to do this?
b) How many instances of this Process are there in these two paragraphs?
c) What are they? (Give the sentence in which they occur.)

3. **Fill in the blanks with one of the options provided below (use each option only once)**:
This text-type implicitly and globally functions as an/a (-1-) of (-2-) which make up its **subject matter**.
This consideration shows that the subject matter, that is to say, one feature of the **Field** of the situation of
the text, overlaps with features of the (-3-), which typically activates the (-4-) meanings that are then
realized in the kind of 'exchange' taking place.

a. 'goods & services'; b. **Tenor**; c. interpersonal; d. offer; e. demand

4. Who is/are the **speaker/s** of this text? Is/are this/these explicitly or implicitly instantiated in the text?

5. Who is/are the **addressee/s** of this text? Is/are this/these explicitly or implicitly instantiated in the text?

6. The clauses of this text feature almost exclusively one particular **Mood**. Which one? Is this typical of this text-type? If so, why? If not, why not?

7. In the clause-complex *Naples offers the visitor a <u>unique</u> opportunity to experience and <u>fall in love</u> with the 'real Italy'*, specify:
a) the kind of appraisal being construed by the underlined elements;
b) the apprais**ers** and apprais**eds**.

8. **Fill in the blanks with one of the options provided below (use each option only once)**:
This text features bare statements which are not explicitly being modalized. And yet, these can be seen to construe (-1-), or, more particularly, (-2-), as they express the highest degree of subjective (-3-), or what we've also called 'speaker (-4-)', which is extremely hard for the reader to negotiate. This is typical of the (-5-) of the speaker in this variety of advertisement/ tourism text: the speaker in fact tends to enact his/her (-6-) with reference to the subject matter, but also the addressee. In terms of the ENGAGEMENT SYSTEM, these bare statements are called (-7-).
a. probability; b. certainty; c. epistemic modality; d. subjective implicit modalization; e. monoglosses; f. [+knowledge]; g. attitude; h. possibility

9. **Fill in the blanks:**
This text makes use of a great deal of **grammatical parallelism** at all ranks: from the phoneme to the clause. For example, *full of history* and *bustling with life,* realize the reiteration of the experiential structure: (-1-), at the level of the (-2-), while *in a 17<sup>th</sup> Century building* and *in the heart of Naples* are instances of the reiteration of a (-3-), and work at the level of the (-4-). In addition, the reiteration of the transitivity structure: Carrier ^ Proc.: relational ^ Attribute, is an example of parallelism operating at the level of (-5-).

10. Regarding **non-structural cohesive devices,** and more particularly **lexical relations**, in this text, the relationship between *Naples* and *the narrow streets of the old city*, its *cafes, pizzerias, artisans' shops, churches, piazzas, palaces and historic buildings* is one of (-1-), which can be considered to be very (-2-) in tourism texts.

11. There is a 'participant chain' constructed in this text which is typical of the text's specific **subject matter.** Identify its <u>first</u> instance.

12. Which of the following is <u>true?</u>
The language of this text:
a. is context dependent.
b. has a constitutive role.
c. is action-oriented**.**
d. is construed in/by a dialogue.

13. Describe the **global rhetorical** or **discourse structure** of this text

14. Identify its **more local rhetorical** or **discourse structure**.

15. What are the characteristics of this text-type that make it a **multimodal text**?

16. Besides adding a visual semiotic to the linguistic realizations of textual meanings, can the pictures be seen to work with the experiential and interpersonal meanings being realized in this text as well? If so, why? If not, why not?

17. What are the 2 major functions of this text in terms of Jakobson's categories? And what factors are being focussed on?

18. As far as Bernstein's coding orientations are concerned, which is predominant in this text, and why?

19. According to Bakhtin's descriptive categories of the 'forces' of heteroglossia, the dominant force at work in this text is centripetal. True or False?

20. Regarding the preceding question, is this typical of the register? If so, why? If not, why not?

# KEYS TO EXERCISES

## Key to Exercises, Part I

### Ex. 1

1. D
2. B
3. A
4. B
5. D
6. A
7. C
8. D
9. A
10. C
11. C

### Ex. 2

1. l
2. g
3. d
4. a
5. h
6. j
7. f
8. c
9. i
10. e
11. k
12. b

### Ex. 3

1. They are: the register's **field** – the nature of ongoing social speech event and its subject matter, its t**enor** – the relationship between human participants involved in the interaction, their respective statuses and discourse roles, as well as the attitude they take towards the subject matter and each other, and its **mode** – the way language is functioning in the interaction.

2. The **restricted code** has the **advantage** of selecting a language of consensus and of giving its users access to a vast variety of cultural meanings. It has the **disadvantage** of *not* giving its users access to the perception of, and the construction of, alternative realities, and of discouraging the cultivation of a critical stance towards dominant ideologies.

3. Examples of **highly closed registers** are: communication between the crew of an airplane and ground control and the language of most games. Examples of **slightly less closed** registers are menus, recipes and greetings cards […].

4. In **action-oriented** registers, the Context of Situation is one in which there is much action and little talk; in **talk-oriented** registers the Context of Situation is one where the primary activity is linguistic.

5. The **elaborated code** is seen as being orientated towards **explicit** interpersonal meanings.

6. No, a text will **not** typically have only one function, as texts are usually **multi-functional**. There will, however, be *degrees* of functions: i.e., usually there's a primary function, and then a secondary one, etc., according to *which* factors are being focussed on and to what *extent*.

7. The '**phatic**' function corresponds to a focus on the factor of **'contact'**, while the **'emotive'** function accents the **'addresser'**, i.e. the speaker or writer.

# Key to Exercises, Part II

## ● *key to exercises on the 'Didactic' text-type*

1. In the first clause, the main Process is the relational: identifying Process *is*. The inherent participants are: [[*what we are going to be doing*]] = Identified and [[*to analyze the nominal group "human rights"*]] = Identifier. The Identified and the Identifier are both embedded clauses, functioning as grammatical participants within the 'outer' clause.

2. This relational Process can be said to be typical because it is defines what will be done in the present lesson. Defining, along with describing and classifying, are typical of the lesson activity. (They are also typical of teaching linguistic models, and so linked to the subject matter as well.)

3. The dominant Process type in the text is the mental one – more specifically, we have 1 mental: affection/reaction *want*, 5 mental: cognition *analyze*, *examine*, *investigating*, *consider* and *notice* and 1 mental: perception: *seen* (perhaps better interpreted as cognitive here). Mental Processes typically feature in didactic registers, as they are the explicit realization of the ongoing reflective activities typical of most lessons, including one on the specific subject matter of English Linguistics.

4. The circumstances are, in the order of their appearance in the text:

| | |
|---|---|
| *Now* (also type of continuative) | Location: time |
| *today* | Location: time |
| *from various points of view* | Angle |
| *in the lexico-grammar of the text* | Location: space (abstract) |
| *Now* | Location: time |

Circumstances of Location: time refer to the moment of the ongoing activity and are therefore typical of the **register** in question. The circumstance of Location: place is typical of the **subject matter** because it refers to the abstract textual space of the text that is being analyzed. The circumstance of Angle is perhaps more typical of the subject matter than the register.

5. This is *can be seen to be instantiating*. It presents the following characteristics:
- It is an agentless passive Process, and therefore it construes:
- Objectification, and therefore it is:
- less 'negotiable'.
- It is an abstract extended VG complex ('trying & succeeding' category) and realizes abstract experiential meanings, which are also typical of the elaborated code.
- It is also a sign of a medium of 'written-ness', i.e.,
- lexically, it is dense, both in itself as VG, and in adding to the density of the clause in which it is located.

6. The Grammatical Subject in the first clause is *we* – i.e., 'I' teacher + 'you' students. This is a typical participant in didactic registers. Despite the fact that 'we' is the typical construer of speaker-hearer identity, in this case it does not really construe [+solidarity], given the institutional status of the human participants in the exchange and their relative discourse roles.

7. The Mood is Indicative: declarative.

8. The communicative function is to demand 'goods & services' from the students.

9. The Mood is incongruent because demands for 'goods & services' are more congruently realized in/ by the Imperative Mood**.**

10. The ENGAGEMENT SYSTEM. In the first clause, we have a monogloss, leaving no space for negotiation. In the last, an expert's voice is brought into the text. It is one with which the speaker undoubtedly agrees, lending support to her speaker positioning, or stance.

11. It is the whole embedded clause as Identified, *what we are going to do today*.

12. It is a **thematic equative**. The function of thematic equatives is:
- to identify the Theme with the Rheme, and
- to add a semantic component of <u>inclusiveness</u>, that is to say that the meaning of *what we are going to do today* is something like 'I am going to tell you about what we are going to do today – to analyze the NG "human rights" – <u>and nothing else</u>' (see Halliday 1994: 42).

13. The lexico-grammatical devices which typically combine to form the **participant chain** are: **reference chains** and **lexical strings**, these last being constructed primarily through repetition and synonymy.

14. Two participant chains being constructed here: more particularly, these pertain to the human participants in the lesson (*we* = 'you and I') and the focus of the lesson (*the NG "human rights"*). The first is typical of the **register** and the second, of the **subject matter**.

15. Instantiations are:
First clause                *the nominal group "human rights"*
Second clause complex       *it*
Third clause complex        *the term*
Fourth clause complex       *its*

16. In Line 2 *it* is an endophoric – anaphorical reference to *the nominal group "human rights"*;
In Line 5 *its* is also an endophoric – anaphorical reference to *the nominal group "human rights"*.

17. We might describe the discourse structure as being: Statement of Intent ^ Elaboration of Intent ^ Additional Information ^ Demand for Attention (other labels could of course be substituted).

18. They are: primarily conative (addressee-focussed), and then referential (context-focussed), with a strong meta-linguistic and meta-textual function as well. The first two are typical of the **register**, the last two, of the specific **subject matter**.

19. The dominant force is **centripetal,** due to the positioning of the speaker as [+ powerful] and the hearers being positioned as the 'expected' Concurrers with the wishes and opinions of the speaker.

20. The **code orientation** is decidedly elaborated. This is linked to:

- the abstract meta-lingual (and meta-textual) activity in the text, globally considered;
- the abstract ideational (experiential) meanings;
- the (fairly) explicit interpersonal meanings, including:
- the clear declaration of intent (*what we <u>are going to do</u> today*), then further detailed, + of desire (*I <u>want us to examine</u>*).

## ● *key to exercises on the 'Procedural', or 'How-to', text-type*

1. This text is an instance of a 'how to' text-type whose **subject matter** is how to behave, mainly non-verbally, in order to have a successful job interview.

2. The behavioural Processes in the text are: *smile, look, relax, sit up, listen* and *respond*. The latter is a borderline case: on the surface it is a verbal Process, but, in this specific context, it can perhaps best be read as a behavioural Process.

3. Behavioural Processes are typical of the **subject matter**, that is to say, advising on **how to behave** in order to have a successful interview.

4. All three are **paratactic** expansions of the **extending** kind. **NB**: with reference to the note regarding VG interpretation above, b & b especially could easily have been seen as separate (although moodless, because positive imperative) clauses, rather than extended, paratactically linked, VGs. It is of course typical of the register to string imperatives together like this.

5. The addressee of this text is the explicit *you/ your* of the text, presumably a young person who is trying to find his/ her first job, and so needing to know more about how to behave in an interview. The speaker is a **disembodied voice**, i.e., not made explicit in this text segment. However s/he (we have only an initial of the first name) is explicitly identified elsewhere as being the author of the article from which this piece is taken.

6. The **social roles** of speaker and addressee, that is, their **statuses,** are, respectively: instructor (expert who is fit to give advice on interviews) and those-seeking-such-instruction. The addressee's status is thus (hopefully!) less permanent than the speaker's. The **discourse role** of the speaker is typically active and fixed – to teach, to advise and to inform. The *in*expert addressee in this variety of text is expected to merely read and learn, and consequently the addressee's **discourse role** in the context of the exchange is invariably passive.

7. The speaker realizes [+ power] towards the addressee in and by the imperative Mood, thus making proposals about the necessary steps to be taken. His/ her [+ knowledge] towards the **subject matter** is instantiated in the declarative Mood**,** with which statements giving an expert's information are made.

8. All imperatives in the text are of the coercive kind and are an implicit realization of deontic modality. The type of modulation instantiated is **obligation**, enacting proposals which are demands for 'goods & services', in this case, a certain required behaviour.

9. They all construe epistemic modality, or modalization, of the subjective implicit type. However, *Your first impressions can*...enacts a typical combination of possibility and capacity (the latter is neither epistemic nor deontic, strictly speaking, remember); *you may stand out* ...enacts possibility and *answering these well will boost…*, high value probability, or speaker certainty (prediction).

10. The high number of clauses in the imperative **Mood**, which implicitly realize deontic modality, obligation, show that the accent in the text is on demanding 'goods & services'. This is typical of this **register**, which involves an expert giving advice on the correct procedure to follow, in this case, during an interview. The instances of epistemic implicit modality, possibility/ probability, are also typical of the **register,** which often also involves giving further information as to why one is being told to do/ not do certain things.

11. The words are *flamboyant* and *individualistic*. They enact explicit *negative* Judgement: Social Esteem: normality, but, ultimately, they can also be seen to construe Judgement: Social Sanction: propriety. The additional linguistic signals of this are the negative imperative (*don't be*) and the intensifier *too*. Moreover, our background cultural knowledge (regarding the *dominant* attitude in our culture towards 'flamboyance') also helps us to read the kind of evaluation being construed.

12. The implied wording: 'I want you to/ not to', which is always semantically implied in coercive imperatives, and which is thus the dominant implicit TT working across the text.

13. Yes, it is typical, because the imperative mood is, as has been said, typical of the procedural, or 'How-to', text.

14. It is implicit.

15.      a) The text is organized into a series of steps to be followed. These steps follow an internal temporal ordering which moves from pre-interview advice to 'virtual'-interview advice. The dominant implicit logical connection is therefore of the enhancing type (do this 'and then' do that…).
         b) enhancement: Cause: Reason ('because', 'as', 'since'…)

16. **C** (whole – parts)

17. **True**. The text works to 'unify' ways of meaning and doing, encouraging the addressee to behave according to what is accepted as standard, proper job interview behaviour by the dominant cultural paradigm. No alternative viewpoint is allowed space.

18. **1**f, **2**d, **3**a, **4**b, **5**e, **6**c.

19. **False**. It is the restricted code that tends to use such ways of meaning and thinking.

20. **C** (restricted, due to the imperative style, *plus* elaborated, however, due to the explanation provided for the commands)

## Key to Exercises, Part III

### ● *key to exercises on the (formal) Letter text-type: another CV cover letter*

1. This text constitutes an instance of the general **register** category of the letter, its **sub-register** is the formal letter.

2. The social activity of this text consists in writing the kind of formal letter which typically accompanies a CV when one is applying for a job.

3. The **subject matter** can be said to consist in the specificity of the job being sought – in this case a job in the marketing sector – as well as in the writer's experiences and skills which are reported as being relevant to this job.

4. (- 1 -) material; (- 2 -) typical

5. The **speaker** in this text is an explicit person, *Natalie Jones*; her semi-permanent **status** is 'almost graduated job-seeker'.

6. The **addressee** is also an explicit person, *Mr. Willis*, whose **status** is presumably CEO of the marketing sector of 'Proctor and Gamble', also perhaps responsible for hiring personnel.

7. The **Indicative: declarative** clauses typically realize the speaker's role of informing, or giving information. This is typical of the **subject matter**, as the speaker has to report relevant information about herself in order to convince the addressee she is a good candidate for the job.

8. Modal operator *can* is typically ambiguous as to the kind of modality it is enacting. In this case, it can be looked from the point of view of **ability/ capability**: i.e., the clause can be paraphrased as "I am/ will be able to come for an interview at any time…", or, of the **possibility** of the speaker's coming – "It is possible for me to come …", i.e., 'no problem'. A further modal category which seems pertinent in this setting however is that of **willingness** on the part of the speaker – this clause can, in fact, be easily, and even more significantly, paraphrased as "I am willing/ prepared to come for an interview at any time …".

9. **b**, **c**, (primarily due to the 'willingness' enacted), but also **a** (due to capacity, possibility).

10. *enjoy* realizes **inscribed (explicit) positive Affect**; *These experiences […] were central to my decision* can be said to function to enact **inscribed (explicit) positive Appreciation** of *these experiences* and also **evoked (implicit) Judgement: social esteem/ tenacity** on the part of the speaker regarding her own resolve.

11. **1**c; **2**b; **3**e; **4**a; **5**d; **6**f

12. The **discourse structure** can be said to consist in:
writer's address + date ^addressee's address ^ formal salutation ^ [*the body of the text*, *comprising*: motivation for the writing of applicant's letter ^ reason for her interest in a position in this field ^ report on the speaker's education, past job experiences and positive results of these ^ declaration of availability for job interview ^ formal invitation to find the enclosed CV] ^ formal closing ^ signature.

13. The motivation for the writing of the applicant's letter corresponds to physical paragraph 1 in the body of the letter; the reason for her interest in a position in this field is contained in physical paragraph 2; the report on the speaker's education, past job experiences and the positive results of these matches up with physical paragraph 3, and the declaration of availability for job interview, the formal invitation to find the enclosed CV, correspond to physical paragraph 4. Each rhetorical stage is signalled with a new physical paragraph; in other words, 'conceptual' paragraphs and 'physical' paragraphs coincide.

14. **d**

15. **True**.

16. Yes, it is. The monogloss is typical of this sub-text-type where it functions to make the speaker's position unarguable and to enact her [+confident] voice, as is expected in the socio-cultural and economic structure which she is aspiring to work within.

17. 1) **referential**; 2) **emotive**; 3) **conative**; 4) **meta-textual**; 5) **'poetic'**.

18. **c**.

19. **True**, as explicit interpersonal meanings are a typical sign of this coding orientation.

20. The first and final paragraphs of the letter are parallel through the reiterated focus on the relationship between the letter writer and the addressee, with special emphasis on the latter. In particular: in the first paragraph the deictic possessive *your* is repeated twice; in the last paragraph the personal pronoun *you* is repeated twice, and the deictic possessive *your* appears once.
This is very significant for this kind of text, which aims, amongst other things, to establish a positive relationship between letter-writer and addressee.

### ● *key to exercises on the Advertisement/ Cultural Tourism, text-type: another 'language school abroad' text*

1. The text can be said to be an instance of a hybrid register because its lexico-grammar can be seen to be realizing meanings that are being activated by a composite context of situation: that of the advert generally speaking and that of the tourism text as well..

2.
a) relational: attributive;
b) 3
c) *The narrow streets [...] are a maze of cafes[...]*; *This is a city full of history [...]*; *Our school is located [...]*.

3. 1d; 2a; 3b; 4c

4. The speakers of this text are a group of people (representing an organization) which manages language courses in locations all over Italy. They are explicitly instantiated in the text only once, in the possessive deictic *our* in *our school is located[...]*. of course it is likely that the text is the product of either an advertising agency or the firm's own marketing department. In short, it's a mediated message, insomuch as the company pays someone to speak *for* it.

5. The addressees of this text are unspecified as to identity or number. They are those who have actively searched for information on language courses on line, and found it: presumably students and/ or students' families who are interested in getting information about language courses abroad. They are never explicitly mentioned in the text, except in the implicit semantics of the imperative mood clauses: *Fly to Naples* and *Take airport bus/ taxi to accommodation* (i.e., remember! in the imperative there is always an implicit message that: *I want you* to do X.). However, we must take into consideration the overall telegraphic quality of the text in evidence in this segment as well (deictics ellipted), and thus the possibility that these apparent imperatives are only some sort of elliptical declaratives: e.g. [you can] fly/ take…

6. In this text-type there is a prevalence of **indicative: declarative  clauses** (all clauses are in this Mood except the two (possibly pseudo-) imperatives cited above. Declaratives can be said to be typical of this text-type because they realize statements, that is to say, they have the communicative function of giving information about the school and the city in which this is located.

7. *unique* realizes the disembodied speaker's (apprais**er**'s) **explicit (i.e., inscribed) positive Appreciation: reaction: quality** and/ or **Appreciation: social significance**, with reference to what is being apprais**ed**: *[...] the opportunity to experience and to fall in love with the 'real Italy'*. In addition, it implicitly construes **Graduation: high Force**, whose low and median degree options might be said to be something like 'distinctive' and 'exclusive' (as always, however, identifying the implicit force of attitudinal lexis can be a very subjective matter).
*fall in love* is a VG which **inscribes positive Affect: happiness** towards the appraised: "the 'real Italy'". Who is the apprais**er**? Primarily "the visitor" (to whom "Naples offers" this "unique opportunity" to), regarding whom the expression inscribes only a *potential ('irrealis')* Affect (i.e., s/he'd need to go there first and then see if it actually happens!). The disembodied speaker him/herself is also presumably an apprais**er**, i.e., feeling this same kind of Affect, but this is only implied, evoked. Furthermore, it is also possible to read the speaker's implicit **positive Appreciation: reaction: quality** of both Naples and Italy. Again we have an instance of **Graduation: high Force** implicit in the appraising lexis, the low and median degree options of which might be said to be 'like' and 'care for'.

8. 1c; 2d; 3a; 4b; 5g; 6f; 7e

9. (-1-) Epithet + Qualifier; (-2-) group (*or even better*, NG); (-3-); circ.: Location: Place; (-4-) phrase; (-5-) clause.

10. (-1-) meronymy; (-2-) typical

11. "Language Courses", in the title.

12. b

13. The **global rhetorical** or **discourse structure** can be described as the following:
Presentation of 'Product' ^ Description of one City where courses are being offered ^ Brief Description of kinds of courses offered there ^ Description of types of Accommodation available ^ Explanation of how to get there ^ Summarizing Evaluation of Best features of the 'product'.

14. The more **local discourse structure** can be described as:
Title (presenting *Language Courses Abroad*) ^ sub-title (*Naples*) ^ Detailed Information of one city in Italy hosting the language course abroad mentioned in the subtitle (Para 1) ^ Description of location of the school and it's 'contents' (Para 2) ^ lower-level sub-title (*Courses*) ^ Inventory of types and length of courses offered and mentioned in the sub-title ^ telegraphic Further Information on classes ^ 2nd lower-level subtitle (*Accommodation*) ^ brief Catalogue of types of accommodation offered ^ new lower-level subtitle (information on travelling: *How to get there*) ^ travel Information ^ final lower-level sub-title (*Star Points*) ^ Evaluative Summary of the study abroad program in Naples that is being offered ^ further links to more information and contact possibilities.

15. Besides the clear-cut graphics (various size of scripts; bright pink color for key words, 'bullets' and stars), and information-chunking into sections, here we have a variety of pictures, as well as hypertext links in particular at the end of this text.

16. Yes, the pictures work together with the experiential meanings being realized, because they visually show the places that are being described. They function along with the interpersonal meanings being realized because they show the archetypical young people to whom the 'offer' is being made, that is to say, the real or potential participants in the languages courses being described, and they're shown as 'happy', 'falling in love'!

17. Jakobson's functions: referential and conative; his factors: context and addressee.

18. The text is primarily an example of the restricted code at work, insomuch as it constructs mainly concrete and strongly classified ideational meanings. It also construes implicit interpersonal meanings as far as the I/ you voices are concerned, and the exchange ('offer') being globally made. On the other hand, evaluation of the product offered is very explicit, and any explicit interpersonal grammar is a sign of the elaborated code being selected for.

19. True

20. The centripetal 'force', which does not allow alternative voices to challenge the voice of the speaker, is typical of advertisements, as they aim at 'packaging' a product in such a non-negotiable way as to more easily persuade potential clients to buy their 'goods & services'.

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# APPENDIX

## Text Analysis Checklist [20]

To analyze a text, one must consider the relationships between <u>the concrete situation</u> ('real' or 'invented') in which it occurs, <u>the meanings</u> activated by that situation, and <u>the language</u> in and by which these are realized. One must examine:

## I Clause as Representation: *What is going on?*
In other words, what IDEATIONAL (EXPERIENTIAL + LOGICAL) MEANINGS are being *activated by* the FIELD, and *realized by* the Speaker-as-Observer of 'reality'?

**If working in a TOP → DOWN perspective, one begins by describing the FIELD:**
The FIELD is the nature of the ongoing social activity of the speech event. The first thing to do is identify this. Then, one asks what the specific 'subject-matter' of the text is, globally considered, and which lexical items can be said to be *typical* of the subject-matter. These will also be performing as participants, Processes and circumstances in *the transitivity structure.*

**a)** To investigate EXPERIENTIAL MEANINGS, one analyzes the lexico-grammar in terms of the transitivity structure:
That is, one asks, *clause by clause*:
•   What 'PROCESS TYPES' (material, mental, relational, verbal, existential, behavioural) are realized in the text?

•   What grammatical 'participants' (persons, things, and also grammatical 'facts') are present in the text, functioning as inherent participants in Processes as, e.g., Actor, Goal, 'Goods', Beneficiary, Senser, Phenomenon Sensed, Identified, Identifier, Carrier, Attribute, Sayer, Verbiage, Receiver, Existent, Behaver, etc.?
•   What 'circumstances' (e.g., of Location, Manner, Cause, Accompaniment, etc.) are expressed in the text?
•   What can be said about *the spatial and temporal settings* made explicit in the text (in terms of *circumstances*, but also with reference to *tense*)?
•   How is the relationship between 'participants' and 'Processes' constructed in the grammar (e.g., active voice ("X did Y")  vs. passive voice ("Y was done"), but also as far as causation is concerned ("X allowed/ made/ forced Y to do Z"))?

•   Can any clause structure be considered an *ideational grammatical metaphor* in its way of saying? If so, always say what its 'congruent' lexico-grammatical form be?

**b)** To investigate LOGICAL MEANINGS, one analyzes the clause-complex in terms of clause interdependency, which is a question of either *expansion* (through parataxis or

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[20] D.R. Miller, 2003 version.

hypotaxis), or of *projection*. One also analyzes its logical relations, in terms of clause *elaboration*, *extension*, or *enhancement*, and the sub-categories thereof.

## II  Clause as Exchange: *Who's taking part?*

In other words, what INTERPERSONAL MEANINGS are being *activated by* the TENOR and *realized by* the Speaker-as-Participant/ 'Intruder' in his/ her text?

**Again, in a TOP → DOWN perspective, one begins by describing the TENOR:**
•    Who is taking part in the exchange? i.e. who is the speaker and who is the addressee? Are these roles 'fixed' or freely interchangeable?

•    What is the 'status' (the relevant permanent – or semi-permanent - attributes) of the speaker(s) and addressee(s) and what is the 'role' (discourse) of these speech participants (i.e., what does their discourse try to achieve: assert, deny, explain, exhort, promise…)?
•    Are the speech participants (speaker(s) and addressee(s)) explicit in the text, or not (i.e., is the text 'personal' or 'impersonal')?

To investigate INTERPERSONAL MEANINGS, one analyzes the lexico-grammar in terms of realizations of inter-subjective positioning.
In other words, one asks:
•    With reference to MOOD SYSTEMS, what is being 'exchanged' in the text? Is the text realized in predominantly indicative: declarative or indicative: interrogative, or imperative? That is:

- Is information being given? (statement ⇒ typically declarative mood)
- Is information being demanded? (question ⇒ typically interrogative)
- Are 'goods & services' being given? (offer ⇒ variously construed)
- Are 'goods & services' being demanded? (command ⇒ typically imperative)

•  What <u>attitude</u> does the speaker take towards the addressee (e.g., one of [+/ - power] or one of [+/ - solidarity]? How is this enacted in the text (through MOOD, MODALITY/ MODULATION and APPRAISAL SYSTEMS)?
•  What <u>attitude</u> does the speaker take towards the 'subject-matter'? That is, what realizations of MOOD, MODALITY/ MODULATION and/ or APPRAISAL SYSTEMS construing such attitude can be found in the text?
•  Is there any evidence of *interpersonal metaphors* of either Mood or Modality? Identify them and explain their functions.

## III  Clause as Message: *How are the meanings being exchanged?*

In other words, what TEXTUAL MEANINGS are being *activated by* the MODE and *realized by* the Speaker as Text-Maker?

**Once more, if working TOP → DOWN, one begins by describing the MODE:**
•  Is the language context-*in*dependent (self-sufficient) or is it context-*de*pendent, i.e., does it rely on a first-hand knowledge of the situation of context in which the text is being created to be understood, or not?

- Is language *constitutive* of the communication or merely *ancillary* (less important) to it? This is linked to the question of there being *other* semiotic means by which meanings are also being contemporaneously made, e.g., the visual, and so a question of *Multimodality*.
- Is the process of text-creation *shared* by speaker and addressee (is it, e.g., a dialogue, or is it a monologue?)
- Is language being used more for *action*, or for *reflection*, i.e., is the text more *action-oriented* (as in a recipe) or *talk-oriented* (as in a speech or lecture)?
- How does the addressee come into contact with the speaker's message? That is, what is the *channel* of communication being used: 'phonic' (e.g., face-to-face communication, radio, telephone...), or 'graphic' (e.g., book, pamphlet, newspaper, SMS messages...), or some combination of the two (e.g., CD-Rom, DVD…)?
- Is the *medium* of the message +/ - written, or +/ - spoken, e.g., is the text more lexically 'dense' (high incidence of lexical vs. grammatical words) and 'packaged' (in, e.g., noun strings), or is it more lexico-grammatically intricate and 'choreographic' (constructing, e.g., clause complexes with elaborate logical relations between the clauses)? Medium will be the result of various factors: e.g., if the text is truly extemporaneously spoken, or if it is written-to-be-read (silently), or even written-to-be-spoken (aloud), and thus in this case prepared, or at least semi-prepared, to 'sound' spontaneously delivered.

To investigate TEXTUAL MEANINGS, one analyzes the lexico-grammar in terms of its creation of 'textuality' and 'texture' by means of *cohesive devices*: 1) structural and 2) non-structural.
In other words, one asks, how the text is organized from the point of view of:
**1)** *its structural cohesive relations*
    - thematic structure
        Within the single clause, which element(s) constitute(s) the Topical 'theme' and which the 'rheme'? Are there any 'interpersonal' themes and/ or structural/ textual themes? Then, over *stretches* of text, can any pattern of thematic progression (a 'method of development') be identified?
    - information structure
        Within the single clause, and over stretches of text, which element(s) constitute(s) 'given' and which are 'new'?

    - grammatical parallelism
        Is there a noteworthy reiteration of elements, including sounds, words, groups (e.g. Deictic + Epithet + Thing...), or clauses (e.g. Actor + Material Process + Goal...)?
    - its discourse structure
        i.e., What kind of 'global' discourse (or rhetorical) structure (or 'staging' or 'sequencing') can be identified in the text?
            - eg: proposition ^critique ^ conclusions
      and 'local' discourse structure?
            - eg: opening statement ^ counter-statement ^
            exemplification ^ generalization ^ amplification...
Such structure is of course also linked to how the text is organized from the point of view of its physical presentation (headings, chapters, sections, paragraphs (physical and/ or conceptual, stanzas...).

**b)** *its non-structural cohesive relations*

> i.e., reference; ellipsis and substitution; conjunction (between, rather than within, clause-complexes); lexical organization: including lexical 'scatter', synonymy, antonymy, meronymy, hyponomy, collocation etc. Can any 'participant chains' (Halliday 1994: 337), constructed by means of one or more of these relations (typically by reference chains or lexical strings) and running *through* the text, be noted?

**c)** On the basis of the detailed analysis of the text, which broad 'rhetorical' category can the text, on the whole, be assigned to? What is its primary (but also secondary etc.) overall rhetorical aim(s), or function(s)?

> e.g., Using R. Jakobson's categories (1960), is it *mainly* 'emotive' ('expressive'), or 'referential', or 'conative' ('persuasive'), or 'poetic', etc.

**NB:** The analytical steps as described above basically correspond, as said, to the **TOP → DOWN** perspective. If one is working **BOTTOM → UP**, one begins analysis at the bottom level, the level of the clause, investigating the meanings realized therein, and *only afterwards* reconstructs the 'typical' situation which gave rise to the wordings and meanings of the text. The three categories of the 'Context of Situation' - Field, Tenor, Mode - are what ultimately, and contemporaneously, *determine* the text: its 'meanings', and its 'wordings'. But remember, there are *no* simple, one-to-one correspondences between these strata – no hypothesis of an automatic 'hook-up' between them. Furthermore, a word may express one kind of meaning, its morphology another and its position still another. And any single element can have more than one structural role. Indeed, considerable overlap and multi-functionality is the norm.

## Further Considerations:

- On the basis of the analysis of all three levels of the text, can its **register**, i.e., the general 'type' or 'functional variety' of text (according to *use*), be identified?
    - e.g.: is it a procedural text, a formal or 'friendly' letter, a tourism text, a humorous text, or an informal conversation, a lecture, manifesto, news article, political speech etc. etc...? In addition, can you further classify the text according to a sub-register? For instance, if it is a procedural text, is it a recipe, or a how-to-assemble-something text?, and so on...
    - Are the 'conventions' of the register more or less adhered to, or not, i.e., are they 'flauted', or perhaps even creatively re-invented? Is their use apparently 'critical' or 'uncritical'?
    - Is there any evidence of language variety according to *user* (**dialect**)? How may it be said to function?
- On the basis of the analysis of the text, can any instances, or more global patterns, of *intertextuality,* or *contratextuality* be seen to be constructed, in either a synchronic or diachronic sense?
- In Bakhtin's terms, can any evidence of the *centripetal* or *centrifugal* forces of *heteroglossia* be pointed to?

- With reference to B. Bernstein's work on *coding orientations*, can the process of text creation be said to be regulated principally by the *elaborated* or the *restricted* variety?

  ***Give, as always, textual evidence for your findings***.

\*\*\*If the text belongs to the variety of literature, if, i.e., it is a **'literature text'** (Hasan 1985/ 1989), what 'fictional Context of Situation' has been created by the realized meanings? Then, at the higher level of the *semiotic system of verbal art*, what patterns of 'foregrounded' (de-automatized – Halliday 1982) elements can be said to be vital to the 'symbolic articulation' of its 'theme'? Recall that the text's own particular 'context of creation'/ 'context of culture' needs to be investigated as well. At this point, how can you formulate the 'real' Context of Situation of the text? In what way(s) does this differ from its 'fictional' situation, i.e., the one created by the text itself? Finally, do these considerations in any way change your prior formulation of its 'theme'?