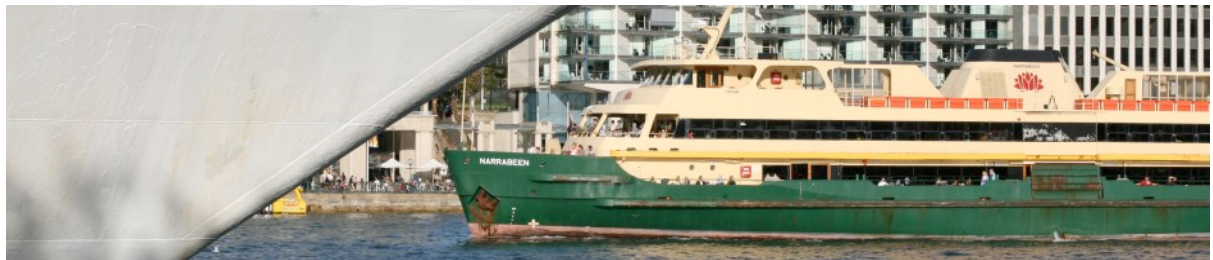# To boldly proceed

Papers from the 39th International Systemic Functional Congress

Edited by John S. Knox

39th ISFC Organising Committee ~ Sydney

to boldly proceed ...

Cover photo and back-page photo by Alexanne Don.

To boldly proceed:

Papers from

the 39th International Systemic Functional Congress

Contents

Authors listed alphabetically (family name last)

ISFC39 Organising Committee Members

Convenor:
  Sue Hood

Conference Administration Co-ordinator:
  Jacqueline Robson

Helen Caple
Alexanne Don
Shoshana Dreyfus
Jenny Hammond
Rosemary Huisman
Sally Humphrey
Pauline Jones
John Knox
Jo Lander
Lucy Macnaught
Erika Matruglio
Lorraine McDonald
Clare Painter
Trish Weekes

Acknowledgements

The editor would like to thank the following people:

- The other members of the ISFC39 Organising Committee for their tireless work in making the Congress happen.
- The reviewers, for volunteering their time, expertise, and generosity.
- The authors, including those who had papers rejected, for sharing their work.
- Canzhong Wu, Christian Matthiessen, and Maria Herke - editors of the Proceedings of the 35th ISFC - for allowing us to use their template.
- Mick O'Donnell, for putting the proceedings on the ISFLA website.
- Mee, Miles, and Ben, for everything, as ever.

Statement regarding review process

All papers in this volume went through a two-stage, double-blind peer review process. First, all abstracts for the 39th ISFC Congress were double-blind peer reviewed. Those who had abstracts accepted were then invited to submit a full paper for consideration to be included in this volume. The full papers were then double-blind peer reviewed. A list of the reviewers of abstracts and full papers follows.

John S. Knox, Editor

List of Reviewers of Conference Abstracts

Honglin Chen	Rosemary Huisman	Alison Moore
Janine Delahunty	Sally Humphrey	Annemarie O'Brien
Alexanne Don	Pauline Jones	Clare Painter
Yaegan Doran	John Knox	Beatriz Quiroz
Shoshana Dreyfus	Helen Lewis	Geoff Thompson
Dorothy Economou	Annabelle Lukin	Elizabeth Thomson
Jenny Hammond	Ahmar Mahboob	Michele Zappavigna
Susan Hood	Edward McDonald	

List of Reviewers of Full Papers

Thomas Amundrud	Mira Kim	Mick O'Donnell
David Caldwell	Naomi Knight	Beatriz Quiroz
Helen Caple	Sook Hee Lee	Louise Ravelli
Phil Chappell	Theo van Leeuwen	David Rose
Yumin Chen	Miranda Legg	Terry Royce
Chris Cléirigh	Mary Macken-Horarik	Lorraine Ryan
Brian Dare	Edward McDonald	Mary Schleppegrell
Dorothy Economou	Ahmar Mahboob	Teresa Oteíza Silva
Susan Feez	Jim Martin	Maree Stenglin
Meg Gebhard	Karl Maton	Ping Tian
David Hall	Anne McCabe	Len Unsworth
Jenny Hammond	Stephen Moore	Canzhong Wu
Rosemary Huisman	Estela Inés Moyano	Michele Zappavigna
Sally Humphrey	Mikako Naganuma	Yiqiong Zhang
Astika Kappagoda	Ayako Ochi	Sumin Zhao

to boldly proceed ...

Papers

to boldly proceed ...

The Jazz is strong with this one: Presentation and positioning of knowers in performance student texts

Jodie L. Martin

University of Adelaide
Adelaide, Australia
jodie.martin@adelaide.edu.au

Abstract

Jazz is frequently depicted as only accessible to 'ideal knowers', suggesting a hierarchical knower structure (Maton 2007, forthcoming). This paper uses various frameworks from Systemic Functional Linguistics including transitivity and appraisal theory (Hood, 2010; Martin & White, 2005) in combination with Specialisation from Legitimation Code Theory (Lamont & Maton, 2008, 2010; Maton, 2009, 2010) to investigate the representation of the writer, the reader, musicians and other musical knowers in the research projects of jazz honours performance students.

The study has found that student writers construct their own authority as sensing knowers. They also position the reader as an equally musically and analytically literate participant. Musicians are validated as legitimate knowers and as worthy of research through their own exceptional qualities and through alignment with high status jazz musicians and key institutions and locations. This paper offers some insight into the structuring of knowers in the study of jazz, and the key linguistic resources for their depiction, suggesting further avenues for study of the discipline of music.

> "What is jazz? Man, if you have to ask you'll never know."
> Louis Armstrong

1   You must learn the ways of Jazz: Jazz in tertiary education

Jazz is frequently portrayed in popular culture as being only understandable by the sort of people who understand jazz. This circularity creates an impression of exclusivity, wherein the key measurement for power, legitimacy and success is having the appropriate disposition and the right sort of musicality. Jazz education, however, aims to produce musical knowers by enabling students to acquire experience and exposing them to significant works and artists. How do these two values – musicality and musicianship – shape the field of jazz and its actors, and how do students integrate or balance musicality and musicianship in their own research and writing?

Each discipline has a way of structuring knowledge, of evaluating knowers and of positioning people on the light or the dark side. The writing in each discipline reflects this. And success for a student, in part, involves being able to appropriately convey these priorities, or at least challenge them in acceptable ways. In order to investigate jazz studies, this paper focuses on the presentation and positioning of knowers in a corpus of six 5000-word research projects from honours students of jazz performance, taking one text as a case study, from a student we shall call 'Skywalker'.

Building on Bernstein's work on knowledge structures wherein knowledge is organised in hierarchical or horizontal structures (see for example Bernstein, 1999), Legitimation Code Theory (LCT) (Maton, 2000, 2007, 2009, 2010) suggests that knower structures are equally present. The specialisation codes of legitimation (or Specialisation) from LCT describe educational knowledge as consisting of epistemic relations (ER) between knowledge and the world, and social relations between knowledge and an author (Maton, 2000, p. 154). Each

represents a continuum of strength, which mapped on a Cartesian plane produces four specialisation codes: knowledge code (ER+ SR-), knower code (ER- SR+), elite code (ER+ SR+) and relativist code (ER- SR-). Lamont and Maton (2008, 2010) write that "Understanding the basis of attitudes and practices among learners, teachers and music education researchers towards music in formal education is crucial for enabling widening participation and the future success of a music curriculum" (2010, p. 63). They observed that the study of music in the UK starts in primary school with a knower code, emphasising musical dispositions and personal expression, changes to a knowledge code in lower secondary school, requiring the demonstration of musical knowledge and skills, and concludes with an elite code in upper secondary, emphasising both dispositions and skills. This demonstrates the shifting values in music education and the insight that the framework provides. They call for further study into "constructions of achievement within higher levels of music such as undergraduate degrees and conservatoires" (Lamont & Maton, 2008, p. 280); this research attempts to answer that call. LCT also incorporates the notion of 'gaze', which Bernstein describes as necessary for recognising legitimacy in the field (1999). Maton (2010) further identifies types of gazes, including born, social, cultivated and trained gazes. In the context of jazz studies, having the appropriate gaze could also be described as having the 'ear' for music or a 'feel' for the rhythm. This paper will concentrate on the social relations present in the student texts and will use a systemic functional linguistic (SFL) analyses and interview data to support the observations.

Specialisation from LCT suggests useful questions for investigating the discourse of a discipline. Drawing on Hood (2010, p. 177), this paper aims to address the following questions: How does the student present themselves as a knower in their writing? How are musical knowers evaluated? What is given prominence: the sociological positioning of knowers or explicit skills and sets of procedures for exploring music? Transitivity and attitude analyses from SFL are used to investigate the knowers. The study of participant types reveals that the students depict both themselves and their reader as sensing knowers, while material processes relating to analysis are attributed to the student's research, study or paper. The attitude analysis reveals that musicians are justified for research for being highly skilled (positive judgement capacity) and highly unique (positive judgement normality). They are further legitimised by association with esteemed institutions, bands and musicians.

The knower code suggested by the epigraph is evidenced in the students' research projects, both in how they present themselves as a knower, and how they position and evaluate the focal musicians of their study. Social relations are variously strengthened by shifting between emphasis on experience, training and exposure to music, which for the students indicates they have the appropriate 'gaze' to interpret jazz, and emphasis on the musical virtuosity and innate talent of the focal musicians of the study. The observations from the corpus will be further substantiated with evidence from Skywalker's research project about a young and relatively unknown musician. This provides the opportunity to examine the linguistic resources the student uses to legitimise the musician, establish his jazz credentials, and place him clearly on the light side of jazz.

2   The Jazz is with you, young student, but you are not an academic musician yet: Students as knowers in their texts

The university jazz program is oriented to producing jazz knowers; how students of this course represent themselves in their writing reflects on how they see themselves as knowers, on how legitimate they believe their opinions to be and on what grounds their observations and opinions are validated. The participating students were practising musicians, performing and teaching regularly, which contributed to their sense of authority.

The way the students present themselves in the corpus varies between explicit first person pronouns, third person references and implied presence through passive constructions or possessive pronouns. Transitivity analysis reveals that they represent themselves primarily as sensers of mental processes and secondarily as actors (see table 1).

Participant	Example	Number
Senser	Here <u>we</u> **see** a very common progression in jazz standards	41
Behaver	As <u>I</u> **listened** to Mason's solos over and over again	8
Sayer	<u>the author</u> **would suggest** that the rhythms be taken as a guide	3
Actor	<u>I</u> **have analysed** transcriptions of Allan's solos	19
Other	It is vital that <u>one</u> **has** complete command of one's instrument	5

Table 1: Participant types of student writers

As there is such a clear majority of sensers, the subtypes of mental processes are significant. 25 of 41 sensers relate to mental processes of cognition, [1], and a further 10 are sensers of mental processes of perception, [2].

> *[1] As <u>the author</u> **deems** compositional elements important to improvisation, so too are lyrical elements through their association with composition.*

> *[2] <u>I</u> **witnessed** first hand what a powerful and unique performer he is.*

This suggests that the students have the appropriate gaze to make observations, evaluate and form opinions on music. This was reinforced during interviews; Skywalker described the basis for his authority to criticise his fellow trombonists:

> *I have been playing trombone for seven years, played piano for 11, have listened to countless recordings of trombone players and listened to many trombone students. I would argue that I did have the authority to say that trombonists are less technically able in general.*

His use of judgement to evaluate musicians will be examined below. Other students similarly attributed the validity of their opinions and observations to their experience. This indicates that their gaze is acquired through their exposure to significant others – through their experience with the instrument, through performance, and through listening to and studying others' performances.

The majority use of cognitive mental processes also includes mood adjuncts such as 'I believe' and 'I think'. For example,

> *In the excerpt <u>I believe</u> that Carter used his index and middle fingers to strike the string.*

Halliday defines the mood adjuncts as examples of interpersonal grammatical metaphor (Halliday & Matthiessen, 2004, pp. 626-630) which might alternatively be realised as an adjunct such as 'possibly'. They make it clear that the students are expressing their own opinions; that it is their judgement based on their own experience of the music which underlies these knowledge claims.

Four of the six texts refer to the reader through imperative command ("Note the use of intervals…"), through direct reference ("you can see that Carter's bass line…") or through inclusive reference ("if we were to analyse…"). The reader is similarly constructed as a

sensing knower (13 of 22), but primarily with mental processes of perception. This demonstrates that the students expected their audience to be equally musically and analytically literate. However they did not expect the reader to have the same degree of specialisation; evidence for this gap in specialised knowledge is found in the imperative commands of perception, and in the explanations of instrument-specific technique.

Material processes are attributed in almost equal number to the research itself as to the student writers, with 17 of 31 references to the text positioning it as the actor of a material process [1]. Alternatively the research provides a circumstance of location for evidence and activity [2]. In these instances, the product, that is the study, is foregrounded over the producers, that is the students (Hood, 2010, p. 197).

> [1] *This study will dissect and analyse* the improvisations of bass trumpeter and trombonist Elliot Mason.

> [2] *Throughout this research* I have looked at a series of different tools which Carter uses to create his bass lines.

The students thus present themselves with authority as musicians, at times making it clear that the knowledge claims are based on their own perception and understanding of the music, their own experience as musicians and their opinions.

3   The Jazz runs strong in my family: Associations of legitimation

Five of the six research projects in the corpus investigated and characterised an exemplary musician in order to enable emulation. The musicians are presented in the introduction and justified as worthy of research through ascribed evaluation and through associations of legitimation. Musicality and musicianship were again key concepts in positioning the musicians as legitimate knowers.

The analysis of expressions of judgement in the introductions to the research projects reveals that the major resources used related to normality and capacity. That is to say that the musicians are valued for being both very special and highly capable. Across the corpus, there were 69 instances of judgement of the focal or secondary musicians, with 39 relating to capacity, 28 relating to normality and two to tenacity. Judgements of normality centre around two foci: prominence and individuality. Terms relating to prominence include 'greatest', 'famous' and 'established', while those relating to individuality include 'unique', 'virtuoso' and 'prodigy'. These terms present the musicians as being remarkable due to inherent qualities, often phrased as categorical, declarative statements. Not all evaluations were made by the students themselves, but by selecting overtly evaluative quotes from other musical knowers, they supported and legitimised their own evaluations. Judgements of capacity focus on the musician's proficiency on the instrument. They include superlative terms such as being a 'master'. Although terms of capacity relate to the skills the musicians have, these skills themselves may be presented as attributes of the musician, for example, "[each solo] is executed with unfathomably virtuosic technique" or "Elliot Mason can only be described as a musical prodigy". This differentiates between the acquisition of skill and being skilful.

The latter example begins Skywalker's text, and strongly sets the musician on the light side. Skywalker's introduction makes the greatest use of judgement in the corpus, with at least thirty more instances of judgement in the introduction. As in the corpus, judgements of normality and capacity are used to position the focal musician; there are nine instances of judgement: normality and 23 of judgement: capacity. Skywalker's use of judgements of capacity centres on technique ("makes use of large intervallic leaps within phrases…", "developed his technique and understanding of harmony" "advanced improvisational

techniques") and generalised proficiency. Proficiency is expressed through nouns and noun groups; Mason is described as a technician, an experienced commercial player, an accomplished improviser and an innovator. The descriptions of his talent and mastery are significantly presented as nominal groups, thus as facts with assumed consensus. They can occur as the actor of a material process, with Mason as the beneficiary:

> *Mason's command of the trombone allows him to perform on it as comfortably as he does on the bass trumpet.*

Mason is thus depicted as the possessor of technique. Given that the aim of the text is to enable emulation through analysis, this suggests that technique is something which can be acquired by others, not an entirely unattainable quality of the musician.

Mason is also presented as a born knower, worthy of research due to both exceptional talent and exemplary training and experience. His exceptional talent is emphasised through the musical pedigree of his family, and his success in competition and recognition at a young age. His attendance of the renowned Berklee College of Music provides his training credentials. His experience is underscored by association with celebrated jazz musicians and groups, such as the Maynard Ferguson Big Bop Nouveau, and broadened by association with popular musicians, such as Bette Midler and Jessica Simpson.

Emphasis shifts between musicianship and musicality in Skywalker's text. At times, the importance of both is significantly emphasised:

> *This* <u>*command*</u> *[judg: cap] of* <u>*advanced*</u> *[judg: cap] improvisational techniques coupled with a* <u>*strong sense of musicality*</u> *[judg: cap] makes him an* <u>*impressive*</u> *[app: reac: imp] musician to behold and one of the most* <u>*formidable*</u> *[app: reac: imp] trombonists/bass trumpeters in the world today. Further still, he* <u>*manages*</u> *[judg: cap] to have a completely* <u>*unique*</u> *[judg: norm] musical voice.*

This example primarily uses judgements of capacity and includes marked use of appreciation to evaluate Mason as a musician. The tension between emphasising these two values is clear in the isolated attempts to restore the balance, such as in the quote below:

> *Regardless of the instruments he plays, and perhaps most* [grad: force: int] <u>*importantly*</u> *[app: val], Mason is an* <u>*exceptionally*</u> *[judg: norm; grad: force: int]* <u>*musical player*</u> *[judg: cap], not just* [grad: force: int] *an* <u>*impressive*</u> *[judg: norm]* <u>*technician*</u> *[judg: cap].*

This example pairs judgements of normality with judgements of capacity, providing intensification to the latter.

Skywalker's preference for evaluations of capacity suggests that this is the most important basis for justifying an unknown musician as worthy of research. That is, capacity is the precursor to greatness, although uniqueness is also valued. Mason is introduced according to his innate qualities and biographical validity. This is further supported with his training and judgements of capacity which detail some specific skills but generally emphasise Mason's capability. Thus Mason is legitimised according to social relations rather than epistemological relations, suggesting a knower code is used in Skywalker's text.

4   May the Jazz be with you: Conclusion

Understanding how knowers are positioned and evaluated in texts reflects the organisational structures of the discipline. Specialisation from LCT in collaboration with systemic functional analyses provide a useful and suggestive framework for the understanding of the field of jazz. Together they highlight the importance of social relations and knowers in the discipline of jazz and the parameters by which they are legitimised. Students represent

themselves as sensers whose understanding and perception underlies their knowledge claims. They present themselves as having the right gaze, by virtue of their experience both as musicians and students of jazz, to interpret and appreciate the work of the musicians they are studying. Those musicians are evaluated as being unique and skilled. They are variously depicted as being worthy of research through their experience and through their innate musicality. The value of their experience is augmented through associations whose legitimacy in jazz culture is established. The evaluation and positioning of the focal musicians also suggests that musical value is attributed to people with jazz experience and jazz dispositions.

This research demonstrates that jazz performance students must acquire the right gaze through exposure to significant works by significant musicians, in addition to their experience playing their instrument and performing. This is significant for a range of creative disciplines which produce practitioners who translate creative, practical experience into texts in order to disseminate and further knowledge of the field.

References

Bernstein, B. (1999). Vertical and Horizontal Discourse: an essay. *British Journal of Sociology of Education, 20*(2), 157-173.

Halliday, M. A. K., & Matthiessen, C. M. I. M. (2004). *An introduction to Functional Grammar* (3rd ed.). London: Edward Arnold.

Hood, S. (2010). *Appraising research : evaluation in academic writing*. London: Palgrave Macmillan.

Lamont, A., & Maton, K. (2008). Choosing music: exploratory studies into the low uptake of music GCSE. *British Journal of Music Education, 25*(3), 267-282.

Lamont, A., & Maton, K. (2010). Unpopular Music: Beliefs and Behaviours towards Music in Education. In R. Wright (Ed.), *Sociology and Music Education* (pp. 63-80). Basingstoke: Ashgate.

Maton, K. (2000). Languages of legitimation: The structuring significance for intellectual fields of strategic knowledge claims. *British Journal of Sociology of Education, 21*(2), 147-167.

Maton, K. (2007). Knowledge-knower structures in intellectual and educational fields. In F. Christie & J. R. Martin (Eds.), *Language, knowledge and pedagogy: Functional linguistic and sociological perspectives* (pp. 87-108). London: Continuum.

Maton, K. (2009). Cumulative and segmented learning: exploring the role of curriculum structures in knowledge-building. *British Journal of Sociology of Education, 30*(1), 43-57.

Maton, K. (2010). Canons and Progress in the Arts and Humanities: Knowers and Gazes. In K. Maton & R. Moore (Eds.), *Social Realism, Knowledge and the Sociology of Education : Coalitions of the mind* (pp. 154-178). London: Continuum.

Who has the knowledge if not the *Primary Knower*? - Using *exchange structure analysis* to cast light on particular pedagogic practices in teaching Danish as a Second Language and History

Anna-Vera Meidell Sigsgaard

PhD Fellow, Dept. of Education (DPU), Aarhus University,
Tuborgvej 164, DK-2400 Copenhagen NV, Denmark
avm@dpu.dk

Abstract

This paper reports on findings from a project researching Danish as a Second Language (DSL). While official pedagogic discourse (Bernstein, 2000) is available in curriculum guidelines, the historically grounded relative autonomy of schools means that the actual pedagogic discourse of DSL varies in terms of teachers' competencies. A deeply rooted progressivist approach to schooling combined with a more recent focus on national testing correlate with a Ministerial recommendation that DSL be taught embedded in the school's other subjects (Undervisningsministeriet, 2005). This paper focuses on the pedagogic practices of one case of DSL embedded in a fifth grade History unit, taught in a Danish public school with 85% bilingual students. *Exchange structure analysis* (Martin, 1992; Martin & Rose, 2007) makes visible certain patterns of classroom discourse. With focus on the *K1-move*, which according to the theory is the only obligatory move in a knowledge exchange, analysis of the collected data shows, interestingly, that this move is often ambiguous or missing, which raises questions of a more general pedagogic nature, conceptualized here by the *knower code* from *Legitimation Code Theory* (Maton, 2000, forthcoming).

1   Introduction – What Are We Going To Learn Today?

Children in a fifth grade class gather to start a new History topic; as they sit down, they are talking and joking with each other and the three teachers in the room. This school's fifth grade is made up of 30 children divided into two teams, sharing five teachers who work in groups and individually depending on the subjects and the units being taught. As such, this class is very similar to most Danish public school classrooms. What sets it apart is that it is in a school where the majority of the children are classified as 'bilingual'[1].

Evidence of the so-called *fourth grade slump* (Chall, Jacobs, & Baldwin, 1990; Gitz-Johansen, 2006) experienced by many second language students and increasing linguistic diversity of students' backgrounds presents challenges to the Danish public school and has led to the development the relatively new school subject, Danish as a Second Language (DSL)[2].

1.1   DSL in the S-School – Background and Data

The S-School, where this data is gathered, is a K-9 public school servicing an area outside of Copenhagen where the majority of the population has an ethnic minority background, generally with a fairly low socio-economic status and often referred to as "second generation immigrants". Schools like the S-School have been highly politicized and discussed in the media for the past decades, as they and the areas they service are often seen as a cause for concern: they tend to have poor results, many students have trouble while in school, do not

---

[1] The Ministry of Educations terms *bilingual* children as those who speak a language other than Danish at home and start learning Danish when exposed to Danish society and public institutions such as day care or school.
[2] DSL appeared as a recognized school subject with official ministerial guidelines for the first time in 1995.

choose secondary educations and even drop out early (Undervisningsministeriet, 2011). The validity of these concerns can be debated in other fora, but repeating them here gives a picture of the concern the general population and policy makers share over schools like the S-School. Because of the high concentration of bilingual students, the school-board chose to prioritise DSL by hiring a school principal who, in turn, hired new teachers, many of whom have the available DSL minor. As a result, the S-School sees itself as a kind of flagship for DSL. At the time of observation (2009), all of the grade-teams had at least one DSL-teacher and a DSL-coordinator for the entire school.

1.2   Evicted - An Interdisciplinary, Multimedia History and DSL Unit

The findings of this project are taken from observations of a History unit taught by three teachers: Bonny (DSL-coordinator), Adam (History), and Sarah (Danish and completing an in-service DSL-minor at the time). Of the unit's six 90-min. lessons, all except the fifth were videoed in order to capture teacher-student conversations. All recordings have been extensively annotated, with several phases chosen for transcription and subsequent analysis.

The focus of this History unit was Denmark at the turn of the previous century. To this end, Bonny chose an on-line multi-media material called *Sat Ud (Evicted)*. The publishers claim this material is well-suited for teaching 'bilingual' students because of its interdisciplinary approach, while also building on visual media and making use of IT (Alinea, 2007). The materials present students with an image of the famous Danish painting, *Sat Ud(1892)* by Erik Henningsen. By listening to a narrated story, focusing on different areas of the painting, and answering listening-comprehension type questions, students are meant to gain insight into what life for a working class family in Copenhagen was like during the late 1800s/early 1900s.

Throughout the unit, students worked in pairs at a laptop computer, working through the story and completing the exercises. Most lessons started and ended with a teacher-led whole-class discussion functioning as a recap of what students had encountered in the materials so far. The data presented in this article is from such a recap session.

2   Theory of pedagogical discourse

According to Bernstein (2000), distribution of knowledge within the school system is differentiated, based on a distributive principle by which different social groups are recipients of different knowledge structures (pedagogic discourse). Certain knowledge structures are seen as institutionally privileged and with more powerful possibilities for success than less privileged ones. Classroom discourse and practices, therefore, regulate student consciousnesses, shaping students into different pedagogic subjects (Bernstein, 1990; Christie & Martin, 2007) with varying access to and chances for educational success. Within this theoretical framework, linguistic analysis of classroom talk has the potential to bring forth teachers´ both implicit and explicit evaluations of students' oral and written texts, enabling discussion of the type of knowledge-knower structures catered to in the observed pedagogical discourse (Maton, 2010).[3]

---

[3] Due to the constraints of this paper, the theory section offers only a brief account of relevant aspects of ESA and LCT. The reader is directed to Dreyfus (2006); Hunt (1991); Martin (1992); Martin and Rose (2007b) and Maton (2000, forthcoming) for extended accounts of ESA and LCT, respectively.

2.1 'Delayed' and 'Primary' Knower Moves – Exchange Structure

Exchange Structure Analysis (ESA) has significant advantages over other discourse analytic approaches in that the model is based on a comprehensive, systemic language model making it possible to describe and quantify discourse patterns at different strata and with varying levels of detail; secondly, conversations are understood as a way of doing social life and seen as enacting and constructing dimensions of social identity and interpersonal relations (Eggins & Slade, 2005). ESA focuses on the interpersonal dimension of discourse and therefore on the social identities speakers take up or allow each other, making visible the power relations between participants.

ESA describes the negotiation of meaning construction in spoken language by distinguishing between what is negotiated: *initiating/responding* to *information/action* being *offered/demanded* (Martin & Rose, 2007). This approach builds on work by (Sinclair & Coulthard, 1975) who found a pattern in pedagogic discourse dubbed IRF (initiation, response, feedback). In ESA, moves are classified focusing on their organization with respect to each other, bringing the analysis to the level of discourse semantics (Martin, 1992). At this level, *exchanges* are seen as the basic unit of social interaction (Dreyfus, 2006; Martin, 1992; Ventola, 1987) and are made up of *moves*, which follow an orbital structure with a single nucleus (the K1) and satellites[4]. The structure of the knowledge exchange potential can be illustrated as follows (where the parentheses represent optional moves, D means 'delayed', ^ means 'followed by' and f denotes a follow-up move): ((Dk1) ^ K2) ^ **K1** ^ (K2f ^ (K1f)).

Exchanges starting with the delayed primary knower move (Dk1) will be the focus for the linguistic analyses in this paper. These exchanges are initiated by the teacher in situations where she has the authority to demand students present knowledge for evaluation (Dreyfus, 2006), i.e. she delays giving information, posing a question to which she knows the answer, so students can answer in a K2, which then can be evaluated and potentially expanded in the vital K1 (Martin 2006, Martin & Rose 2007a).

The discourse analytic approach of ESA interacts well with the more macroscopic perspective of Legitimation Code Theory allowing linguistic analysis to inform a broader sociological perspective on the pedagogy being enacted.

2.2 Knowledge and Knowers – Legitimation Code Theory

Legitimation Code Theory (LCT) (Maton, forthcoming) extends and expands upon Bernstein's theory of pedagogic codes (1996, 2000). Within LCT, the notion of *specialization codes of legitimation*, which differentiates between epistemic relations between knowledge and its proclaimed object of study, and social relations between knowledge and its author or subject, is useful to understanding the underlying sociological implications of the pedagogy being enacted in the discourse observed. Of the four specialization codes described by LCT, the *knower code*, in particular, lends a plausible explanation as to why the teacher structures her exchanges as she does. A knower code is characterized as exhibiting relatively weak classification and framing of epistemic relations (ER-), while its social relations exhibit relatively stronger classification and framing (SR+) (*ibid.*). In other words, a teacher enacting a knower code focuses more on the students and their way of being rather than the knowledge structure during a unit of study.

---

[4] Though beyond the scope of this paper, exchanges can take longer in reaching resolution, as the *synoptic* moves (above) can be interrupted with *dynamic* (*tracking* or *challenging*) moves, see Martin (1992), Martin & Rose (2007).

3   Where's the Knowledge? - Applying ESA to the data

The example chosen for analysis here is exemplary of a pattern of talk exhibited by all the teachers throughout the data, where the obligatory K1 in a Dk1-exchange is either ambiguous or missing. In this example, the teacher, Bonny, is leading the class discussion at the end of the unit's 2nd lesson, summing up students' activities. In the discussion, she picks up on one of the exercises most students had trouble with, in which they were asked to use the word *evicted* in a sentence. Bonny starts by asking, "What is the next thing you are asked to do?" One of the students answers inaudibly. Presumably repeating or reformulating the student's answer, Bonny answers, "You have to find out what evicted means", thus bringing the class' attention to the field at hand in this, the first exchange of the phase, and focuses their attention on the meaning of the word *evicted*. She continues[5]:

2	Bonny	[pointing at stud2] Did you find out what evicted means?	Dk1
	Stud. 2	Yes, uhm, they were evicted because they couldn't pay their rent?	K2
	Bonny	Is that what the word evicted means?	clrq
	students	[calling **out**] Thrown out.	K2
			(missing K1)
3	Bonny	[looking at Stud. 2]…	Dk1:nv
	Stud. 2	Yees, uhmm. I don't know.	K2
	Bonny	Nooo? [look at camera, smiling]	K1
4	Bonny	And that is it.. [looking around at students] Were you asked to explain what it was that was happening on the painting … or were you asked to explain what the word evicted means?	Dk1
	Stud. 3	What the word evicted means.	K2
	Stud. 4	It means, uhm, evicted, for example that you're evicted from your house, so, or, they (get) thrown out of the house, or	K2
	Bonny	[small nod] yes?	K1
5	Bonny	[points at Stud5] …	Dk1
	Stud. 5	it means that you are thrown out of the house	K2
	Bonny	Evicted. Thrown out?	clrq
			(missing K1)
6	Stud. 6	If you're in a group, then you can also just be evicted	K2
	Bonny	yes? If you're in a group, very good, then you can also be evicted.	K1
7	Bonny	How can that happen?	Dk1
	Stud. 6	if you do something wrong, or something?	K2
	Bonny	yes?	clrq
	Stud. 3	or if there isn't enough room	K2
	Bonny	it can also just be a problem with room	K1
	Stud. 1	Or you haven't uhm not paid your rent	K2
	Bonny	Or you haven't paid your rent.	K1f
8	Bonny	Yes? [pointing to Stud7] …What have you learned today?	Dk1
	Stud. 7	Uhm .. [looking at her paper, smiling uncomfortably] what evicted means?	K2
	Bonny	You learned what evicted means, yes?	K1
9	Bonny	Yees? [looking around at the students]	

At this point Bonny changes the topic to pursue "what have you learned today" in a round-robin format, thus changing the field and marking an end to the phase[6].

3.1   Missed teaching opportunities in the K1-moves

Of the 9 exchanges above, 8 are initiated by Bonny with a Dk1, where she asks the students a question she already knows the answer to in, presumably, an attempt to focus students'

---

[5] The transcription has been divided into exchanges (leftmost column) with moves analysed in terms of ESA (rightmost column). *Transcription key: Dk1=delayed primary knower, K2=secondary knower, K1=primary knower, K1f=primary knower follow-up, :nv=non-verbal move, clrq=clarification request (a dynamic, tracking move).*

[6] Arguably, the shift occurs in exchange 8, where Bonny reformulates her question, but because of stud7's response, this and the following exchanges were included in this phase.

attention to the field (the meaning of the word *evicted*) and to assess their understanding. Two of these exchanges (2 & 5) are missing a K1 and therefore missing an opportunity for the teacher to give the students the knowledge she is asking them to demonstrate. In both cases, she initiates a new exchange with a new Dk1 instead. Of the K1's present, Bonny does not elaborate on or explicitly evaluate the meanings being negotiated, sending mixed signals with her body language and intonation.

In four of the exchanges (3, 4, 6, 8) Bonny's intonation in her K1's seems more like a question than feedback while physically nodding/smiling (signalling approval). As a result, her K1's are unclear, on the one hand accepting students' K2's, while also suggesting there might be more to the answer given. This could be seen as a way of implicitly asking students to expand their K2's. Her starting the following exchanges with new Dk1's seems to support this interpretation.

Additionally, Bonny offers imprecise feedback in her K1's: in the 6th exchange, she accepts student 6's suggestion that *evicted* means the same as being excluded. Although perhaps semantically related in a common-sense understanding[7], her K1 does not provide the detail necessary to make clear how they are related. The same can be said of her K1 in exchange 7, where she accepts student 3's K2 of being evicted due to limited space. By not elaborating[8] on students' contributions, her simplification equates eviction to social exclusion or to a result of limited space. Her K1's, therefore, do not bridge to the more abstract and reflective understandings students must access and master in order to achieve educational success. Interestingly, student 1's K2 in exchange 7 is arguably the best definition of *evicted* offered so far, but Bonny also fails to highlight this K2 as being more precise than the others, simply repeating it in her follow-up (K1f) move.

Allowing the three definitions to stand as equally correct without elaboration and combined with the mixed signals in body language and intonation results in several missed teaching opportunities, presumably leaving students unclear on what *evicted* really means.

4   Learning a knower code

Linguistic analysis using ESA lends a perspective on the pedagogic discourse, which initially seems to suggest unfocused teaching: the K1-moves made by the teacher, the person who has the authority to establish the knowledge being taught, are unclear. Nodding and smiling, asking different students to participate, and allowing three varying definitions of *evicted* as equally correct suggest there is more to the picture than what ESA alone can reveal. Perhaps, more subtly, the teacher's strategies are a reflection of her understanding of what learning is and, therefore, of the specialization code present in this classroom.

ESA shows that the teacher's input lacks refinement and direction, thus neglecting to focus on expanding students' knowledge-base and understanding of what the word *evicted* means. As such, the epistemic relations displayed are quite weak; at the same time, the social relations play a significantly more important role in that the participants partake in a, for them, common and recognisable pattern of interaction where the teacher asks a question to which she already knows the answer and students readily offer their guesses. Traditionally, this type of pedagogic interaction is used to check student knowledge, but in this case, the interaction seems to serve a different purpose: to condition students to the type of interaction valued in the classroom setting, while the knowledge and language needed is deprioritised.

---

[7] Both eviction and social exclusion involve undesired outcomes: i.e. exclusion from the group/home.
[8] See e.g. Rose (2011), Martin (2006), Martin & Rose (2007a) for how elaboration moves can extend knowledge.

The result is a *knower code*, where it would seem students are expected to teach themselves, and where the ideal knower is (already) Danish. The students in this study are thus left floundering from an epistemic and (second) language perspective with hardly a chance of being seen as legitimate within the school context.

Despite the insights offered by the linguistic analysis using ESA, the findings in this paper clearly point to the need for further, complementary sociological analysis using LCT to shed light on the underlying pedagogical issues at stake in such classrooms as the one observed here.

5   References

Alinea. (2007). SAT UD – et online undervisningsforløb i historie og dansk for mellemtrinnet. København: Alinea.

Bernstein, B. B. (1990). *The structuring of pedagogic discourse*. London ; New York: Routledge.

Bernstein, B. B. (1996). *Pedagogy, symbolic control and identity - theory, research, critique*. London ; Washington, D.C.: Taylor & Francis.

Bernstein, B. B. (2000). *Pedagogy, symbolic control and identity – theory, research, critique* (2 ed.). London: Taylor & Francis Publishers, Ltd.

Chall, J. S., Jacobs, V. A., & Baldwin, L. E. (1990). *The reading crisis : why poor children fall behind*. Cambridge, Mass.: Harvard University Press.

Christie, F., & Martin, J. R. (Eds.). (2007). *Language, Knowledge and Pedagogy: Functional linguistic and sociological perspectives*. London: Continuum.

Dreyfus, S. (2006). *When there is no speech: a case study of the nonverbal multimodal communication of a child with an intellectual disability.* PhD, University of Wollongong, Wollongong.

Eggins, S., & Slade, D. (2005). *Analysing casual conversation*: Equinox.

Gitz-Johansen, T. (2006). *Den multikulturelle skole - integration og sortering*. Frederiksberg: Roskilde Universitetsforlag.

Hunt, I. (1991). *Negotiation in Joint Construction: teaching literacy in early childhood*. Honours Thesis. Linguistics. University of Sydney

Martin, J. R. (1992). *English Text - System and Structure*. Philadelphia/Amsterdam: John Benjamins Publishing Company.

Martin, J.R. (2006). Metadiscourse: Designing Interaction in Genre-based Literacy Programs, in R. Whittaker, M. O'Donnell and A. McCabe (eds) *Language and Literacy: Functional Approaches*. London: Continuum, 95-122.

Martin, J. R. & Rose, D. (2007a). Interacting with Text: the Role of Dialogue in Learning to Read and Write, *Foreign Languages in China*. 4 (5): 66-80

Martin, J. R., & Rose, D. (2007b). *Working With Discourse: Meaning beyond the clause* (2 ed.). London: Continuum.

Maton, K. (2000). Languages of Legitimation: the structuring significance for intellectual fields of strategic knowledge claims. *British Journal of Sociology of Education, 21*(2), 147-167.

Maton, K. (2010). *Knowledge & knowers : towards a realist sociology of education*. London: Routledge.

Maton, K. (forthcoming). *Knowledge and Knowers: Towards a realist sociology of education*. London: Routledge.

Rose, D. (2011). Meaning beyond the margins: learning to interact with books. In S. Dreyfus, S. Hood & M. Stenglin (Eds.), *Semiotic Margins: reclaiming meaning* (pp. 177-209). London: Continuum.

Sinclair, J. M., & Coulthard, R. M. (1975). *Towards an analysis of discourse: the English used by teachers and pupils*. Oxford: Oxford University Press.

Undervisningsministeriet. (2005). *Fælles Mål Faghæfte 19 - Dansk som andetsprog*. Copenhagen, Denmark.

Undervisningsministeriet. (2011). Hjælp til skoler med mange tosprogede elever. *Press Release* Retrieved 01-11-2011, from http://www.uvm.dk/Aktuelt/~/UVM-DK/Content/News/Udd/Folke/2011/Jun/110621-Hjaelp-til-skoler-med-mange-tosprogede-elever

Ventola, E. (1987). *The structure of social interaction : a systemic approach to the semiotics of service encounters*. London: F. Pinter.

Burnishing and tarnishing in academic literacy

Jing Hao
University of Sydney
jhao6986@uni.sydney.edu.au

Sally L Humphrey
Australian Catholic University
Strathfield, NSW
Sally.humphrey@acu.edu.au

Abstract

This paper reports on research which investigates the way authoritative status is achieved linguistically in students persuasive texts. Our study draws on resources within the APPRAISAL system of systemic functional linguistics to explain how writers justify their own research or position. This is achieved through a complex interaction of resources which unfold across these texts, to firstly bring in external academic sources and then strategically evaluate them. These configurations of linguistic resources are glossed as 'burnishing' and 'tarnishing' (Humphrey & Hao in press). The concepts of burnishing and tarnishing enable us to make explicit the linguistic resources that are needed to create authoritative tenor relationship in academic discourse and allow for effective guidance of students' academic literacy learning.

1. Introduction

Managing evaluative resources is crucial for students in constructing academic arguments. According to Hood (2004:18), part of the apprenticeship as an undergraduate has to do with 'building solidarity with the academic discourse community while at the same time constructing differences that provide space for their own research in their academic writing'. One important way in which audiences are persuaded to the student writer's position is by strategically situating that position in relation to the sources which are brought into the text. This work requires both positive and negative evaluation of external sources as well as positive evaluation of the internal source (i.e. the semiotic representation of the student writer). Evaluating sources positively or negatively requires configurations of ideational and interpersonal resources which are glossed as 'burnishing' and 'tarnishing'[9] (Humphrey & Hao in press). This paper proposes a set of linguistic resources at stake for achieving burnishing and tarnishing in undergraduate students' writing. We focus on interactions of interpersonal resources from within the APPRAISAL systems of ENGAGEMENT, ATTITUDE and GRADUATION (a full account of ideational and interpersonal meanings at stake cannot be provided here). We illustrate these resources in two persuasive texts produced by undergraduate biology and performance studies students. While our focus is on the instantiation of the resources to inform pedagogical practices, the concepts of burnishing and tarnishing can also be viewed from the perspective of affiliation/individuation in terms of how students use these resources to align with their discourse communities and at the same time create their own research space.

2. Theoretical foundations

Educational linguists working within various traditions of genre (Hyland 2005, Swales 1990) have long been concerned to explain the rhetorical unfolding of academic arguments and the writer's role in positioning audiences in appropriately authoritative ways. Until relatively recently however, insufficient knowledge of the linguistic resources involved in such positioning has limited the pedagogic value of these explanations. With the development of systems of evaluative resources known as APPRAISAL, Sydney School genre theorists have

---

[9] These terms were initially suggested by Professor Jim Martin (personal communication) for the work described here.

been able to systematically examine and describe the resources needed to build an evaluative stance in texts such as the introduction to undergraduate research reports, which is glossed by Hood as a research warrant in order to capture its persuasive function (Hood 2010, Hao & Humphrey 2012). These theorists, as with those who have explored evaluative stance in media texts (White 1998), recognise that the process of building an evaluative stance involves a configuration of interpersonal resources, which are known as voice roles. For example, in media discourse, White (1998) identifies voice roles according to their role in constructing different genres (i.e. *reporter voice* in hard news, *correspondent voice* in news commentary and *commentator voice* in editorials). Voices roles in academic research warrants have been identified by Hood (2004, 2010) in terms of configurations of resources within fields (i.e. *observer voice* in the field of 'object of study', *critic voice* in the field of 'research' and *investigator voice* in both fields*)*. The concern of these theorists is with who takes the particular voice role. However, from a pedagogical perspective, our concern is to empower students to take the broader role of the manager of voices which they introduce into the text. From a linguistic perspective we are concerned with identifying the resources available for students to play this manager role.

In addition to voice roles, educational linguists working with APPRAISAL (Hood 2004, 2010; Hao and Humphrey 2012) recognise that an evaluative stance is developed through the interaction of ideational and interpersonal meanings. Hao and Humphrey (2012) situate these interactions on the cline of instantiation, demonstrating how resources from IDEATION and APPRAISAL system are co-instantiated in academic texts. This combination of meanings is termed 'coupling' (Martin 2010). When students evaluate external and internal sources, the target of evaluation is typically a semiotic entity (*e.g. study; 'author (date)'; argument, this essay, I*). However, there are a great many interpersonal resources which the student writer may potentially combine to burnish and/or tarnish these targets.

The pedagogic concern of this paper with making visible the resources available to students means that we are focussing on identifying the resources which are instantiated from the systems, i.e. with the instantiation cline. However, the complementary hierarchy of individuation/affiliation is also needed to explain how students use these resources to align with their discourse communities and at the same time create their own research space. The Affiliation/individuation cline draws on Bernstein's notions of the relationship between the 'reservoir of meanings in a culture and the repertoire a given individual can mobilize' (Bernstein 1996/2000: 157). In the SFL framework, this hierarchy from reservoir to repertoire is theorised as two trajectories, individuation/affiliation (Martin 2010). Figure 1 below shows these two trajectories.

From the perspective of affiliation, burnishing and tarnishing can be seen as ways of aligning within a discourse community. From the perspective of individuation, they can be seen as ways of individuating their own research and positions. In the following sections we firstly describe the combinations of resources available for achieving burnishing and tarnishing from the perspective of instantiation. We then explore resources for burnishing and tarnishing from the perspective of individuation, describing how students use the resources differently to affiliate and individuate in different discourse communities.
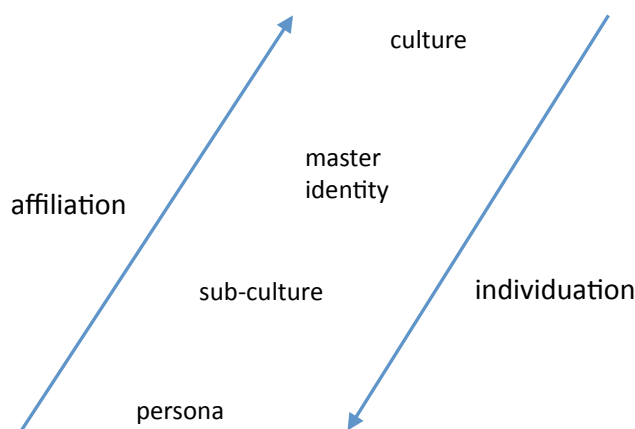
Figure 1: Individuation and Affiliation (Martin 2010:24)

3. Resources for burnishing and tarnishing in academic literacy

While the starting point for identifying resources for burnishing and tarnishing is ideational meanings, typically the semiotic entities which construe internal or external sources, the primary interpersonal meaning associated with heteroglossic discourse is the ENGAGEMENT system of APPRAISAL (Martin & White 2005:97). It is this system which provides resources for student writers to bring external sources into texts.

	burnishing external sources	**tarnishing external sources**
ENGAGEMENT (ENG)	positive projecting verbs (e.g. endorsement) *the <u>report</u> **demonstrates/proves***	• concession for opening tarnishing. Eg. *However/yet/although*… • negation e.g.*<u>this study</u> **didn't show***…
ENG & ATTITUDE (ATT): Appreciation	*this study provides **significant** (+ve Appreciation) <u>evidence</u>… McAuley's framework **is useful** (+ve Appreciation)*	*This argument is **limited** (-ve Appreciation)... Gay McAuley's scheme…is **problematic** (-ve Appreciation)*
ENG & ATT: Judgement	*<u>McAuley's</u> **insights**… (+ve Judgement)…*	*the **subjective** (-ve judgement) <u>interpretation</u>…*
ENG & ATT inv (high status source)	***<u>Gay McAuley's</u>** scheme…*	
ENG & ATT inv (GRADUATION)	***<u><u>Recent</u></u> studies** <u>report</u>**…***	*<u><u>few</u></u> <u>studies have reported</u> …*

Table 1: Overview of resources for Burnishing and Tarnishing external sources

Once sources have been presented, there are a number of ways of completing the burnishing or tarnishing through the coupling of ENGAGEMENT resources with evaluative resources involving ATTITUDE and GRADUATION. Table 1 provides an overview of the resources we have found to be at stake in burnishing and tarnishing external sources, with examples from undergraduate biology and performance studies. In these examples, ENGAGEMENT is underlined, ATTITUDE is shown in bold, and GRADUATION is double underlined.

It is important to note that the burnishing or tarnishing which results from ENGAGEMENT resources such as endorsement (e.g. *demonstrates, proves*) and distancing (e.g. *claims, assumes*) occur because of couplings between interpersonally charged projecting verbs and ideational semiotic sources (e.g. *the report, these studies*).

In addition to the couplings available to burnish or tarnish external sources, resources of APPRAISAL also combine to burnish internal sources. Semiotic entities which refer to the writer's own study or perspectives (e.g. *this study, the above argument*) can be seen as heteroglossic in that they signal that the proposition is one of a number of possibilities within the discourse community (Martin & White 2005: 109). Couplings of these semiotic entities with positive values of attitude burnish the writers own study or viewpoint. E.g. *This research has **made a contribution*** (+ve Appreciation) *to…*; *This study is **necessary*** (+ve Appreciation)…

Personal pronouns may represent an internal source, particularly in the texts of humanities' students. This is typically the case when the pronoun refers to the student text rather than to the person. e.g. *This essay will argue that… I will…*

In certain disciplines within the humanities, personal pronoun representing the writer is regarded as a high status source because what matters in the discipline is the knower's own opinion (see Maton 2007) e.g. *I found this a problematic idea…*

Once burnishing or tarnishing has been established through these couplings, resources of GRADUATION can be used to adjust the degree of intensity. In the following example, GRADUATION is shown by double underlining. *e.g. McAuley's many **insights** …*(+ve Judgement)…; *The extremely **subjective*** (-ve Judgement) *interpretation…*

In the next section we will illustrate the use of these resources and demonstrate how student writers in two disciplines argue for a position or justify their own research study. These two texts illustrate the different ways of affiliating and individualising in different discourse communities.

4. Burnishing and tarnishing in a biology research warrant

The text used to exemplify resources of burnishing and tarnishing in biology is a research warrant at undergraduate level. The following segment from the text has been divided into phases based on the particular set of burnishing and tarnishing resources.

In this biology research warrant, burnishing and tarnishing is achieved through three steps, moving forth and back along the hierarchy of individuation/affiliation. These steps are:

Step 1) The student writer burnishes external sources through a coupling of endorsement and positive appreciation in order to affiliate with the biology discourse community. Step 2) After this affiliating step, the student writer tarnishes external sources through a coupling of concession and endorsement as well as negative appreciation in order to move towards individuating the student writer's own research. Step 3) Finally the student writer accomplishes the individuation through burnishing the internal source (i.e. the student writer's own study or viewpoint) using resources of positive appreciation.

It **has been reported** (ENG: endorsement) that the frequency of occurrence, severity and spatial scale of hypoxia has been increasing due to pollution and global warming effect (Wu, 2002)... For example, **recent (**GRAD**)** studies **have shown** (ENG: endorsement) that the bottom of the northern Gulf of Mexico is regularly hypoxic or anoxic and the problem has been deteriorating due to the introduction of anthropogenic nutrients (Justic et al. 1997).	burnishing external source
Although (ENG: counter) these studies **have demonstrated** (ENG: endorsement) the general adverse effects of chronic aquatic hypoxia on the heart, **little is known** (invoked ATT: –ve appreciation) about the underlying molecular mechanisms of the M2 mAChR under chronic hypoxic condition.	tarnishing external source
… In order to have **a better understanding** (ATT: +ve appreciation) of the adverse impact of aquatic hypoxia in fish, **it is necessary** (ATT: +ve appreciation) to study (ENG: internal source) the impact of hypoxia at the molecular level...	burnishing internal source

Table 2: excerpt from biology research warrant

5. Burnishing and tarnishing in a performance studies essay

The text used to exemplify resources of burnishing and tarnishing in performance studies is an excerpt from an interpretative essay at undergraduate level. As with the excerpt from biology, this segment has been divided into phases based on the particular set of burnishing and tarnishing resources.

McAuley suggests (ENG: acknowledge & +ve ATT: high status source) that a performance could, and most probably should, be viewed more than once prior to analysis; and that this is a method of **avoiding a subjective interpretation** (ATT: +ve appreciation)…	burnishing external source
I (ENG: acknowledge & +ve ATT: high status source) find this a **problematic** idea (ATT: -ve appreciation), as a performance maker creates a work that is intended to function on a single viewing…	tarnishing external source & burnishing internal source
There is really (GRAD) **no** (ENG: negation) **room in McAuley's schema** (ENG & +ve ATT: high status source) to discuss the experiential side of a performance such as this, **perhaps better analysed** (ATT: +ve appreciation) through a framework of phenomenology or through Victor Turner's theories of the liminal phase (ENG: acknowledge).	tarnishing external source; burnishing another external source

Table 3: excerpt from performance studies essay

As in biology, the performance studies text also moves through three steps of burnishing and tarnishing. However, in the second step, tarnishing of the external source is combined with burnishing the internal source. In this case burnishing of the internal source is achieved through the use of the high status source, 'I' rather than reference to the writer's text in biology (i.e. *this study*). The writer is the one who burnishes external sources and is at the same time burnishes themselves. Interestingly, at the end of shunting, the student writer closes the position by affiliating with the discourse community again through burnishing another external source.

6. Conclusion

This paper has presented a preliminary outline of important resources for positioning audiences in students' persuasive texts. We have focussed on the instantiation of resources for burnishing and tarnishing external and internal sources. Making these resources explicit informs pedagogic practices for scaffolding students literacy development.

The analysis of burnishing and tarnishing across disciplines suggests that different resources are used to achieve burnishing and tarnishing in different discourse communities. In both cases however, these resources are used for shunting back and forth for the purposes of affiliating with the particular discourse community as well as individuating a position/research space. While our illustration of both disciplines has been limited to one such shunting, it is important to note that more than one affiliation/individuation movement is likely to occur in one text. Once student writers manage to draw on the resources for burnishing and tarnishing, they can navigate back and forth along these two trajectories of affiliation/individuation to enact an authoritative tenor and negotiate space within a discourse community.

References

Bernstein, B. (2000). *Pedagogy, symbolic control and identity: Theory, research, critique (revised ed'n)* Oxford: Rowman & Littlefield

Hao, J. & Humphrey, S. (2012). *The role of 'coupling' in biological research warrant*. Linguistics and Human Sciences. vol 5.2 2009 p.169–194

Hood, S. (2004). *Appraising research: taking a stance in academic writing*. Unpublished Ph.D. thesis. University of Technology, Sydney.

Hood, S. (2006). 'The persuasive power of prosodies: Radiating values in academic writing'. *Journal of English for Academic Purposes* 5. 37–49.

Hood, S. (2010). *Appraising Research: Evaluation in Academic Writing*. Palgrave Macmillian UK.

Humphrey & Hao (in press). *Deconstructing Written Genres in Undergraduate Biology*. Linguistics and Human Sciences. (Special Edition. SLATE project).

Hyland, K. 2005. *Metadiscourse.* London: Continuum.

Martin, J.R. (2010) Semantic variation: modelling realisation, instantiation and individuation in social semiosis. In M. Bednarek & J.R. Martin (eds) *New Discourse on Language: Functional Perspectives on Multimodality, Identity, and Affiliation*. London/New York: Continuum.

Martin, J.R. & White, P.R.R. (2005). *The Language of Evaluation: Appraisal in English*. London & New York: Palgrave Macmillan.

Maton, K. (2007). 'Knowledge-knower structures in intellectual and educational fields'. In F. Christie & J.R. Martin (eds.) *Language, Knowledge and Pedagogy: Functional Linguistic and Sociological Perspectives*. London: Continuum. pp. 87-108.

Swales, J. (1990). *Genre analysis: English in academic and research settings*. Cambridge: Cambridge University Press.

White, P. (1998) *Telling Media Tales: the News Story as Rhetoric*. Unpublished PhD thesis, Sydney, Department of Linguistics, University of Sydney.

Language in education: Pre-service teachers' ideas about grammar and knowledge about language

Kathrin Bock, Lecturer and Mette Vedsgaard Christensen, Senior Lecturer, Via University College, Faculty of Education and Social Studies, Denmark10

VIA University College
Nattergalevej 1
8600 Silkeborg, Denmark
kboc@viauc.dk; mvc@viauc.dk

Abstract

Even though the national curriculum for mother tongue instruction in Denmark emphasizes a functional view of language (Danish Ministry of Education, 2009), we - as teacher educators - have experienced that most of our teacher students' notions about language and grammar are deeply rooted in a formal and structural view of language. Hence we designed and carried out an action research project with the aim of pushing first year teacher students' notions about language in a more functional direction. Throughout their first year in teacher training the students were involved in a series of radical changes to the curriculum, such as introducing SFL-based linguistics (Halliday 1994) and genre theory (Martin & Rose 2008) as the overall theoretical framework for language description. These changes were made in order to equip future teachers with a more functional view on language. In this article we show how the introduction of systemic functional linguistics to first year pre-service teacher students successfully changed their predominantly formal and structural conceptions about grammar and grammar pedagogy in the mother tongue subject into more functional and communication-oriented ideas about what and how children should learn about language in school.

1 The starting point: Is there a grammar pedagogy in the mother tongue subject?

As teacher educators, we have come across two paradoxes in the field of language and grammar teaching. Firstly: Even though the national curriculum for the mother tongue subject in Danish primary and lower secondary schools at least partially emphasizes a functional view of language and grammar, the starting point for our work on systemic functional linguistics in teacher education was the hypothesis that most of our pre-service teacher students had experienced a predominantly structural and formal education in grammar and knowledge about language before entering the teacher's college to become mother tongue teachers. Secondly: as teacher trainers in the mother tongue subject, we soon discovered that we have well-established notions of literature pedagogy (Hansen, 2004), literacy pedagogy (Elbro, 2003; Frost, 2003), but we could not find a clear notion of how to teach grammar in the mother tongue subject; nor could we trace any significant academic discussions on how to teach, what to teach and how students should learn about the language system in the mother tongue subject. Hence, our project also aimed at exploring and outlining the contours of grammar pedagogy.

1.1 Grammar in the national curriculum: The missing link

The national curriculum for mother tongue instruction in Danish emphasizes, at least for the most part, a functional view on language and grammar. After nine years of school, students' knowledge about language must include their ability to "characterize and use language

---

consciously for communication, reasoning, problem solving and knowledge transfer." (Danish Ministry of Education, 2009) and generally the goals regarding language in the mother tongue subject are formulated in functional terms, aiming at supporting students' communicative competences in general. The teachers are instructed to include knowledge about language throughout the Danish subject, but they are also advised to establish a "linguistic corner" in lessons, a special moment where different aspects of language are treated in depth. Meta-language about words and syntax should be taught so that the students can draw on this knowledge in foreign language classes. The instruction manual does say that students should train syntactic analysis and appropriate use of commas, but it is emphasized that varied and differentiated insight in language can only be obtained when looking at language through a functional lens (Danish Ministry of Education 2009, p. 51-52). However, the instruction manual for mother tongue teachers only leaves a limited space for the grammar topic and is very vague when it comes to explaining and exemplifying what grammar pedagogy could look like in the classroom. There is, in other words, a missing link.

As mentioned above, the starting point for our action research project was the hypothesis that our teacher students had been taught a predominantly structural view on language and grammar during their time in school, and that their ideas about grammar and grammar pedagogy would be heavily influenced by that. A grammar pedagogy based on a formal view of language will have the following characteristics: When language becomes the topic in the Danish mother tongue classroom, the object under study is a particular kind of language. It is not the actual language in the textbooks for reading; the novels, the poems or the short-stories, instead, the language subject to study and discussion during grammar activities is the *short and idealized sentences*, sentences that are construed only to illustrate a certain grammatical rule or phenomenon. Hence, *a clear distinction between the language of, for example, literature and the language of grammar appears* in class. The consequence of this distinction is that *grammar becomes a secluded topic*; hence the link between knowledge about language and use of language throughout the rest of the mother tongue subject becomes unclear. Teaching materials used for teaching children grammar and language description are mostly structured so that they follow *a principle of increasing grammatical complexity*, often beginning with the nouns, their gender and number, then going through the verbs and ending up with more complex syntactical problems. There is *no clear connection between the actual communicative skills required* when you are, for example, a year 7 student *and the topic of the grammar*. What are the students learning in grammar classes? Often, teaching materials will focus on teaching children two things: *the meta-language and how to apply the meta-language* when analyzing language, language being the idealized language of the grammar book. How analytical skills and mastering of the meta-language relate to meaning-making and actual communicative skills is unclear.

It would not be fair to say that the picture of the typical formal grammar schooling depicted above is typical of all Danish teachers, neither are we claiming that this way of teaching should always be avoided or that will not result in learning benefits for students. But even if the depicted situation is not typical - and it should not be typical the above quoted official teaching instructions taken in consideration - what notions do former students have about grammar and grammar pedagogy in school? Among 100+ first year teacher students we formed 4 focus groups and conducted group interviews in order to find out.

2   Pre-service teachers' ideas about grammar

As mentioned above, the starting point for our action research project was the hypothesis that most of our students had experienced a rather structural and formal education in grammar. In

order to find out whether this was the case or not, we conducted eight focus group interviews with selected students: four groups were interviewed twice, once before we began the topic and once again at the end of the grammar course. In the following are some of the representative answers from our first round of interviews. We asked our interviewees to think about what the word grammar means, and not surprisingly, most of the participants first of all think that grammar is synonym to "rules". They also point out that grammar is "…something about commas and inflections" or "rules that are intertwined." One of the students thinks of grammar as the "upshot of the Danish subject". We also asked them to explain the connection between grammar and use of language, and interestingly enough, rather than explaining how they are linked, the students emphasize that language use and language description are opposites:

> *"I don't know. I have not really experienced any connection between the two. It [the grammar] is extracted from the language and becomes a thing of its own; hence I see grammar and language as two different things."*

> *"When you say grammar, I do not think about it as being language, I think about it as a system of rules, but I do not think about it as language as such."*

When asked why grammar is taught in school, the idea that knowledge about language and grammar leads to a more correct use of language clearly emerged from the interviews. Children should learn about grammar so that they can speak and write in a correct way. The answers above quite clearly indicate that our students think of grammar as synonymous with rules and they think of grammar first of all as a tool that helps writers and speakers use language in a correct way. Teaching should help pupils to remember rules for correct use of language. Noticeably, the students make a very clear distinction between "language as such" and "grammar as a system of rules". With only one exception, all of our interviewees confirm the hypothesis that was the starting point for our project: a formal and structural view of language prevails among teacher students.

2.1 The project: a new grammar pedagogy

Our one-year action research project aimed at replacing the teacher students' structural views of language in education with a more functional and meaning-based notion of language through introducing them to SFL-based linguistics (Halliday 1994) and genre theory (Martin & Rose 2008) as the overall theoretical framework for language description and letting them experience a different grammar pedagogy than the one depicted above. We also wanted to find out whether a grammar pedagogy rooted in systemic functional linguistics could improve the students' own writing skills. What we did can in overall terms be described as a contrast to the formal and structural grammar pedagogy depicted above. The progression aimed at following a principle of increasing communicative demands for pre-service teacher students; starting with analyses of narrative texts and their specific language patterns, then studying the linguistic resources for appraisal (Martin & White, 2005) when writing up evaluative texts on children's books and ending with their first written academic assignment. As a principle, we used mainly authentic texts to illustrate grammatical theory, and the grammatical theory itself was the meaning-based systemic functional linguistics, which was new to all our students, as it is not taught in Danish schools. We drew heavily on SFL-based materials (Humphrey et al., 2011; Butt et al., 2000) and we tried to localize them, using authentic and relevant Danish texts to illustrate textual or discursive properties. It is beyond the limitations of this article to describe our action research project as a whole, as the project has been concerned with most of the grammar and language curriculum for first year students in teacher training. However, below we will account for both some of the most important actions taken, beginning with a recount of what happened in the grammar classes.

The basic idea behind implementing an SFL-based grammar pedagogy was to raise awareness among the future Danish teachers about how the meaning-making potential of language is a result of choices, and that those choices are context-dependent. To highlight the close relationship between text and context we put our students through a number of exercises where they were asked to talk and write about the same topic in very different contexts. These exercises showed us that our students were able to use both spoken and written language in very different but appropriate ways, but the exercises also showed us that it was very difficult for the students to account for the specific linguistic differences in their texts. All the texts were written down and saved electronically, the aim being to look at the texts and describe them in more and more detail as the course proceeded. In order to provide the students with a concept through which the connection between text and context can be understood, we introduced them to the notion of register and we had the students reconsider their texts and look more closely at what linguistic choices they had made with respect to their context of situation. What was before tacit knowledge acquired as members of the Danish speech community, could now be accounted for using the notions of field, tenor and mode. The functional model of language became an organizing tool for the rest of the grammar course: Having introduced the notions of field, tenor and mode, the respective metafunctions of language were introduced, and the rest of the course aimed at highlighting how language is designed to fulfill different functions using different linguistic resources. The students then experienced how language can "mean" something about experience, how language can create relations between people and how language is used to organize meaning. In order to make students aware of how different texts use different linguistic resources to represent experience, we looked at how different types of texts used different kinds of participants, processes and circumstances: What linguistic resources does H.C. Andersen draw on when he depicts the Danish countryside and with what effects? What makes certain pieces of stories action-packed? What linguistic resources are available for expressing attitudes about something or someone? And how are they used, for example, on Youtube when writing comments, in the news article and the book review? For this particular part of the course we drew heavily on Derewianka (2008).

In the grammar course we also treated one the most important written assignments for first year teacher students: the written assignment on their first internship in a school. In this report the students have to account for their own teaching during the internship: How they organized it, how they carried it out in class and how they evaluated the outcomes. The internship-report is a particularly difficult assignment to write; it exists only in teacher education and for most of the students it will be the first written assignment ever in higher education. In the report the students are expected to use language to make a recount, to describe, to analyze and reflect upon their own teaching. Drawing on SFL-analysis and terminology we were able to pinpoint the linguistic resources needed to write a good report: How do you create a recount of your own teaching and what kind of language is needed to analyze and reflect upon your own teaching? This exercise made it clear to both students and teacher educators exactly how complex and difficult the genre is to describe, to write and to assess.

2.2 The outcomes: grammar means possibilities

At the beginning of the first year, we collected two kinds of data from our students. One written assignment from each student and interview data as explained above. We asked all students to write a book review of a children's book that everyone had read for the course in literature pedagogy. The book reviews that we received were very alike. Almost all students chose to headline their review "Book review" and the overall structure of the reviews were the same; first the events of the book were retold in chronological order, then a short,

personal evaluation of the book was offered. The book reviews showed that the students had interpreted the task as a classic school assignment, the addressees of the reviews were the teachers and the overall purpose of the texts was to make the teacher able to see that they had read the book. At the end of the grammar course we had our students write another book review. This time they interpreted the task very differently. The texts were now clearly written for a different audience than the teacher; content and structure of the texts, style, even lay-out and use of illustrations now showed a significantly more reflective approach to the task and the text. In general, we traced a significant and noticeable progression in our students' writing, our detailed analyses of the texts showed that the students had benefitted especially from the work we did on linguistic resources for appraisal (for an in-depth explanation (in Danish) see Christensen & Bock, 2011).

During the course we followed and traced our students' learning not only by assessing their writing, but also by asking the focus groups to participate in one more interview. At the end of the first year, we interviewed our focus groups again, asking them to reflect upon the questions from the first interview again. What does grammar mean to our students now? Have they abandoned the idea that grammar equals rules, and that the most important purpose of teaching knowledge about language is to teach students how to use language correctly? This time, the same students no longer think of grammar as another word for "rules": One of the participants says that grammar now means: "…possibilities, I think that most of what we have learnt is about possibilities for expressing oneself." Another student thinks that grammar means "…that you have methods that help you to combine words well in order to create cohesion and to help you get your message across". The connection between grammar and use of language is also clearer now: "You leave the notion of correctness when you know a bit more about the use of language". For one of the students, it all came together: "I never saw the purpose of grammar before, now I see it, because I understand its function". Instead of being a dichotomist question of right or wrong, using language is now a question of choosing between possibilities. The idea that grammar is a tool that ensures correct use of language is abandoned in favor of a view of grammar as a tool for successful communication. Maybe the most interesting thing emerging from our focus group interviews is not the fact that studying systemic functional linguistics gives students a more functional view of language and a more thought-through approach to language and grammar in school. After all, we expected this. The most interesting thing is how formal and structural the students' views on language were when they started their teacher training. Taken into consideration that the national curriculum, at least partly, features a functional view on language, and that most mother tongue teachers probably would not want to identify with the formal grammar pedagogy depicted above, it is remarkable to what extent the formal, decontextualized idea of grammar is what teacher students reproduce.

3   Conclusion and perspectives

As outlined above, the national curriculum of mother tongue instruction in Danish has a rather blurry and ambiguous view of the role of language. While the official instruction to mother tongue teachers features well-informed and explicit notions about how teachers should practice literature and literacy pedagogy, no equivalent is found in the language section. On the one hand, the national curriculum emphasizes a functional view of language, and teachers are instructed to include language in other parts of the subject, but on the other hand, there is a missing link; teachers have nowhere to turn for help for and ideas about how to do just that. The results can be seen among teacher students who reproduce the idea that grammar and language description is a decontextualized activity, and that grammar and language are two separate things. This lack of grammar pedagogy is problematic for a

number of reasons: 1) Teachers are teaching grammar and knowledge about language in the mother tongue subject apparently without a clear didactical framework to support their practice. No informed and thought-through theory about language can be traced, and no reflections about what and how students should learn about language emerge. Teacher educators must define and shape language pedagogy for the mother tongue subject that offers a clearer didactical and theoretical framework where it is clear what, how and why we teach grammar to students. Our action research project shows that systemic functional linguistics offers such a framework. 2) Teachers must be able to meet increasing linguistic demands. Teachers are expected to teach language and literacy across subjects and hence to possess the knowledge about language and texts that meets the demands of their subject. Teaching and learning content in school subjects cannot be separated from teaching and learning the language of that subject, hence teachers' knowledge about language and literacy is crucial (Love, 2009). A formal view on language is therefore not sufficient when teachers need to be able to identify and teach the linguistic patterns of the language of the school. The knowledge about language that is transmitted in the mother tongue subject must therefore be useful and relevant outside the mother tongue subject. 3) Research has shown that young teachers draw heavily on their own experiences as pupils and tend to abandon and forget what they learned in teacher training (Rasch-Christensen, 2010). Therefore, teacher students' ideas about teaching are important indicators for what their future practice could look like. Our students' ideas about grammar pedagogy tell us that there is an urgent need for a new grammar pedagogy both in schools and in teacher training.

References

Butt, D., Fahey, R., Feez, S., Spinks, S. & Yallop C. (2000). *Using Functional Grammar: An explorer's Guide.* (2nd edition). Sydney: National Centre for English Language Teaching and Research.

Christensen, M. & Bock, K. (2011). Nye spilleregler for sprog i dansk. In M. Christensen. & L. Daugaard (Eds.), *Sprog på spil.* Aarhus: Systime.

Derewianka, B. (2008). Venturing beyond YouTube: Learning the Language of Appraisal. *TESOL in Context,* Vol 18, No. 2. 42-58.

Elbro, C. (2003). *Læsning og læseundervisning.* Copenhagen: Gyldendal.

Frost, J. (2003). *Principper for god læseundervisning,* Copenhagen: Dansk psykologisk Forlag.

Halliday, M.A.K. (1994). *An Introduction to Functional Grammar.* London: Edward Arnold.

Hansen, T. I. (2004). *Procesorienteret Litteraturpædagogik.* Copenhagen: Dansklærerforeningen.

Humphrey, S., Love, K. & Droga L. (2011). *Working grammar: an introduction for secondary English teachers.* Sydney: Pearson.

Love, K. (2009). Literacy pedagogical content knowledge in secondary teacher education: Reflecting on oral language and learning across the disciplines. *Language and Education.* Vol 23:6. Routledge.

Martin, J.R. & D. Rose (2008). *Genre Relations: Mapping Culture.* London: Equinox.

Martin J.R. & White, P.R.R (2005). *The language of evaluation: Appraisal in English.* London: Palgrave.

Rasch-Christensen, A. (2010). *Linjefaget historie - mellem læghistorie og profession* (Ph.d.-dissertation). Aarhus: VIASystime.

Undervisningsministeriet (2009). *Fælles Mål 2009 Dansk* (Danish Ministry of Education: *Common Goals: National Curriculum for Mother Tongue Instruction,* revised edition 2009).

Interpreting Chinese elementary school education from a multiteracies perspective

Wendy L. Bowcher and Jinping Xia

Sun Yat-sen University, China
135 Xingangxi Road Guangzhou 510275 PRC
wendybowcher@gmail.com
xiajp@mail2.sysu.edu.cn

Abstract

Literacy and the written word are typically associated with social advancement, education, and cultural prestige. To be literate means to be able to read and write, and hence, literacy is a learned skill. It is not something that comes naturally, but is "associated with educated practice from the start" (Halliday, 1985, p. vii). In 1994, a group of scholars known as "The New London Group" met to discuss the ways in which "cultural differences and rapidly shifting communications media" impact on the "the subject of literacy pedagogy" (Cope & Kalantzis, 2000, p. 5). In reconsidering the concept of literacy, the group proposed the concept of "multiliteracies". This concept was developed from a specific ideological and socio-political viewpoint: a "post-Fordist", "fast capitalist" view. What then of other contexts such as China, which do not fit the ideological viewpoint described by the New London Group? This paper examines Chinese literacy education and points out ways that it may be interpreted from a multiliteracies perspective and within the framework of Systemic Functional Linguistic (SFL) theory.

1 Multiliteracies Pedagogy

The concept of multiliteracies as proposed by The New London Group (TNLG) encompasses two main interrelated concerns. The first has to do with developing a literacy that takes into account interrelationships between multifarious cultural groups and their attendant texts in "our culturally and linguistically diverse and increasingly globalised societies" (The New London Group, 2000, p. 9). The second is an emphasis on "the burgeoning variety of text forms associated with information and multimedia technologies" (The New London Group, 2000, p. 9). These changing text forms, or "registers", reflect the changing social contexts in which interaction takes place. The interaction of different communicative modes plays an important role in "reshap[ing] curriculum, learning and pedagogy" (Jewitt, 2006, p.4). There is much research into multimedia literacy and its applications in educational contexts (e.g. Jewitt, 2006; Unsworth, 2001). For instance, Unsworth (2001) sets out an agenda which takes account of the knowledge, pedagogic, and multiliteracies dimensions of learning and teaching, particularly in primary and junior secondary schooling within a "Literacy Development Cycle".

Also of significance in the description of multiliteracies pedagogy is the need to prepare children for full participation in a "post-Fordist" society wherein "people are simultaneously members of multiple lifeworlds" with the consequence that their identities too, "have multiple layers that are complex in relation to each other" (The New London Group, 2000, p. 17). In their description of "the realm of citizenship", TNLG talk of the "end of the Cold War" and of the "Communist Bloc" and of "a new world order" in which liberalism "eschews the state". And in their discussion of changing personal lives, they note that there has been "an historical shift in which singular national cultures have less hold than they once did" (2000, p. 10-17). A multiliteraces pedagogy thus aims to develop "social futures": "the establishment of [a] civil and pluralistic society … through strengthening educational mores" (Cole & Pullen, 2010, p. 3).

In discussing discourses, proponents of multiliteracies pedagogy argue that "a discourse is a construction of some aspect of reality from a particular point of view, a particular angle, in terms of particular interests" (The New London Group, 2000, p. 25). Indeed, this is what the discourse of multiliteracies is, and, as a particular view on pedagogy it does not fully encompass different political and economic contexts in which literacy pedagogy is of paramount importance. One such context is China. A consideration of Chinese education from a multiliteracies and SFL viewpoint can highlight some important ways in which education, power, society, and technology in this context converge. It can provide a means of uncovering the "invisible" and "visible" pedagogical practices that take place (Bernstein, 1990) and the processes involved in what Martin identifies as the three dimensions of change: the logogenetic, ontogenetic, and phylogenetic. He notes that "phylogenesis provides the environment for ontogenesis which in turn provides the environment for logogenesis; conversely, logogenesis provides the material for ontogenesis which in turn provides the material for phylogenesis" (Martin, 1999, p. 125). Understanding Chinese literacy pedagogy within this kind of framework can provide an important step towards building a truly global future of tolerance and world citizenship.

2   Literacy in China since the establishment of the PRC

In 1949, at the founding of the People's Republic of China (PRC), education in China was in dire need of reform; "only 20 percent of the population had completed some level of education; about 90 per cent of the population was illiterate" (Kwong, 1979, p. 443). Although Mao Zedong's vision for education was: "schools run by the masses for the masses" (Pfeffer, 1972, p. 640), one of the problems of reforming education was a lack of trained teachers in a situation where the basic needs of the populace and the establishment of a strong government were also necessary. Thus, in reality, there was "little structural change in the education system" (Kwong, 1979, p. 445), and a unitary socialist system of education was developed more in line with a Soviet model of a highly centralized socialist economic system (Pfeffer, 1972). Along with this was a centralization of school funding and an elementary education administrated by local governments, under the direction of the State Council and provincial governments (Yang, 2009). This centralised education system made use of national resources to implement literacy development and played a key role in raising rates of literacy.

By 1958 and during the "Great Leap Forward" (1958-1961) there was an upsurge in literacy levels. According to Yang (2009), at this time, education policies aimed to raise literacy rates and at the same time to indoctrinate socialist ideology and political loyalty. However, education policies still had drawbacks and were unable to readily adapt to cultural and economic changes; further, they fettered the development of productive forces as well as creativity. After the "Great Leap Forward" and particularly during the Cultural Revolution (1966 to 1976) voices from various sectors of society complained that the educational system was "cultivating an elite" and producing "incompetent and useless" people (Bastid, 1970, p.20). This period of time marks a devastation in the country's educational provision and literacy work (Liu, 2006, p. 336).

From 1978, China implemented the policies of reform and opening-up, and a socialist market economy was established. Deng Xiaoping, the late leader, maintained that education must be adjusted to meet the demands of China's modernization, of the world, and of the future. Deng (1993) put forward the concept of *siyou xinren,* which is typically translated as "A new generation of socialist builders with high ideals, moral integrity, good education and a strong sense of discipline". In 1988, the central government issued regulations for eliminating illiteracy and required local governments to provide financial and other relevant

support for literacy. Further, the regulations related literacy to life skills development (Wang, 2009). Another big issue in the 1980s was the establishment of a compulsory education law which required pupils to attend nearby schools and to receive five or six years of free elementary and middle education.

Educational restructuring was carried out in 1985 and then deepened in the 1990s with the promulgation of several laws and regulations which stressed the importance of elementary education and proposed a transition from an examination-oriented education system to overall quality development of the nation aimed at establishing a new educational system to fit with the contemporary rapid advancement of science and technology and fierce international competition (Yang, 2009). In 1995, Chinese elementary education was steered towards cultivating talents. The importance of this in the context of a knowledge-based economy and for rejuvenating the Chinese nation was emphasized again in the early 2000's. Since the reform and opening-up in the 1980's, elementary education has gained tremendous achievements and current adult literacy rates stand at around 94% (UNICEF, 2010).

With the achievement of a high level of literacy, in recent years other features pertinent to education have been foregrounded. For instance, Premier Wen Jiabao (Wen, 2012, sect. 5) recently stated, "The people place their hopes on education, and education is crucial for China's future, so we must achieve even better results in this work". In his report, Wen links education to developing technology and "high-quality talent", improving education in rural, poorer urban areas and for minority groups, and to encouraging democratic school management systems.

Over the years the Chinese education system has continuously been adapted to the changing political and economic situation in China with a national agenda that shapes and is shaped by participation from advisory groups and representations from various political parties, provinces and ethnic groups who come together in annual meetings of the National People's Conference (NPC) and the Chinese People's Political Consultative Conference (CPPCC) sessions. Education features prominently in the thousands of recommendations proposed at these sessions.

3   Is there a "Multiliteracies" Pedagogy in China?

There is no doubt that literacy education in China has been intimately linked with changes in Chinese society and with how China sees its place in the world, but can literacy education in China be interpreted along the lines of a "multiliteracies" agenda? And what can an SFL perspective bring to an understanding of literacy education in China? Zhang and Freebody (2010, p. 43) note that *yuwen,* a concept defining "literacy" is difficult to translate into English in a way that "reflects the social, political, cultural and disciplinary ideas that this notion carries". Much rethinking of literacy pedagogy and education as a whole in China has occurred in light of political, economic, and technological changes, and with a view to shaping "new citizens" for China and in the world, a view that seems aligned with that of TNLG.

With regard to the first main concern of multiliteracies pedagogy, championing interrelationships among multilingual and multicultural groups and their attendant texts, it is necessary to consider links between literacy, multilinguality and multiethnicity in China. Valuing dialectal variation within China and encouraging minority groups to maintain their languages, while at the same time promoting the development of a standard national language, *Putonghua* (Mandarin), is considered to be an important part of literacy education in China. Over the years there have been various bilingual educational programs, although

not all with positive results. In the Chinese context, bilingual education refers to "schooling in which minority and majority languages are used as teaching media, or taught to any extent" (Tsung and Cruikshank, 2009, p. 549), and the purpose and outcome of most bilingual education in China is largely to "facilitate … assimilation" (Lin, 1997, p. 202). For instance, although many elementary schools may use a minority language as the language of instruction, entrance to higher education requires proficiency in *Putonghua,* so it is essential for students to become proficient in Mandarin if they are to fully participate in the broader Chinese society and to enjoy the full range of educational opportunities. And because the educational system in China is a standardised national system, there is little room for negotiating change at the classroom coalface; whether that be in bilingual minority educational settings, or in monolingual settings. And with only few exceptions, such as the Korean language groups, minority groups within China still lag behind their Han counterparts in school retention rates and in college entrance levels.

Chinese research into multiliteracies pedagogies in classrooms in China has tended to focus on its practical applications rather than its ideological underpinnings. Hu (2007) and Zhu (2008), for instance, consider multiliteracies education in general with the latter proposing ways to reform Chinese education by learning from multiliteracies pedagogies in Australia. Other work looks at multiliteracy pedagogy in second language classrooms at the college level (e.g. Wei, 2009; Zhang, 2010).

Cole and Pullen (2010, p. 4) comment that "literacy is, according to multiliteracies, deeply dependent on social-cultural factors that are always in motion". In this regard, Zhang and Freebody's (2010) study of several elementary school *yuwen* texts reveals how children are acculturated into certain aspects of school life, which include not just the kinds of multimodal texts they encounter, but the kinds of moral and civic values specific to the changing Chinese context. Indeed, developing the "social-literate" child is a theme that runs throughout the development of education in modern China and can be read into many official educational policy documents. For instance, a major value that Chinese elementary education policies stress is "patriotism". The concept of patriotism (the Chinese term for it is "爱国主义" *aiguo zhuyi*) has evolved along with the country's development. The "May Fourth Enlightenment" (1919) saw a transition from the old to a new form of patriotism, that is, the traditional king-loyalty patriotism was transferred to a new Marxism-instructed loyalty (Tang, 2011) characterized by "a proletarian world outlook -- a Marxist rather than bourgeois democracy; representing the interests of the proletariat and the laboring people; and relating patriotism with internationalism and care for the proletariat around the world" (Moral Education Department of Ministry of Education, 1993, p. 102. our translation). This may seem to be at odds with TNLG's view of the "new world order" where "no person is a member of a singular community" (2000, p. 17). However, patriotism in China does not necessarily "presuppose exclusive or hostile feelings towards other countries or cultures [or] self-isolation or simplistic protectionism" (Patriotism). And although proponents of multiliteracies suggest that the "new world order" sees a "liberalism that eschews the state", the "state" would still seem to be very much a part of people's identities, no matter which political system they live within. Investigating the various contexts of situation and their attendant texts that play a role in the life of a child at school and in their development as a literate member of society is possible within an SFL framework: from curriculum genres, the focus and modeling of text types such as narratives, observation-comment, and reports, through to the extracurricular school situations such as school festivals, and official occasions. All of these situations provide opportunities to understand how both invisible and visible learning and acculturation are structured and reflect the specific socio-political context.

30

China is in a very different era in terms of its development from that of "western" countries. It is not "post-Fordist", nor is it characterized by "fast capitalism". But there is a strong sense of a need for cooperation with the rest of the world, and this can be seen in developments in almost every facet of life, from economic, business, political, educational, and social. Thus, while instilling patriotism for the motherland cannot be seen as "postnationalist" in the way that TNLG suggest, educational policies can be seen as promoting a "sense of common purpose that is now essential to a peaceful and productive global order" (2000, p. 15).

With regard to the use of multimedia, new technologies and new texts in the classroom, the Ministry of Education (2004) proposes six projects with the "Application of IT to Education Project" (our translation) as one of them. In line with this, the "Ten Years Development Plan of Education Informatization (2011-2020)" states that China's education is now facing increasingly intensified international competition which brings about opportunities as well as challenges. One of the objectives of this plan is: "to establish a web-based learning environment with high-quality teaching resources; form information service systems in the learning society; build broadband covering all regions and various schools by 2020" (Ministry of Education PRC, 2010, our translation). Furthermore, the plan requires basic facilities, software and teaching resources, building intelligent teaching environments, developing e-learning modes, reducing the digital gap between rural and urban areas and trying to realize education equity under the educational informatization. It encourages students' automatic learning and cooperative learning thereby improving their learning quality and problem-solving abilities. These reflect changing contexts of situation and thus changing text types, or registers, particularly in terms of the mode of discourse: the channel and forms of contact relevant to these texts.

4   Concluding Comments

Since the late 1970s, education in China has seen significant changes in rates of literacy and in the ways it has adapted to a globalized market. Changing worklives and changes to public and private lives are inevitable when marketization and privatization become major trends in China, and while minority groups within China still lag behind their Han counterparts in school retention rates and in college entrance levels there are core values, such as patriotism, and the all-rounded socialist citizen, that are felt to be important as part of the educational process. Literacy programs in China are intimately linked to where China sees its future: a leader in technological innovation and creativity across a range of fields. There is much about the educational concerns within the Chinese context that can be interpreted and investigated within the general concept of multiliteracies pedagogy and from an SFL framework, particularly in terms of contexts of situation and text types. Multimedia literacy and new forms of texts reflecting changing contexts of situation are recognized as key parts of literacy education in China.

References

Bastid, M. (1970). Necessity and political ideals in education reform during the cultural revolution. *The China Quarterly* 42: 16-45.

Bernstein, B. (1990). *Class, Codes, and Control, Vol. 4: The Structure of Pedagogic Discourse.* London: Routledge.

Cole, D. R. & Pullen, D. L. (2010). Introduction to multiliteracies in motion: current theory and practice. In D. R. Cole & D. L. Pullen (Eds.), *Multiliteracies in Motion: Current Theory and Practice* (pp. 1-13). London: Routledge.

Cope, B. & Kalantzis, M. (2000). Introduction: multiliteracies: the beginnings of an idea. In B. Cope & M. Kalantzis (Eds.), *Multiliteracies: Literacy Learning and the Design of Social Futures* (pp. 3-8). London: Routledge.

Deng, X. P. (1993). *Selected Works of Deng Xiaoping Volume III (Deng Xiaoping Wenxuan Disanjuan)*. Beijing: Renming Press.

Halliday, M. A. K. (1985). *Spoken and Written Language.* Geelong, Vic.: Deakin University Press.

Hu, Z. L. (2007). Multimodalization in social semiotics (Shehui fuhaoxue zhong de duomotai hua). *Language Teaching and Linguistics Studies (Yuyan Jiaoxue Yu Yanjiu)*, 1, 1-10.

Jewitt, C. (2006). *Technology, Literacy and Learning: A Multimodal Approach*. London: Routledge.

Kwong, J. (1979). The educational experiment of the Great Leap Forward, 1958-1959: Its inherent contradictions. *Comparative Educational Review*, 23(3), 443-455.

Liu, J. W. (2006). China's literacy education today. *International Journal of Lifelong Education*, 11(4), 335-339.

Lin, J. (1997). Policies and practices of bilingual education for the minorities in China. *Journal of Multilingual and Multicultural Development*, 18(3), 193-205.

Martin, J. R. (1999). Mentoring semogenesis: 'genre-based' literacy pedagogy. In F. Christie (Ed.), *Pedagogy and the Shaping of Consciousness: Linguistic and Social Processes* (pp. 123-155). London: Cassell.

Ministry of Education PRC. (2004). *2003-2007 Educational Reform and Development Plan* (*2003-2007 Jiaoyu Zhenxing Jihua*). Retrieved from http://www.edu.cn/20040325/3102277.shtml.

Ministry of Education PRC. (2010). *Ten Years Development Plan of Education Informatization (2011-2020) (Guojia Zhongchangqi Jiaoyu Gaige he Fazhan Guihua Gangyao (2010-2020 nian))*. Retrieved from http://www.china.com.cn/policy/txt/2010-03/01/content_19492625_3.htm.

Moral Education Department of Ministry of Education (Guojia Jiaowei Sixiang Zhengzhi Gongzuosi) (Ed.) (1993). *Patriotism Education (Aiguo Zhuyi Jiaoyu Gailun)*. Beijing: Higher Education Press.

Patriotism. 'Pondering over patriotism'. Retrieved from http://english.peopledaily.com.cn/200409/21/eng20040921_157754.html

Pfeffer, R. (1972). Serving the people and continuing the revolution. *The China Quarterly*, 52, 620-653.

Tang, X. (2011). *A Comparative Study of Patriotism Education in China and America (Zhongmei Aiguo Zhuyi Jiaoyu Xianzhuang Bijiao Yanjiu)* (Doctoral dissertation). Retrieved from CNKI database.

The New London Group (2000). A pedagogy of multiliteracies: designing social futures. In B. Cope & M. Kalantzis (Eds.), *Multiliteracies: Literacy Learning and the Design of Social Futures* (pp. 9-42). London: Routledge.

Tsung, L. T. H. & Cruikshank, K. (2009). Mother tongue and bilingual minority education in China. *International Journal of Bilingual Education and Bilingualism*, 12(5), 549-463.

UNICEF. (2010). Retrieved from http://www.unicef.org/infobycountry/china_statistics.html

Unsworth, L. (2001). *Teaching Multiliteracies Across the Curriculum*. Buckingham: Open University Press.

Wang, L. B. (2009). *Basic Education in China*. Paramus, NJ: Homa & Sekey Books.

Wen, J. B. (2012). *Report on the Work of the Government (Zhengfu Gongzuo Baogao)*. Retrieved from http://europe.chinadaily.com.cn/china/2012-03/16/content_14847775_10.htm

Wei, Q. H. (2009). A study on multimodality and college students' multiliteracies (Duomotahua yu daxuesheng duoyuan shidu nengli yanjiu). *Computer-assisted Foreign Language Education (Waiyu Dianhua Jiaoxue),* 126, 28-32.

Yang, M. (2009). *Educational System in China*. Paramus, New Jersey: Homa & Sekey Books.

Zhang, D. L. (2010). Preliminary investigation into the concept of design and the selection of modalities in multimodal foreign language teaching (Duomotai waiyu jiaoxue de sheji yu motai diaoyong chutan). *Foreign Languages in China (Zhongguo Waiyu)*, 7 (3), 48-53.

Zhang, B. & Freebody, P. (2010). Image, genre, voice, and the making of the school-literate child: lessons from Multiliteracy teaching in China. In D. R. Cole & D. L. Pullen (Eds.), *Multiliteracies in Motion: Current Theory and Practice* (pp.42-58). New York: Routledge.

Zhu, Y. S. (2008). A study on multiliteracies and its enlightenment to China education reform (Duoyuan duxie neng li yanjiu jiqi dui woguo jiaoxue gaige de qishi). *Foreign Languages Research* (*Waiyu Yanjiu),* 4, 10-14.

Investigating Thai students' academic literacy development in Australian universities[11]

Yupaporn Piriyasilpa

Rajamangala University of Technology Isan, Khon Kaen Campus / Macquarie University

Abstract

Different social settings create different goals and demands for learning, and writing goals and the required degree of sophistication in writing can change when students move across different disciplines. Especially for Thai students who further their education abroad, the challenge they face is not writing in isolation. The relocation to a new learning context means that they encounter a number of variables, for example, culture, educational level, and potentially different disciplines, which may bring difficulties and influence their academic literacy development. Taking a case study approach, this study examines the writing development of Thai students in Australian universities. The participants in this study are Thai students undertaking postgraduate education in Australian universities. The data includes students' writing, reading texts, classroom observation and interviews with students to examine the writing demands and students' writing development. The data are analysed using tools from Systemic Functional Linguistics, including work on genre analysis (e.g. Martin and Rose, 2008) and curriculum macro-genres (e.g. Christie, 1997). The research is in progress, and this paper will discuss the research design and methodological issues.

1   Introduction

Higher learning involves the practice of reading and writing to gain more experience and knowledge. When students move through different levels of education in different social settings; however, the challenges they face can change from discipline to discipline (Clereham, Kett, Gedge, and Tuovinen, 2003: 328). At undergraduate level in Thailand, students' writing in English is mainly essay type for classroom assignments. At higher levels, however, students write not only an essay, but also theses, research papers or other academic papers for different purposes. This requires them to take on new roles and to engage with knowledge in new ways, constructing texts which constitute unfamiliar and unlearnt language (Hood, 2004: 1). The requirements from different levels of education and learning contexts reflect the change in discipline that students have to encounter which lead to a more complex process of reading and writing (cf. Flower, 1990). Bhatia (2002: 38) argues that when students move from one discipline to another, they are faced with the problem of reconciling differences and even contradictions associated with varying disciplinary practices, including the use of genres as well as conversations with their teachers and specialist writers. For Thai students who further their education in Australia in particular, the challenge they face is not writing in isolation. The relocation to the new learning context means that they encounter a number of variables, such as, culture, educational level, and potentially different disciplines, which may bring difficulties and influence their academic literacy development (cf. Belcher, 1994). It is therefore important to examine how students adjust to the new discourse demands in order to better understand how future curriculum development can create a learning bridge between institutions.

By examining how Thai students' writing develops as they study in Australian universities, and how these students adjust to the new disciplines and different social demands, this study aims to contribute to our understanding of the difficulties faced by this

---

cohort, with an ultimate aim to develop effective academic support. This paper discusses the design of the study and its theoretical framework. The data, however, are not included in the discussion as the research is still in the process of data collection.

2   Literature review

Literacy, in the traditional view, may be explained as the ability to read and write. As learning involves cultural factors, literacy can also be understood as a social phenomenon. This social phenomenon is influenced by social values, beliefs and contexts, and the way language is used changes according to the demands of different social settings (Gee, 1990; Hasan, 1996). Christie (1990) argues that literacy in the contemporary world is very different from what it was at any time in the past in that it demands not only the ability to understand print materials, but also the ability to create and respond to new ones, 'for we do keep generating new kinds of writing, new kinds of genres, as a necessary part of generating new knowledge and new ways of thinking' (p. 21).

The components of literacy have been described by different studies using different terms; however, those descriptions share common concepts. That is, literacy involves three main levels: the understanding of form, the application of language, and the application of meta-knowledge of language in different social contexts (see Hasan, 1996; Wells, 1987). This implies that literacy involves not only the understanding of language form, but also the ability to make use of it successfully in different circumstances. Gee (1990) argues that different social institutions vary in different kinds of interaction, which will always bring different kinds of discourse (p. 153), so learning to write in the academy means learning to acquire a repertoire of linguistic practices which are based on complex sets of discourses, identities, and values (Paltridge, 2004). For those entering the academy, it forces them to make a cultural shift in order to take on identities as members of those communities (Hyland, 2006: 22), and this cultural shift may lead to difficulties for practitioners to represent themselves in a way accepted by the community. In this way, the understanding of different demands made by different social contexts would help when examining students' literacy development.

Relevant studies which explained students' use of language in different disciplines include the study of 'rhetorical community' from a survey of students' assignments (e.g. Horowitz, 1986), or the investigation of demands made in different disciplinary settings and the change in students' writing (e.g. Beaufort, 2004; Belcher, 1994; Tardy, 2005). The findings from these previous studies show that in order for students to adjust themselves in the new learning context different skills and knowledge are needed as well as the incorporation of other academic practices and consultancy. Therefore, other socially associated circumstances, for example, the values, beliefs, and identity of the community need to be taken into account together with students' use of language when describing literacy practices in different disciplines. Building on these previous studies, the present study takes a case-study approach to examine Thai students' literacy development in Australian universities. The study uses systemic functional linguistics (SFL) as a theoretical framework, as discussed below.

3   Systemic functional linguistics

SFL is a social semiotic theory which describes language in relation to its social context (Eggins, 2004; Halliday, 1994; Halliday and Matthiessen, 2004, Martin, 1992). In terms of SFL, language is structured to make three kinds of meaning simultaneously: ideational (the use of language to communicate the experience of the world), interpersonal (the use of language to maintain relationships between the participants of a society) and textual (the use of language to cohesively communicate the previous two meanings - Eggins, 2004: 3).

Within SFL, Martin and colleagues have developed the models for analysing discourses (e.g. Martin and Rose, 2003; Martin and Rose, 2007; Martin and White, 2005).

These theoretical frameworks have become influential in many educational contexts, which include the use of SFL in analysing classroom language (e.g. Christie, 2005), the language used in online discussions (e.g. Coffin and Hewing, 2005; Coffin, Hewings and Painter, 2005a) and academic writing (e.g. Hood, 2004; Woodward-Kron, 2005). SFL has also been used in some studies of disciplinary learning, such as, the study of Schleppegrell, Achugar and Oteiza (2004), which focused on the meaning-making potential of historians' language choices. Using SFL as a theoretical framework, the present study is set up to examine the demands students face and their writing development. The study aims to answer the research questions below:

- What are the writing demands placed on Thai students studying at postgraduate level in Australian universities?
- How does the academic writing ability of Thai students develop in Australian universities, and what factors are involved in this development?

4   Curriculum contexts

To investigate Thai students' literacy development, this study takes place in an Australian learning context. The potential case-study participants were contacted after the researcher arrived Australia and the ethics clearance was approved. The initial contact was made with a large number of students, but later on the number dropped down (see section 5). At the last stage, the curriculums from the two disciplines which will be accessed and compared in this study are a course in Medicinal Chemistry, and a course in Comparative Human Resource Management.

Medicinal Chemistry is a unit offered to both undergraduate and postgraduate students in the discipline of chemistry. The unit highlights the fundamental knowledge of medicinal chemistry, and trains students in necessary skills and experiences for designing and synthesising new drugs. It is organised by three relevant classes: lecture, laboratory, and workshop. The lectures provide conceptual knowledge in the field of medicinal chemistry, and students put this knowledge into practice in laboratory classes by designing and conducting their own experiments to synthesise new drugs. The computational workshop is provided as a special class for postgraduate students to learn how to use computer software to draw molecular structures in their lab reports. A number of assessments have been used in this course and some of them have been collected as the data for analysis. The details are shown in Table 1 below.

Assessments	Collected
Individual lab report	Yes
Final lab report (group)	Yes
Midterm exam	Yes
Assignment 1 (conceptual knowledge of chemical and biological properties)	Yes
Assignment 2 (report of computer workshops)	Yes
Spot test	No
Final exam	No

Table 1. Assessments in medicinal chemistry course

Comparative Human Resource Management focuses on the fundamental concepts of effective human resource management. It is offered to students from different departments under the school of Business (e.g. international business, hospitality, accounting, marketing). The class is run as a lecture, and divided into three sections. The first two sections focus on the theoretical knowledge of the subject matter, and the last focusses on students' presentation. Assessments of this unit are of four methods as shown in Table 2 below.

Assessments	Collected
Individual essay	Yes
Group presentation	Yes
Group report to accompany group presentation	Yes
Final examination	No

Table 2. Assessments in comparative human resource management course

The structure of the two curriculums, the contents provided, assessments or any other requirements will be examined and compared to see how the experience of the Thai students participating in the case study affected their academic literacy development.

5   Research methodology: Participants

The participants in this study include both lecturers and Thai students undertaking postgraduate education at an Australian university. Initially, students were contacted by emails, and only those who replied and agreed to participate were contacted in person to arrange for a face-to-face meeting and provide further details of the research project. The study started with six participants. Later on, however, one student opted out so the number remained five. The five students were from two faculties: Business (majoring: International Business, Marketing, and Hospitality) and Sciences (majoring: Chemistry and Biomolecular Sciences, and Biological Sciences).

After the students agreed to take part in the study, the lecturers were contacted for permission to observe classes and access of course reading notes, unit outlines, audio recordings, and other documents relevant to student writing. For the Business discipline, the three participants were undertaking one communal unit (Comparative Human Resource Management). So, the lecturer of this unit was contacted for permission of class observation and access of relevant texts. In the discipline of Science, the two participants did not share the communal units which required writing assignments, therefore; two lecturers of different units were contacted (Medical Chemistry, and Molecular Biology and Genomics). Permission for class observation and collection of all relevant data was received from the lecturer of Medical Chemistry but no reply was made from the latter. This, again, resulted in the number of participants dropping down to four. Therefore, full analysis of the data collected in this study will be made by comparing the school of Chemistry with Business school.

6   Methodology: Data

The data in this study include learners' assignments, taken from a single course of study over one semester. The supplementary data include texts from different resources, observation and recordings of lectures and labs, transcripts of interviews with the participants, and teachers' comments on students' assignments. The collection of some data has been completed while some are still in progress. The details of data collection and its progression in this study are presented in Table 3 below.

7   Data analysis

Table 3 below shows that the data in this research study have been collected through a range of methods. To answer the research questions, the data analysis of this study is set to investigate three different angels: (1) the demands students encounter, (2) the patterns of student writing, and (3) the factors influencing the changes in their writing. The demands placed on students will be examined through the analysis of data from unit outlines, course reading notes and relevant documents, tasks or assignments, and observations of lectures, workshops or laboratory classes, which will represent the social values, norms and identities

of the new disciplines. Taking a genre perspective, students' writing samples will be analysed to trace changes in their performed academic literacy and to identify the patterns of language in their writing. Finally, the factors that influence student writing will be examined through the analysis of teachers' comments, lectures, reading resources (course reading notes and/ or set readings from books or journals), and interviews with students. Teacher's comments, lectures, and reading resources are hoped to reflect how, as potential guides and models, they influence the changes in students' writing, and the interview with students is hoped to reflect their opinions on their writing development and processes as well as their knowledge of literacy and some of the influences on that knowledge development (Tardy, 2005: 329).

Data	Quantity		Collection complete	
	Chemistry	**Business**	**Chemistry**	**Business**
Individual lab report	Approx. 2000 words	N/A	Yes	N/A
Group report	Approx. 2500 words	Approx. 2500 words	Yes	Yes
Midterm exam	Approx. 2000 words	N/A	Yes	N/A
Assignments	Approx. 2500 words	Approx. 2500 words	Yes	Yes
Course reading notes and relevant sources	Approx. 30 pages	Approx. 30 pages	Yes	Yes
Observation of lectures	3 hours	3 hours	Yes	Yes
Observation of workshop	4 hours	N/A	Yes	N/A
Observation of laboratory	4 hours	N/A	Yes	N/A
Teachers' comments	Approx. 200 words	Approx. 100 words	Yes	Yes
Questionnaire	1 page	1 page	In progress	In progress
Interview with students	1 hour	1 hour	In progress	In progress

Table 3. Details of data collection and quantity

Due to the constraints of time limitation and the funding of the research, the above discussion of data analysis is, however, just a plan. It may not be possible to complete all the three angles of analysis within the limited timeframe. The disciplinary features of students' writing samples is also another constraint. As can be seen in Table 3 above, most of the data collected are from Chemistry. The student's texts, however, include a lot of diagrams of molecular structure, and not much writing. In the meantime, it has only been possible to collect one individual piece of writing from the Business students. Due to these constraints, the selection of what data is possible to analyse, what kind of analysis will be possible and productive, and what research questions are feasible to answer are under reconsideration.

8   Conclusion

This paper discussed the methodological outline of the study of Thai students' academic literacy development. The findings from the study will provide insight into how the academic literacy of Thai students develops in Australian universities; explain the variables students face, which affect their writing development when moving into Australian universities and provide some guidelines in terms of the expectations and requirements of academic literacy in Australian universities. The study is still in progress, and there have been a number of challenges in the data collection stage of this research which raise methodological issues for the analysis, and also ultimately for the research questions to be addressed.

References

Beaufort, A. (2004). Developmental gains of a history major: A case for building a theory of
   disciplinary writing expertise. *Research in the Teaching of English*, 39(2), 136-185.
Belcher, D. (1994). The apprenticeship approach to advanced academic literacy: Graduate students

and their mentors. *English for Specific Purposes*, 13(1), 23-34.

Bhatia, K.V. (2002). A generic view of academic discourse. In J. Flowerdew (Ed.), *Academic discourse* (pp.21-56). Harlow: Pearson.

Christie, F. (1997). Curriculum macrogenres as forms of initiation into a culture. In F. Christie & J. R. Martin (Eds.), *Genre and institutions: Social processes in the workplace and school* (pp. 134-160). London: Continuum.

Christie, F. (1990). *Literacy for a changing world*. Hawthorn, Vic. : Australian Council for Educational Research.

Eggins, S. (2004). *An introduction to systemic functional grammar* (2nd ed.). London and New York: Continuum.

Clerehan, R., Kett, G., Gedge, R., Tuovinen, E.J. (2003). Encouraging IT students to get serious about assignment writing: Evaluation of a Web-based initiative. *Internet and Higher Education*, 6, 327-346.

Coffin, C. & Hewings, A. (2005). Engaging electronically: Using CMC to develop students' argumentation skills in higher education. *Language and Education*, 19(1): 32-49.

Coffin, C., Painter, C., & Hewings, A. (2005a). Argumentation in a multi party asynchronous computer mediated conference: A generic analysis. *Australian Review of Applied Linguistics Special Edition*, series S (19): 41-63.

Flower, L. (1990). Negotiating academic discourse. In L. Flower, V. Stein, J. Ackerman, M.J. Kantz, K.McCormick, & W. Peck (Eds.). *Reading-to-write: Exploring a cognitive and social process* (pp. 221-252). New York: Oxford University Press.

Gee, J. (1990). *Social linguistics and literacies: Ideology in discourses*. Hampshire: The Falmer Press.

Halliday, M.A.K. (1994). *An introduction to functional grammar*. London: Arnold.

Halliday, M.A.K. and Matthiessen, C.M.I.M. (2004). *An introduction to functional grammar*. London: Arnold.

Hasan, R. (1996). Literacy, everyday talk and society. In R. Hasan & G. William (Eds.). *Literacy and society* (pp. 377-424). London and New York: Longman.

Hood, S. (2004). *Appraising Research: Taking a stance in academic writing*. Unpublished PhD thesis. Faculty of Education University of Technology, Sydney.

Horowitz, D. (1986). What professors actually require: Academic tasks for the ESL classroom. *TESOL Quarterly*, 20 (3), 445-482.

Martin, J.R. (1992). English text: System and structure. Philadelphia: John Benjamins.

Martin, J. R. & White, P. (2005). *The language of evaluation*. New York: Palgrave.

Martin, J. R. & Rose, D. (2003). *Working with discourse*. London: Continuum.

Martin, J. R. & Rose, D. (2007). *Genre relations: mapping culture*. London: Equinox.

Paltridge, B. (2004). Academic writing. *Language teaching*, 37, 87-105.

Painter, C., Coffin, C., & Hewings, A. (2003). Impacts of directed tutorial activities in computer conference: A case study. *Distance Education*, 24(2): 159-174.

Schleppegrell, M., Achugar, A. and Oteiza, T. (2004). The grammar of history: Enhancing content-based instruction through a functional focus on language. *TESOL Quarterly*, 38(1): 67-89.

Swales, J. (1990). *Genre analysis: English in academic and research settings*. New York: Cambridge University Press.

Tardy, M.C. (2005). "It's like a story": Rhetorical knowledge development in advanced academic literacy. *Journal of English for Academic Purposes*, 4, 325-338.

Wells, G. (1987). Apprenticeship in literacy. *Interchange*, 18 (½), 109-123.

Woodward-Kron, R. (2005). The role of genre and embedded genres in tertiary students' writing. *Prospect*, 20(3): 24-41.

Engaging with others by establishing academic stances in the context of English as a Foreign Language

Widhiyanto

University of Wollongong
Building 22.108 Northfields Avenue Gwynneville Wollongong 2522
w463@uowmail.edu.au

Abstract

This paper reports on a preliminary investigation of how an undergraduate student in Indonesia engages with others by establishing her academic stances through her thesis. The investigation focuses on the writer's linguistic choices in relation to distribution of interpersonal meaning throughout the text. It is particularly concerned with the writer's efforts in managing social relationships while establishing an authorial identity in relation to the body of knowledge, the readers, and experts in the field. This study is underpinned by Systemic Functional Linguistics, and is specifically informed by Appraisal theory. The data source is an undergraduate thesis analyzed using the ENGAGEMENT system frameworks. The text analyzed in this study seems to present inadequate and inappropriate engagement between the writer and the putative readers and the sources cited. A pedagogical implication is that the deployment of language in the development of engagement between the writer and the reader, and the writer and co-texts need to be explicitly taught to student writers in the Indonesian context.

1 Introduction

This study arises out of a concern that student writers in the context of English as a foreign language (EFL) in Indonesia experience difficulties in bringing in others into their academic texts. Such a relationship is mainly constructed through the writers' efforts in engaging with other texts while establishing their own presence in their own texts. These two textual operations are achieved through the use of interpersonal resources. Interpersonal meaning, which is shaped by the language choices the writers employ, functions to represent social relations and social identities (Fairclough, 1992). This meaning helps writers construct an academic stance with respect to the knowledge, the readers, and other experts in the field. In doing so, they create certain prosodies of interpersonal meaning in their texts. An understanding of the patterns of the prosody of interpersonal meaning and their functions in texts helps to establish academic stance in academic discourse (Hood, 2006, p.37).

In many cases, student writers face problems in engaging with English academic genres. One reason could be that academic discourse communities require "characteristic kinds of relationship and practices that are enacted in or through discourse" (Hood 2004, p.24). Student writers, particularly from EFL contexts, such as in Indonesia, may not be aware of these relationships and practices. This lack of knowledge may prevent them from mastering the genres. Student writers, in this context, have to struggle with both the English language and the codes of practices of the academic community. In addition, the idea that 'written texts in tertiary education should sound argumentative' (Lee, 2006) may also be unfamiliar to them. Consequently, students are still unable to productively negotiate meaning in their texts.

However, in the last decade or so Australian genre-based education has increasingly influenced the Indonesian traditions in how teaching and learning of English academic writing should be carried out. With the introduction of genre approaches, students' awareness about crafting the meanings they communicate in their texts has been heightened. Emilia (2005) claims that genre-based pedagogy has enhanced the written academic discourse practices especially in students' performance in their argumentative skills.

A number of studies have explored the importance of interpersonal meaning in English academic texts crafted by university students (Hood, 2004; Hyland, 2000; 2005a; 2005b; Thompson, 2001), some of which especially explore the negotiation of the writers' position using SFL: particularly, APPRAISAL theory (Chatterjee, 2007; Padmanabhan, 2011). Most studies in the area have been conducted on the texts produced by ESL learners (Hood, 2004; 2006; 2010; Lee, 2006, 2007, 2008; 2010a; Nakamura, 2009; Padmanabhan, 2011), and are concerned either with students' achievement of skills compared to those of published writers (Hood 2004) or to those of native English-born speakers/writers (Lee 2006). Focusing on ATTITUDE and GRADUATION, Hood (2004; 2006; 2010) points out that student writers need to become increasingly objective and critical in their academic writing and to demonstrate skills of engagement with members of the academic discourse community while establishing differences and a space for their own research. Lee (2006, 2010; 2010a) reports that high-graded students' essays display greater interactivity by showing awareness of the audience in argument structure and making interpersonal choices. Nakamura (2009) argues that in an examination setting, there were "distinguishing features" of successful and less successful texts in terms of the degree of the writers' dialogic or inter-subjective engagement with the readers.

Whilst there is a growing body of literature about the phenomena of roles of interpersonal meaning in academic texts, few studies have examined how stance spreads across the body of lengthy texts. Building on the previous research, this paper reports on a preliminary study that focuses on how an undergraduate student in an Indonesian EFL context manipulated linguistic choices in spreading interpersonal meaning throughout her thesis to construct engagement with others while establishing her academic authority.

2 Theoretical Framework

2.1 The APPRAISAL system

Within SFL perspectives (Halliday & Matthiessen, 2004), Appraisal theory provides a comprehensive account of the resources of evaluation and stance (Martin, 2000; Martin & Rose, 2007; Martin & White, 2005; White, 1998). Appraisal theory deals with the linguistic realizations of feelings, emotions and opinions (ATTITUDE), and how these subjective values are amplified or toned down (GRADUATION). The theory is also concerned with interpersonal resources that are used to engage with others by taking inter-subjective positioning (ENGAGEMENT). This theory has been expertly outlined in a number of studies in academic texts (see for example, Hood, 2004; Lee, 2006). Since this paper focuses predominantly on the ENGAGEMENT system, a brief outline is offered here as a prelude to the analysis.

2.2 The ENGAGEMENT system

The framework of the ENGAGEMENT system is developed on a basis that all clauses, either monogloss or heterogloss, are stanced or attitudinal, and in some way construe for the text a heteroglossic influence of prior clauses (Martin & White, 2005; White, 1998, 2003). From an Engagement perspective, all clauses can be either monoglossic or heteroglossic at the same time proposals or propositions. In monoglossic clauses, the writer is the originator and the source of the assertion; there is no other voice the writer refers to. Monoglossic clauses are realized by bare assertion, though their effects to dialogistic positioning are complex (Martin & White, 2005, p. 100). These effects may include that the proposition is as taken-for-granted or as currently under debate.

In contrast, the heteroglossic clauses, which may explicitly or implicitly refer to other voices, open a space for dialogue. Heteroglossic clauses are categorized into: '**dialogically expansive**' which opens up the space for alternative viewpoints to come in play in the discourse, or '**dialogically contractive**': in which though it opens a dialogic space in the discourse, they act to narrow the space by directing to exclude certain dialogic alternatives, in their intersubjective functionality (Martin & White, 2005).

"Dialogically expansive" clauses include either '**entertain**': those which indicate that their position is but one among a number of alternatives, such in "***I assume** that the stories have something to deal with Dickens' personal life*", or '**attribute**': the clauses that relate the internal authorial voice of the propositions to the external sources. Two sub-categories emerge in '**attribute**': '**acknowledge**': the locutions do not overtly stand on any external position, such as in "*Eagleton **defines** literature as a fine art because it is difficult to make a limitation of it*", or '**distance**': the locutions act an explicit detaching of the attributed propositions as in "*He **thought** that he was not supposed to work but study*".

"Dialogically contractive" clauses include: '**disclaim**' that acts to reject some dialogic alternative, and '**proclaim**' that presents an authorial voice challenge or even exclude dialogic alternatives. **Disclaim** is divided into '**deny**' that presents negation to introduce alternative positive position in the dialogue as in "*The warehouse was just **not** a suitable for him who had at least gotten a formal education for a short time.*", and '**counter**' that present an alternative position for countering the expected proposition in the dialogue such as "***No matter how** hard they tried, working people **would never** make their dream came true.*" Conversely, **proclaim** is divided into '**concur**' that refers to clauses that overtly announce the addresser as agreeing with the view of the writer, as in "***Of course**, it was different in the quality if at least the two classes were involved.*"; **pronounce** includes authorial emphases or explicit authorial interventions or interpolations, as in "*…**my main reasons** will not go beyond my curiosity toward him and his works.*"; while **endorse** means referring the propositions to external sources that are construed by the writers' voice as correct, valid, undeniable, as in "*From the analysis above, the first description of education …*". Moreover, some forms of reported speech may be used in dialogue with others, the putative or imagined readers: for contracting or expanding the dialogue. However, to get to the sense of the dialogue, linguistic analysts have to consider the context of each clause, not just the reporting verbs themselves as the only sources of the 'dialogue' offered by a writer. For further discussion of the ENGAGEMENT system see Martin and White (2005).

3 Data and Method of Study

This study makes use of written data collected from a thesis submitted by an undergraduate student, Clara (a pseudonym). This thesis was randomly selected from a collection of theses. Clara writes this an at-least-sixty-page thesis as part of the requirements for the degree of "*Sarjana Sastra*" (Bachelor in Literature) at an Indonesian university. The thesis is an exploration of *Charles Dickens' critique of education practice during Victorian era found in David Copperfield, Great Expectations and Oliver Twist*. The thesis follows traditional structure of *introduction ^ review of related literature ^ method of investigation ^ data analysis ^ conclusion and suggestion* (Paltridge, 2002). The analysis was done by dividing each chapter into single clauses, and categorizing the clauses as per Martin and White (2005). In this stage, attention was focused on heteroglossic clauses and since context has a strong influence on determining the proposition/proposal of a clause, even monoglossic clauses, the analysis was careful to consider the context surrounding each clause in interpreting the proposition/proposal conveyed.

4 Findings and Discussion

The number and percentages of clauses from the analyzed text is shown in Table 1 below.

Chapters of the thesis		Heteroglossic										mono-glossic	Sum
		Dialogic 'contractive'						Dialogic 'expansive'					
		Disclaim		Proclaim					Attribute				
				concur				enter-tain	acknow-ledge	distance			
		deny	counter	affirm	concede	pronounce	endorse						
1	2	3	4	5	6	7	8	9	10	11	12	13
Chapter I Introduction	clauses	1	1	5	1	4	3	26	8	2	40	91
	%	1.1	1.1	5.5	1.1	4.4	3.3	28.6	8.8	2.2	44.0	100.0
Chapter II Review on Literature	clauses	9	21	14	0	1	4	41	33	4	104	231
	%	3.9	9.1	6.1	0.0	0.4	1.7	17.7	14.3	1.7	45.0	100.0
Chapter III Method of Investigation	clauses	3	1	2	0	4	2	11	4	0	80	107
	%	2.8	0.9	1.9	0.0	3.7	1.9	10.3	3.7	0.0	74.8	100.0
Chapter IV Data Analysis (Discussion)	clauses	60	49	26	0	18	50	42	12	3	205	465
	%	12.9	10.5	5.6	0.0	3.9	10.8	9.0	2.6	0.6	44.1	100.0
Chapter V Conclusion and Suggestion	clauses	2	0	2	0	2	1	14	2	0	16	39
	%	5.1	0.0	5.1	0.0	5.1	2.6	35.9	5.1	0.0	41.0	100.0
Sum	clauses	75	72	49	1	29	60	133	59	9	443	930
		8.1	7.7	5.3	0.1	3.1	6.5	14.3	6.3	1.0		
	%	15.8		15.0					21.6			47.6	100.0

Table 1 Summary Findings of ENGAGEMENT Analysis

The table above shows that there is an almost equal distribution between monoglossic and heteroglossic clauses used in the analysed thesis. About a half (47.6%) of the whole clauses are monoglossic, almost equally distributed in each chapter (see column 12). Chapter I uses many bare assertions as this chapter functions to set up the setting of the study. Similarly, Chapter III posses 74.8% bare assertions to contextualise the method of investigation. In addition, Chapter V also shares similar number of monoglossic clauses to testify the findings. The use of these clauses in appropriate contexts may function to contextualize shared assumptions and/or show the writer's authority (Lee, 2010a, p.187). However, in some other cases, Clara seems unknowingly to use monoglossic clauses inappropriately. In Chapter II, the clause, "*Literature, moreover, is also classified into three categories*", may read as if it is her who has the authority; in fact, this clause is neither her authority nor shared knowledge. Similar reading can be discovered in Chapter IV: "*However, during the Victorian era, the two classes have developed into three social classes*"**.** There is no reference in either clause.

By relying heavily on bare assertions, Clara represents herself as either confident with the clauses, or, as perhaps unknowingly not recognizing the importance of acknowledging other positions, or others who have done similar studies. A closer look into linguistic analysis seems to suggest that she is reluctant to give a space for dialogue. In a wider perspective, it is common for inexperienced writers to take for granted solidarity with readers without acknowledging other sources (Derewianka, 2007). Even clauses that appear to be heteroglossic at a preliminary reading do not necessary open up space for dialogue with the reader. For example, "*Extensive reading of literature is needed to enrich references of worldwide writers*". This involves an "objective" metaphor of obligation Martin and White (2005), that the proposition can be read as subjectively conveyed via the modal "must" which is construed experientially via the verbal process "to need". Therefore, this form of the directive might be analysed as a bare assertion—a proposal of monogloss.

On the other hand, the heteroglossic clauses (52.4% of the total ones) are used in different proportions for each category and sub-category in each chapter, in which 21.6% under 'dialogic expansion' and 30.8% under 'contraction' categories (see further in column 3-11). It implies that though she opens a dialogic space in the discourse, these clauses act more to

narrow the space by directing to exclude certain dialogic alternatives with the readers and the sources (Martin & White, 2005).

As 'disclaim' proliferates in many parts of the thesis, Clara seems to reject various facts by offering propositions against what she reads from the novels as such in the clause *"Workhouse is a house for poor people who did not have money and nowhere to live"*. She indicates her disalignment of what she read against what is as a common expectation. In the instance, *"It* (i.e. reading as an activity) *did not exist in working class life"*, she denies the fact in the novel and challenges with a view that reading habit should be in everyone's life. By using 'proclaim' which acts to limit the scope of dialogistic alternatives, with 'endorse' subcategory, Clara uncritically warrants her propositions by referring to other voices (Martin & White, 2005); e.g. **In line with that** [the data she reads]*, a fact about education practice also appears in the third book that is Great Expectations*. Moreover, by 'concur: affirm', she seems to projects herself as confident with her propositions, announcing to her readers her position, as in *"It was typically industrial revolution in Victorian era that employed children as factory labours"*.

The 'entertain' sub-category which projects clauses as dialogically expansive, as in *"Only some could feel formal education with a very small scale"*, there is some space for negotiation with the readers and/or other knowers. This clause can be clearly read as implying a sort of grammatical metaphor - specifically a metaphor of probability (assuming). It may read as the writer is not quite sure about her proposition that she is open for other voices, or she is willing to negotiate with others' different views. Thus in *"I assume that the stories have something to deal with Dickens' personal life"*, we can read it as metaphorically related to "**Maybe, probably, or possibly,** *the stories have something to deal with Dickens' personal life*." These kind of "subjective" modals of probability explicitly ground the assumption in an explicit subjectivity. Lastly, by applying 'dialogic expansion: attribute', *Clara* formulates her authorial voice by attributing it to some external sources (Martin & White, 2005). It is used mostly in chapter two in which she needs support for her propositions, such as in *"Marxism supports the idea of classless which means no offenses or forces from one social class to the other"*, she shows that her position is based on another well developed theory. It is her voice but it is strengthened by reference to others: she disassociates her own authorial stance by attributing it to other voice, though without necessarily entering into a critical dialogue with them.

In sum, the fact that Clara used larger incidences of monoglossic than heteroglossic clauses may indicate that she appeared trying to establish her authority over her study, though some of them are not appropriately deployed. Otherwise, she appears to be "talking" to herself rather than to her reader, being deaf to others. Her use of heteroglossic clauses, on the other hand, also appears more to limit the dialogue and do not represent a critical struggle with the alternative positions. In other words, her writing tends to be 'externally authoritative discourse' not 'internally persuasive discourse'.

5 Conclusion and teaching implications

As this paper reports on a preliminary investigation of bigger study that explores how the interpersonal prosody ebbs and flows across a whole dissertation, it only copes with how this student manipulated linguistic choices in spreading interpersonal meaning throughout her thesis. The analysis reveals that this student needs to work hard in negotiating stance with respect to others. It appears that a lack of metadiscoursal language or interpersonal resources to the propositional content may be a challenging part of student writing. Communicating with readers in general becomes a contesting effort. A pedagogical implication may be that

teachers should refer back to the importance of meaning-focused teaching rather than teaching grammar separately from contexts. Methodologically, through such studies as this, researchers and teachers can develop more explicit ways of interpreting problems of EFL writers from user-bound notions or an interpersonal perspective.

References

Chatterjee, M. (2007). *Textual Engagement of a Different Kind?* Paper presented at the ASFLA Conference, Sydney.

Derewianka, B. (2007). Using appraisal theory to track interpersonal development in adolescent academic writing. In A. McCabe, M. O'Donnell & R. Whittaker (Eds.), *Advances in Language and Education* (pp. 142–165.). London and New York: Continuum.

Emilia, E. (2005). A critical genre-based approach to teaching academic writing in a tertiary EFL context in Indonesia. Doctor of Philosophy, University of Melbourne, Melbourne, Melbourne. Retrieved from http://dtl.unimelb.edu.au/R/A7VMYEGLQ8YIB6P5NRCKT72JLBC458QKQV2XJRPGE75DX33RDH-01547

Fairclough, N. (1992). Intertextuality in critical discourse analysis. *Linguistics and Education, 4*(3–4), 269-293.

Halliday, M. A. K.& Matthiessen, C. M. I. M. (2004). *An Introduction to Functional Grammar* (Third ed.): London: Hodder Arnold.

Hood, S. (2004). *Appraising Research: Taking a stance in academic writing.* Doctor of Philosophy, University of Technology, Sydney, Sydney. Retrieved from http://www.grammatics.com/appraisal/hoodS-phd-links.htm

Hood, S. (2006). The persuasive power of prosodies: Radiating values in academic writing. *Journal of English for Academic Purposes, 5*(1), 37-49.

Hood, S. (2010). *Appraising Research: Evaluation in Academic Writing* (First ed.). Hampshire: PALGRAVE MACMILLAN.

Hyland, K. (2000). Hedges, Boosters and Lexical Invisibility: Noticing Modifiers in Academic Texts. *Language Awareness, 9*(4), 179-197.

Hyland, K. (2005a). Representing readers in writing: Student and expert practices. [doi: 10.1016/j.linged.2006.05.002]. *Linguistics and Education, 16*(4), 363-377.

Hyland, K. (2005b). Stance and engagement: a model of interaction in academic discourse. *Discourse Studies, 7*(2), 173-192.

Lee, S. H. (2006). *The use of interpersonal resources in argumentative/persuasive essays by East-Asian ESL and Australian tertiary students.* Doctor of Philosophy (PhD) Online, University of Sydney, Sydney. Retrieved from http://hdl.handle.net/2123/1285

Lee, S. H. (2007). An application of multiple coding for the analysis of ATTITUDE in an academic argument.. *Linguistics & the Human Sciences, 3*(2), 165-190.

Lee, S. H. (2008). An integrative framework for the analyses of argumentative/persuasive essays from an interpersonal perspective. *Text & Talk, 28*(2), 239-270.

Lee, S. H. (2010). Command strategies for balancing respect and authority in undergraduate expository essays. *Journal of English for Academic Purposes, 9*(1), 61-75.

Lee, S. H. (2010a). Attribution in high-and low-graded persuasive essays by tertiary students. *Functions of Language, 17*(2), 181-206.

Martin, J. R. (2000). Beyond Exchange: APPRAISAL System in English. In S. Hunston & G. Thompson (Eds.), *Evaluation in Text: Authorial Stance and the Construction of Discourse*. Oxford: Oxford University Press.

Martin, J. R., & Rose, D. (2007). *Working with discourse: meaning beyond the clause*. New York: Continuum.

Martin, J. R., & White, P. R. R. (2005). *The language of evaluation: appraisal in English*. New York: Palgrave Macmillan.

Nakamura, A. (2009). *Construction of evaluative meaningin IELTS writing: An intersubjective and intertextual perpective*. Doctor of Philosophy, University of Wollongong, Wollongong.

Padmanabhan, M. C. (2011). *Identity and Textual Engagement: Exprreriences of 3 international students writing a doctoral thesis in EAL.* Doctor of Philosophy, University of Wollongong, Wollongong.

Paltridge, B. (2002). Thesis and dissertation writing: an examination of published advice and actual practice. *English for Specific Purposes, 21*(2), 125-143.

Thompson, G. (2001). Interaction in academic writing: learning to argue with the reader. *Applied Linguistics, 22*(1), 58-78.

White, P. R. R. (1998). *Telling Media Tales: the news story as rhetoric.* Doctor of Philosophy, University of Sydney, Sydney. Retrieved from http://grammatics.com/appraisal/whiteprr_phd.html

White, P. R. R. (2003). Beyond modality and hedging:A dialogic view of the language of intersubjective stance. *Text, 23*(2), 259.

Developing an approach to teaching grammatical metaphor to ESL writers

Devo Yilmaz Devrim

University of Sydney
Department of Linguistics Transient Building F12 2006 NSW
dyil0551@uni.sydney.edu.au

Abstract

This paper presents the theoretical foundations and findings of an action research project conducted within the SLATE (Scaffolding Literacy in Adult and Tertiary Environments) project, which was jointly managed by the City University of Hong Kong (CityU) and the University of Sydney (USYD). The action research project reported in this paper specifically focuses on how undergraduate students develop their grammatical metaphor (GM) use with the help of tutors' online language support, and aims at developing an approach to teaching GM. GM, which was suggested by Halliday (1985a), is a fundamental characteristic of registers of science, bureaucracy, and academia, and its mastery can lead to success in academic and educational environments. Therefore, developing an approach to teaching GM to second language users is essential. This project is framed as action research, which spanned a period of three years, based on the action research cycle suggested by Kemmis & McTaggart (1988).

1 Research Context

The research project aims to develop an approach to teaching GM within the SLATE project. The SLATE project was a joint project between CityU and USYD that aimed to provide online literacy support to undergraduate students. USYD was contacted by the City University of Hong Kong to help their undergraduate students' academic writing skills. The project was called Language Companion Course (LCC) in Hong Kong, and the title given to the project at the USYD end was the SLATE project.

The SLATE research team trained tutors on online feedback provision using a tool called the 3 x 3 matrix (Humphrey, Martin, Dreyfus & Mahboob, 2010). The matrix consisted of nine squares that intersect metafunctions (i.e. ideational, interpersonal, textual) and various text levels (i.e. whole text, paragraph, clause). This helped tutors provide online feedback and understand what roles metafunctions play at various text levels. Therefore, the feedback provided by the SLATE tutors covered a wider range including content, organization, lexicogrammar, text formatting, spelling and punctuation in comparison to the LCC tutors' feedback. In other words, the feedback instances provided by the SLATE tutors was not limited to corrective feedback that focuses on grammatical accuracy (see Ellis, 2009 for corrective feedback).

The research study that is reported in this paper focused on GM feedback. The GM feedback refers to the SLATE tutors' online comments that helped their students use GMs more effectively. The following example shows how a student was supported on the use of GM. The feedback is in curly brackets.

Lastly, the 0.1K-ohm resistor converts the current to voltage, enabling us to measure *{You could use the grammatical metaphor in this spot eg : the measurement of...}* the output voltage across it.

In the above example, the tutor supports a student by suggesting him/her to use GM. The tutor also suggests a phase to the student.

2 Grammatical Metaphor

Grammatical metaphor is defined as the resetting of the relationship between discourse semantics and lexicogrammar that creates tension between these strata. The model that was

adopted in the research was the stratal model (Halliday, 1985a, 1998; Martin, 1992a, 1993b; Halliday & Martin, 1993), which was chosen due to three main reasons.

Firstly, the categorization of ideational metaphor by the stratal model is simpler that the alternative, thus it is more appliable to the teaching of GM. Within the stratal model, there are two types of ideational metaphor, namely experiential and logical metaphors (Halliday, 1985a, 1998; Martin, 1992a, 1993b; Halliday & Martin, 1993). Experiential metaphors are further categorized into *process as noun* (congruent: to introduce – metaphorical: introduction) and *quality as noun* (congruent: accurate – metaphorical: accuracy)*.* Logical metaphors are categorized into four sub-types; specifically, *cause as verb* (congruent: because – metaphorical: to cause)*, cause as preposition* (congruent: because – metaphorical: due to)*, cause as noun* (congruent: because – metaphorical: cause) and *cause as adjective* (congruent: because – metaphorical: causal)*.*

Second, only the stratal model theorizes interpersonal metaphors, as interpersonal metaphors result from the non-congruent realization of speech function by the mood and modality systems in lexicogrammar (Halliday, 1985a).

Finally, the stratal model provides accounts for technical terms and dead metaphors. These structures can only be explained due to the loss of stratal tension. Therefore, the stratal model provides us with an "appliable" framework for teaching purposes.

3   Research Design

The method used in this project is action research following Kemmis and McTaggart (1988). The research spanned a period of three years and was conducted in three phases. Phase 1 aimed to establish foundations to develop an approach to teach GM by observing how students employed GM, and whether tutors supported students' GM use through open comments. That is, Phase 1 was explanatory and observational. It did not adopt an interventionist approach to train tutors or provide students with information regarding GM. On the other hand, Phase 2 and Phase 3 sought answers to the research questions through training tutors and providing students with background knowledge on types of GM and how to use them effectively. In other words, Phase 2 and Phase 3 adopted an interventionist approach building on Phase 1. The following research questions guided the study.

1. Do students develop their GM use?
2. How do tutors support their students' GM use?

To answer the first RQ, the very first and last drafts from each research phase were analyzed for GM instances. Congruent alternatives were created to see whether stratal tension existed. The second method used was to upload drafts to Simple Concordance Program (Reed, 2010) to retrieve word frequency counts. This method was used to distinguish technical terms from experiential metaphor. Word frequency lists were checked to explore whether congruent and non-congruent forms were identified in the data sets. If only non-congruent forms occurred, this referred to the loss of stratal tension due to technicalization. The second RQ was explored by analyzing all the feedback instances to identify GM related feedback.

4 Do students develop their GM use?

4.1 Development of GM use in Phase 1: July – December, 2008

Phase 1 concentrated on procedural recounts that were composed by undergraduate students enrolled in the Applied Physics unit. The procedural recounts were based on the laboratory experiments conducted by students. To explore how students used GM, 16 students who have completed all of their assignments were selected. The instances of GM were identified and counted. To make comparisons, instances of GM per 1000 words were calculated. The following table shows the frequency of GM and technical terms during Phase 1.

	Technical terms	Experiential metaphor	Logical metaphor	Interpersonal metaphor
Assignment 1 draft -1	21	23	4.6	.2
Assignment 4 final	13	25	7.8	-
Change in ‰	-8	2	3.2	-.2

Table 1: Frequency of GM and technical terms in Phase 1

As Table 1 shows, the frequency of experiential and logical metaphors increased by 2 and 3.2 per 1000 words respectively. However, the frequency of technical terms decreased by 8 and there was not instance of interpersonal metaphor in the very last draft. These figures were helpful in designing and implementing Phase 2.

4.2 Development of GM use in Phase 2: January – April, 2009

The students who took part in the second phase were from the Department of Electronic Engineering who were enrolled in the Analogue Laboratory unit. As part of the project, the students were to prepare four compositional reports to explain parts of an electronic device such as a power adaptor. These students were provided with knowledge about GM using congruent and metaphorical alternatives. The example sentences were presented in isolation from their context. In other words, the information provided to the students was not based on periodicity at whole text level. To explore the development of GM, 11 students' very first and last drafts were analyzed. The following table presents the frequency of technical terms and GMs per 1000 words.

	Technical terms	Experiential metaphor	Logical metaphor	Interpersonal metaphor
Assignment 1 draft -1	6	14.6	5.4	-
Assignment 3 final	6.4	14.9	7.2	-
Change in ‰	.4	.3	3.2	

Table 2: Frequency of GM and technical terms in Phase 2

As shown in Table 2, the frequency of technical terms, experiential and logical metaphors increased by .4, .3 and 3.2 per 1000 words respectively. When compared with Phase 1, the change in the frequency of technical terms and experiential metaphor was smaller. However, the frequency of logical metaphors increased by 3.2. The comparison between Phase 1 and Phase 2 helped us design the last phase of the research where the students were provided with knowledge about GM at the whole text level.

4.3   Development of GM use in Phase 3: January – April, 2010

Phase 3 focused on the consequential explanation composed by students from the Department of Linguistics. The students were enrolled in the Introduction to Linguistics unit. Eight students were selected to investigate whether the frequency of GM increased due to the information provided to the students. The following table shows the frequency of technical terms and GMs.

	Technical terms	Experiential metaphor	Logical metaphor	Interpersonal metaphor
Assignment 2 draft 1 –	1	28.1	14.7	-
Assignment 2 final –	1.5	32.2	21.5	-
Change in ‰	.5	4.1	6.8	-

Table 3: Frequency of GM and technical terms in Phase 3

As Table 3 illustrates, the students used experiential and logical metaphors frequently. However, there was no instance of interpersonal metaphor and technical terms were not frequently used. The frequency of experiential metaphor increased by 4.1 per 1000 words, and the frequency of logical metaphor increased by 6.8 per 1000 words throughout Phase 3. In comparison to Phase2, the frequency of GM in draft 1 was much higher and increase in the frequency of GM was also higher.

5   How do tutors support their students' GM use?

The tutors who participated in the research also provided feedback targeting students' GM use. As discussed earlier, the tutors did not receive any training regarding GM identification and feedback provision during Phase 1. The tutors who participated in Phase 2 and Phase 3 were provided with training on GM. The training in Phase 2 concentrated on the clause level where the tutors were presented with example sentences that included GMs. Congruent agnates were created for the example sentences to show tutors how meanings might be extended through GM use. The training during Phase 3, on the other hand, focused on the occurrence of GM instances within their context in relation to the whole text. The tutors were presented with explanation texts without thesis statements and topic sentences and were asked to fill in the blanks using experiential and logical metaphors.

The feedback instances were categorized based on the degree of explicitness and the amount of rationale provided by tutors (Ahmar & Devrim, forthcoming). The degree of explicitness refers to the directness level of the feedback: whether tutors provided students with GM or whether they elicited or required students to revise their text implicitly. The amount of rationale refers to whether a tutor told their students what is problematic with a particular text and why.

5.1   GM support during Phase 1

There were a total of 5 instances of GM feedback. Four of these instances were worded explicitly and no provision of rationale was observed. The number of drafts analyzed in Phase 1 was 352. When the number of GM feedback instances is divided by the number of drafts, we found the ratio of feedback per draft, which was .014. Therefore, we decided to provide training to tutors in Phase 2.

5.2   GM support during Phase 2

The total number of feedback instances that targeted students' GM use was 26. Half of these instances were provided at the beginning of students' drafts to encourage them to use GM, direct them to the support material provided to students, and explain how GM improves texts. The number of GM feedback provided in the body of drafts was also 13. The explicit framing of feedback was also observed in Phase 2. Furthermore, the tutors used technical metalanguage, "grammatical metaphor" to help students improve their written work. There was only one instance of GM feedback where a tutor provided rationale. When the total number of feedback moves (26) is divided by the number of drafts (432), the ratio of GM feedback per draft is calculated as .06, which was more than four times higher than the ratio in Phase 1.

5.3   GM support during Phase 3

The total number of GM feedback instances was 96. Thirty-six of these instances were provided at the beginning of students' drafts to encourage them to use GM, to remind the effects of GM on language. The rest of GM feedback instances was provided in students' texts. More implicit framing of feedback was observed during Phase 3 in comparison to Phase 1 and Phase 2. The tutors also provided their students with rationale as to how texts improve by effective GM use. When the number of feedback instances (96) is divided by the number of drafts that received GM feedback (46), then the ratio was 2.1. This figure was much higher than the ratio observed during Phase 1 and Phase 2.

6   Discussion & Conclusion

The findings from the research suggest that GM use develops due to the development of language proficiency. During each phase of the research, the students improved their GM use. Although the last two phases adopted an interventionist approach to provide students with knowledge on GM and train tutors on GM identification and feedback provision, the students who participated in Phase 1 also developed their GM use. This shows that GM use develops when language proficiency develops. Related to this point, the knowledge provided to students in relation to the information flow at the whole text level during Phase 3 generated more instances of GM as compared to Phase 2. In other words, the textual effect of GM at whole text level helped students use GM more frequently.

The training provided to tutors at the whole text level was more effective as compared to the GM training based on the clause level. The difference in the amount GM feedback during Phase 2 (.06) and Phase 3 (2.1) clearly shows the training that focused on the whole text level generated more instances of GM feedback. Moreover, training based on the relationship between periodicity at whole text level and GM resulted in a wider range of GM feedback. The tutors who participated in Phase 3, provided a wider range of GM feedback by eliciting GM instances from students and providing rationale regarding the consequences of suggested changes.

To conclude, not only did the training based on whole text level generated a wider range of GM feedback, but it also helped students use GMs more effectively in relation to the

information flow.

7   References

Ellis, R. (2009). A typology of written corrective feedback types. *ELT Journal*, *63*(2), pp. 97-107.

Halliday, M. A. K. (1985a). *Introduction to functional grammar.* London: Arnold.

Halliday, M.A.K. (1998) Things and relations: regrammaticising experience as technical knowledge in J.R. Martin & R. Veel (Eds.), *Reading science: critical and functional perspectives on discourse of science* (pp. 185-235). London: Routledge.

Halliday, M.A.K. & Martin, J. R. (1993) *Writing science*. London: The Falmer Press.

Kemmis, S. & McTaggart, R. (1988). *The action research planner.* Victoria, Australia: Deakin University Press.

Mahboob, A. & Devrim, D. Y. (forthcoming). Supporting independent construction online: feedback in the SLATE project. *Linguistics and Human Sciences.* Special SLATE issue.

Martin, J.R. (1992a) *English text: system and structure*. Amsterdam: Benjamins.

Martin, J. R. (1993b) Technology, bureaucracy and schooling: discursive resources and control. *Cultural Dynamics* 6.1, (pp. 84-130).

Humphrey, S., Martin, J., Dreyfus, S., & Mahboob, A. (2010). The 3x3: Setting up a linguistic toolbox for teaching and assessing academic writing. In *Appliable Linguistics*, Mahboob, A. & Knight, N. (Eds), (pp. 185-200). London: Continuum.

Martin, J. R. & Rose, D. (2003). *Working with discourse: meaning beyond the clause.* London, New York: Continuum   .

Reed, A. (2010). Simple Concordance Program. Downloaded on December 16, 2011 from http://download.cnet.com/Simple-Concordance-Program/3000-2279_4-4577501.html

Functional recast of causal discourse: From textbook to lecture

Ping, Liu[1]; Xiaoping, Liang[2]

Huazhong Agricultural University; California State University, Long Beach
College of Foreign Language, Huazhong Agricultural University, Wuhan, Hubei, China, 430070
Department of Linguistics, California State University, Long Beach, California, U.S.A., 90804
liup@mail.hzau.edu.cn

Abstract

Using the theoretical framework of SFG, this paper reported on a comparative study of textbook discourse and lecture discourse of a bilingual physics course in a Chinese university. Employing functional approach to discourse analysis, the study revealed that textbook discourse was more grammatically metaphorical, resulting in obscurity of causality. In the textbook discourse reconstruction, the major strategy used by the bilingual instructor was functional recast, mainly involving the transformation from metaphorical mode to congruent one. The cognitive effect of the two discourses was tested. The result indicated functional recast as a discourse reconstruction strategy was effective. The study explored theoretical basis of this strategy and revealed the bilingual instructor's role in negotiating meaning and form.

1   Introduction

University bilingual instruction advocated by the Chinese Ministry of Education is similar to Content-based Language Instruction (CBLI). That means instructing subject content and using a textbook in a foreign language. However textbook language, particularly science English, is highly metaphorical, and can pose difficulties for EFL (English as foreign Language) students (Halliday & Martin 1993: 79). Some scholars such as Schleppegrell (2004), Debbie (2009), and Byrns (2009) also indicated linguistic difficulties for EFL or ESL students. Mohan & Beckett (2003) used a functional approach to class interaction analysis. They found functional recast was effective grammatical scaffolding. However, there has been little research on how bilingual teachers deal with textbook language. Marsh, Hau & Kong's (2000) research on bilingual instruction in Hong Kong revealed that EFL students could not understand English textbooks fully due to linguistic problems. In order to avoid this phenomenon, this study is to compare textbook and lecture discourse so as to answer the following 3 questions: 1.How do textbook and lecture discourses differ in expression mode? 2. What strategies were used in the reconstruction of textbook discourse? 3. What explanation does SFG offer for the strategies adopted by bilingual teachers?

2   Relating concepts

2.1   Functional recast

Functional recast was first put forward by SFL scholars Mohan & Beckett (2003: 424). In their opinions, there were two kinds of recasts: corrective recast and functional recast. The former emphasized repair in form. The latter based on SFG stressed on re-editing or paraphrasing discourse rather than correcting formal mistakes. For example, when we recast *To do x, we can do y,* into *We can do X by doing y*, no grammatical mistake is involved. But such a recast makes a difference: the second expression sounds more formal. Traditional grammar can not offer an explanation for the different expression effects, while SFG can from the perspectives of lexico-grammar and grammatical metaphor. This study will borrow the concept of functional recast to refer to transformation between two expression modes, namely, metaphorical mode and congruent mode, which is the major strategy used by the bilingual teacher in our study.

2.2 Two expression modes of causal meaning

Halliday & Martin 1993: 66) studied the diachronic development of causal relations. They found that conjunctions such as 'because', 'so' were used to express causality, and that causal meaning was realized by clause complexes at the earlier phase. In an advanced phase, verbs such as 'prove', 'cause' were used to express causal relations. In different phases, causal meaning was realized either by clause complexes or clauses. The former is regarded as congruent mode, the latter as metaphoric mode in our study.

3 Data Analysis

3.1 Data collection and analysis approach

Sample 1	Textbook Discourse	Lecture Discourse
Causality ① Congruent mode in both discourse	If there were a clock at rest in frame F'(1) identical to the clock at rest in F(2), then the observer in F would see the clock in F' running slow, just as the observer in F' see the clock in F running slow. (conditions (1), (2) are packed in nominal groups)	(1) If you put these two clocks side by side, (2) and you put them stationary with respect to you, they take the same rate. Conditions are presented in two compound sentences
Causality② textbook: metaphorical lecture: congruent	Were it otherwise, the observers could use this asymmetry to decide who was moving and who was standing still, an explicit violation of the original premise that only relative motion has any meaning. (Conditions and results are hidden in "otherwise" and "asymmetry")	When they are in motion with respect to you, one dilates, the other does not dilate. They tick in different rate. They go in different pace. That means you are violating the principle of relativity. (strategies: meta-discourse marker, de-nominalization, additional explanation (Conditions and results are presented in clauses.)
Causality③	(Omitted due to limited space) …	(Omitted) …
Sample 2	Textbook Discourse	Lecture Discourse
Causality① Metaphorical mode in both discourses	The degree of change in body's motion due to a given force depends on the mass of a body.	The state of motion and final velocity of an object will depend on the mass of this object. (Strategy : complex nominal structure breakup)
Causality ②	(Omitted)…	(Omitted)…
Causality③ textbook: metaphorical lecture: congruent	The mass of an object describes its inertia, or its resistance to a change in its motion.	When something is massive, we'll find velocity will be less, because more inertial means more resistance to the change of state. Strategy: conjunction
Sample 3…	(Omitted)…	(Omitted)…

Table 1: Contrast of Expression Modes of the Two Discourses

Participants came from a key university in Shanghai, China. The students were physics majors. In class, the lectures were completely delivered in English. Twenty one-hour lectures were recorded and transcribed into texts. The bilingual physics course adopted original English textbook without being revised (Paul M.F. et al., 1993). Three samples of multiple

causal relations were chosen from textbook and the corresponding transcripts of lectures were picked out to represent textbook and lecture discourses respectively. In order to test cognitive effect of these two discourses, we extracted one passage covering three samples respectively from lecture discourse and textbook discourse, and designed 10 reading comprehension questions about causal relations. A passage reading comprehension quiz was held respectively in two classes at the same English proficiency level.

This study adopted a functional approach to discourse analysis, modeled after the approach used by Mohan and Beckett (2003). In analysis, we focused on 3 points: identifying multiple causal relations and the expression modes at discourse level; the usage of noun, verbs, conjunctions, personal pronouns, and so on at the lexico-grammar level; and the strategies used by bilingual teachers.

3 samples	Nominal Structure			Processes Realized by Verb				Personal pronoun	..
	Noun	Nominal group	Total	Relation	Material	Mental	..		
Textbook	9	25	34	9	7	2	..	0	..
Lecture	6	17	23	9	15	5	..	15	..

Table 2: Statistics of 3 Samples at Lexico-grammar Level

	Group	N.	Mean	SD	df	sig	T
score	textbook	30	74.67	11.36	59	.000	-3.898
	lecture	31	85.16	9.61			
time	textbook	30	18.27	0.88	59	.000	4.546
	Lecture	31	17.36	0.68			

Table 3: Independent Sample T- test of Cognitive Effect of Two Reading Discourses

3.2   The contrast at discourse level and lexico-grammar level

3. 2 .1   At discourse level

The contrast of two discourses indicated that there were more metaphorical forms in the textbook discourse, and more congruent forms in lecture discourse. Among 8 causal relations, metaphorical forms and congruent forms are in the proportion of 5:3 in textbook discourse, 3:5 in lecture discourse. The causal meaning expressed in metaphorical form was implicit, and causality was obscure in textbook. The findings could be illustrated by the following points (see Table 1): (1) In textbook discourse, conditions and results tended to be packed in nominal groups. Sample 1 Causality① was case in point. (2) Multiple casual relations were buried in nominal groups. For example, the nominal group 'The degree of change in body's motion due to a given force' contains two causal relations: 'A given force causes motion' and 'A motion causes the degree of change'. (3) Causality was embedded in abstract vocabulary. For example, the condition and result of Sample 1 Causality② were embedded in 'otherwise' and 'asymmetry' in textbook discourse. (4) Multiple causal relations overlapped. In Sample 1 'asymmetry' represented both the result of Causality① and the conditions of Causality②. It was harder to identify the causal relations when they overlapped (in textbook discourse) than when they were stated separately (in lecture discourse).

3.2. 2   At lexico-grammar level

The primary differences of two discourses at lexico-grammar level are embodied as follows. (1) There were more nominal structures in textbooks than in lectures. Nominal structures appeared in more forms in textbooks, including nominal groups, abstract nouns, and nominal clauses. Some of them were very complicated. A case in point was 'the degree [of [change [of [body's motion [due to [a given force]]]]]]', which was an iterated structure of 'noun + preposition'; (2) In lecture discourse, more verbs realizing material processes were used, therefore lecture language was more vivid and specific. While in textbooks, more verbs were used to realize relations resulting in obscure causality; (3) Passive voice was used more in textbook discourse, active voice more in lectures. For instance, textbook version 'is said to be' corresponded to lecture version 'you can be sure that'; (4) Compared with textbook discourse, more conjunctions were used to realize cause-effect relations in lecture discourse; (5) There were 15 cases of personal pronouns used as the subject of clauses in lectures. But there were none in textbooks (see Table 2).

3.3   Functional recast and test on cognitive effect

Functional recast was the primary strategy used to reconstruct textbook discourse. Most of transformations were conducted from metaphorical form to congruent form. Three out of four transformations were in this direction. The pre-requisite for functional recast was that the causal meaning was expressed implicitly. Other strategies included specification of abstract nouns, de-nominalization, complex nominal structure breakup, additional explanation, and use of meta-discourse markers (see Table 1).

In the cognitive effect T- test, we set 'reading comprehension accuracy score' and 'reading time' as two parameters. Statistics (see Table 3   of the T-test indicated the score of lecture group was significantly higher than textbook group (P<.005) and the reading time of lecture group was significantly shorter than textbook group (P<.005). The T-test results revealed that textbook discourse was more cognitively difficult and required more cognitive effort. It also demonstrated that functional recast as a discourse reconstruction strategy was both effective and feasible.

4   Discussion

4.1   The explanation of different preference for expression mode

The textbook's preference for metaphorical form can be explained by its following characteristics. (1) Conciseness. According to Halliday & Martin (1993: 192), metaphorical shift involves downward movement in grammatical ranks. Namely, a clause complex was reduced into a clause or even into a nominal group. Thus grammatical structure was simplified and information was condensed. Metaphorical form was characterized by conciseness, which conformed with the language requirement of written science English. (2) Objectiveness. The statistics in Table 2 show that less mental and material processes were used in metaphorical forms of textbook discourse. Consequently, corresponding subjective elements such as participants, environments, voice, and modality involved in these two processes were omitted. Objectiveness was another feature of metaphorical form which made it become the choice of textbook expression. (3) Logicality. In metaphorical form of expression, given information was packed into nominal groups acting as Theme with new information acting as the Rheme of a clause. After being mentioned, the New became Given acting as the Theme of the following clause to introduce another piece of new information. In this 'Given + New' and 'Theme + Rheme' pattern, all information was logically presented (Halliday & Matthiessen 2004: 93). The logicality of metaphorical forms of expression is the third reason why they are a priority of textbook discourse.

4.2 Theoretical basis of functional recast offered by SFG

According to SFG, grammar has the power to construe, deconstrue, and reconstrue meaning (Martin & Veel, 1998: 190). In the course of metaphorization, every element will experience semantic mapping and grammatical rankshift. The latest study revealed that the semantic mapping and the grammatical rankshift between the congruent forms and their metaphorical counterparts was bidirectional from a synchronic perspective (Zhengjun, L., Zhong, Y. 2010: 403). With the transformation from metaphorical to congruent form, there is recovery to the prototype relation between grammatical and semantic category. Therefore, the ambiguity and obscurity were eliminated. In this sense, grammatical rankshift and semantic mapping offer a theoretical basis for functional recast.

4.3 Discussion of cognitive effect of metaphorical mode

The cognitive effect of using metaphorical modes has been a controversial issue. Halliday & Martin (1993) thought high lexical and informational density, and ambiguity of metaphorical mode would cause cognitive difficulty. Similar viewpoints included: Congruent form was close to prototype expression, representing natural relation between two categories of grammar and semantics (Halliday & Matthiessen 1999); Metaphorical form was the variation in both form and meaning (Ravelli 1988; Wei, H. 2008). This study result agrees with the theoretical research results above. But it disagrees with the findings of the empirical study by Nana, J. & Zili, C. (2004), which found that the metaphorical mode helped to achieve better cognitive effects. In their study, they revised texts by transforming all the metaphorical forms into congruent ones. The revised text was said to contain zero metaphor. As Lakoff & Johnson (1980) pointed out, 70% of language comes from metaphor, which is an indispensable part of language. Therefore language containing zero metaphor may be an ideal experimental language. The lecture discourse in our study was the transcript of natural classroom lecture language. The ratio of metaphorical mode and congruent one was 5:3. Languages in different states in the two empirical studies may account for the different results.

This study also has its limitations. The corpus and sample collection were restricted by the bilingual teacher's experience and students' language proficiency level. Further studies to find out a proper ratio of two modes and appropriate metaphor distribution in discourse to achieve optimal cognitive effect are needed. Similar studies on bilingual instruction need to be supported by more corpora collected from a larger range.

5 Conclusion

Data analysis revealed that textbook discourse was more metaphorical than lecture discourse. The causal meaning expressed in textbook was more implicit. The study indicated conciseness, objectiveness, and logicality of metaphoric form gave it priority in textbook expression mode choices. However, metaphorical form deviated from prototypical cognitive categories and increased the cognitive difficulty. In order to help students to understand highly metaphorical textbook language, the bilingual teacher adopted the strategy of functional recast to reconstruct the textbook discourse. The test of cognitive effects of two discourses indicated the feasibility of this strategy. It has to be pointed out that the purpose of functional recast is to make textbook language accessible to students rather than simplify the language input. To some degree, to deliver the textbook content is to recast textbook discourse. Therefore, functional recast is the linguistic strategy that bilingual teachers should grasp so as to identify the ambiguity and obscurity of metaphorical forms in textbook language. This study is aimed at arousing teachers' linguistic and strategic awareness, facilitating them to negotiate consciously between meaning and expression under the guidance of SFG so as to improve the teaching quality of bilingual education.

References

Byrnes, H. (2009). Emergent L2 German writing ability in curricular context: A longitudinal study of grammatical metaphor. *Linguistics and Education,* 20(1): 50–66.

Debbie, G.H. (2009). Systemic Text Analysis in the ESL Writing Classroom: Does It Work? *RELC Journal,* 40(3): 333-359.

Halliday, M. A. K. & J. R. Martin. (1993). *Writing Science: Literacy and Discursive Power.* London: The Falmer Press.

Halliday, M. A. K., & Matthiessen, C.M.I.M. (1999). *Construing Experience though Meaning: A Language-based Approach to Cognition.* London: Continuum.

Halliday, M. A. K. &Matthiessen, C.M.I. M.(2004). *An Introduction to Functional Grammar* (3rd Ed.). London: Arnold.

Lakoff, G. & M. Johnson. (1980). *Metaphors We Live By*. Chicago: The University of Chicago Press.

Marsh, H. W. et al. 2000. Late immersion and language of instruction in Hong Kong high school: Achievement growth in language and non-language subjects. *Harvard Educational Review,* 70: 302-346.

Martin, J. R. & Robert, V. (1998). *Reading Science: Critical and Functional Perspectives on Discourses of Science*. London: Routledge.

Mohan, B., Beckett, G.H. (2003). A Functional Approach to Research on Content-Based Language Learning: Recasts in Causal Explanations. *The Modern Language Journal,* 87(3): 421-432.

Nana, J. & Zili, C. (2004). Cognitive effects of grammatical metaphor. *Foreign Language Teaching and Research*, 36 (1):25-30.

Paul, M.F., Stephen, G., Stephen, T. T. (1993). *Physics for Scientists and Engineers.*New Jersey: Prentice Hall.

Ravelli, L. (1988). Grammatical metaphor: An initial analysis. In E. Steiner & R. Veltman (eds.) .*Pragmatics, Discourse and Text: Some Systemically-inspired Approaches*. London: Pinter Publishers. (pp.133-147).

Schleppegrell, M., Achugar, M., Oteiza, T. (2004). The Grammar of History*:* Enhancing Content-based Instruction through a Functional Focus on language. *TESOL Quarterly,* 38(1): 67-93.

Wei, H. (2008). Grammatical Metaphor: Variation in Both Form and Meaning. *Journal o f PLA University o f Foreign Languages*, 31 (3):1-6.

Zhengjun, L. & Zhong,Y. (2010). A study of Semantic relations and rankshift directions in grammatical metaphor, *Foreign Language Teaching and Research*, 42(6): 403-410.

The implementation of a Genre Based Approach to teaching narrative writing

Inggy Yuliani Pribady

SMP Negeri 2 Bandung
JL.Sumatera No.42 bandung, West Java Indonesia
inggyyuliani@gmail.com

Abstract

The Genre Based Approach (GBA) has been used in Indonesia since the implementation of the 2006 English curriculum. This study examines the implementation of the Genre Based Approach in teaching English as an approach to motivate the students to learn to write a text especially in Narrative writing. The study used a case study research design involving one English Teacher and 30 eighth grade students in one Junior High school in Bandung, Indonesia. Data included the students' texts, which were analyzed using Systemic Functional Grammar (SFG), classroom observations, and interviews with both the teacher and students. The findings reveal that the teachers were successful in applying the GBA based on principles as suggested in Feez & Joyce (1998:25) Rothery (1996), Hammond et al. (1992), and Gibbons (2002). The research finding of this study also indicates that the implementation of GBA in teaching narrative writing made a good contribution to the quality of the students' writing. The students' narrative texts improved from stage to stage in terms of schematic structures and linguistic features. The students were also able to make a cohesive text as indicated in the various theme progressions in their writing. The teacher motivated the students to learn, gave feedback and correction for the students' work in all stages of teaching.

1. Introduction

Writing is a technology, that is, set of skills which must be practised and learned through experience. This implies, only that the way people learn to write is essentially different from the way they learn to speak, and there is no guarantee that any person will read or write without some assistance (Grabe & Kaplan, 1996:6). In other words, writing is not natural and it must be learned with the support of a teacher. Because of the key role they play in the teaching and learning of writing, it is important that teachers choose an approach that will develop students' writing skills and knowledge without the students becoming frustrated.

The genre based approach proposed by the 2006 English Curriculum in Indonesia is an effective method to use for teaching English, especially in teaching writing. Based on the findings of her study, Emilia (2005) has recommended that the GBA, which can enhance students' critical thinking, be gradually but intensively implemented in Indonesian schools. The findings of Emilia's study demonstrate the value of the approach in helping students enhance their writing skills and confirm the urgency of the gradual but intensive implementation of the GBA in English classrooms in Indonesia to improve the teaching of English by enabling students to use the English language in context.

It is against this background that the present study was conducted. This study investigated the implementation of the GBA in an Indonesian context, specifically in a Junior High School in Bandung, Indonesia where the GBA was used to teach the writing of narrative texts. The study focused on the teaching of narrative writing because narrative is the most commonly written story type in the English program (Christie & Derewianka, 2008:31-32). The study attempts to answer the following questions:

1. How does the teacher implement a genre-based approach to the teaching of the writing of narrative texts?

2. How does the implementation of the genre-based approach affect students' development in writing narrative texts?

2. Theoretical Review

2.1 The genre-based approach

Genre is defined in terms of its social purpose (Cope & Kalantiz, 1993: 250). More specifically, genre is defined as "a staged, goal-oriented social process". Genres are referred to:

> *as social processes because members of a culture interact with each other to achieve them; as goal-oriented, because they have evolved to get things done; and as staged because it usually takes more than one step for participants to achieve their goals" (Martin, 2000: 4, cited in Emilia, 2005).*

2.1.1 The Basic Principles of GBA

Teaching and learning under the Genre Based Approach is focused on the understanding and production of selected genres of text based on three principles as suggested by Feez & Joyce (1998: 24-25)
*   Language learning is a social activity which allows the collaboration between the teacher and the student and between student and other students in the group.
*   It employs an explicit teaching which will make learning more effective.
*   Apprenticeship teaching in which students acts as apprentice and teacher plays an authoritative role.

2.1.2 The Stages of the GBA curriculum cycle

The use of the GBA to teaching narrative wiring in this study referred to the stages in teaching genre known as teaching cycle which was carried out based on four stages:
*   Building Knowledge of the Field: building up the students' background knowledge (Feez, 2002; Derewianka, 1990).
*   Modeling of Text: building students' understanding of the purpose, overall structure, and the language features of the target text type (Gibbons, 2002: 64).
*   Joint Construction of the Text: illustrating the process of writing an example of the target text type, focusing on both the content and the language (Gibbons, 2002: 61).
*   Independent Construction of the Text: students writing their own examples of the target text independently (Gibbons, 2002: 60).

2.2 Narrative

The function of narrative text is to amuse, entertain and to deal with actual or vicarious experience in different ways; Narrative deal with problematic events which lead to a crisis or turning point of some kind, which in turn finds a resolution (Gerrot & Wignell, 1994: 204). The schematic structure of narrative begins with the orientation, followed by the complication and evaluation of the events, a resolution and coda the last element being optional (Anderson & Anderson, 1997; Feez & Joyce, 1998; Gerot & Wignell, 1994: 204). The linguistic features of narratives according to Gerrot & Wignell (1994: 204) are:
*   A focus on specific and usually individualized participants
*   The use of material, behavioral and verbal processes
*   The use of relational and mental processes
*   The use of temporal conjunctions and temporal circumstances
*   The use of past tense.

3.   Methodology

This study employed a case study qualitative approach comprising the data collection and a qualitative data analysis. The triangulation of data collection methods is used involving classroom observation, interviews with the students and documentation of students' texts.

This research was undertaken at a goverment Junior High school in Bandung, West Java, Indonesia. The participants of the study were an English teacher and one class consisting of 30 students of the eighth grade.
The classroom observation phase comprised fifteen observations over five weeks in a classroom. This phase involved observing the implementation of the genre-based approach in teaching English. Each observation lasted for 80 minutes (2x40 minutes). The classroom observation was done from the third week of January to mid-February 2012.

An individual interview was conducted with an English teacher and six students from low, mid and high level achievements in order to investigate the activities used when teaching and learning the writing of narratives using the genre-based approach. Students' texts were collected from the low, mid and high achievers. Then, using Systemic Functional Grammar (SFG) samples of students' writing texts were analyzed in terms of the schematic structure and language features used in order to reveal students' development in the writing of narrative texts.

4.   Result and Discussion

The observation data indicate that the teacher had implemented the GBA successfully using the stages suggested by the genre theorists. The first stage building knowledge of the field helped the students to gain enough background knowledge of the topic they wanted to write about (Gibbons, 2002: 60). Field building activities conducted by the teacher included watching video, reading texts, analyzing story's characters, retelling the story and role playing. The second stage, modeling of text, helped the students understand the social function, the schematic structure and the linguistic features of a narrative text (Derewianka, 1990: 15). During this stage the teacher presented a model of the text, asked the students to read the text and discussed the content, schematic structures and language features of the text. During the third stage, joint construction of text, the students practiced constructing a text based on the social function, the schematic structure and the linguistic features of a narrative text. The teacher asked the whole class to read a narrative text, discuss the text and complete the skeleton text to make their own narrative collaboratively. Finally, the students were able to produce their own text in the independent construction stage by drafting, sharing, editing, conferencing, revising and publishing their texts.

5.   Students' Narrative Writing Development

The texts produced during the drafting, conferencing and publishing phases of the independent construction stage were analyzed. Twelve texts were selected from high, mid and low achievers. The analysis of the students' texts indicates that the students' writing ability has improved. The improvement can be seen from in the length of the texts, the grammatical accuracy, the enhanced schematic structure, and the linguistic features employed by the students.

FIGHT FOR THE TRUTH		
Generic Structure	Text	Language
Orientation The writers introduce the characters of the story, the time and the place the story happens **Complication** The writers create the conflicts among characters **Evaluation** The writers write the reason of why the conflicts happen. The writers present the evaluation by attaching it to the complication. They show the actions and suspense in evaluation to make the reader find out what happens to the characters **Resolution** The writers show how the conflicts are solved **Coda** The writers write their comment, moral message and what they can learn from the story	<u>Once upon a time</u>, there *was* **a young girl named Ashley**. **She** *lived* in a big magic castle with **her father and mother** as a little magic princess. **She** had **two unique pets** in her castle **named Maber (Magic Bear)** and **Frabit (Freak Rabbit)**. **Ashley** *was* a nice and beautiful girl, **she** always *helped* **many people** who *needed* her *help*. **She** <u>*loved*</u> cleaning the house and **she** *was* a clever girl. **Maber** *was* a patient bear and **Frebit** always *imitated* what **Maber** *did*. **Ashley** and **her parents** had **one diamond** called "Mejikuhibiniu". **The Diamond** could *give* big power and big magic to **the people** who *use* it. <u>One day</u> there *was* **an evil guy named Capricorn**. **He** <u>*wanted*</u> to *destroy* Ashley's magic castle and *stole* **the "Mejikuhibiniu" Diamond** to *use* the power for bad purpose. He *sent* **Zycat**, his soldier for *searching* and *stealing* the diamond. **Zycat** *stole* **the diamond** and *gave* **the diamond** to **Capricorn**. **He** *accepted* **the diamond** and **he** *was* ready to *attack* **the magic castle**.**Capricorn** *attacked* **the magic castle** with all spells that **he** <u>knew</u> and **he** *used* forbidden magic that could *destroy* everything. But **magic castle** *was* saved because **Maber**, **Frebit** and **Ashley** *bundled* their magic into a big power and *destroyed* **Capricorn** and **his soldier, Zycat.** <u>Finally</u>, **the magic castle** *lived* happily and peacefully. From this story **we** can *learn* that if there *is* something *is* not for you or not your own things, don't *try getting* it or *stealing* it because it *is* not your right.	• **Human participants** • **Animals with human characteristics** • *The use of material processes to indicate the process of doing* • *The use of behavioral processes to state the processes of physiological and psychological behavior* • ***The use of relational processes as the state of being, including having and to identify something or to assign a quality to something*** • <u>*The use of mental processes to construe the process of perception cognition and affections*</u> • <u>The use of temporal conjunction to link the sequences</u> • <u>The use of temporal circumstances to set the time</u> • The use of past tense

Table 1: Narrative text published by a middle achiever

All of the students' texts from drafting to publishing followed the stages of the schematic structure required of a narrative text, namely orientation, complication and evaluation, resolution and coda (Gerot and Wignell, 1994: 204). This was because the teacher had explicitly given the students' the narrative framework from the beginning. The students' second drafts and final texts present a more detailed and interesting story. In these drafts the students minimized mistakes in punctuation, spelling, word choice and grammar and the content and the development of f the story became more logical and enjoyable to read. The improvement was the result of the feedback by the teacher and their classmates during the sharing, editing, conferencing and revision phases of the independent construction stage.

Table 1 shows an example of a text written by a student identified as a middle achiever. The text follows the stages of the schematic structure required by a narrative text, namely orientation, complication and evaluation, resolution and coda (Anderson & Anderson, 1997; Feez & Joyce, 1998; Gerot and Wignell, 1994). The text also uses the linguistic features of a narrative text including a focus on **specific** and usually **individualized participants** and the use of *material*, *behavioral* and *verbal* processes, **relational processes** and *mental processes*, temporal conjunctions and temporal circumstances, and past tense (Gerot and Wignell, 1994:204).

6.   Interview

Interview data indicate that the teacher has good understanding of the GBA as reflected by the implementation of the steps in teaching and learning steps based on the GBA. Using this approach, the teacher was able to lead the students' development in writing a narrative text. In addition, the teacher used a scaffolding approach to ensure the students had enough skills in writing a narrative text and thus lead to their development in using the narrative genre. Most students said that through the activities implemented by the teacher in writing class, they could produce better texts.

7.   Conclusion

The teacher applied the GBA appropriately in teaching narrative writing as suggested by genre theorists. The teacher implemented the following stages of the GBA: building knowledge of the field to give background knowledge to the students and introducing various activities to enhance students' understanding on the content, including reading, analyzing, retelling and role playing. In the modeling text stage the teacher guided the students to identify and build knowledge of the social function, the schematic structure and the linguistic features of narrative texts. The teacher also succeeded in guiding the students to develop their skills in writing a narrative text through the joint construction of a narrative text and finally the students could produce their own narrative texts in the independent construction stage.

The students' development in writing narrative texts through the framework of the genre-based approach indicates that the GBA can help students enhance their narrative writing skills. This suggests that the implementation of the GBA is applicable and appropriate to the teaching of writing in junior high school and that it will enhance the students' writing skills. The success of the program was supported by the teacher's scaffolding and explicit teaching during all stages.

The study suggests, therefore, that scaffolding and explicit teaching should be used in all stages of the GBA to help students to link old information or familiar situations with new knowledge through verbal and nonverbal communication and modeling behaviors. The teacher should facilitate the students' learning process in writing by building their understanding of content through various activities, giving them a good model of the text type and allowing the students to talk about their text with others so they can formulate their thoughts, generate ideas, and focus attention on the topics. Following peer critique and conferencing with the teacher, students should edit and revise their text to be ready for the publication.

References

Anderson, M & Anderson, K.(1997). *Text Types in English 2*. Australia: MacMillan Education Australia

Christie, F. & Derewianka, B.(2008). *School Discourse*. New York: Continuum

Cope, B., and Kalantzis, M. (1993). The power of literacy and the literacy of power. In B. Cope, B., and M. Kalantzis (Eds.), *The powers of literacy. A genre approach to teaching writing*. London: The Falmer Press.

Derewianka,B. (1990). *Exploring How Text Work*. Newtown: PETA.

Emilia, E (2005). *A Critical genre-nased approach to teaching academic writing in a tertiary EFL context in Indonesia.* A Ph.D thesis submitted to the University of Melbourne.

Feez, S. (2002). Heritage and innovation in second language education. In A.M. Johns (2002). (Ed.), *Genre in the classroom.* Mahwah, New Jersey: Lawrence Erlbaum Associates, Publishers.

Feez, S., & Joyce, H. (1998). *Writing Skills. Narrative and nonfiction text types*. Melbourne: Phoenix Education Pty. Ltd.

Gerot, L. & Wignell. (1995). *Making Sense of Text*. Sydney: Antipodean Educational Enterprises.

Gibbons, P. (2002). *Scaffolding language and scaffolding learning. Teaching second language learners in the mainstream classroom.* Pourthsmouth, NH: Heinemann.

Grabe, W. & Kaplan, B. R. (1996). *Theory & Practice of Writing.* New York: Longman.

Hammond, J., Burns, A., Joyce, H., Gerot, L. & Brosnan, D. (1992). *English for Social purposes: a Handbook for Teachers of Adult Literacy.* Sydney: National Center for English Language Teaching and Research.

Rothery, J. (1996). Making Changes: Developing Educational Linguistics. In R. Hasan, R. & G. Williams (Eds.), *Literacy in Society.* New York: Addison Wesley Longman Limited.

The theory and practice of blended foreign-language tasks

Jesse Gleason

Iowa State University
2105 Pearson Hall
Ames, IA 50010 USA
jgleas@iastate.edu

Abstract

How can systemic functional theory help shed light on the tasks that are teachers using to teach their blended foreign language (FL) courses as well as how learners perceive of these as learning tools? This paper attempts to answer this question using a functional analysis of participants' texts. Triangulation of data collection methods included online and direct participant observation, in-depth interviews, and textual documents. Using two complementary frameworks anchored in SFL, (a) the Knowledge Framework (Mohan, 1986) and (b) social practice theory (Mohan, 2011), this paper examines participants' theories about and practices during online and face-to-face FL learning tasks. Findings include theoretically anchored insight into how blended FL tasks can be understood and explained. This study holds implications for teachers, course developers, and researchers in the fields of SFL, applied linguistics, and computer-assisted language learning.

1   Blended Language Learning

Blended or hybrid language learning is becoming increasingly ubiquitous in many North American universities. Blended courses are commonly defined as those that include a face-to-face (F2F) instructional component as well as a technology-enhanced component (Neumeier, 2005). These courses can be attractive to both students and administrators in part due to their replacement of F2F time with online assignments. Rapid advancements in technology have made blended language courses and the tasks carried out therein intriguing objects for study. An important question when creating or investigating such courses is: What, if any, types of language learning tasks traditionally carried out in F2F modes are feasible and appropriate for synchronous online learning modes? As new options for online modes emerge, questions such as this become very complex.

A large amount of research in computer-assisted language learning CALL has been devoted to comparing traditional and blended language learning courses (Blake, et. al, 2008; Echavez-Solano, 2003; Murday, Ushida, & Chenoweth, 2008; Scida & Saury, 2006). Much of this literature either quantitatively compares blended and traditional academic outcomes or qualitatively focuses on a narrower snapshot of the blended classroom. A review of the research in this area has produced a need for theoretically backed, qualitative inquiry, which would help to understand and explain the goings-on within such academic spaces. Using two frameworks anchored in systemic functional theory, the Knowledge Framework (KF) (Mohan, 1986) coupled with social practice theory (Mohan, 2011), the current paper presents a finer-grained analysis than previous FL studies in CALL have provided. Specifically, it aims to show how the KF can help to interpret the "practice" discourse that students and teachers are using to carry out technology-mediated classroom tasks as well as the "reflection" discourse they use to relate their attitudes and ideas about technology-mediated language learning.

2   The Knowledge Framework and Social Practice Theory

The KF can be used in conjunction with social practice theory to provide the basis for relating social action and social interpretation (Mohan & Lee, 2006). Just as context adds meaning to language, language adds meaning to context (Mohan, 1986). Using the six knowledge structures (KSs) of the KF, as shown in Table 1, the action and reflection discourse produced during online and F2F tasks as well as teachers' and students' perceptions about these tasks can be better understood. By looking at not only what students *do* in the classroom, but also about what they *think* about what they do, we can also come to a greater understanding of the social practices carried out in these spaces.

Classification	Principles	Evaluation
Description	Sequence	Choice

Table 1. The Knowledge Framework.

Each KS has language features that help construct it and key visuals that accompany it. In the first column, description implies classification. In general, *description* is concerned with the who, what, and where. It asks questions about what persons, materials, equipment, items, and settings. *Classification* draws on description to answer questions about what concepts apply and how they are related to one another. In the second column, *sequence* answers questions about what happens and what happens next. It is concerned with the unfolding of the plot, the processes, procedures and routines. Sequence is linked to *principles* because causing (principles) results in a specific sequence. The principles are the cause-effect, means-end, methods and techniques, rules, norms, and strategies. Observing a sequence is more superficial than understanding a sequence or observing cause-and-effect relationships. Finally, in the third column, choice and evaluation are linked because choosing implies evaluating. *Choice* is concerned with the choices, conflicts, alternatives, dilemmas and decisions while *evaluation* pertains to the appropriate values and standards, what counts as good or bad, what the typical reasons are for choosing one object or course of action over another, and what the usual aims and goals are. These six KSs are not the only ones that might exist; however, they are of widespread use in the discourse people use to carry out a myriad of social practices.

According to Mohan (2011), a social practice is about both action and reflection. The KF distinguishes between 'reflection' (the topic) and 'action' (the speech act). While the three top boxes of the KF relate to theoretical background knowledge, the three bottom ones represent specific practical knowledge. These six KSs are "semantic patterns of the discourse knowledge, actions, artifacts, and environment of a social practice" (Mohan, 2011, p. 303). Together, they make up three sets of theory/practice (knowledge/action) pairs. The relationship between the KSs is dynamic, with theory reshaping practice and practice reshaping theory.

Few studies in CALL have used the KF and social practice theory to examine issues of language learning with technology (Mohan & Luo, 2005). Mohan and Luo emphasize the importance of systemic functional approach in CALL in order to interpret and understand the texts that students use and produce. In one of the few CALL studies that harness the KF and social practice theory, Luo (2005) explored native and non-native English-speakers' online discussion in a blended graduate seminar. This study shows how as discourse analysis tool, the KF coupled with social practice theory enable a functional analysis of participants' online

discourse. As the only one of its kind, it points to the need for additional research, especially that which uses triangulation of qualitative methods in order to compare the tasks that can be carried out within different types of blended language learning courses.

3   Methods

Two different variations of blended Spanish language courses were the objects of study for the present study. In the first course, termed *hybrid* for the purposes of this paper, F2F time was replaced by a synchronous online class using Voice-over-Internet Protocol (VOIP) in Adobe Connect™. In the second course, dubbed *blended traditional*, F2F time was supplemented with online homework tasks. Triangulated data collection within these courses included (a) 12 hours of recorded online and F2F observations, (b) approximately seven hours of in-depth interviews and (c) other textual documents, including sixteen classroom PowerPoint Presentations and eight online chat logs. The participants of this study consisted of Sr. Galvez and Sra. Fuente, the teachers of the hybrid and traditional blended courses respectively. It also included observation of 48 students, 20 from the hybrid course and 28 from the traditional blended, 12 of which agreed to participate in in-depth interviews.

For the functional analysis of texts, two tasks were chosen for comparison, both involving instruction and practice with indirect Spanish commands (ISCs). Whereas one task took place F2F in the traditional blended classroom, the other was carried out synchronously in Adobe Connect™. After the tasks, students and teachers were asked to discuss these their "theories" about such tasks during in-depth interviews. The action discourse from the tasks themselves and the reflection discourse from the interviews was the focus of the analysis, using the KF and social practice theory. Coding conventions will be consistent with those adopted in previous studies, such as Mohan and Slater (2006) and Slater and Mohan (2010). *Classification* and *description* will be identified using **bold typeface**, *principles* and *sequence* with SMALL CAPS, and *evaluation* and *choice* by underlined text.

4   Data Presentation and Discussion

Observation of the online and F2F tasks involving indirect Spanish commands (ISCs) allowed for several differences and similarities to emerge, as shown in Table 2.

Blended Traditional	Both	Hybrid
• Teacher asked for volunteers to read their homework answers	• Both tasks had two parts, a lecture followed by a homework check stage	• Teacher nominated students to read their homework answers
• Student asked a question and received explicit grammar instruction	• Students from both tasks had difficulty using correct gender and number	• Teacher used chat box to point out students' incorrect forms

Table 2. Differences and similarities between blended traditional and hybrid ISC tasks.

Both tasks began with a mini-lecture about the ISCs, which included an explanation of at least one of their two functions. Whereas Sra. Fuente explained both functions and gave examples, Sr. Galvez explained one of the functions and told students the specific subjunctive

mood in which the verb would be conjugated. Both instructors' preliminary explanations are juxtaposed in Table 3. Teacher texts are translated from Spanish.

Both Sra. Fuente and Sr. Galvez used *principles* (SMALL CAPS) in their explanations in order to explicitly state what ISCs are used for. While Sra. Fuente's explanation lasted a brief 35 seconds, Sr. Galvez's explanation using VoIP was longer, (1 minute, 23 seconds), and included various pauses. Sra. Fuente used facial expressions and hand movements to emphasize her meanings, while Sr. Galvez used other means, such as the arrow tool in Adobe Connect™ to keep the pace and make reference to different examples in the PowerPoint. Both teachers followed their explanations with a question-and-answer session. In the hybrid course, Sr. Galvez nominated students to give their answers and in the traditional blended course, Sra. Fuente asked for volunteers. Finally, students from both courses struggled to use number and gender correctly in Spanish.

Sra. Fuente (Traditional blended)	Sr. Galvez (Hybrid)
Very good, let's continue guys, indirect commands. WE USE THE INDIRECT COMMANDS WHEN ONE PERSON TELLS ANOTHER PERSON WHAT A THIRD PERSON SHOULD DO. Let Tomás do it [it: masc]. Let Tomás do it [it: fem]. ALSO, WE USE THE INDIRECT COMMANDS TO EXPRESS GOOD WISHES. 'Get well.' 'Have fun.' Okay?	*Now we pass to the indirect commands. THE INDIRECT COMMANDS IS A WAY TO DO THE SUBJUNCTIVE, subjunctive, your favorite topic. The easiest in the world. Subjunctive [typing in the chat box] we will do it every day from tomorrow onward…WHEN ONE PERSON TELLS ANOTHER A THREE SHOULD DO. I TELL SOMEONE WHAT A THIRD HAS TO DO…AND ALSO THEY ARE EXPRESSIONS.*

Table 3. A juxtaposition of Sra. Fuente and Sr. Galvez's Initial Explanation of ISCs.

After the homework had been checked, one student from Sra. Fuente's section, Tom, asked a question, stating that he thought the direct object pronoun should have been used instead of the indirect object pronoun. This gave Sra. Fuente the opportunity to use *evaluation* (underlined) to pronounce his alternative as incorrect. She the used *classification* (**boldface**) in order to better explain the difference between direct and indirect objects, as illustrated below[12]. While the original text is a mixture of Spanish and English, the Spanish has been translated.

Tom (T): Now number five. Wouldn't it be 'let him help TO THEM', cuz 'TO the clients'?*

*Sra. Fuente: THEM**, no, the sales representative helps the clients. In this case, **'the clients' is the direct object**. Okay? Okay? The sales representative helps the clients.*

T: Okay

*Sra. F: **'The clients' is the direct object, it's not indirect**. Let him (the sales rep) help him (the client). Yes, **the action is direct, that's why it's 'him'****. Okay?*

T: I got it.

This interaction between Tom and Sra. Fuente offered an opportunity to explore one of the key differences between the online and F2F tasks, namely the tendency of students in the F2F classes to ask the teacher questions in order to clarify their doubts about the contents covered in the homework. In contrast, during the two weeks of online observations, never once did a student in an online class ask a question. During the interviews, several students commented that this was because they did not feel comfortable asking questions online. Furthermore, these students said that the F2F mode offered more opportunities for understanding the

---

[12] *indirect object pronoun / **direct object pronoun / LARGE CAPS indicate heightened intonation.

spoken grammar of the ISC structure. Alex, for example, said that he would prefer the F2F task because "understanding the grammatical structure is not writing it down, it's speaking it and getting the feel for how it's supposed to sound." Other students also stated that they could understand ISCs better when they were in person with the teacher, as the following interaction with Keri illustrates.

> Researcher (R): *would you like to do something like this* [the task] *in class or online? Or which would be more helpful for you to learn the…*[ISCs]

> Keri: *I would say in class, just BECAUSE YOU CAN ACTUALLY SEE THE TEACHER TEACHING IT AND SHE CAN WRITE ON THE BOARD, whereas if you'd get it wrong or something, and she usually explains it to you, like what you have to do, whereas on the online I'd kinda get confused what I would have to do*

Keri uses *choice* and *evaluation* to prefer the F2F classes over the online ones for this type of task and *principles* to offer a rationale for why. Danny reiterated this when he said he felt that although the online lessons offered him a chance to understand when he had done something wrong, he often would not understand why.

> Researcher (R): *How do you feel about this activity, if it's more effective online or F2F*

> Danny (D): *I would say in person, personally, CAUSE YOU'RE GONNA BE ABLE TO ASK QUESTIONS AND… IT MIGHT BE QUICKER ONLINE but I would say it's going to be easier in person BECAUSE IF YOU DO START GETTING THESE WRONG, HOW DO YOU KNOW ONLINE WHAT YOU'RE DOING?*

Danny's interview discourse confirms the observations of online and F2F ISC tasks. Like Keri, he used *choice* to prefer the F2F classes for this type of task and *principles* to offer justification. In the F2F class, Tom was able to ask a question about indirect and direct object pronouns to understand why he had gotten an answer wrong. Sra. Fuente was able to respond to Tom's question using the KS of *classification* to explain why his answer was wrong. In the online classes; however, Danny's and other students' reluctance to ask questions precluded them from understanding why some answers were wrong. Whereas teachers from both delivery formats offered their students positive *evaluation* (e.g., "very good"), only in the F2F task did Sra. Fuente have the opportunity to use other KSs alongside *evaluation* to offer more robust justification for why a certain answer was erroneous.

Students' discourse during ISC tasks and their reflection about these tasks raises questions about if students are learning the ISC structures and if so, what about these tasks in online and F2F classes are helping them to do that? In particular, Alex's point about the speaking and reading aloud of ISCs helping him to understand the grammatical structure is noteworthy because it shows that he was conscious of Spanish speakers' use of ISCs to make meaning with language, as well as his desire to use them to this end. Debbie's interview discourse, below, conveys a similar viewpoint to that of Alex, in which she states that she would like to be able to use ISCs in real life, for conversation.

> Researcher (R): *What do you think about this type of task?*

> Debbie (D): *I don't really like this type of task as much **because they just kind of are 'spit out an answer'**. I mean, for people who don't understand how these* [ISCs] *work, I think they're great to start out with, but I feel that's all we did was this kind of activities, and I really want to actually be able to use this stuff in a conversation and I feel that* [the task] *didn't teach me how. IT JUST TAUGHT ME HOW THOSE ARE PUT TOGETHER and actually use it, and it's activities like that I'm used to, but they feel like I know how to do it but I don't know how to use it in normal, everyday stuff*

> R: *Okay, can you think of an activity that would better help you to learn how to use these?*

> D: *I don't know, some kind of role-playing…BECAUSE IT WOULD GIVE YOU A CHANCE TO USE OTHER STUFF YOU KNOW AND TRY TO MAKE IT WORK IN*

67

Debbie's use of verbs like *want, feel* and *think* makes apparent her *choice* and *evaluation* of roleplays as superior for FL learning. This brings up the issue of whether or not a roleplay or other types of tasks would better prepare or allow students to use the FL. It would appear, at least on the surface, that engaging students in a roleplay would be a logical follow-up to more form-focused tasks; however, it remains to be seen if such tasks are feasible for online delivery modes.

5 Conclusion

This paper has juxtaposed two tasks that teachers from different types of blended Spanish course used and examined students' reflection discourse about the quality of these tasks as learning tools. Social practice theory and the Knowledge Framework (KF) permitted a fine-grained analysis of the resultant action discourse from such tasks coupled with students' reflection discourse during in-depth interviews. Together, they facilitated a deeper interpretation of what students *know* (i.e. their personal theories) about technology-based tasks and what they *do* during such tasks. This knowing/doing or theory/practice duality helped explain participants' theories about certain blended FL tasks. The findings of this paper in particular point to the setbacks of using certain tasks, such as the ones described for learning ISCs, for use with online delivery modes. One major question that remains pertains to how other types of blended FL tasks are playing a role in students' language development. While this study has focused on participants' theories and the tasks themselves, future research must examine the role of different blended FL tasks in students' Spanish literacy development.

References

Blake, R., Wilson, N. L., Cetto, M. & Pardo-Ballester, C. (2008). Measuring oral proficiency in distance, face-to-face and blended classrooms. *Language learning and technology, 12*(3), 114-127.

Echavez-Solano, N. (2003). *A comparison of student outcomes and attitudes in technology-enhanced vs. traditional second semester Spanish language courses.* Unpublished doctoral dissertation, The University of Minnesota.

Luo, L. Y. (2005). *A systemic functional perspective on native and non-native English-speaking students' online discussion in a mixed-mode graduate seminar.* Unpublished doctoral dissertation, The University of British Columbia.

Mohan, B. (1986). *Language and content.* Reading, MA: Addison Wesley.

Mohan, B. A. (2011). Social practice and register. In E. Hinkel (Ed.) *Handbook of research in second language learning and teaching*, v. 2 (pp. 57-75). New York, NY: Routelage.

Mohan, B. & Lee, G. I. (2006). Linking interpretive research and functional linguistics: From learning projects to teaching projects. In G. H. Beckett & P. C. Miller (Ed.) *Project-based second and foreign language education*, pp. 263-280.

Mohan, B. & Luo, L. (2005). A systemic functional linguistics perspective on CALL. In J. L. Egbert & G. M. Petrie (Eds.) *CALL research perspectives*. Mohwah, NJ: Lawrence Erlbaum.

Mohan, B. & Slater, T. (2006). Examining the theory/practice relation in a high school science register: A functional linguistic perspective. *Journal of English for Academic Purposes, 5,* 302-316.

Murday, K., Ushida, E., & Chenoweth, N. A. (2008). Learners and teachers perspectives on language online. *Computer Assisted Language Learning, 21*(2), 125-142.

Neumeier, P. (2005). A closer look at blended learning: Parameters for designing a blended learning environment for language teaching and learning. *ReCALL 17*(2), 163-178.

Scida, E. E., & Saury, E. R. (2006). Hybrid courses and their impact on student and classroom performance: A case study at the University of Virginia. *CALICO Journal, 23*(3), 517-531.

Slater, T. & Mohan, B. (2010). Cooperation between science teachers and ESL teachers: A register perspective. *Theory Into Practice, 49*, 91-98.

"I rest my case": Linguistic resources used by successful young writers of persuasive texts

Damon Thomas & Angela Thomas

The University of Tasmania
dpthomas@utas.edu.au   Angela.Thomas@utas.edu.au

Abstract

This paper investigates persuasive strategies used by 15 Tasmanian year 5 students who scored highly on the written component of the 2011 NAPLAN test. The texts were analysed with two frameworks, the first drawn from APPRAISAL theory and the second from classical rhetoric. Initially, the ENGAGEMENT system (see White, 2003; Martin & White, 2005) was used to examine linguistic resources deployed by these students to adopt stances toward the views of others and to include their readers as discourse participants. Secondly, the analysis sought to uncover figures of speech from STYLE, the third canon of classical rhetoric (see Aristotle, trans. 2004), deployed by the students to achieve a number of persuasive effects. Lastly, the analysis was used to outline how resources from each tradition were sometimes deployed in pairs or clusters by the students. This paper presents work-in-progress for the development of a systematic picture of students' rhetorical capabilities across years 3, 5, 7 and 9.

1   Persuasive Writing in Australian Schools

Since 2008, all Australian students in years 3, 5, 7, and 9 have been required to complete a series of standardised tests known as the *National Assessment Program - Literacy and Numeracy* – or *NAPLAN* for short (ACARA, 2011). In 2011, the written component of these tests shifted from its traditional focus on narratives to persuasive writing for the first time, with students from each grade tasked with responding to the prompt that *Australians are spending too much money on toys and games*. Such a corpus of work provides unique opportunities for researchers seeking to investigate Australian primary and high school students' persuasive writing strategies.

2   A Functional Approach to Persuasive Writing

Halliday's (1977) influential approach to language – known as Systemic Functional Linguistics (hereafter SFL) – seeks to explain the variety in language use across social practices. Central to SFL is the notion that all languages are metafunctionally organised, in that they feature three semantic components, or metafunctions, that operate simultaneously (Halliday & Hasan, 1993). The first two metafunctions – known as the *ideational* and *interpersonal* – relate to phenomena outside language, while the third – known as the *textual* – involves the phenomena created by language itself (Matthiessen & Halliday, 1997). Specifically: the *ideational* metafunction is concerned with the linguistic resources used to construe experiences with the world; the *interpersonal* with interactions between people, including the grammatical resources for enacting social roles, dialogic interactions, and interpersonal relations; and the *textual* with the presentation of *ideational* and *interpersonal* meanings through text creation (Matthiessen & Halliday, 1997; Halliday, 2003). As this paper seeks to explain the strategies students use to stance texts and position their readers, this involves an examination of resources found within the *interpersonal* metafunction.

At the interpersonal level, meaning is co-articulated by three discourse semantic resources – known as INVOLVEMENT, NEGOTIATION, and APPRAISAL (Martin & White, 2005). While INVOLVEMENT is concerned with non-gradable resources for negotiating tenor relations, such as solidarity (Martin & White, 2005), and NEGOTIATION is concerned with interactive aspects of discourse (Martin, 1992), APPRAISAL focuses on the resources used

by speakers and writers to present attitudes, judgements and emotive responses (White, 2001). As APPRAISAL theory allows researchers to "explore, describe and explain the way language is used to evaluate, to adopt stances, and to manage interpersonal positioning" (White, 2001, p. 1), it is highly relevant for examining students' persuasive writing strategies.

2.1 The APPRAISAL Systems

APPRAISAL theory is composed of three systems "along which a writer's intersubjective stance may vary" (Martin & White, 2005, p. 1)[13]. One of these systems – known as ENGAGEMENT – can be used to explore the linguistic resources used to "adopt a stance towards the value positions being referenced by the text and with respect to those they address" (p. 92). This system is of particular relevance when examining persuasive texts, as it indicates how authors acknowledge and engage with the views of others to position their audience as discourse participants. As suggested by Swain (2010), persuasive writing involves "comparing and contrasting positions, expressing degrees of agreement and disagreement, and acknowledging and refuting other points of view" (p. 296), and from a functional perspective, ENGAGEMENT plays a vital role in achieving such processes.

2.1.1 ENGAGEMENT

White (2003) proposed a system network to outline the resources of ENGAGEMENT, as follows:

deny
no, didn't, never

disclaim

counter
yet, although, amazingly, but

affirm: *naturally, of course, obviously etc*

concur

concede: *admittedly…[but]; sure….
[however] etc*

contract

proclaim

pronounce:
*I contend, the facts of the matter are..
indeed*

heterogloss

endorse,
*the report demonstrates/shows/proves
that...*

entertain
*perhaps, it's probable that, this may be, must,
it seems to me, apparently, expository questions*

expand

acknowledge
*Halliday argues that, many Australians
believe that..it's said that, the report states*

attribute

monogloss

distance,
Chomsky claimed to have shown that...

Figure 1: The ENGAGEMENT system (adapted from Martin & White, 2005, p. 134)

ENGAGEMENT is inspired by Bakhtin's (1981) perspective on dialogism and heteroglossia (Martin & White, 2005). The framework's first line of distinction is drawn between the dialogically engaged heterogloss – utterances which acknowledge more than one view – and the undialogised monogloss – which do not acknowledge such diversity (Miller, 2004). Heteroglossic resources are categorised as those that contract or expand dialogue (White, 2003). In this way, utterances can acknowledge more than one view, yet increase or

---

[13] For in-depth descriptions of each APPRAISAL system see Martin and White (2005).

decrease an interpersonal cost for any reader who objects to the position presented by the authorial voice (Martin & White, 2005). While a detailed account of each resource can be found in White (2003) or Martin and White (2005), this short paper highlights the four most commonly used ENGAGEMENT resources in the data set, namely: monoglossic utterances; ENTERTAIN; DENY; and AFFIRM.

3   Classical Rhetoric

The second view of language used to examine the data set is *classical rhetoric*, the origins of which lie in 5th Century BC Greece (Kennedy, 1999). Classical rhetoric is chiefly associated with persuasive discourse, and consists of numerous linguistic resources that assist speakers or writers to persuade others (Corbett & Connors, 1999). For pedagogical purposes, classical rhetoric has been split into five canons, or parts, which can be drawn from to assist speakers and writers to *invent, arrange, stylise, memorise*, and *deliver* persuasive texts. Important to the third canon, known today as STYLE, are a number of linguistic rules that can be used to add a sense of balance to arguments, emphasise and restate key points, achieve smooth transitions between parts of a text, improve syntax and clarity, increase dramatic elements, and produce euphony and rhythm in the language used (Harris, 2003). In fact, Corbett and Connors (1999) described the basis of STYLE as the composition of words in phrases or clauses, with specific rules outlined for speakers and writers to achieve numerous rhetorical purposes. These rules for stylising text are commonly referred to as *figures of speech.*

3.1.1   Figures of Speech

All figures of speech are classified as *schemes* (meaning *form*) or *tropes* (meaning *to turn*) (Corbett & Connors, 1999). Schemes are characterised by a *transference of regular word order*, as in Winston Churchill's speech in the House of Commons, when he stated:

> *We shall fight on the beaches, we shall fight on the landing-grounds, we shall fight in the fields and in the streets, we shall fight in the hills* (June 4, 1940).

This is an example of *anaphora*, a figure of speech where the same word or words are repeated at the beginning of successive phrases, clauses, or sentences (Harris, 2003). Alternatively, tropes are characterised by transference of regular meaning, as in *metaphor* where two different things are compared by speaking of one in terms of the other (Harris, 2003). Although more than 200 figures of speech have been identified (Joseph, 1947), 33 were selected for this research from the work of Harris (2003) and Corbett and Connors (1999), as being particularly relevant for modern day students. Corbett and Connors (1999) stressed the need for teachers to draw attention to this aspect of students' writing, as it increases their awareness of the figurative resources they deploy, often unconsciously. In addition, the principles of rhetoric can be used to analytically break down the persuasive texts of others, exposing the rhetorical strategies they used to stylise their arguments (Corbett & Connors, 1999). This paper highlights four commonly used figures by the year 5 students, and explains where they were paired with resources of ENGAGEMENT.

4   Data Analysis

To discover the linguistic resources used by the fifteen year 5 students, their texts were imported into NVivo 9 and coded for instances of the 17 ENGAGEMENT resources (White, 2003; Martin & White, 2005) and the 33 figures of speech (Harris, 2003; Corbett & Connors, 1999).

4.1 Results

Monoglossic utterances were the most common ENGAGEMENT resource, deployed by all students a total of 117 times. Monoglossic utterances "do not overtly reference other voices or recognise alternative positions", but are rather construed as single voiced and undialogised (Martin & White, 2005, p. 99). Here are two examples as deployed by students[14]:

> *Peter[15]: Expensive toys are a parent's worst nightmare.*
> *Teresa: Buying too many toys is just as bad as gambling!*

Such bare assertions are presented as factual, without dialogistic alternatives. The students deployed numerous figures of speech alongside bare assertions, the most common being *alliteration*. This type of scheme involves the repetition of initial consonants in two or more adjacent words, and is useful for contributing to the euphony and structure of verses (Corbett & Connors, 1999). An example from the texts of this pairing is as follows:

> *Rachel: Learning how to save is crucial for their <u>future financial</u> safety. <u>Furthermore...</u>[16]*

According to Harris (2003), *alliteration* calls attention to a phrase, emphasises it, and fixes it in the reader's mind. Overall, this scheme was deployed by all students a total of 51 times. Aside from bare assertions, the 15 students also deployed a total of 168 heteroglossic utterances that acknowledged a diversity of viewpoints. The most common of these was the expansive ENTERTAIN, deployed by all students a total of 70 times, as in the following examples:

> *Rachel: Spending too much money on toys and games might lead to an unhealthy society.*

> *Anna: Toys and games can be very educational.*

Here, the authorial voice indicates that its position is "but one of a number of possible positions and thereby makes dialogic space for those possibilities" (Martin & White, 2005, p. 104). So while Rachel has stated that spending too much money on toys *might* lead to an unhealthy society, this entertains the notion that it also *might not*. A number of figures were deployed alongside ENTERTAIN, including a scheme known as *metabasis*. Nine students paired these resources across 19 statements. *Metabasis* consists of a brief statement of what has been said, or of what will be said, and serves the function of keeping discussions ordered and clear (Harris, 2003). The following example features ENTERTAIN and *metabasis* deployed in the same proposition:

> *Aaron: Now to my final topic, people may need a game or two to help build a relationship.*

Metabasis here serves to transition readers smoothly to the writer's final topic, while his use of ENTERTAIN serves to show that playing games is but one of many methods people may use to build relationships. *Metabasis* was deployed by 13 of the students 46 times. Following ENTERTAIN, the next most common ENGAGEMENT resource was the contractive DENY, deployed by 14 students a total of 34 times, as in the following examples:

> *Shelley: You can take a book anywhere, while you do not see people lugging TVs around, do you?*

> *Rachel: Saving money is a big part of that education that is not taught in schools!*

As these examples show, DENY involves the authorial voice directly negating an opposing view (White, 2003), in Shelley's case that people can be seen lugging TVs around,

---

[14] Students' spelling or grammatical errors have been corrected for ease of reading.
[15] Pseudonyms have been used in place of students' names.
[16] Underlining in this example indicates alliteration.

and in Rachel's that saving money is taught effectively in schools. The most common figure of speech deployed alongside DENY was *metaphor*, with these resources paired 10 times by six students. *Metaphor* is a well known trope that involves an implied comparison between two things of unlike nature (Corbett & Connors, 1999). An example of DENY and *metaphor* deployed alongside each other can be seen in the following example:

> David: *Adults are also held under the spell of toys and games, not only children.*

Here David uses the *metaphor* of being *held under a spell* in reference to the often addictive and harmful nature of toys and games, whilst simultaneously *denying* a challenging viewpoint that this issue only affects children. Considered separately from DENY, *metaphor* was used by 14 of the 15 students, 41 times. Following DENY, the fourth most commonly used ENGAGEMENT resource – and the last for this short paper – was the contractive AFFIRM, deployed by two thirds of students across 22 propositions, as in the following:

> Jacob: *What would you do, and how would you feel, if you woke up one Christmas morning to find*
>
> *everyone had deserted you?*
>
> Samuel: *Do you want to live longer, or not?*

While these examples do not follow the regular AFFIRM formulation – namely those propositions featuring locutions such as *of course, naturally, or certainly* to announce the agreement of some projected dialogic partner – the effect of these rhetorical questions is the same in assuming an obvious response (Martin & White, 2005). In this way, the audience is positioned to respond to Samuel's question that *of course* they want to live longer! The use of AFFIRM presents writer and audience as so thoroughly aligned that their agreement is essentially taken for granted (Martin & White, 2005). While not commonly deployed alongside AFFIRM, a well-known trope named *hyperbole* featured prominently alongside many ENGAGEMENT resources. This figure involves "the use of exaggerated terms for the purpose of emphasis or heightened effect" (Corbett & Connors, 1999, p. 403). An example of AFFIRM and *hyperbole* used in the same statement is as follows:

> Jacob: *If kids have no toys, the most likely thing they will be doing is housework. How would you like*
> *to die a painful death of boredom?*

The notion that doing housework will lead to a *painful death of boredom* is clearly hyperbolic, while the use of AFFIRM aligns the reader with the writer and positions them to respond that such an experience would not be pleasant. Harris (2003) stated that while examples of *hyperbole* such as the above have a useful place in English classes today, it should be handled with care. Overall, *hyperbole* was deployed by 13 students in 47 statements, making it the second most commonly used figure within the data set.

5 Conclusion

In a study comparing high and low scoring persuasive texts written at the tertiary level, Swain (2007) found that successful students drew on a "wider range of resources from the different subsystems of ENGAGEMENT, and showed a more even balance between expanding and contracting resources" (p. 292). The present study is consistent with Swain's findings, demonstrating that even at the primary level, children as young 11 or 12 can successfully persuade readers with a range of ENGAGEMENT resources from each subsystem. Young writers who hold a command over these and other linguistic resources are advantaged in being able to draw upon them in any circumstance – even stressful conditions such as NAPLAN tests. While this paper sought to highlight the range of ENGAGEMENT resources deployed by successful young writers in one context, and how they sometimes paired these with various resources from STYLE, the scope of this paper prevents a fuller

account of how such pairings served to align or disalign readers with the propositions advanced by the authorial voice and/or those of others introduced into the text by attribution, and indeed how such pairings enabled the author to establish points of solidarity with readers. Instead, it is intended to open up possibilities for further exploration into how successful primary students combine resources from across APPRAISAL systems, metafunctions, and even systems beyond SFL, in their efforts to persuade others. Exciting work remains in analysing the resources used by other successful students from years 3, 7 and 9, to determine whether even younger writers can deploy a similar range of resources, whether students at each grade level pair resources differently, and to compare their strategies in stancing texts and how these position readers. Additional research in this area is needed to discover whether students use these resources by accident or as a result of teaching, and whether the skills they demonstrate match those outlined in the Australian English Curriculum. If it is found that successful students use linguistic strategies that are not specified in the Curriculum at the appropriate grade levels, this may be to the detriment of less successful students who haphazardly engage in the art of persuasion.

References

Aristotle. (trans. 2004). *The art of rhetoric*. London, England: Penguin Books.

Australian Curriculum Assessment and Reporting Authority [ACARA] (2011). *NAPLAN – Writing test FAQs*. Retrieved February 28, 2012, from http://www.nap.edu.au/

Bakhtin, M. (1981). Discourse in the novel. In M. Holquist (Ed.). *The dialogic imagination* (pp 259-422)*.* Austin, TX: University of Texas Press.

Corbett, E.P.J., & Connors, R.J. (1999). *Classical rhetoric for the modern student* (4th ed.). New York, NY: Oxford University Press.

Halliday, M. A. K. (1977). Text as semantic choice in social context. In T. A. Van Dyck & J. Petrofi (Eds.). *Grammars and descriptions.* Berlin: de Gruyter.

Halliday, M. A. K. (2003). *On language and linguistics.* London: Continuum.

Halliday, M. A. K., & Hasan, R. (1993). *Language, context, and text: Aspects of language in a social-semiotic perspective.* Victoria, Australia: Deakin University Press.

Harris, R.A. (2003). *Writing with clarity and style: A guide to rhetorical devices for contemporary writers*. Los Angeles, CA: Pyrczak Publishing.

Joseph, M. (1947). *Shakespeare's use of the arts of language.* New York, NY: Columbia University Press.

Kennedy, G. A. (1999). *Classical rhetoric & its Christian and secular traditions from ancient to modern times* (2nd ed.). Chapel Hill, NC: University of North Carolina Press.

Martin, J. R. (1992). *English text: System and structure.* Amsterdam: Benjamins.

Martin, J. R., & White, P. R. R. (2005). *The language of evaluation: Appraisal in English.* New York, NY: Palgrave Macmillan.

Matthiessen, C. M. I. M., & Halliday, M. A. K. (1997). *Systemic functional grammar: A first step into the theory.* Retrieved February 16, 2012, from http://web.mac.com/cmatthie/iWeb/SMMG_resources/Mendoza_2006_Course_Description_files/SFG_First_Step_1.pdf

Miller, D. (2004). "...to meet our common challenge": ENGAGEMENT strategies of alignment and alienation in current US international discourse. *Textus, 14*(1), 39-62.

Swain, E. (2007). Constructing an effective "voice" in academic discussion writing: An appraisal theory perspective. In, A. McCabe, M. O'Donnell, & R. Whittaker (eds.). *Advances in language and education.* London: Continuum.

Swain, E. (2010). Getting engaged: Dialogistic positioning in novice academic discussion writing. In E. Swain (Ed.). *Thresholds and potentialities of systemic functional linguistics: Multilingual, multimodal and other specialised discourses* (pp. 291-317). Trieste: Edizoni Unversità di Trieste.

White, P. R. R. (2001). *Appraisal: An overview.* Retrieved March 5, 2012, from http://grammatics.com/appraisal/AppraisalGuide/Framed/Appraisal-Overview.htm

White, P. R. R. (2003). Beyond modality and hedging: A dialogic view of intersubjective stance. *Text, 23*(2), 259-284.

Register and genre in model letters for writing instruction

Ho Theen Theen and Sridevi Sriniwass

Faculty of Languages and Linguistics, University Malaya, Malaysia

Abstract

This paper reports on a study where text analysis and qualitative research methodology were used convergently with a Systemic-Functional theoretical framework to explore how Register and Genre were realized in pedagogic models for second-language writing instruction and subsequently given attention by teachers in teaching-learning activities. It was found that there were broad similarities in the Register and Genre traits of the models chosen by teachers. In contrast, there was considerable diversity in what teachers emphasized and their tolerance towards the extent of similarity between learners' work and the models provided. The most discernible traits of layout and vocabulary tended to be emphasized by teachers over less-evident lexicogrammatical patterns. Also notable was teachers' perceived phasing out of informal letters and the relative insignificance of formal letters in their learners' personal experience against the broader background of the role of written communication in English within a multilingual Malaysian society. This suggests that choice of Genre and more systematic attention to details of Register (beyond layout and vocabulary) merit greater attention in writing instruction for learners of English as a second language in Malaysia.

1 Background: The English Language in Malaysia

The English language in Malaysia continues to be associated with socio-political controversy due to the country's unique historical and demographic characteristics (Awang Had Salleh, 2006; Ridge, 2004). While the national language of Malay (*Bahasa Malaysia*) is the principal language of governance used in all government-related matters, English is recognised as an official language and thus widely used in commercial and legal transactions, particularly in the private sector. It is also used as the primary language of certain social groups, as well as being the dominant medium of instruction in tertiary education. Hence, there is a diverse range of contexts and purposes for the use of the language in Malaysia. Currently, English is taught as a compulsory subject in all government schools at primary and secondary level (Ambigapathy Pandian, 2004). The Malaysian secondary-level English Language syllabus acknowledges that students need exposure and practice in a variety of contexts with its stated aim to meet learners' "… needs to use English **in certain situations** in everyday life, for knowledge acquisition, and for future workplace needs." (Curriculum Development Centre, 2000, p. 2, emphasis added) This skills-based syllabus is non-prescriptive in general, apart from some suggested text types. There is thus considerable latitude for teachers to select materials and teaching-learning contexts for classroom use.

2 Genre Theory and Research in Writing Instruction

Based on the principle that the form of language is shaped by the social circumstances of its use, this paper takes the sociosemiotic view of language distinctive of Systemic-Functional linguistic theory (Halliday, 1978; Halliday & Matthiessen, 2004). This enables a finer understanding of the "certain situations" in the Malaysian syllabus in terms of Register and Genre, with regard to the immediate situation and the wider socio-cultural context respectively. Hence, Register is construed as the "three main dimensions of variation" (Thompson, 2004, p. 40)—or Field, Tenor and Mode—which characterise any situation. Likewise, of the three perspectives on genre discussed in Hyon (1996), most relevant to this study is the frequently-quoted definition of Genre in Systemic-Functional Linguistics (SFL) as being a characteristic of texts with stages that are oriented towards certain social goals.

Genre-related studies on writing instruction with a SFL perspective have focused on the effectiveness of the genre-based approach to writing instruction (Hyland, 2007; Thwaite, 2006), the role of genre in language education (Christie & Dreyfus, 2007; Gibbons, 2003) subject-specific genres (Coffin, 2006; Schleppegrell, Greer, & Taylor, 2008; Slater & Mohan, 2010) and tertiary-level academic genres (Coxhead & Byrd, 2007; Johns, 2008). However, these studies have mostly been conducted in settings where English clearly has sociolinguistic dominance, in contrast to the research setting of this study, wherein the sociolinguistic role of English is not as clearly defined. Since Register and Genre in SFL are inseparable from the sociolinguistic environment of language use, this difference is seen as a significant factor. Likewise, this study does not focus on the genre-based approach per se since the Malaysian English Language syllabus does not specify any particular approach to writing instruction. Writing instruction in Malaysian schools is in fact fairly well studied in postgraduate work, but this body of work is largely unpublished (for instance, Abdullah Yusoff, 2006; Chan, 2007; Chow, 2007). As for published research similar to this study, these tend to be on issues of methodology rather than based on linguistic theory, like the work by Jalaludin et. al. (2011), Kok Eng and Miller (2007), and Nik et. al. (2010).

3   Methodology: An Integrated Approach

The findings reported in this paper are part of a larger investigation focusing on the realisation of Register and Genre in model texts for writing instruction and how this is reflected in the use of the model texts in teaching-learning activities. The model texts concerned are formal and informal letters, which are text types specified in the Malaysian English Language syllabus for Form 4 (the penultimate year of secondary school). A total of 22 model letters were examined, as used by 16 teachers in 4 different schools, including cases of the same model letter being used by different teachers in different schools.

The letters were first analysed for features of Register and Genre based on Systemic-Functional theory. Thus, under Register, the texts were analysed according to Field, Tenor and Mode, as demonstrated by Butt et. al. (2000). Under Genre, the analysis included the purpose of the texts and the stages identified, after Eggins (2004). Subsequently, the actual lessons in which the model letters were used for writing instruction were observed and the teachers concerned were also interviewed. After processing, the transcript data was then analysed for content using the same Systemic-Functional theoretical "lens", with the objective of examining which of the features of Register and Genre identified from text analysis were given attention by teachers, and how this was done.

Both text and transcript analyses were based on Systemic-Functional theory, but the detailed analyses cannot be included in this paper due to spatial constraints. All the analyses were done manually and documented using a spreadsheet application to facilitate the summarising and synthesising of the findings. It is strongly believed that the convergent application of text analysis and qualitative research methodology in the bilateral approach here led to a clearer understanding of how Register and Genre figure in writing instruction, based on the multi-perspectival view offered by the triangulation of different sources of data.

4   Findings

4.1   Realisation of Register and Genre

The model texts chosen by teachers could be categorised into 3 genres according to the purpose and component stages identified. It is noted that these 'genres' are not those typically discussed in similar research—as in narrative, expository or recount (Martin & Rose, 2008)—but rather examples of "frequently occurring, culturally-embedded social processes which involve language" (Thornbury, 2005, p. 94). The model letters are very similar in terms of Register, as summarised broadly in Table 1 below. It can be seen from these features that the models are generally simple and highly typical of the text type.

Genres identified	Formal letter of complaint	Informal letter of advice	Informal letter recounting events
Field features	Situations are commonplace and within students' experience, hence vocabulary is low in technicality.		
	Mostly, Material processes are used to describe the problem and desired actions. Participants are mostly non-human, and human agency is minimised with passive constructions	More Relational and Mental processes are used to describe relationships and emotions. Participants are mostly human. Agency is shown clearly most of the time.	
	The tense used is predominantly present, indicating the immediacy of the situation	Mostly present tense for giving advice	More use of past tenses to describe past events
Tenor features	The writer is writing to a receiver who is higher in social hierarchy in a relationship of infrequent contact and low affective involvement	The writer is writing to a receiver who is a peer in an equal, non-hierarchic relationship of fairly frequent contact and high affective involvement	
	Speech acts are mostly congruent (declarative Mood for statements) except for distancing phrases showing respect and deference, in particular "I/We would like to…"	More instances of incongruence found (declarative Mood for commands).	No incongruence found
	The first person is used in all the letters, but very few vocatives are found, even in the informal letters. Numerous formulaic expressions of politeness are found, particularly in informal letters. Extensive use of modals is found in all letters.		
Mode features	All the models are part of two-way communication showing language as action rather than reflection (except for the recounts). Themes are mostly unmarked. As for thematic progression, texts typically have a constant theme or zigzag pattern of progression. Cohesion-wise, sentences are mostly linked by proximity to each other, with a few simple conjunctions. Unusually, more instances of nominalisation are found in the informal letters than the formal letters.		

Table 1: Similarities in features of Register in model letters

4.2   Presentation of Register and Genre

In contrast to the general similarity of model letters chosen, individual teachers chose to emphasise different features in their teaching-learning activities. The following section presents four themes that emerged from the content analysis of interviews and observations: focus on layout, language, content and overall structure. Where relevant, illustrative excerpts from interviews and observations are given, but these are necessarily brief.

> *I will always go for the format first. Y'know, I will make it clear to them that this is how it looks like, y'know, and then I will go, like drilling them, right, this is how you write the address*

As in the excerpt, teachers had 'format' as the first response when asked to identify what aspect they would emphasise to their students for the two text types. This was always carried through in the teaching-learning activities, often with a disproportionate amount of time spent on it. By 'format' they meant the layout of the letters, as in the placement of the sender's and recipient's addresses salutations and signing off. This concern with layout included details like the precise positions (left or right, how far apart) of the various components on the page, line spacing, numbering, underlining and even capitalisation and punctuation. Examples were identifying the correct recipients and addressing them appropriately (*Dear Sir, Dear Madam* or *Dear Mr X*), addressing recipients with a more intimate relationship (*Dear John, Dearest mum*) and ways of signing off (*Yours sincerely* or *Yours faithfully*, or *With love, Your friend,* and *Your loving cousin*). Many teachers even stipulated an exact reproduction in their students' writing of the physical layout in the model letters (*You look at the greetings there, /Dear Sir/, some of you, you forget to put the comma already. Please refer to the example that I've given to you*). Some teachers did include explanations that link aspects of layout to features of Tenor (*…because this is somebody whom you know so you can just sign your name*), but these were the exceptions.

> *…use some short, use some long sentences, use some simple sentences, use some compound, use some complex sentences … You have to think, oh, should I use past tense or present tense? Or other tenses—past continuous, present continuous? Ok, you have to think, don't just write without thinking, because that is the—if you write without thinking, you will commit a lot of mistakes*

As illustrated above, language was also a main focus stated and applied by teachers. Here, "language" refers mostly to correct sentence structure and vocabulary. The former included specific aspects like tenses and the use of connectors (Adjuncts) being highlighted by some teachers, but this was not linked specifically to aspects of Tenor. For instance "distancing" phrases like *I regret to inform…* and *I/we would like to…* were present in the models but not highlighted. The value placed on grammatical accuracy is based on the weightage in the marking scheme used in compulsory public examinations. The teachers were hence more concerned over basic grammatical accuracy, correct spelling, and punctuation than whether students used the appropriate structures for the register and genre. As for vocabulary, there was some emphasis on Field-specific vocabulary like the use of modal auxiliaries and other typical phrases for giving advice (*it is important/useful to…, Remember to…*), but this was not a major concern since the Field in the model letters was not specialised. Some teachers also pointed out that the letters need to have the appropriate tone and level of formality, which is a direct reference to Tenor. However, this was presented in vague, generalised terms (*try to be polite, use the appropriate tone* and *friendly, just like you are talking to someone*) without specific examples of words or phrases.

The third area of emphasis identified was content, which included the "situation"—purpose of writing, identity of writer and recipient, and the general topic. Thus this content is related mainly to Field and Tenor. A common practice was to provide the main points of the letter, since this is the form in which writing tasks are given in the public examination that the

students will take at the end of secondary school. Subsequently, the emphasising of content was done in the form of demonstrating how to elaborate on the given points, since marks were awarded for this in the examination (*And then they also get low marks because they ... they do not elaborate their points well*). A large proportion of time spent on what the teachers considered "content" actually consisted of comprehension-focused discussions centred on vocabulary items found in the model letters or the task itself, including translation into Malay.

Finally, the teachers also gave attention to the structure of the letters, i.e. the contents of sequential paragraphs. The most heavily emphasised part of the letter was the purpose or reason for writing, which was to be presented in the first paragraph of the letter. This reflects an awareness of the stages in different genres; particularly in the formal letter, in which the following stages were highlighted by teachers: purpose of writing, explanation of problem, suggested solution and hope for action. However, the stages of the informal letters were not as well-defined—teachers used the labels *opening*, *introduction*, *body* and *conclusion*—hence not as clearly related to the purpose of the letter.

These four emphases were said to be necessary because the genres concerned are not within the students' personal experience. Students do not actually write formal and informal letters outside school, the former because of their status as minors and the latter because of the availability of faster communication channels such as texting, email and the like. The teachers acknowledged that they themselves do not write letters anymore, but they maintained that it is still necessary for students to know how to write these for future needs (*I believe at one point of their life they might have to produce this kind of letter*). Furthermore, the teachers were confident that if these students did write letters, they would use exactly the same layout (format) taught in school (*It's more or less the same. This is just a guidance for them*). This suggests that while these two genres—formal letters of complaint and informal letters—may not be phased out for now within the larger sociolinguistic context of written communication in Malaysia, they are not likely to evolve as genres based on writing instruction received in school. Conversely, it also implies that if these genres are actually undergoing changes in society at large, then writing instruction may not reflect authentic language usage.

5 Conclusion: Going Beyond the Obvious

It can be seen that the teachers studied have engaged in a rudimentary form of genre analysis in deciding which aspects of the model texts to emphasise in writing instruction. However, the features emphasised tended to be those which are immediately obvious (like layout), but which are also relatively insignificant as markers of Register and Genre. This indicates that teachers may be treating texts in a formulaic way, which could be partly due to the prevalent examination-focused orientation. From a linguistic point of view, this tendency towards prescriptiveness does not reflect the complex and dynamic nature of genres as used in society, but it is not entirely surprising given that most of the teachers feel that their students do not write letters outside school, and are not likely to do so even after leaving school.

This study has highlighted the role of model texts in writing instruction, wherein these texts represent the kind of written communication that learners need to engage in if they are to function in the community that they are a part of. The findings suggest that a review of the range of genres currently included in the Malaysian English Language syllabus is in order, if the syllabus is to remain relevant to the needs of learners. This may be supported—ideally— by training for teachers in how the systematic identification of features of Register and Genre can be incorporated into their preferred approach to writing instruction. It is believed that

such training can help teachers to deal more effectively with the matter of situational language use in their choice and utilisation of instructional materials. This could help them to guide learners to better address the "certain situations" found in the aim of the Malaysian syllabus presented in the opening to this paper.

References

Abdullah Yusoff. (2006). *Deaf children and writing : A survey of Malaysian deaf children's essay writing with specific reference to Kelantan.* (Doctorate thesis), University of Birmingham.

Ambigapathy Pandian. (2004). English language teaching in Malaysia today. In W. K. Ho & R. Y. L. Wong (Eds.), *English language teaching in East Asia today: Changing policies and practices* (pp. 272-293). Singapore: Marshall Cavendish.

Awang Had Salleh. (2006). Shifts in policies and approaches vis-a-vis English Language education in Malaysia. In A. Hashim & N. Hassan (Eds.), *English in Southeast Asia: Prospects, perspectives and possibilities* (pp. 1-8). Kuala Lumpur: University of Malaya Press.

Butt, D., Fahey, R., Feez, S., Spinks, S., & Yallop, C. (2000). *Using functional grammar* (2nd ed.). Sydney: Macquarie University.

Chan, W. F. (2007). *The effects of time constraints and proficiency on ESL essay writing performance.* (Doctorate thesis), Universiti Sains Malaysia.

Chow, T. V. F. (2007). *The effects of the process-genre approach to writing instruction on the expository essays of ESL students in a Malaysian secondary school.* (Doctorate thesis), Universiti Sains Malaysia.

Christie, F., & Dreyfus, S. (2007). Letting the secret out: Successful writing in secondary English. [Article]. *Australian Journal of Language & Literacy, 30*(3), 235-247.

Coffin, C. (2006). Learning the language of school history: the role of linguistics in mapping the writing demands of the secondary school curriculum. *Journal of Curriculum Studies, 38*(4), 413-429.

Coxhead, A., & Byrd, P. (2007). Preparing writing teachers to teach the vocabulary and grammar of academic prose. *Journal of Second Language Writing, 16*(3), 129-147.

Curriculum Development Centre. (2000). *Sukatan Pelajaran Kurikulum Bersepadu Sekolah Menengah - Bahasa Inggeris.* Kuala Lumpur: Ministry of Education, Government of Malaysia Retrieved from http://www.moe.gov.my/bpk/sp_hsp/bi/kbsm/sp_bi_kbsm.pdf.

Eggins, S. (2004). *An introduction to Systemic Functional Linguistics* (2nd ed.). New York: Continuum.

Gibbons, P. (2003). Mediating Language Learning: Teacher Interactions with ESL Students in a Content-Based Classroom. *Tesol Quarterly, 37*(2), 247-273.

Halliday, M. A. K. (1978). *Language as social semiotic.* London: Edward Arnold.

Halliday, M. A. K., & Matthiessen, C. M. I. M. (2004). *An introduction to functional grammar* (3rd ed.). London: Hodder Arnold.

Hyland, K. (2007). Genre pedagogy: Language, literacy and L2 writing instruction. *Journal of Second Language Writing, 16*(3), 148-164.

Hyon, S. (1996). Genre in Three Traditions: Implications for ESL. *Tesol Quarterly, 30*(4), 693-722.

Jalaluddin, I., Yunus, M. M., & Yamat, H. (2011). Improving Malaysian rural learners' writing skill: A case study. *Procedia-Social and Behavioral Sciences, 15*, 1845-1851.

Johns, A. (2008). Genre awareness for the novice academic student: An ongoing quest. *Language Teaching, 41*(2), 237.

Kok Eng, T., & Miller, J. (2007). Writing in English in Malaysian High Schools: The Discourse of Examinations. *Language & Education: An International Journal, 21*(2), 124-140.

Martin, J. R., & Rose, D. (2008). *Genre relations: Mapping culture.* London: Equinox.

Nik, Y. A., Hamzah, A., & Rafidee bin Hasbollah, H. (2010). *Why writing in ESL is difficult for undergraduates in a public university in Malaysia.*

Ridge, B. (2004). Bangsa Malaysia and recent Malaysian English language policies. *Current Issues in Language Planning, 5*(4), 407-423.

Schleppegrell, M. J., Greer, S., & Taylor, S. (2008). Literacy in history: Language and meaning. *Australian Journal of Language & Literacy, 31*(2), 174-187.

Slater, T., & Mohan, B. (2010). Cooperation Between Science Teachers and ESL Teachers: A Register Perspective. *Theory Into Practice, 49*(2), 91-98.

Thompson, G. (2004). *Introducing functional grammar* (2nd ed.). London: Arnold.

Thornbury, S. (2005). *Beyond the sentence: Introducing discourse analysis.* Oxford: Macmillan.

Thwaite, A. (2006). Genre writing in primary school: From theory to the classroom, via First Steps (1). *Australian Journal of Language & Literacy, 29*(2), 95-114.

Using a 4x4 framework for whole school literacy development

Sally L Humphrey
Australian Catholic University, Strathfield, NSW
Sally.humphrey@acu.edu.au

Sandra H. Robinson
Belmore Boys High School, Belmore, NSW
SANDRA.H.ROBINSON@det.nsw.edu.au

Abstract

In this paper we report on one aspect of a whole school literacy research project, Embedding Literacies in the KLA's (ELK), which has drawn on SFL theories of metafunction, rank and strata to develop a metalanguage for use by teachers, students and parents to discuss how texts work across the disciplines of secondary schooling. The starting point for this endeavour is the 3x3 framework, which was originally developed by academic literacy researchers (Humphrey, Martin, Dreyfus & Mahboob, 2010) to organise the resources of academic discourse for tutor training purposes. We report specifically on how we have expanded this framework to build teacher understandings of the configurations of language of the high stakes persuasive genres required by the Australian national literacy test (NAPLAN). The resulting 4x4 framework raises the profile of logical meanings related to field and distinguishes more delicate units of meaning within the clause. By foregrounding how particular language resources relate systematically to meanings from each metafunction at various ranks, the 4x4 has not only provided a framework for teachers to interpret the criteria provided by NAPLAN but to map their own and their students' development of language for learning systematically across the contexts of schooling.

1   Introduction

For almost twenty years, policies adopted by all sectors of secondary education have recognised the value of pedagogical practices which integrate explicit teaching of literacy within discipline learning. More recently, policies which emphasise the value of substantive communication and metalanguage give evidence of the growing concern for the place of language and other semiotic modes in literacy and broader quality teaching pedagogies (e.g. NSW Department of Education and Training, 2003).

The important contribution of increased knowledge about language for literacy and learning has been recognised with the development of the Australian Curriculum: English, which includes systematic knowledge of the patterns of language and language usage at the levels of whole text, paragraph, sentence and word as well as understandings of increasingly complex spoken, written and multimodal texts (ACARA, 2012). Significantly, the Australian Curriculum recognises that teachers across learning areas are responsible for supporting students to meet the specific literacy demands of their learning area. For middle years students, developing knowledge of the distinctive 'uncommonsense' ways in which language, literacy and images are used in particular discipline areas is crucial for being able to enter the intellectual and knowledge domains of the senior secondary years (Freebody, 2011). In terms of language, educational linguists informed by systemic functional linguistics (SFL) have systematically described knowledge development across a number of curriculum areas in terms of genre and register. (e.g. Christie & Derewianka, 2008; Martin & Rose, 2008). In this paper we report on how we have drawn on these descriptions to develop a 4x4 perspective of the key linguistic features of high stakes genres used by middle years students across curriculum areas. Mapping genres from a 4x4 perspective provides a robust framing for teachers of the configurations of language resources which shape genres in their discipline and importantly, a meta-language, which can be used by teachers and students to talk about the features of academic genres and registers which are shared across disciplines.

1.1   The research study: Embedding literacy in the KLAs

The study reported on, Embedding literacies in the KLAs (ELK), is a 3 year participatory action research project between the Australian Catholic University and Belmore Boys High School. Belmore Boys High School is an innovative boys' high school with 96% NESB and a school population of 370 students. Explicit teaching of literacy within curriculum areas has been a priority at the school for a number of years. However, despite considerable success and the continuing practice of integrated literacy and learning programs, an ongoing challenge for teachers has been to sustain the expert role and substantive classroom communication needed for explicit quality teaching of how 'high stakes' texts work in their discipline. This role depends upon a metalanguage which is sufficiently robust to lead deconstruction of language features of texts; to guide students in selecting and using those features in new texts to assess and provide feedback on students' writing. A key aim of the ELK project is to develop a metalanguage which allows all teachers and students to engage in substantive communication about the language of texts for discipline learning. Sustained use of this metalanguage throughout the teaching and learning cycle is expected to result in a significant improvement in student's control of high stakes writing as measured by formal curriculum assessment tasks and by results in the external writing task, NAPLAN.

1.2   Theoretical foundations: a 3x3 perspective on academic discourse

Describing the resources at stake in academic discourse has long been of interest to systemic functional linguists. Using theoretical understandings of genre (Martin & Rose, 2008), and register (Halliday & Martin, 1993), educational linguists have mapped development of language across genres of a number of curriculum areas (Christie & Derewianka, 2008) and, from the perspective of register, in terms of resources for creating abstraction, technicality, generalization and objective evaluation (Macken-Horarik, 1996). Frameworks which have been developed to frame these resources for teachers include a '3x3 toolkit' (Humphrey et al 2010), which identifies and delimits the semiotic resources at risk in a particular academic context in terms of 'the nature of commonalities' (Macken-Horarik, 1996: 235). The 3x3 includes linguistic features from each of the three metafunctions of language and at three levels of the text, which are glossed as whole text, phase/paragraph and lexico-grammar. The linguistic resources included in this 3x3 were seen from the perspective of register in terms of their role in:

- Constructing technical, specialized and formal knowledge of the discipline (field)
- Convincing and engaging audiences in distanced, impersonal and objective ways (tenor)
- Organizing clearly signposted, cohesive and abstract texts (mode).

The foregrounding of a meta-functional organization to the toolkit is a central step in connecting teachers' knowledge of isolated language structures and functions to broader meanings. This perspective is particularly important for teachers in Australia who are preparing to adopt the new National Curriculum: English. The language strand of this document is significantly more explicit in organizing language resources according to meaning systems than current syllabus and teacher support documents teachers have been working with.

Subsequent frameworks of academic literacy based on a 3x3 perspective (Humphrey, Droga & Feez, 2012) have recognised the overarching role of genre in the selection and organization of resources. However, in working with teachers involved in the ELK project, it has become apparent that a 3x3 perspective does not allow for the important work of the logical

metafunction to be sufficiently foregrounded, nor does it allow for resources 'below the clause' to be delineated. In the following section we focus on the subsequent development of a genre specific 4x4 framework to address these issues in the context of the high stakes persuasive genres they are required to write in the middle years of schooling.

2   Developing a 4x4 toolkit for NAPLAN persuasive writing

While the register perspective provided by the 3x3 framework provides an effective toolkit for building understandings of basic principles of functional linguistic systems, working with teachers and students involved in the ELK project has brought to light the need for adaptations to the original framework.

During the period of this initial phase of the ELK project, the National test of writing for years 7 and 9 known as NAPLAN (ACARA, 2011) focused on persuasive writing. While the marking criteria, influenced as it is by SFL descriptions, does provide guidance as to the language features at stake at various levels of text, it does not link these language features to an authentic context of use. In terms of genre, the purpose of persuasive writing is described as 'to persuade a reader to a point of view on an issue. Persuasive writing may express an opinion, discuss, analyse and evaluate an issue. It may also entertain and inform. …'

Language features related to tenor provide a similar example of the fuzzy expectations of the NAPLAN writing task. For example, high graded sample texts are valued in terms of 'sustained and effective use of persuasive devices… appropriate to style of argument and may appeal to one or more of the reader's reason, values or emotions'. However, the list of persuasive devices provided to the markers are presented as a list of equally valued resources (ACARA, 2011) and do not distinguish their different effects in building solidarity and/or authority with the audience.

Closer analysis of the marking criteria revealed that the persuasive genre of analytical exposition, which is produced to persuade audiences THAT a thesis is valid, was a particularly privileged response to the task. This type of exposition has been acknowledged as a key genre for learning across secondary school subjects (Schleppegrell, 2004) and even though students of mathematics are rarely required to produce a full exposition, knowledge of the explanation sequences required to support arguments is highly relevant to learning in this area. A focus on analytical exposition therefore enabled ELK researchers to establish with teachers an important shared goal for developing understandings of language and an opportunity to develop a genre specific framework

Drawing on understandings of this genre developed by functional linguists (Martin, 1985; Coffin, 2006) and by further analysis of successful texts produced by students in response to the 2011 NAPLAN test, the initial 3 x 3 was thus adapted as a toolkit for the more specific context of supporting students to write analytical exposition. A reduced form of the resulting 4x4 persuasive writing toolkit, showing examples of linguistic features at whole text (genre), paragraph (phase), sentence (clause and clause complex) and word/expression level is shown in Figure 1.

As is evident in Figure 1, the 4x4 framework allows resources for constructing logical meanings to be distinguished from those associated with the experiential dimension of field. Given the importance of field in secondary subject areas, distinguishing these meanings allows both metafunctions to be prominent in the framework. The additional layer of word and expression level was considered necessary to provide a space for the important vocabulary building work of the classroom, and to encourage teachers to make explicit the meanings of academic vocabulary beyond technicality.

Language to	Whole Text (structure & Organisation	Paragraph (phase)	Sentence (Clause & clause complex)	Word & Expression
express ideas (field)	Ideas unfold as stages to achieve text purpose (eg. position statement ^ arguments ^ reinforcement)	Ideas form phases according to subject (eg. Point^ Elaboration ^ Evidence ^Link)	expanded noun groups to describe and classify ...	Technical terms for specific disciplines ...
expand & connect ideas (field)	multiple ideas developed and combined logically across text to form an analytical framework	Ideas expanded logically across phases (eg. through cause and effect)	Ideas expand and/or project to form well structured simple and complex sentences	Relating and reporting terms to define, classify, show cause/effect, quote and report
interact with others (tenor)	Proposition reinforced and justified prosodically to convince audience THAT a position is valid	Claims supported, justified, reinforced and/or defended	concessive clauses used to expand and then contract space for alternative voices	Objective evaluative vocabulary (eg. significance, relevance)…
create cohesive texts (mode)	Text organisation made clear through layout, previewing and reviewing of content	Information forms waves from dense, 'packed' language to concrete 'unpacked'	Sentence openers focus attention on topic and flow of information …	Abstract nouns used to package and track ideas …

Figure 1: 4x4 framework of resources for analytical exposition (sample resources only)

One potentially problematic area of the 4x4 is the positioning of genre staging at whole text level within the experiential dimension of field. While recognizing genre at a higher level of abstraction than register and as integrating field, tenor and mode choices, descriptions of genre and genre staging in educational linguistics have been experientially biased. The perspective of the 4x4 at whole text level encourages teachers to take the staging as a starting point but to also consider the prosodic structure of persuasive texts and to tease apart the textually oriented organizational units of Introduction, Body and Conclusion from field oriented stages. As will be further discussed below, the notion of an analytical framework at whole text level has been included in the logical meaning strand to account for the expansion of ideas in rhetorically organized academic texts.

3   Working with the 4x4 toolkit at whole school level

In presenting the 4x4 framework to teachers, a great deal of care has been taken to maintain the theoretical integrity of language as a multi-functional and multi-layered resource for meaning. Such a focus is essential in supporting students to access and generate the complex texts needed for learning in the secondary years and has been possible due to longitudinal nature of the ELK project and the extraordinary commitment of the teachers to their professional development. While the meta-language used with teachers does make links with that within both the Australian Curriculum: English and the marking criteria for NAPLAN (ACARA, 2011), the 4x4 maintains explicit links to context through genre and register and also enables a perspective of realization to be taken through considering resources at the level of the clause and word to be serving meanings at higher levels (eg. the use of nominalization to create the 'packed' language of paragraph previews (hyperthemes).

However, the decision to maintain the complexity of the functional model has brought with it the challenge of scaffolding the learning of the resources and their uses for teachers. Working with the metaphor of a toolkit has enabled teachers to conceptualise language as a multilayered and complex system of resources but also to keep the focus on language as a resource for doing literacy work. The initial presentation of the 4x4 framework shown in Figure 1 included an overlaid image of a four drawer toolkit with multiple compartments, representing the possibilities available for construction work. The literacy work of different

discipline teachers has been conceptualized metaphorically in terms of the particular trades within the building industry. Literacy work shared by teachers across curriculum areas, such as the NAPLAN persuasive writing task, have been conceptualized as complex building projects, which require a number of trades and tools from each layer and compartment of the toolkit. The symbolic meanings created through the toolkit metaphor have proved a valuable way of convincing teachers from across faculties of their vital role as a teacher of literacy, bringing to their students knowledge and understandings of language which could only be provided by them. The metaphor has continued to be of benefit in developing a classroom meta-language to talk about the relationship between linguistic resources and context of use.

4 Working with the toolkit to create literacy pathways at faculty level

Having developed an initial understanding of the resources of the 4x4 in relation to analytical exposition, the ELK team continues to work closely with faculty teams to select the suite of tools best suited to the work of analytical exposition in their discipline area. During the first phase of the project, each faculty was involved in developing model analytical expositions, produced in response to authentic assessment tasks set within a unit of work at syllabus stage 4 or 5. Working with this model, teachers and ELK consultants have worked 'elbow to elbow' to deconstruct its language features, to identify a relevant set of linguistic features to make explicit to students and to develop assessment criteria and classroom teaching and learning activities.

As discussed above, the typical entry point for introducing the genre is through its experientially oriented structure. However, with complex genres such as analytical exposition, it is also important to scaffold the development of multiple ideas around which to build logical arguments- this has been termed the analytical framework. In all disciplines, teachers have worked successfully with the notion of the analytical framework to organize the multiple ideas from class brainstorms and to group them into 'packages' according to the demands of the set question. Modelling this concept with students has included concrete demonstrations, such as throwing a pack of playing cards on the classroom floor and working with students to reorder them according to different criteria (eg. colour, suit, number). This has been helpful in explaining to students the possibilities available in analysis and the discipline specific nature of such analysis. In some discipline areas analytical frameworks are clearly visible in the discourse. For example, in geography in the middle years, a common way in which issues are analysed is in terms of impacts on the environment, which is typically further broken down into components such as vegetation, soils and wildlife. In subject English however, where the curriculum is not typically organized around field, analytical frameworks tend to be more specific, according to the particular issue or topic being examined. Working with a topic of 'adventurers and risk-takers', for example, one English class used an analytical framework to explore the responsibility of society for rescuing risk-takers, grouping these in terms of positive and negative effects (eg. economic, social, moral).

Expanding ideas at the whole text level opens up a number of potential pathways for language and literacy development. For some faculties, the pathway was been through field, developing one of the ideas within the analytical framework to model components of 'point', 'elaboration', 'example', 'link' at paragraph level and then moving to group and word level to build technicality appropriate to the discipline. For other faculties, the move has been to the textual metafunction, working at word level with abstract nouns to name the 'packages'

identified in the analytical framework and then using these to build macro and hyper themes (ie. previews and reviews) to signal to the reader the organization of information.

In subject English, the focus of persuasion in teacher education and professional development has traditionally been on rhetorical devices such as parallelism, amplification and rhetorical questions (Andrews, 2011). Working with the ELK team, teachers have been able to relate these resources to their context of use, drawing on discourse semantic features of appraisal and lexico-grammatical resources such as concessive clauses as resources for positioning audiences in objective and impersonal ways.

5   Conclusion

While an analysis of the teaching and learning resources developed for modeling analytical exposition and other genres is beyond the scope of this paper, the initial professional development phase of the ELK project described above has created high expectations and generated a great deal of confidence amongst teachers in their role as literacy educators. With continuing professional development using the 4x4 framework to systematically describe the valued linguistic resources of all genres needed for learning in the KLAs, there is little doubt that students will be well supported in developing high stakes literacies for learning.

References

Andrews, R. (2011) *Reframing literacy: teaching and learning in English and the Language arts*. New York Routledge.

Australian Curriculum and Reporting Authority (ACARA) (2012). *Australian Curriculum: English. Version 3.0.* Sydney: Australian Curriculum Assessment and Reporting Authority. Retrieved from www.acara.edu.au.

Christie, F & Derewianka, B (2008) *School Discourse* London Continuum.

Coffin, C. (2006) *Historical Discourse: The language of Time, Cause and Evaluation* London Continuum.

Halliday, M.A.K. and Martin, J.R.(1993) *Writing Science: Literacy and Discursive Power*. London: Falmer.

Humphrey, S., Droga, L. and Feez, S. (2012) *Grammar and meaning: a new edition* Newtown PETAA.

Humphrey, S. Martin, J., Dreyfus, S., and Mahboob, A. (2010). A 3x3 toolkit for academic writing. In A. Mahboob & N. Knight (eds.) *Directions in Appliable Linguistics*. London: Continuum.

Macken-Horarik, M. (1996) Literacy and learning across the curriculum: towards a model of register from secondary school teachers. In R. Hasan and G. Williams, *Literacy in Society.* London: Longman. 232-78.

Martin, J.R. (1985) *Factual Writing: Exploring and challenging social reality* Deakin University Press Victoria.

Martin, J.R. & Rose, D. (2008) *Genre relations: mapping culture.* London Equinox.

Freebody, P. (2011) Literacy across the school curriculum Parts 1-3 Presentation for NSW Department of Education and Community Literacy and Numeracy Week http://www.nlnw.nsw.edu.au/vids2012/12211-freebody/vid12211.htm.

NSW Department of Education and Training (2003) Professional support and curriculum directorate. *Quality Teaching Framework: Discussion paper* https://www.det.nsw.edu.au/proflearn/docs/pdf/qt_EPSColor.pdf sighted 04.04.2012.

Schleppegrell, M. (2004). *The Language of Schooling: A Functional. Linguistics Perspective*. Mahwah: New Jersey: Lawrence Erlbaum.

Unsworth, L.(1997) "Sound" explanations in school science: A functional linguistic perspective on effective apprenticing texts. *Linguistics and Education,* 9(2):199-226.

Languages other than English for Defence Force deployment

Elizabeth Thomson[17] & Helen de Silva Joyce[18]

Defence Force School of Languages, Australian Defence Force
RAAF Williams Base, Laverton VIC
<elizabeth.thomson2@defence.gov.au> and <jgaudin@bigpond.net.au>

Abstract

History will show 2011 was one of the most intense operational periods the ADF has experienced in recent years ... At its peak, almost 3 500 ADF personnel were providing assistance in the wake of Cyclone Yasi and following floods in Queensland and Victoria ... There are currently around 3 330 ADF personnel deployed overseas including our missions in East Timor, the Solomon Islands and a variety of smaller operations. In addition, close to 550 members are engaged in domestic border security operations.
(General David Hurley – Defence Magazine Issue 6 2011: 5)

The Australian Army currently operates within a philosophical and conceptual framework known as *Adaptive Campaigning*, involving five mutually reinforcing and interdependent lines of operations:

- Joint land combat
- Population protection
- Information actions
- Population support
- Indigenous capacity building

Deployed personnel use a range of languages to perform routine workplace activities with local security personnel and civilians and to build rapport and establish working relationships with people in local communities.

This paper focuses on two aspects of the redesign of the curricula of the suite of language courses at the Defence Force School of Languages (DFSL): systemic functional linguistics as a framework for design and the integration of interculturality and language learning strategies.

1 Introduction

The Defence Force School of Languages (DFSL) has been tasked with redesigning its suite of Languages Other than English (LOTE) courses to meet the future requirements of LOTE capability as outlined in the Defence White Paper, 2009 and to conform to the Defence Training Model – a competency-based model expressed in terms of learning outcomes, units of competency and criterion referenced assessment.

In conforming to the White Paper and Defence Training Model (DTM) direction, the redesign and redevelopment of the language courses has had to meet the Defence Force's current and future tactical, operational and strategic needs. This was identified through a comprehensive needs analysis of defence workplace LOTE requirements conducted in 2010.

The redesign process currently underway has involved, amongst other things, the following four shifts:

A shift from a generalist approach to **language teaching for specific purposes;**

A shift from a notional-functional syllabus to **a text-based/genre approach;**

---

[17] Director of Studies
[18] Curriculum Consultant

A shift from an *us-and-them* cultural paradigm to **an integrated, cultural relativity model of interculturality;**

A shift from teacher-centredness to student-centredness by incorporating **language learning strategies** using adult, life-long learning principles.

This paper will describe these four shifts using the tactical workplace context of Defence as an illustration.

2   Language for specific purposes

The philosophical and conceptual framework known as *Adaptive Campaigning* is Army's way of *doing business* in the field. It divides the tactical, day-to-day task of the soldier into five kinds of work: joint land combat, population protection, information actions, population support and indigenous capacity building (AC FLOC 2009). Every soldier is trained in all five kinds of work. Typically, as the security situation on the ground improves, soldiers' work moves away from combat into protection, rapport building, development and mentoring. Army uses this framework in every theatre of operation, whether the language of the workplace is English or a language other than English.

It is within this context that languages other than English need to be taught so that soldiers can do their job. Understanding the nature of that work and the kind of language used is critical to developing appropriate language for specific purpose (LSP) courses.

2.1   LOTE Capability Model

The needs analysis process identified soldiers as different kinds of language users against which the School's LSP courses were mapped. This language user/LSP course matrix is now known as the LOTE Capability Model. See Table 1.

Language user grade	Language for specific purpose course
Grade 1: culturally enabled user	Force Protection
GRADE 2: VOCATIONAL USER	**TACTICAL INTERACTION**
Grade 3: analyst	Military Communications Skills
Grade 4: professional user - operational	Operational Engagement
Grade 5: professional user - strategic	Strategic Engagement
Grade 6: military language instructor	Tertiary Language Teacher Training
Grade 7: military interpreter/translator	Tertiary Professional Translating/interpreting

Table 1: LOTE Capability Model.

The Grade 2 Vocational users are the soldiers who are expected to do their day-to-day tactical work in a language other than English. They need LOTE in the workplace and the LSP course relevant to meet their needs is the Tactical Interaction Course. The following section will explain the design process of this course, looking specifically at how systemic functional linguistics underpins the design.

3   A text-based approach to curriculum design

Given the LSP requirement of the new courses, the design process needed an approach which foregrounds language *use* in *context*. The principles of systemic functional linguistics (SFL), which views language as a form of behaviour, unfolding in a social context, negotiated by

interactants in the social event, using instances of whole texts organised around social purpose etc. (Halliday 2004) are suited to this task. The process of curriculum design was thus based on these principles using discourse analytical tools to investigate the language used in tactical workplace taskings.

It was thus determined that the course framework would be based on the genres of the workplace context, organised around the genres required to get the work of adaptive campaigning done. To begin this process, the tactical interaction tasks, as identified in the needs analysis, were organised into related types as outlined in Table 2.

Tactical Interaction Tasks					
A	**Restricting movement into an area**	**B**	**Managing checkpoints**	**C**	**Clearing an area**
A1	Enforce a curfew	B1	Manage vehicle check point	C1	Conduct convoy escort
A2	Establish key point protection and vital asset protection			C2	Conduct clearance operations
D	**Conducting searches**	**E**	**Managing and detaining people**	**F**	**Providing assistance**
D1	Conduct hard knock entry	E1	Stop an illegal action	F1	Distribute humanitarian aid
D2	Conduct soft knock entry	E2	Manage detainees	F2	Provide immediate medical assistance
D3	Conduct body search of people	E3	Manage unarmed conflicting parties		
		E4	Control and detain an armed combatant or suspicious person		

Table 2: Tactical Interaction Tasks.

Following the steps in text-based curriculum design (de Silva Joyce and Feez 2012), the language used to realise the tasks was collected and analysed. It was evident from the analysis that the language is limited by its social purpose. Essentially the tasks involve spoken language in four main interactional sequences:

1. Directives giving a series of instructions to local people

2. Question and answer sequences to explain a situation

3. Question and answer sequences to obtain information or goods and services

4. Response to refusal sequences

The grammatical choices are also limited to:

- declaratives where information is being exchanged

- polar questions that require a yes-no response

- questions for seeking information eg: wh-questions

- direct and indirect imperatives

Further, control of these grammatical structures requires an understanding of pronouns; number (singular and plural); tenses (simple present, simple past, future, present continuous and present perfect); adverbs; prepositional phrases and modals of obligation.

Having determined the lexicogrammatical resources that are constitutive of the workplace tasks, the next stage undertaken in curriculum design was to develop learning/teaching materials which modeled and practised the additional language in keeping with the doctrine of *adaptive campaigning*. What was unique in this process was the recognition of the soldiers' expertise in *adaptive campaigning*, a skill set they bring to the classroom. This meant that the language course was not about teaching the soldiers how to do their job, rather, the language course was about supplying the additional language required to successfully perform the tasks in a non-English speaking environment.

The challenge was to negotiate the language required through a joint-construction pedagogy. Such a pedagogy would need to construe the student as the subject matter expert on what was necessary for successful completion of the tasks, and the teacher as the subject matter expert on the additional language. Consequently, the course materials were developed with negotiation as a central tenant of the pedagogy, in keeping with the Hallidayan view that language is a negotiated, jointly constructed enterprise between interactants (Halliday 2002). In this case, the interactants in the language event are the teachers and the soldiers.

In order to develop classroom materials to enable this kind of joint construction, the materials were designed to fit within the learning/teaching cycle (Johns 2003). In the cycle, joint construction is not only one of the stages in scaffolding the student to become an independent learner (Stage 3: Joint Construction), it is also useful as an approach to building the field/context at the initial stage of learning (Stage 1: Building the field). Table 3 illustrates the application of joint construction in stage 1 of the learning/teaching cycle.

Lesson:	**Managing a vehicle checkpoint**
Stage 1:	**Building the field**

- Teachers explore students' experiences and knowledge of the task of managing a vehicle checkpoint.
- Students are asked to brainstorm the steps involved and identify the language they use to perform the task of managing the checkpoint.
- As a joint, class enterprise, the students build a dialogue in English on the board, noting it as one possible instance of the genre of a Vehicle Check Point Directive.
- The teacher and students then build the dialogue in the LOTE.
- The lexicogrammatical features of the text are noted by the teacher and taught in Stage 2: Modelling the Text.

Table 3: Applying Joint Construction in Stage 1 of learning/teaching cycle.

Engaging the expertise of the student in the language-learning process has fundamentally changed the School's approach to learning. Instead of the teacher being the custodian of skills and knowledge, perpetuating a teacher-centred approach to the classroom, the joint-construction pedagogy has transformed the classroom into a collaborative learning environment where teacher and student negotiate, facilitate and jointly construct the learning content. The courses are thus able to meet the immediate needs of the student, who knows intimately what is needed on deployment, within the broader framework of *adaptive campaigning*. The advantage of this is that the course offers an approach that accommodates the dynamic nature of defence work. As the kind of work requirements soldiers need to perform shifts and changes as the mission changes, so does the course. The course can do this because the soldiers can direct the change. Without the theoretical underpinnings of systemic functional linguistics, it is unlikely that this kind of course configuration would have been developed.

Apart from the need to redesign the course as a language for specific purpose course, the needs analysis process identified two other significant skill sets necessary for effective *adaptive campaigning* overseas. These skill sets are the need to inculcate soldiers culturally and socially into the human environment of deployment and the need to equip soldiers with language-learning strategies to take with them *in situ*.

4 Integration of interculturality

The Australian Army understands the importance of cultural sensitivity for mission success. The doctrine of *adaptive campaigning* directs **all** soldiers to be culturally and socially trained.

> *In wars fought amongst the people, commanders at all levels require the capabilities to understand and address the 'human terrain' of complex social, cultural, historical, political, economic and population geography within an area of operations. While specialist linguists form part of the requirement, they represent only a comparatively small part. More importantly, all personnel within the theatre of operations must be capable of acting as tactical 'ambassadors' and achieving an appropriate degree of **empathy and engagement** with the population. This means that all personnel in theatre (including interagency elements and service providers) must be empowered with basic cultural, social and language skills, and specific-to-country knowledge.*

(Army's Future Land Operating Concept 2009:55).

In addition to the direction from Army leadership, soldiers who were interviewed during the needs analysis process reiterated this sentiment by expressing an overwhelming desire for more 'cross-cultural' training. While it would be disingenuous to suggest that cross-cultural training does not occur in Defence, the training that is on offer is mostly short, 'just in time' training and typically deals with: manners of the target culture, general descriptions of the human geography and lists of cultural *faux pas* that can hamper mission success. In sum, this is an us-and-them view of cross-cultural understanding.

However, over the last decade or so, research has demonstrated that *empathy and engagement* can develop in an individual through particular kinds of experience rather than through a description of the *other*. Notably it is the experience of being a minority (Ramzan 2009), from outside the dominant hegemony, that leads to an understanding and demonstration of empathy. The ability to understand, negotiate and empathise with someone from another cultural context has come to be understood as intercultural competence.

The redesign process has thus included intercultural competence in the curriculum. Importantly, the training has three components. It addresses not only the target culture but also home culture (Kalantzis & Cope 1997), reflecting on how one's own identity is forged by home-country social and cultural factors and concludes with a unit of learning on intercultural collaboration. This intercultural training in the Tactical Interaction course occurs during the language training and is integrated into the lessons throughout the course.

5 Integration of language learning strategies

The other set of skills identified by the needs analysis is to do with language learning strategies. Defence views language skills as perishable, meaning that without regular skills maintenance the language skill is lost over time. To assist in mitigating this risk, the new courses at DFSL are integrating language learning strategies into the learning experience. This is based on the view that soldiers should be responsible for skills maintenance once they have completed their training, however, in order to be an effective life-long learner, it is important while on course to introduce and integrate the language-learning strategies which will be needed during post-course maintenance.

In the case of the Tactical Interaction course, the language learning strategies are tailored to the speaking and listening macro-skills. Examples include strategies for pronunciation,

memorisation, predicting, building personalised resources of vocabulary and grammar, pre-listening and post-listening strategies, pre-reading strategies etc. As with the intercultural competence training, the strategies are integrated into the Tactical Interaction course. They are overtly identified and practised so that once soldiers have graduated, they have a personalised set of resources and strategies to assist them in the continuing, *in situ* maintenance and development of their additional language.

6   Conclusion

This paper has described two aspects of the redesign of curricula at the Defence Force School of Languages. In the first instance, it has described how the principles of systemic functional linguistics have underpinned the design process, offering one example of the application of the theory in a language for specific purpose context. This underpinning has been brought to bear on the students' learning through the text-based approach to learning/teaching materials within the framework of the learning/teaching cycle. Both the materials and the cycle realise the principles of SFL: namely, the principle of language as a form of social behaviour, the principle of language use in context, jointly negotiated by interactants, through goal-oriented, coherent, whole texts.

Secondly the paper described two equally important, complementary components of the redesign, the inclusion of interculturality and language learning strategies. These inclusions are to meet the expectations of both Defence leadership and the deploying soldier as they collectively grapple with the challenges of working collaboratively with the armed forces and civilians from other cultures in languages other than English.

References

Head Modernisation and Strategic Planning – Army. (2009). *Army's Future Land Operating Concept (AC FLOC)*, Canberra: Army Headquarters.

Hurley, D. (2011). Looking back and pushing forward. In *Defence Magazine Issue 6 2011* (p. 5), Canberra.

Department of Defence. (2009). *Defending Australian in the Asia Pacific Century: Force 2030, Defence White Paper 2009*, Canberra: Commonwealth of Australia.

Halliday, M. A. K. (2004). *An Introduction to Functional Grammar (2nd ed.).* London: Edward Arnold.

Halliday, M. A. K. (2002). Language structure and language functions (1970). In J. Webster (Ed.), *On Grammar (2nd ed.).* London: Continuum.

de Silva Joyce, H. and S. Feez. 2012. *Text-based language and literacy education – Programming and methodology*. Sydney: Phoenix Education

John, A.M. (2003). Genre and ESL/EFL composition instruction. In B. Kroll (Ed.), *Exploring the Dynamics of Second Language Writing* (pp. 195-217*),* Cambridge: Cambridge University Press.

Ramzan, Y. (2009). *The construction of interculturality in the context of foreign language education: a case study of Japanese language learning in Australian primary schools.* PhD dissertation, Faculty of Education, University of Wollongong.

Kalantzis, M and B. Cope (1997). *Managing Cultural Diversity*. Haymarket: Centre for Workplace Communication and Culture.

SFL-based text analysis for translator education

Mira Kim and Edward McDonald

The University of New South Wales

Abstract

This paper presents a case study of the use of Systemic Functional Linguistics (SFL) as a tool in educating translators. SFL has influenced a number of both theoretical and descriptive translation studies since the 1960s (e.g. Catford (1965); House (1977/1997) and has enjoyed a position of particular "prominence" in the field since "the early 1990s" (Munday 2008: 13) (e.g. Hatim and Mason (1990, 1997); Bell (1991); Baker (1992/2011); Munday (2001/2008); Trosborg (2002); and Steiner (2002, 2004). However, what has not yet been rigorously explored is its application to text analysis in training translators and interpreters. The current research derives from a postgraduate program in interpreting and translation studies featuring English as the common language alongside a range of European and Asian languages such as Chinese, French, German, Indonesian, Japanese, Korean, Russian, and Spanish. It describes a dedicated course in text analysis for translation which draws on an SFL framework to equip students with tools for understanding the links between contextual and textual variables (genre, register) and lexicogrammatical patterning, and then apply those tools comparatively across languages. Based on our classroom data, we aim to put forward a model that can be adopted for similar multilingual educational contexts, and discuss the pedagogical advantages and limitations of applying SFL for this purpose.

1 Contributions of Systemic Functional Linguistics to Translation Studies

Halliday's Systemic Functional Linguistics (SFL) has been used in a number of language-related studies such as language typology (e.g. Caffarel et al. 2004) and discourse analysis (Martin & Rose 2003/2007), as well as professionally oriented disciplines such as medicine (e.g. Sarangi and Roberts 1999), business and finance (e.g. Burns and Moore 2008), and education (e.g. Hasan and Williams 1996). It has also provided "methodological refinement" for the field of translation studies which combines a crucial focus on language with a strong professional orientation (Steiner 2005: 486). There are some good reasons for the wide application of SFL. The key reason can be found in Halliday's continued efforts to make a meaningful link between theory and practice, as acknowledged by Yallop in the context of translation studies (1987: 347). In a recent interview Halliday explained that he "wanted an account of language which would be serviceable in these contexts [where problems are resolving themselves into problems of language]…but which would be robust enough to learn from these challenges and to continue to evolve while taking on broad new findings" (Burns 2008: 124). Another major reason concerns how language is viewed in SFL: as a meaning-making resource through which people interact with each other in given situational and cultural contexts; and where the main analytical interest lies in exploring how language is used to construe meaning within local as well as global contexts. It is thus a common practice in SFL to study the lexicogrammar, concerned with meaning as realized by wordings at the clause level, in relation to the semantics, concerned with meanings at the text level in relation to their discourse contexts, and vice versa. The centrality of meaning provides core links between SFL and translation studies in particular. It enables translators 'to interpret meaning at a higher abstract level (semantic) and to analyze how it is realized at a lower level of wording' (Burns et al 2009: xxx). Newmark (1987:293) suggests:

> *Since the translator is concerned exclusively and continuously with meaning, it is not surprising that Hallidayan linguistics which sees language primarily as a meaning potential should offer itself as a serviceable tool for determining the constituent parts of a source language text and its network of relations with its translation.*

In translation studies, there have been a number of seminal studies carried out within the SFL framework over several decades, including Catford (1965), House (1977/1997), Hatim and Mason (1990, 1997), Bell (1991), Baker (1992), and Taylor (1998) (see Steiner 2005 for more detail and other contributors). Catford's book represents the first comprehensive attempt to apply SFL to translation. Catford put forward the notion of "translation shifts", defined as "departures from formal correspondence in the process of going from the SL [source language] to the TL [target language]" (1965:73), and analyzed them in terms of shift of level and shift of category. This notion of translation shift is now regarded as an essential one in translation theory and practice. House drew on register and genre theory from SFL in putting forward a model of translation quality assessment, in what is seen as the foundational work in this area. Taylor also applied SFL theory in developing a theoretical as well as practical guide to English/Italian translation. Baker drew on SFL in incorporating issues of textuality in translation in her famous textbook *In Other Words*, for example, in exploring the concept of Theme. Hatim and Mason also addressed issues of textuality, going on to "consider the pragmatic and semiotic dimensions of translation and the sociolinguistic and semiotic implications of discourses and discourse communities" (Munday 2008: 90). Bell provided a comprehensive model of translation process which was significantly informed by insights from SFL.

2   Application of SFL to teaching translation

The usefulness of SFL to translator education has been suggested in the community of translation studies (e.g. Newmark (1991), Trosborg (2002), but the work of Kim (2003, 2007, 2009) represents the first sustained application of SFL in this area, with a focus on applying SFL-based text analysis for teaching translation from English into Korean and demonstrating its pedagogical efficacy using both qualitative and quantitative data.

Kim (2003) explores the possibility of categorizing translation issues using the four metafunctions of SFL and shows how this may be a potentially highly useful pedagogical tool. After implementing this methodology in preparing students for accreditation by the National Authority of Accreditation for Translators and Interpreters (NAATI) over several semesters, Kim (2009) discusses how she used it to give formative feedback on students' translations by analyzing in detail the nature of translation issues or errors involved and providing reasons for the analysis on the basis of specific lexicogrammatical features at the clause level. On the basis of both quantitative and qualitative evidence collected over a number of semesters, she argues that it has proven to be highly efficient in improving translation quality. For instance, the ratios of students recommended for NAATI accreditation increased from around 10% in 2004, before SFL was applied in their training, to more than 60% in 2007 (2009: 150). Describing her own observations of students' progress, she says (p.145):

> *As students learn how to analyze translation errors, they start to analyse their own error patterns and develop strategies to avoid them, and gradually move away from the source text structure to be creative in producing a target text. Eventually, this approach helps them to become autonomous learners and their own quality controllers because they do not have to rely on the teacher's intuition-based feedback.*

These findings are interesting and encouraging to others who are involved in teaching translation in demonstrating that SFL provides a useable pedagogical tool for formative assessment. However, challenges remain when this approach is applied to multilingual teaching contexts such as that described below.

3 Case Study

3.1 Context

The teaching context of the present authors is a postgraduate program in interpreting and translation studies featuring English as the common language alongside a range of European and Asian languages such as Chinese, French, German, Indonesian, Japanese, Korean, Russian and Spanish. They run a dedicated course in text analysis for translation which draws on an SFL framework to equip students with tools for understanding the links between contextual and textual variables (genre, register) and lexicogrammatical patterning, and then apply those tools comparatively across languages.

The requirements for such a course are not very different from other contexts where translation and interpreting are taught. Students need to learn a tool that gives them a means of explaining their translation choices to others and enables them to make motivated lexical and grammatical choices in their translations, considering the text type and context of a given text. However, one of the biggest challenges is the lack of SFL-based descriptions in many languages other than English. For instance, there is so far no overall description in SFL terms of language such as Indonesian and Russian. One of the common mistakes made in applying an SFL approach for such languages is to assume the description of English as universally applicable to other languages, apply it to a particular translation as a set of rules, and then get frustrated when the analysis does not work. In fact, this is a mistake frequently observed even with students of languages where SFL descriptions do exist. Another challenge is that SFL is a theory not as widely known as more mainstream grammatical frameworks and therefore cannot be assumed as given knowledge.

In order to address these challenges, the present authors introduce SFL theory as principles of language use rather than as fixed rules, and as much as possible incorporate descriptions of other languages to increase students' awareness that different languages may show substantial differences in their lexicogrammar. They also present example texts from authentic translation and interpreting contexts in order to show students both the range of choices available for them as translators and interpreters and what might be the consequences of a particular choice.

3.2 Data

This is a very much ongoing project that started in February 2012 and continues to collect relevant data including students' reflective journals, text analysis assignments, and course evaluations. The data available at the time of writing consists of 40 students' first submissions of reflective journals. The topic areas covered up to this point included an introduction to text and context (including register, genre and texture / cohesion), and a first engagement with the textual and interpersonal metafunctions at both text and clause level. The journal assignment also preceded any text analysis assignments, though instances of text analysis had of course been demonstrated in lectures and practiced in tutorials. The instructions for the reflective journal were as follows:

> *Students will be required to use the theoretical and descriptive tools to reflect on their developing understanding of textual and lexicogrammatical features of texts in the context of translation. Based on specific examples met during the course, they will be encouraged to draw out the implications of text analysis for improving translation quality.*

The content of the journals were then marked using the criteria given in Table 1 below (further criteria relating to presentation are not included here), with six criteria divided into two broad categories of theory and application. Students were awarded 1 mark for each criterion covered, and 0.5 for an incomplete or incorrect answer. A quantitative overview of the results gives some insight into how students reacted to the challenges of this course (NB: all percentages listed are out of the total number of students). We discuss the results briefly right after the Table.

Criteria		Number of students who addressed criterion fully	Number of students who addressed criterion partially	Total
Theory	a) key concepts included	35 (87.5%)	2 (5%)	37 (92.5%)
	b) explanations coherent	10 (25%)	4 (10%)	14 (35%)
	c) definitions explicit and accurate	2 (5%)	7 (17.5%)	9 (22.5%)
Application	d) good examples included	23 (57.5%)	5 (12.5%)	28 (70%)
	e) examples well discussed	3 (7.5%)	5 (12.5%)	8 (20%)
	f) analysis correct	14 (35%)	6 (15%)	20 (50%)

Table 1: Marking criteria and student results for Reflective Journal assignment

Theory. (a) The overwhelming majority of students included one or more of the key concepts that had been introduced in the course: including concepts such as the metafunctions, register, genre, speech function, Theme, New, thematic progression, and mood type, as well as general topics such as the differences between spoken and written language. (b) Only 35% demonstrated the ability to incorporate these concepts into a coherent discussion, showing an awareness of the theory as a complete framework; in some cases they showed a further metatheoretical awareness of how SFL related to other theoretical frameworks. (c) Just less than a quarter (22.5%) of students understood the need to define technical terms; of these only 5% did so clearly and accurately, while a further 17.5% attempted definitions but did so unclearly or inaccurately.

Application. (d) 70% of the students understood the need for appropriate examples, of these 57.5% provided examples that were relevant and able to be discussed, while a further 12.5% provided examples that were not detailed enough, or which did not support the analysis being put forward. (e) Only 20% of students incorporated their examples into their discussion in a meaningful way, of these only 7.5% were able to use the examples to support their case, while a further 12.5% did so in an incomplete or unsatisfactory manner. (f) Exactly half (50%) of the students provided an analysis of their examples according to the guidelines introduced in class, of these 35% provided a correct analysis, and a further 15% an analysis that was incorrect or incomplete in some way.

3.3 Reflections

Here we will single out just three of the criteria for further discussion and exemplification.

b. explanations coherent

Here the main problem was (i) mixing terms from different theories: e.g. "register variables (field, tenor, mode)" – "semantic (context-free) meaning", "pragmatic meaning"; or (ii) mixing theoretical and commonsense terms: e.g. "macroTheme and HyperTheme" – "topic of a text or paragraph", "main intention of author or speaker"; "interpersonal meaning" – "writer's mood of the process and participants in text"; "unmarked Theme" – "because of different cultures, different tone, in English multifaceted, but in Chinese simplex".

c. definitions explicit and accurate

Here there were two main problems: (i) arguing from the formulation of the term itself, rather than in relation to analysis: e.g. "Theme" – "point the author wants to address"; "marked Theme" – "author provides more information"; (ii)   a lack of distinction between recognition criteria (how feature identified) and definition criteria (how interpreted) (Hasan & Fries 1985: xvi): e.g. "Theme" – "[includes] up to first topical Theme", "therefore the departure point of message"; "textual meaning" – "clarifies presentation of information in beginning and end of clause";

e. examples well discussed

Most of these cases involved translation equivalents for particular English examples and/or their analyses. Here there were two main problems: (i) English being used as the baseline, where translation equivalents strictly followed the English: either generically, or in one case arguing on the basis of a word for word translation into Chinese, which produced a grammatically incoherent clause; (ii) showing limited understanding of the range of meaningful options. Possible translation options are presented as absolute requirements without giving a sense of the range of meaningful options: e.g. "marked Theme (Circumstance) in Chinese, for instance, needs to be translated as clause final adverbial structure in English"; "in Honduras [Spanish] children refer to their parents in the formal [2nd person] form *Usted*'" "circumstances at beginning of clause could be treated as unmarked Theme in Chinese because it is an idiomatic way".

4   Conclusions

This paper has discussed a case study of using SFL-based text analysis for translation education based on the limited data of 40 students' first reflective journals available at the time of writing. Any conclusions based on this data must therefore clearly be regarded as both incomplete and provisional, but they do nevertheless show some of the challenges that students face. The most fundamental challenge seems to be the shift from a view of language as a set of syntagmatic structures to one that emphasizes the range of paradigmatic options. Students also had problems with the complexity and technicality of the theory and struggled to find ways in which they could apply text analysis to issues in translation and interpreting. Further analysis will include investigation of how the course has been received by the students, how students' reactions have changed from those reported here and what seem to have been the main learning outcomes.

References

Baker, M. (1992/2011). *In Other Words: A coursebook on translation*. London and New York: Routledge.

Bell, R. T. (1991). *Translation and Translating: Theory and Practice*. London: Longman.

Burns, A. & Halliday, M.A.K. (2008). Applied linguistics: Thematic pursuits of disciplinary moorings? A conversation between Michael Halliday and Anne Burns. *Journal of Applied Linguistics*, 3(1), 113-128.

Burns, A., Kim, M. & Matthiessen, C. M. I. M. (2009). Doctoral work in translation studies as an interdisciplinary mutual learning process: How Translator, teacher educator, and linguistic typologist worked together. *Interpreter and Translator Trainer* 3(1): 29-46.

Burns, A. & Moore, S. (2008). Questioning in simulated accountant-client consultations: Exploring implications for ESP teaching. *English for Specific Purposes* 27: 322-337.

Caffarel, A., Martin, J.R. & Matthiessen, C. M.I.M. (Eds.) (2004). *Language Typology: A Functional Perspective*. Amsterdam: Benjamins.

Catford, J. C. (1965). *A Linguistic Theory of Translation: An Essay in Applied Linguistics*. London: Oxford University Press.

Hasan, R. & Fries, P. (1995). Reflections on subject and theme: an introduction. In R. Hasan & P. Fries (Eds.) *On Subject and Theme: A Discourse Functional Perspective*. Amsterdam: Benjamins.

Hasan, R.& Williams, G. (Eds.). (1996). *Literacy in society*. London: Longman

Hatim, B. & Mason, I. (1990). *Discourse and the Translator*. London & New York: Longman.

Hatim, B. & Mason, I. (1997). *The Translator as Communicator*. London & New York: Routledge.

House, J. (1977/1997). *A Model of Translation Quality Assessment*. Tübingen: Gunter Narr Verlag.

Kim. M. (2003). Analysis of translation errors based on systemic functional grammar: Application of text analysis in English/Korean translation pedagogy. Unpublished minor dissertation. Linguistics Department, Macquarie University.

Kim, M. (2007). Using Systemic Functional Text Analysis for Translator Education: An illustration with a Focus on the Textual Meaning. *Interpreter and Translator Trainer* 1(2):223-246.

Kim, M. (2009). Meaning-oriented assessment of translations: SFL and its application to formative assessment. In C. Angelelli & H. Jacobson (Eds.), *Testing and Assessment in Translation and Interpreting* (pp. 123-157). Amsterdam & Philadelphia: John Benjamins.

Martin, J.R. & R. David (2003/2007). *Working with Discourse: Meaning beyond the clause*. London & New York: Continuum.

Munday, J. (2001/2008) *Introducing Translation Studies: Theories and Applications*. London & New York: Routledge.

Newmark, P. (1987). The Use of Systemic Linguistics in Translation Analysis and Criticism. In R. Steele & T. Threadgold (Eds.), *Language Topics: Essays in Honor of Michael Halliday* (pp. 293-304). Amsterdam & Philadelphia: John Benjamins.

Newmark, P. (1991). *About Translation*. London: Multilingual Matters.

Sarangi, S. & Celia R. (Eds.) (1999). *Talk, work and institutional order: Discourse in medical, mediation, and management settings*. (Language, Power and Social Process Series). Berlin: Mouton de Gruyter.

Steiner, E. (2002). Grammatical metaphor in translation – some methods of for corpus-based investigations. In H. Hasselgard, S. Johansson, B. Behrens & C. Fabricius-Hansen (Eds.) *Information Structure in a Cross-Linguistic Perspective* (pp. 213-228). Amsterdam: Rodopi.

Steiner, E. (2004). *Translated Texts: Properties, Variants, Evaluations*, Frankfurt: Peter Lang.

Taylor, C. (1998). *Language to Language*. Cambridge: Cambridge University Press.

Trosborg, A. (2002). Discourse Analysis as Part of Translator Trainin. In C. Schäffner (Ed.) *The Role of Discourse Analysis for Translation and in Translator Training* (pp. 9-52). Clevedon, Buffalo, Toronto & Sydney: Multilingual Matters,.

Yallop, C. (1987). The Practice and Theory of Translation. In R. Steele & T. Threadgold (Eds.), *Language Topics: Essays in Honor of Michael Halliday* (pp. 347-354). Amsterdam & Philadelphia: John Benjamins.

Exploring the logical resources of Chinese nominal groups: A systemic functional approach

Jing Fang

Department of Linguistics
Macquarie University, Sydney, Australia
jing.fang@mq.edu.au

Abstract

Since 1970s, a growing number of systemic functional descriptions of languages other English have been undertaken (see Matthiessen 2007). In the case of Chinese, the most significant lexicogrammatical attention is given to clause and verbal groups (such as McDonald 1998; Li 2007). This gives the present author an incentive to investigate nominal groups in Chinese. Drawing upon systemic functional linguistic theory on lexicogrammar (Halliday & Matthiessen 2004; Matthiessen 1995), the present study aims to explore the logical resources provided by nominal groups of Mandarin Chinese. The description will go into two parts: firstly, I will give an overview of the logical resources that the Chinese nominal group can provide, exploring the logical metafunction in terms of Taxis and Logico-semantic relations; secondly, I will investigate the logical complexity of the nominal group by looking at the modification structure as well as the complexity of embedding. The study aims to provide a new perspective in doing text analysis and also make contribution to the typological descriptive work on nominal groups. Finally, a case study will be presented, where the nominal groups used in two authentic texts in the same field are compared in terms of logical metafunction. The case study aims to illustrate how the logical complexity of the nominal groups is presented to help create registerial features of a text.

1   Introduction

Since the late 1970s with China's opening up to the outside world, SFL has become influential among the Chinese linguists. However, a large number of works are based on the study of English rather than Chinese. In the field of SFL study of Chinese, in contrast, the contributions are limited and the credit mainly goes to the scholars outside China, such as Halliday (1956), Zhu (1985), McDonald (1998), Halliday and McDonald (2004), and Li (2007). All the above mentioned works are unfolded with a focus on clause. Unfortunately, the descriptive work at the level of group/phrase within SFL field is far less than clause-level work. This situation gives the current author a strong motivation to work on nominal groups.

In this paper, I will explore the logical resources that nominal groups in Chinese can provide. Logically speaking, nominal groups can be studied from two perspectives: complexing and logico-semantic relations. In Section 2, I will briefly introduce the methodology being involved in this study. And in Section 3, I will give an overview of the logical resources that the Chinese nominal group can provide, exploring the logical metafunction in terms of Taxis and Logico-semantic relations; then I will investigate the logical complexity of the nominal group by looking at the sub-modification structure as well as the complexity of embedding. After the discussion of the above mentioned, a case study will be presented in Section 4.

2   Methodology

As a part of the author's PhD project, the present study is based on a corpus of 180 Chinese (Mandarin)   texts covering 8 major text types, namely, expounding, exploring, doing, enabling, recommending, sharing, recreating and reporting (cf. Matthiessen 2009). The majority of the texts were sourced from the Chinese textbooks used in the public schools

across China, ranging from Y1 to Y12. Then 16 texts of all types of text were randomly selected to set up a working corpus, based on which extraction and detailed analysis of nominal groups were conducted. SysConc, a computational tool developed in Java (available at http://minerva.ling.mq.edu.au/units/tools/ , see further in Wu 2009), was used to help with data extraction, frequency and concordance search during the process.

3   Logical resources of Chinese nominal group

In terms of complexing, the complex structures of nominal groups are very similar to that of clauses: a nominal group may enter into a **nominal group complex** by combining with another group, typically another nominal group, or into a **nominal group simplex** by selecting a single nominal head, typically a noun. Examples:

nominal group complex:

不论是**亲密的朋友或者仇敌**，都怀着最深的敬意在他的遗体前哀痛的埋下了头。

Close friends or enemies, with greatest respect they all bowed their heads in front of his remains.

亲密的 close	朋友 friends	或者or	仇敌 enemies
premodifier	head 1	CONJ	head 2
nominal group 1		CONJ	nominal group 2
nominal group complex			

nominal group simplex:

那个高度融合统一的很亮的灰白色的线，总是在前边吸引着你。

That highly integrated bright offwhite line always has been attracting you in the front.

that	highly integrated		bright		offwhite		line
modifier 4	modifier 3	SUB	modifier 2	SUB	modifier 1	SUB	Head

3.1   Taxis

In Chinese, groups and phrases within a nominal group complex can be linked paratactically either with or without a conjunction. In comparison, the dominant group and the other dependant units in a hypotactic nominal group complex are typically linked with conjunctions. Examples:

Nominal group complex: paratactic

风把太阳永生不灭的宣言带到了全世界：喜马拉雅山的最高峰，太平洋中的小岛，古老宁静的小村落，繁华的现代都市。

Wind brings the Sun's eternal declaration to the whole world: (to the) summit of the Everest, the Pacific islands, the old and peaceful small villages, (and) the bustling modern cities.

1		the whole world
2	1	the summit of the Everest
	2	the Pacific islands
	3	the old and peaceful small villages
	4	the bustling modern cities

Nominal group complex: hypotactic

除了内在特征，一部艺术作品，例如一部小说、一首长诗或一部戏剧作品，还可能有其它有趣的因素。

Apart from its inherent features, an artistic work, such as a novel, a long poem, or a play, may have other interesting characteristics.

α		一部艺术作品 an artistic work

β	1	**例如**一部小说 **such as** a novel
	2	一首长诗 a long poem
	3	**或**一部戏剧作品 **or** a play

For a nominal group simplex, in terms of taxis, only one type of relation is found between the head of the group and the modifiers: all the modifying elements are dependent on the head, which forms a hypotactic relation. Example:

那个高度融合统一的很亮的灰白色的线，总是在前边吸引着你。

That highly integrated bright offwhite line always has been attracting you in the front.

那个 that	高度融合□一 highly integrated	的	很亮 bright	的	灰白色 offwhite	的	□ line
modifier 4	modifier 3	SUB	modifier 2	SUB	modifier 1	SUB	Head
ε	δ		γ		β		α

3.2 Logico-semantic types

For the Chinese nominal group complex, in terms of logico-semantic relations, three types of expansion are found to relate one group with another, and there is no projecting type in the nominal group complexing. Examples of different logico-semantic types of Chinese nominal group complex are presented below:

Elaboration: expository

胡杨，维吾尔语称作"托克拉克"，即"最美丽的树"。
Huyang, in Uyghur is called "toghraq", viz. "the most beautiful tree".

Elaboration: exemplifying

中国内陆的几个大城市，例如西安和太原，教育也比较发达。

Some big cities in inland China, such as Xi'an and Taiyuan, the education there is also advanced.

Elaboration: particularizing

一个最基本的原因就是**俄罗斯的人口，尤其是富人**，一直在向莫斯科等大城市聚集。
One of the most fundamental reasons is that **the Russian population, especially the rich people**, are moving towards big cities like Moscow.

Extension: additive

除了辣椒，还有茄子和西红柿也是夏天常见的蔬菜。

Except chillies, eggplants and tomatoes are also common vegetables in Summer.

Extension: alternative

无论传统教学还是远程教学，都需要包括老师、学生和教材三个要素。

Traditional teaching or correspondence education, (both) need to include the three factors of the teacher, the student and the teaching materials.

Extension: subtractive

除了他，全班同学都到齐了。

Except him, the whole class were there.

Enhancement: sequential

事故发生后，**先是妇女和小孩，接着是现场工作人员**，都出现了类似的症状。

After the accident, it was first the women and children, and then the working staff on the site, that all showed the symptoms of the kind.

For nominal group simplex, the logico-semantic relations fall into two types: expansion and projection. Table 1 presents examples of modifiers of different expansion types within a group simplex:

	δ	γ	β		α
elaboration	a bunch of	美□ beautiful	aromatic	de	flowers
			[[ ]] selling flowers	de	job
extension		my	first		car
enhancement			more than thirty years ago	de	事 event
			in the garden	de	lilies

Table 1: Modifiers of different expansion types

If the logico-semantic relationship between a nominal Head and its modifier is projecting, the Head is typically realized by a noun representing the name of a idea, a fact or a locution, and the modifier is realized by a rank-shifted embedded clause which represents the projection. Example:

科学家提出了**[[发展"绿蓝白"三色农业]]**的构想。

Scientists introduced **the concept of [[developing "green, blue and white" triple-color agriculture]].**

[[□展"□□白"三色□□]] [[developing "green, blue and white" triple-color agriculture]]	的 de	构想 concept
'β		α

3.3 Complexity of a simple nominal group

The logical structure of a simple nominal group could be as complex as a clause complex. In this section, the discussion of the complexity of the simple nominal group will be based on the following two situations: (a) the nominal groups with sub-modification, (b) the nominal groups being modified by embedded clauses.

The complexity of a nominal group with sub-modifications lies in that, when interpreted as a univariate structure where a group of modifiers expanding the Head, this univariate structure may be repeated in multiple layers in the case of submodification. For instance:

浙江大学文化遗产研究中心开始筹建。
The Zhejiang University research centre for cultural heritage starts to be established.

浙江 Zhejiang	大学 University	文化 cultural	遗产 heritage	研究 research	中心 centre
γ		β			α
γβ	γα	ββ		βα	
		βββ	ββα		

An embedded clause as a modifier may also increase complexity. Although only a pre-modifier in a nominal group, an embedded clause may present a logical structure more complex than a ranking clause, as in the examples below:

Nominal group with an embedded clause simplex

月球登陆给我们提供了**一个[[研究它和我们星球遥远过去]]**的好机会。
The moon landing provides us with **a good opportunity [[to study the remote history of the moon and the earth]]**.

Nominal group with an embedded clause complex

本法所称合同是**[[平等主体的自然人、法人、其他组织之间设立、||变更、||终止民事权利义务关系]]**的协议。
A contract in this law refers to **an agreement [[establishing, ||modifying ||and terminating the civil rights and obligations between subjects of equal footing, that is, between natural persons, legal persons or other organizations]]**.

Nominal group with further embedding: simplex

对合同格式条款有两种以上解释的，应当作出**[[不利于[[提供格式条款]]一方]]的解释**。

Where there are two or more kinds of interpretation of the contract terms, **an interpretation[[unfavourable to the party [[supplying the standard terms]]]]** shall be preferred.

Nominal group with further embedding: complex

[[外国合营者在履行[[法律和协议、合同规定]]的义务后||分得]]的净利润...可按外汇管理条例汇往国外。

The net profit that [[the foreign side in a joint venture receives || after fulfilling its obligations [under laws and various agreements and contracts]]], may be remitted abroad in accordance with the foreign exchange regulations.

4 Case study

In this case study, nominal groups are extracted from two texts, a written speech and a school regulation. The context information for the texts is presented below:

Text 1	不骂人，不打架　**No brawls, no fights**
Context	This is speech delivered by a teacher to the students (generally under 12 years old) at a primary school. The speech aims to advise students not to brawl or fight others at school.
Text 2	关于处置学生打架斗殴等事件的应急预案**Plan for dealing with school fights**
Context	This is a written regulation delivered by a school management committee to its primary school teachers. The regulation provides guidelines for teachers to deal with school fights.

Altogether 73 nominal groups (including nominal group complex) are extracted from Text 1 and 51 from Text 2. Then they are analysed in terms of logical complexity – mainly four aspects are examined: group complexity, sub-modification, embedded clause, and times of modification. The results are listed in the table below (see Table 2):

		Text 1	**Text 2**
Nominal Complex		**6**（老师们同学们　teachers (and) students；大家的尊敬和喜爱 everyone's respect and love；同学或老师　classmates or teachers；自己和别人　self and others；周围的同学或家长　classmates or parents around you；身边的同学、朋友或家人　classmates, friends or parents around you；）	**5**（各班主任以及任课老师 each class advisor and teachers；年级主任和学校领导　head of each grade and school management staff；学生或者是校外人员students or people outside school；学校领导以及班主任老师 school management staff and class advisors；有关管理部门和公安机关relevant authority and public security office）
Nominal Simplex	**Sub-modification**		**5**（校园安全活动的管理　management of safe activities at school；校园发生打架斗殴现象的安全应急预案the security plan for dealing with problems where school fights take place；发生打架斗殴可能的苗头signs of potential fights to happen；有这类问题和可能的学生名单　list of students with these problems and risks；发生打架斗殴的学生所在班级的班主任老师 the advisor teacher of the class which the students involved in fights come from；）
	> 2 modifications	**3**（小学生基本的文明行为the fundamental appropriate behaviours of primary school students；一种不文明的粗野行为 a kind of rude and impolite action；心里的一个重要位置 an important place in your heart;）	

Embedded clause	as a modifier	5（爱骂人、爱打架的恶习the bad habbit of swearing and fighting；教育部发布的《小学生日常行为规范》*The guideline of appropriate behaviour for primary school students* released by the Ministry of Education；一个爱骂人爱打架的同学 a student who often swears and fights；骂人打架的习惯 the habit of swearing and fighting with others；骂人打架的行为 the behaviour of swearing and fighting；）	3(参与打架斗殴的学生students involved in fighting；违反安全规定的行为behaviours against the security rules；和谐相处文明做人的教育 the education on living in harmony and behaving well;）
	As a sub-modifier		4(校园发生打架斗殴现象的安全应急预案 the security plan for dealing with problems where school fights take place;有这类问题和可能的学生名单 list of students with these problems and risks;发生打架斗殴的学生所在班级的班主任老师the advisor teacher of the class which the students involved in fights come from；发生打架斗殴可能的苗头signs of potential fights to happen;)

Table 2: Logical complexity of Text 1 and 2

The case presents some interesting issues. First, from a logical perspective, a nominal group complex may not necessarily be more complex than a nominal group simplex. Second, similar to nominal complexity, the number of modification to the nominal Head also has limited impact on the logical complexity. Thirdly, sub-modification can greatly increase the logical complexity of a nominal group, making it less common in a simple text. And this complexity will be further enhanced when an embedded clause is used in the sub-modification. In other words, both sub-modification and embedded clause are contributors to the high logical complexity of a nominal group.

References

Halliday, M. A. K. (1956). Grammatical categories in modern Chinese. *Transactions of the philological society, 55*(1), 178-224.

Halliday, M. A. K., & Matthiessen, C. (2004). *An introduction to functional grammar*. London: Arnold.

Halliday, M. A. K., & McDonald, E. (2004). Metafunctional profile of the grammar of Chinese. In A. Caffarel, J. Martin & C. Matthiessen (Eds.), *Language typology: a functional perspective* (pp. 305-396). Amsterdam: John Benjamins.

Li, E. (2007). *Systemic functional grammar of Chinese: a text-based analysis*. London & New York: Continuum.

Matthiessen, C. (1995). *Lexicogrammatical cartography: English systems*. Tokyo: International Language Sciences Publishers.

Matthiessen, C. (2007). The "architecture" of language according to systemic functional theory: developments since the 1970s. In R. Hasan, C. Matthiessen & J. Webster (Eds.), *Continuing discourse on language* (Vol. 2, pp. 505-561). London: Equinox.

Matthiessen, C. (2009). Ideas and new directions. In M. A. K. Halliday & J. Webster (Eds.), *Continuum companion to systemic functional linguistics* (pp. 12-58). London & New York: Continuum.

McDonald, E. (1998). *Clause and verbal group systems in Chinese: a text-based functional approach.* PhD thesis, Macquarie University.

Wu, C. (2009). Corpus-based research. In M. A. K. Halliday & J. Webster (Eds.), *Continuum companion to systemic functional linguistics* (pp. 128-142). London & New York: Continuum.

Zhu, Y. (1985). *Modality and modulation in English and Chinese.* MA Thesis, University of Sydney.

A systemic functional interpretation of Ergativity in Classical Tibetan

Wang Pin

Tongji University, Rm#502, No 91, Lane 78, Wuchuan Rd, Yangpu Dist, Shanghai 200433, China
mwangpin@hotmail.com

Abstract

Classical Tibetan is known as an ergative language due to its ergative case marking pattern, with the Agent of a clause marked by the ergative case particle. SFL provides an ergative model for the analysis of transitivity in English as a complement to the transitive model; for a generically ergative language like Classical Tibetan, the ergative model can be employed to interpret transitivity functions of a clause. This paper is intended to offer a systemic functional account of the ergative pattern in Classical Tibetan, especially the various functions of the ergative particle. The major function of the ergative case particle is to identify the Agent in a clause if there is one, giving it some features of circumstances as the particle is also used to indicate Cause or Manner. Tibetan verbal groups do not distinguish between active and passive forms, thus the voice system follows the distinction between middle and effective depending on the absence or presence of agency. For the same reason, the effective voice does not further split into operative and receptive, but into actualized and non-actualized according to whether there is an explicit Medium, the participant through which the process is actualized.

1 An Overview of Classical Tibetan

Tibetan is a language of the Tibeto-Burman group in the Sino-Tibetan family. Classical Tibetan refers to the middle phase of the five stages in the development of the Tibetan language, namely Archaic, Old, Classical, Medieval and Modern (Hodge 1993: vii). In particular, it refers to the Tibetan language that was standardized around the 9th century for translation of Buddhist canonical texts from Indic languages, especially Sanskrit. Classical Tibetan assumes historical and literary significance in that it has been used to record a large number of religious, literary and medical documents and forms the basis of grammar and vocabulary generally used by Tibetan speakers down to the present day.

Classical Tibetan vocabulary can be classified most generally into content words, including nouns, verbs, adjectives, etc. and particles which are postpositively dependent on content words and indicate ideational, interpersonal and textual relationships among them, such as nominal particles, case particles, and isolation particles. Observed from the perspective of lexis-grammar complementarity held by Systemic Functional Linguistics (cf. Halliday 2008), this dichotomy reflects the complementarity in Classical Tibetan lexicogrammar, with content words at the lexis side and particles at the grammar end. Tibetan dictionaries provide entries of content words, while Tibetan grammar books largely comprise descriptions of the uses of various particles.

Classical Tibetan adopts an SOV word order. The Process is placed at the final position of a clause, and it may be followed by a participle that indicates mood or logical relationship with another clause. For example:

chos	las	bzang ba	med	do.[19]
Buddhist law	ABL[20]	good	not exist	FIN/DEC

There is nothing better than the Buddhist law.

---

[19] This paper adopts the Wylie transliteration system.
[20] Abbreviations - ABL: ablative particle; DEC: declarative mood; ERG: ergative particle; FIN: final particle; NEG: negative; PL: plural

2   Ergativity in Classical Tibetan

Classical Tibetan is known as an ergative language due to its ergative case marking patterns. In traditional terms, the subject of a volitional verb takes a postpositional ergative particle, while the object of a volitional verb and the subject of a non-volitional verb are in the absolute case which is not morphologically marked. The ergative particle has five allomorphs: *kyis* (after final consonants *d*, *b*, or *s*), *gis* (after final consonants *g* or *n*), *gyis* (after final consonants *n*, *m*, *l*, or *r*), *-s* (after final vowels or replacing *'*), and *yis* (equivalent to *-s* to serve the metrical purpose).

The ergative model proposed by SFL which is initially intended to serve as a complementary approach to the transitive model for English can be readily employed to account for the "transitivity" system of a generically ergative language like Classical Tibetan. The ergative pattern puts Process and Medium in the nucleus of a clause, possibly extending to other participants such as Agent and Beneficiary, and circumstantial elements.

The Agent, as suggested by Halliday & Matthiessen (2004: 295), has mixed features of both participants and circumstances. It is reflected in English that Agent may enter into a clause either as a nominal group or in a prepositional phrase headed by *by*. The presence or absence of the preposition is not random, but determined by the textual or interpersonal function of that clause. In Classical Tibetan, however, the Agent is always explicitly identified by the ergative case particle. The postpositional phrase structure makes the Agent look more like a circumstance than a participant, just as other circumstantial elements that are marked by various postpositional particles, such as the inessive particle *na* used for Location and the ablative particle *las* for Manner: comparison. The ergative particle, in addition to specifying the performer of the process, is also used to indicate circumstances of Manner and Cause, or signify causal enhancement in clause complexes.

3   Ideational Functions of the Ergative Particle

3.1   Agent

The most important usage of the ergative participle is to indicate the Agent by which something happens.

rgyal po de-s king that-ERG	dgra bo rnams enemy PL	bcom mo conquered FIN/DEC
Agent	Medium	Process
"The king conquered the enemies."		

bdag gis I ERG	bla ma chen po Lama great	mthong ngo saw FIN/DEC
Agent	Medium	Process
"I saw the great Lama."		

Figure 1: Examples of the ergative particle indicating Agent

In the first example, the Medium and the Process form the core unit of the clause, which extends to the external cause of the happening. Thus a more literal translation would be like "by means of the king (as agent), a conquering of the enemies took place" (Hahn 2005: 48). The second example, however, shows some deviation from the transitive-ergative participant function equivalents presented by Halliday & Matthiessen (2004: 291). The Senser *bdag* in terms of transitive function is not equivalent to Medium in the ergative model but Agent, since it is marked with the ergative particle. Besides, the Phenomenon *bla ma chen po* is not seen as corresponding to Range due to the absence of any postpositional marker. The zero-marked participant in the absolute case is felt to be a "default value" which is closest to the process, hence its function of Medium. If the Agent is absent, the clause *bla ma chen po mthong ngo* stands equally grammatical, meaning "a seeing of the great Lama happened" or "The great Lama was seen", but who did the seeing is unknown.

3.2 Manner

The ergative particle can also be used to express the circumstantial element of Manner in which the process is actualized. Specifically, it falls into two subcategories of Manner: Means and Quality.

3.2.1 Means

Means as a circumstantial element is very close to the participant role of Agent. In Classical Tibetan, both agency and instrumentality are expressed by postpositional phrases with the ergative particle, thus blurring the borderline between Agent as a participant and Means as a circumstantial element.

rig ngan gyis executioner ERG	chom rkun thief	ral gri-s sword-ERG	bsad do killed FIN/DEC
Agent	Medium	Manner: means	Process
"The executioner killed the thief with a sword."			

Figure 2: Example of the ergative particle indicating Means

3.2.2 Quality

The circumstantial element of Quality, commonly expressed with *-ly* adverbs in English, expresses the mode of the actualization of the process. It is also marked by the ergative particle in Classical Tibetan.

bdag gis I ERG	gus pa-s reverence-ERG	phyag 'tshal do bow down FIN/DEC
Agent	Manner: quality	Process
"I bow down reverently."		

Figure 3: Example of the ergative particle indicating Quality

It can be observed from Figure 3 that a Classical Tibetan clause does not necessarily contain a Medium. The Process alone can function as the nucleus, extending directly to peripheral elements like Agent and Manner. This issue is to be resumed in Section 4.

3.3 Cause

The circumstantial element of Cause: reason explaining why the process takes place is denoted in Classical Tibetan by the ergative particle.

las	dge ba	rnams	kyis	byang chun	thob	bo
deed	virtuous	PL	ERG	enlightenment	attained FIN/DEC	
Cause: reason				Medium	Process	
"Because of (his) virtuous deeds, (he) attained enlightenment."						

Figure 4: Example of the ergative particle indicating Reason

3.4 Causal Enhancement in Clause Complexes

As an extension of the above use for the circumstance of Cause, the ergative particle can also serve as a hypotactic enhancing linker with reference to reason in a clause complex.

ba lang	legs par	ma	bsrungs pa-s	stor to
ox	properly	NEG	guarded-ERG	lost FIN/DEC
			×β	α
"Because the ox was not properly guarded, it got lost."				

Figure 5: Example of the ergative particle as causal enhancement linker

4 Clause Nucleus and Periphery

Halliday & Matthiessen (2004: 295) hold that the ergative model is a nuclear interpretation of the transitivity system. In Classical Tibetan, the ergativity system can be thus represented (Figure 6): the Process alone constitutes the nucleus, which has an optional inner ring of the Medium, which is in turn surrounded by an outer ring of circumstantial and quasi-circumstantial elements including the Agent, Range, and so on.
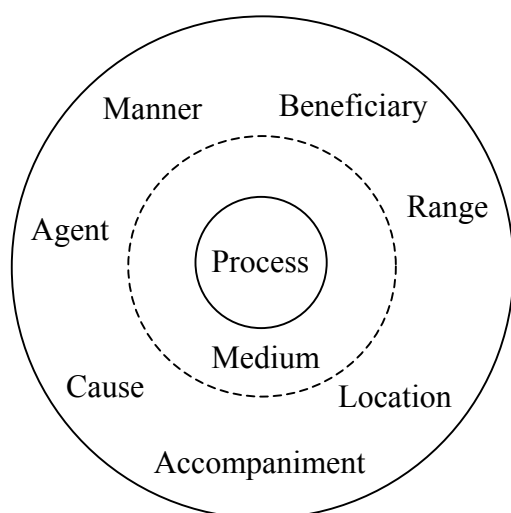

Figure 6: Clause nucleus and periphery

The Process is the only nuclear element since Classical Tibetan clause can only contain a Process without specifying by whom or through what the process is actualized. For example, *mthong ngo* ("saw") means a "seeing" took place; it can by extended by a zero-marked Medium, or further by an Agent, as in (*bdag gis*) *bla ma chen po mthong ngo* discussed in 3.1. The Medium is optional in that the Process can directly reach out to the outer ring with case-marked elements, as in *bdag gis mthong ngo* ("I saw") or *sems can thams cad la byin no* ("gave to all beings"). In the last example, *la* is the allative case particle marking the Beneficiary.

5   Voice

Classical Tibetan does not distinguish between active and passive voices. For example, *shing mkhan gyis shing bcad do* can be rendered into English as either "The woodsman cut the wood" or "The wood was cut by the woodsman". The voice of a clause is determined according to whether there is agency. The clause is effective with agency, middle without. The effective voice does not further split into operative and receptive, but into actualized and non-actualized, depending on whether the clause involves a Medium, the element through which the process is actualized. The system network is shown in Figure 7. Examples for each voice type can be found in sections above.
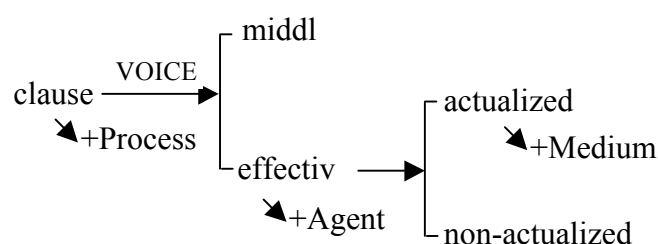

Figure 7: The system of VOICE in Classical Tibetan

6   Concluding Remarks

This paper provides a brief account of the ergativity system in Classical Tibetan, particularly the functions of the ergative particle, adopting the ergative model in SFL. A pattern of clause nucleus and periphery is also devised to account for the construal of experience in Classical Tibetan clauses. It is observed that the Process is the sole element in the nucleus, and the participant that does not take any particle, i.e. not case-marked, is the Medium, which is semantically closer to the Process than other elements with postpositional markers. The Agent, Range or Beneficiary, which are conceived of as participants in English clauses, are de facto circumstantial elements in Classical Tibetan, since they are not inherent in the clause, enter into the clause in postpositional phrases and augment the experiential core of the clause.

With no distinction between active and passive, Classical Tibetan has middle and effective voices differentiated by agency. In the effective voice, there can be a Medium for the Agent to actualize the process upon, or the target of the Agent's actualization of the Process is not made explicit. Due to the restriction of space, this paper has not been able to examine the ergativity functions across process types, but only addresses the fundamental issues concerning the ideational functions of the ergative particle in Classical Tibetan, in a bid to apply the SFL ergative model to the functional interpretation of a genuine ergative language.

References

Caffarel, A., Martin, J. R. & Matthiessen, C. M. I. M. (Eds.). (2004). *Language Typology: A Functional Perspective.* Amsterdam/Philadelphia: John Benjamins.

Davidse, K. (1992). Transitivity/ergativity: The Janus-headed grammar of actions and events. In M. Davies and L. Ravelli (Eds.), *Advances in Systemic Linguistics: Recent Theory and Practice* (pp. 105-135). London: Pinter.

DeLancey, S. (1984). Transitivity and ergative case in Lhasa Tibetan. *Proceedings of the Tenth Annual Meeting of the Berkeley Linguistics Society*, 131-140.

Dixon, R. M. W. (1979). Ergativity. *Language*, 55(1), 59-138.

Hahn, M. (U. Pagel Tr.) (2005). *A Textbook of Classical Literary Tibetan*. London: SOAS.

Halliday, M. A. K. (2008). *Complementarities in Language*. Beijing: Commercial Press.

Halliday, M. A. K. & Matthiessen, C. M. I. M. (2004). *An Introduction to Functional Grammar (3rd ed.)*. London: Hodder Arnold.

Hodge, S. (1993). *An Introduction to Classical Tibetan*. Warminster, England: Aris & Phillips.

Jäschke, H. A. (1883). *Tibetan Grammar (2nd ed.)*. London: Trübner & Co.

Martin, J. R. (1996). Transitivity in Tagalog: a functional interpretation of case. In M. Berry, C. Butler, R. Fawcett & G. Huang (Eds.), *Meaning and Form: Systemic Functional Interpretations* (pp. 229-296). New Jersey: Ablex Publishing Corporation.

Matthiessen, C. M. I. M. (2004). Descriptive motifs and generalizations. In A. Caffarel, J. R. Martin & C. M. I. M. Matthiessen (Eds.) (2004), 537-673.

Saxena, A. (1991). Pathways of the development of the ergative in Central Tibetan. *Linguistics of the Tibeto-Burman Area*, 14(1), 109-116.

Takeuchi, T. & Takahashi, Y. (1995). Split ergative patterns in transitive and intransitive sentences in Tibetan: a reconsideration. In Y. Nishi et al. (Eds.), *New Horizons in Tibeto-Burman Morphosyntax (Senri Ethnological Studies 41)* (pp. 277-288). Osaka: National Museum of Ethnology.

Taylor, A. (1976). 'Ergative-based' or 'transitive-based'? *Foundations of Language*, 14(1), 1-17.

Tournadre, N. (1991). The rhetorical use of the Tibetan ergative. *Linguistics of the Tibeto-Burman Area*, 14(1), 93-107.

An SFL analysis of existential clauses in research articles

José DURÁN

Universidad de Buenos Aires

Palestina 830. 1ºA (C1182) ADH Ciudad Autónoma de Buenos Aires. Argentina
joseduranlinguist@yahoo.com.ar

Abstract

Existential clauses are rather infrequent in language—representing just 3–4% of all clauses within discourse (Halliday & Matthiessen 2004), which seems to be the reason why they have apparently not been given enough attention within SFL (Hannay 1985, Davidse 1992, 1999). Still, existential clauses fulfil a significant function in certain genres such as the introduction of main characters at the beginning of narratives. The typicality of the expression *Once upon a time there was an X* in fairy tales and fables has probably led to the association of existential clauses with a presentational function (Downing 1992). Presumably however, existential constructions have adopted further functions in their wider use in other formal genres such as the Research Article. To my knowledge, however, there do not seem to exist any corpus-driven studies of existential constructions within SFL so far. The aim of this paper is therefore to conduct a thorough quantitative analysis of existential clauses with overt expletive *there* in Research Articles in English. Two-hundred and twenty-five Research Articles will be scrutinised for existential clauses in order to examine the Mood element, the presence of processes other than *be*, the nature of the Existent and its premodification, the grammatical metaphors present and the rhetorical effect of the process chosen by academic writers. The corpus has been driven from Research Articles on Linguistics published by University College London between 1994 and 2010, from which a total of 5,599 existential clauses have been obtained.

> *The grammar has to create a form of discourse for reasoning from observation and experiment, drawing general conclusions and progressing from one step to another in sequences of logical argument.* (Halliday 1999:123)

1 Introduction

Existential clauses in English are different from all other English clauses since they do not portray a participant Subject. Rather, their Subject is the dummy expletive *there* devoid of semantic meaning, while the only participant chosen by an existential process is found after the process itself. Within the taxonomical circle of processes in English, existential processes are described as in-between material and relational processes. They combine the semiotic power of material processes of happening describing events in the outer world with that of the realm of abstract relations expressed by relational processes. From a functional perspective, existential clauses play a fundamental role in certain registers such as the presentational function in the setting or orientation of narratives. Apart from this introductory function, Hyvärinen (2008) argues that existential clauses make a contribution to the manipulation and interplay between distance and closeness in discourse. In academic discourse, the meaning potential of existential clauses presumably makes them highly effective in the writing of research articles. However, there seems to have been no corpus-driven studies on the use of existential clauses in academic genres. The aim of this paper is therefore to conduct an analysis of existential clauses in Research Articles in English. A total of 225 Research Articles on Linguistics published by the University College of London between 1994 and 2010 have been scrutinised for existential clauses making up a corpus of 5,599 existential constructions.

2   Methodology

All existential constructions present in the research articles abovementioned were obtained after discarding the ones from glosses or examples. The corpus thus obtained was later analysed for order of elements in the Mood, types of processes involved, realisations of the process *be*, type of existent introduced or referred to, premodification within the nominal group of the existent and rhetorical effect of the existential clause.

3   Analysis

3.1   Mood Element: SF vs. FS

As can be seen in Table 1 below, an overwhelming majority (99%) of the existential clauses analysed have the function of statement, which is a natural consequence of the argumentative quality of the research articles from which our corpus has been driven. This finding is in line with Halliday's claim that the "figures [of science] are largely statements" (1999:119). What is more, 27% of the 56 clauses wherein the Finite precedes the Subject do not function as questions. The inversion in those clauses has rather been triggered 14 times by a negative operator, as in (1) below; and once by a condition with *if*-ellipsis, as in (2). Thus the percentage of interrogative clauses is further reduced to only 0.73%.

> (1)   *[…] nowhere in the prosodic hierarchy is there either a 'syllable' or any level that could be termed 'CV'.* (Harrison 1995)

> (2)   *At L2 and L1 licensing goes from right to left (this is parametrically conditioned), so that, had there been any units to the left of the nucleus, these would have been licensed by the nucleus itself.* (Cabrera et al 1996)

	S + F	F + S	Total
Frequency	5543	56	5599
Percentage	99.00	1.00	100.00

Table 1: Declarative/Interrogative Clauses

3.2   Processes Involved

As has been extensively cited in the literature, the process *be* is the most typical in existential clauses (Halliday & Matthiessen 2004:258). In our corpus, 98% of existential clauses contain a form of *be*.

	Be	Other	Total
Frequency	5491	108	5599
Percentage	98.07	1.93	100.00

Table 2: Frequency and percentage of process type

The remaining 108 processes are prototypically existential, like *exist* or *remain* (79 instances); probably closer to the material end than to the relational end, like *occur*, *arise* and *evolve* (9 instances); or containing a circumstantial element, like *follow* and *emerge* (4 instances) or a modal element, like *seem* and *appear* (16 instances). Examples (3) to (6) illustrate these types of processes in existential clauses.

> (3)   *According to Distinctness, there exists a problem of how to distinguish the verb's three theta functions from each other. If we label them according to their semantic roles, we accredit the syntax with the ability to interpret these purely semantic notions.* (Janke 2003)

(4) *If there arise no ambiguities or confusions when an SIC governed 'I/you' is used, then the SIC 'I/you' may not be replaced by a PIC governed 'I/you'.* (Uchida 1997)

(5) *From this implicit premise together with the explicitly expressed proposition, there follows deductively the relevant conclusion that Ann doesn't want to go to the cinema [...]* (Carston 1999)

(6) *Once one takes intuition seriously, there seems little way of avoiding the conclusion that the sorts of constituent under discussion do genuinely contribute to truth-conditional content.* (Breheny 2005)

3.2.1 Forms of *Be*

Since *be* is the most frequent process in existential clauses, this subsection summarises the different forms in which it appears. Table 3 shows that Present Tense outweighs all other forms. In particular, *there is* appears 3139 times in our corpus; *there are*, 1374 times and a modalised form like *there may/can/must be* is present in 441 instances.

Tense	Frequency	Percentage
Past	333	6.1
Present	4954	90.2
Future	45	0.8
Past in Past	5	0.1
Pres in Past	71	1.3

Table 3: Frequency and percentage of forms of *be*.

Existential clauses in the present tense are used with a great variety of functions throughout research articles. For example, following the model of the analysis of the Introduction section proposed by Swales (1990, 2004), example (7) is the first sentence of an introduction of a research article wherein the authors 'claim centrality' for the topic to be discussed; (8) illustrates the step 'counterclaiming;' and (9) exhibits an instance of 'occupying the niche'.

(7) *There is a well-established strategy for maintaining a minimal truth-functional semantics for the natural language counterparts of the logical operators in examples such as (1) and (2), where the states of affairs described in the conjuncts are understood as having occurred in a temporal sequence.* (Blakemore & Carston 1999)

(8) *While these two traditions have sometimes been presented as competing with each other, there is no reason in principle why syntactic dependencies and constituent hierarchies should not both be part of the grammar, complementing each other.* (Brody 1994)

(9) *The major concern of this paper is to argue that, with association to two different categories of TBUs, there is no way of making any fundamental generalisations about tone-association, because at least two independent phonological operations need to be stipulated for each type of association.* (Cabrera 1995)

Existential clauses in the past tense are found mainly in the literature review section as shown in (10) and in the Methods section of the more empirical research articles, as can be seen in (11).

(10) *However, it must be pointed out that, so far, among such structures, not one of them can account for a contour in which there was a rising movement over the onset constituent.* (Cabrera et al 1996)

(11) *In between these values lay a region in which there was some confusion, as can be seen from the results (in Appendix).* (Harrison 1996)

3.3 Existent

Figure 1 below shows the frequency of the eight most recurrent existents present in our corpus and Figure 2 indicates the rate of the ten most frequent groups of synonymous existents.
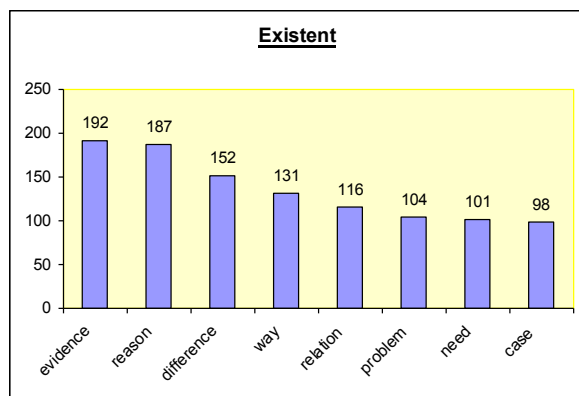

Figure 1: Most frequent existents
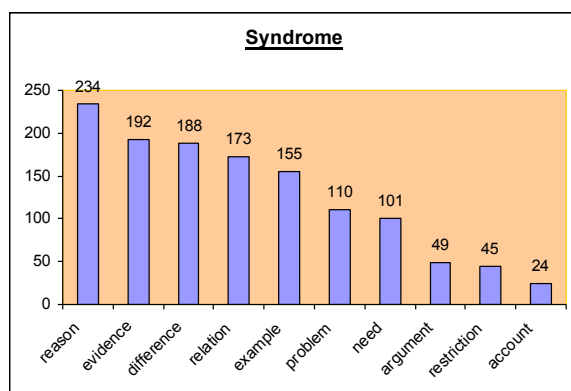
Figure 2: Most frequent synonymous existents

As can be noticed in figures 1 and 2 above, the most frequent existents are nominals specifically related to the construal of the author's argument. Moreover, very frequently existents involve nominalisations of processes, qualities and relators. For instance, the processes *differ*, *relate* and *argue* have recurrently nominalised into *difference*, *relation* and *argument*, respectively; the qualities *evident* and *necessary* have become the nominals *evidence* and *need*; and the congruent relator *so* has repeatedly been transcategorised into the noun *cause*.

3.3.1 Premodification

Table 4 below summarises the most recurrent determiners present in the nominal group of existents. By far, there is an overwhelming predominance of non-specific determiners like the indefinite article *a(n)* and the negative determiner *no*. This strikingly frequent use of *no* (23% of instances) in existential clauses is noticeable since authors have repeatedly chosen to express the lack of evidence, reason, need, example, account, etc. rather than their existence, as exemplified in (12). This adds to the heteroglossic and argumentative character of the register under study.

(12) *There is no need for such constraints to refer to an underlying or canonical shape of a segment.* (Harris 1999)

Determiner	Frequency
a/an	1537
No	1313
number	476
Numerous	224
Some	220
Any	161
Many	72
More	65
Little	48

Table 4: Premodification of Existents

3.4 Rhetorical Functions of Existential Constructions

From the textual point of view, one of the rhetorical functions of existential clauses in research articles is that of introducing new participants into the discourse in the very same fashion as the role of existentials in the setting or orientation of narratives. This is shown in example (13), which represents the first sentence of a research article wherein previous explanations of the distribution of grammatical categories are introduced. Once introduced, these accounts can be easily referred to and confronted, helping the authors to develop their own point.

(13) *From Pollock 1989 to Lasnik 1995 and Roberts 1998, there have been various accounts of the distribution of verb, auxiliary, modal, and negation, in English.* (Cormack & Smith 1998)

Frequently, however, academic writers do not necessarily introduce a new participant into their discourse, but rather elaborate on a topic already raised. For example, in (14) below, the author does not introduce a temptation for a certain argument, but discards it after dealing with it in her analysis in the previous section of her research article.

(14) *There is the temptation to argue that this is still a categorical distinction between short and long vowels, but all the vowels in (4) are phonologically short.* (Pearce 2007)

Additionally, existential clauses in research articles seem to have a richer range of functions than the presentational role abovementioned. From the experiential point of view, one such function is to enable a systematic foregrounding of nominalisations in the same way as relational processes do. Existential processes share the semogenic potential of relational processes in that both allow the positioning of nominalisations towards the end of the clause. These nominal groups in rhematic position have a great potential for expansion (Halliday 1998). For example, (15) illustrates an existential clause with a nominalised form as existent with prepositional phrases as qualifiers, and (16) exhibits an existential clause whose existent is premodified by the epithet *special* and the compound classifier *pragmatic interaction*.

(15) *[...] we do NOT assume that there is any actual reconstruction of the fronted phrase to the trace position either in any component of the grammar, or in deriving the representation of the proposition expressed.* (Cormack & Smith 2000)

(16) *However, he occasionally allows for the possibility that there might have evolved 'a special pragmatic interaction device' within the central systems, which is responsible for inferring implicatures and indirect speech acts (Kasher 1991b, 392).* (Carston 1997)

This potential for expansion of existents is conducive to the creation of taxonomies and subclassifications of entities, which is characteristic of academic discourse. For example, in

(17) the author does not refer to any kind of algorithms such as logical or mathematical ones, but to the special case or biological ones.

> (17) *Importantly, for life or for semi-life (organisms like viruses which may not live independently), biological algorithms are all that there is.* (Harrison 1999)

This semogenic power of nominalisations allowed by existential clauses appears to be highly exploited in academic writing in general and in research articles in particular. The rationale behind this rhetorical use of existential constructions with nominalised forms probably lies in the need for academic writers to construe an ostensibly objective discourse that contributes to the reasoning and technical representation of experience. Thus, existential clauses play a fundamental role in the theoretical abstractions of scientific discourse.

4   Concluding Remarks

This study has analysed some features of existential clauses in a corpus of research articles published in English. As Halliday (1998:74) has pointed out, existential clauses provide an alternative for relational ones, "the favourite clause type of English scientific writing." Existential processes differ from relational ones in that whereas the latter admit the projection of two nominal groups, existentials portray only one. Thus, existential processes offer a more limited possibility of nominalisation than relational processes. Yet academic writers seem to exploit this resource to a great extent.

References

Davidse, K. (1992). Existential constructions: a systemic perspective. In *Leuven Contributions in Linguistics and Philology* 81(1): 71-99.

Davidse, K. (1999). The semantics of cardinal versus enumerative existential constructions. In *Cognitive Linguistics* 10(3): 203-250.

Downing, A and P. Locke. 1992 [2nd Edition, 2006]. *English Grammar: A University Course.* London & New York: Routledge.

Halliday, M. A. K. (1998). Things and relations: Regrammaticizing experience as technical knowledge. In J. Webster (Ed.), *The Collected Works of M.A.K. Halliday,* Vol. 5 (pp. 49-101). London & New York: Continuum.

Halliday, M. A. K. (1999). The grammatical construction of scientific knowledge: the framing of the English clause. In J. Webster (Ed.), *The Collected Works of M.A.K. Halliday,* Vol. 5 (pp. 102-134). London & New York: Continuum.

Halliday, M. A. K. and C. M. I. M. Matthiessen. (2004). *An Introduction to Functional Grammar.* New York: Hodder Arnold.

Hannay, M. (1985). *English Existentials in Functional Grammar.* Dordrecht: Foris Publications.

Hyvärinen, M. (2008) Narrative form and narrative content. In I. Järventie & M. Lähde (Eds.) *Methodological Challenges in Childhood and Family Research'.* Tampere: Tampere University Press.

Swales, J. (1990). *Genre Analysis: English in Academic Research Settings.* Cambridge & New York: Cambridge University Press.

Swales, J. (2004). *Research Genres: Explorations and Applications.* Cambridge & New York: Cambridge University Press.

Clause complexes in Korean

Gyung Hee Choi

University of New South Wales, Australia
g.choi@unsw.edu.au

Abstract

This paper investigates clause complexes in the Korean language using SFL core concepts such as function and rank with the view of applying the outcome to texts in the context of translation. The data comprises 20,000 clauses drawn from Korean texts that are broken down to approximately 400 clauses from each of five text types (textbooks, novels, editorials, news stories and IT manuals).

1 Introduction

While there has been extensive work undertaken describing languages from the functional perspective, research on clause complexing has been scarce. The work that has been done has focused on English (Halliday and Matthiessen 2004) and Japanese (Teruya 2006), but much more is needed, in particular, that which takes into account the significance clause complexing has in a text.

As there has been no research into Korean clause complexing from the functional standpoint, this paper attempts to provide the first description, drawing on SFG, of clause complexing of the language. In Korean, classification of clause complexes has been viewed as problematic mainly because of the linkers that connect them (the term 'linker' adopted from Martin 1995). These linkers are numerous (Sohn 1999: 239) and too diverse to categorise systematically (Yun 2005 'Introduction'). While many of them have more than one logico-semantic relation, others are encoded in the same graphological form but function at different ranks.

This preliminary report proposes the criteria for taxis, and sketches some distinct features of the logico-semantic relations (including sorting out some of the linkers). Like English, Korean has both expansion and projection, but it is found that it does not realise enhancement through paratactic relations (expansion). Taking the typical structure of an interrupted clause nexus, projection in Korean comprises locution and idea, with verbal and mental process types used, respectively. In Korean, unlike in English, desiderative subtype is not used to project idea.

	Secondary	Primary
Parataxis	1 (initiating)	2 (continuing)
Hypotaxis	**β (dependent)**	α (dominant)

Table 1: Clause Nexus in Korean

2. Clause Nexus

A clause complex in Korean is either paratactically or hypotactically related in a clause nexus. In a paratactic clause nexus, the initiating clause precedes the continuing clause, which

occurs in same order as in English. However, in a hypotactic clause nexus, the dependent clause typically comes before the dominant clause (see Table 1 above). In Korean, the sequence of hypotaxis is the same as in Japanese (Teruya 2006), but different from English where the dependent clause may come before or after the dominant clause depending on the textual decisions.

3. Taxis and Logico-semantic Relations

3.1. Taxis

Taxis concerns the degree of interdependency: either parataxis (equal status) or hypotaxis (unequal status). In Korean, I propose three criteria to determine whether a clause nexus is in a paratactic relation or a hypotactic relation. The criteria are

1. Symmetry: whether or not the primary clause and the secondary clause can be swapped around and still imply the same thing (Halliday and Matthiessen 2004: 384-5)
2. Tense: whether or not the primary clause may choose its tense independently of the secondary clause, and
3. Mood: whether or not the secondary clause may have different mood from the primary clause (Lee 1999).

If the inter-clausal relation is paratactic (e.g. the linker *–ko* is used), the clauses are symmetrical; the initiating clause may choose its tense independently of the continuing clause, but the mood of the initiating clause is controlled by the continuing clause.

In the case of a hypotactic clause nexus (e.g. the linker *–ese* is used), the clauses are non-symmetrical; the tense of the dependent clause cannot be independent of the dominant clause; but the dependent clause may have a different mood from the dominant clause.

3.2. Logico-semantic Relations

Logico-semantic relations can be grouped into general types based on expansion and projection. By expansion, one clause is elaborated, extended or enhanced by another, while projection relations involve locution and idea (Halliday and Matthiessen 2004). As in English, logico-semantic relations in Korean constitute expansion and projection, and the subcategories below them. However, variation exists at more delicate levels. In the category of projection, while in English the three subtypes of mental process (perception, cognition and desideration) project idea, in Korean the desiderative subtype does not project idea and the cognitive and perceptive subtypes project in a limited way as discussed in section 3.2.2.2 below.

3.2.1. Expansion

In this paper, hypotactic enhancement and paratactic extension are the most common relations while no paratactic enhancement relations are identified. This finding indicates that Korean does not realise enhancement through paratactic clause relations. Elaboration is uncommon and appears only in certain text types; the paratactic elaboration is found in novels while the hypotactic elaboration is found in textbooks and in news texts. Below, I will focus on the two most common expansion relations, paratactic extension and hypotactic enhancement.

3.2.1.1. Paratactic Extension

Paratactic extension relations are sub-categorised into additive, adversative and replacive. The clause nexus belonging to paratactic extension matches all three criteria for parataxis: symmetrical (no space in time considered), and independent choice of tense and mood. Linkers typically used for paratactic extension relations include *ko 'and', ciman 'but' and kena 'or'*.

			Parataxis	Hypotaxis
Elabo-rating			Comma(,)	-ntay, -n tung
Extend-ing		Additive	-ko, -mye, -myense(to), -l ppwun(tele), -l ppwunman anila	-(n)teyta(ta)
		Adversative	-una, -ciman	-myense, -ci
		Replacive:	-kena	-ko, -la
Enhan-cing	Tem-poral	Same time	-	-ko, -(u)mye, -myense(to), -a
		Different time	-	-ko(nun), - a/e, -ye, -taka, -(e)se, -ca(maca), -eta(ka)
				-n taum, -nun sai, -nun tongan(eyto), -ki myechil(cen), -l/ul ttay(eynun), -n kuttayey, -n twuiey(ya), -un twui(ey), -n chay(lo), -n taum
	Causal-condi-tional	Reason	-	-la, -a/e, -ye, -e/ase, -se, -nulako, -(i)ni, -(u)nikka, -nci, -tenci, -ulyenikka, -lseyla, -nunci, -imulo, umulo, -nun thongey, -iki ttaymwuney, -kiey
		Purpose	-	-leyko
				-ki wuihaye, -ki wuihaysenun
		Result	-	-ni, -a/e, -a/ese,-key, -tolok
		Condition	-	-myen, -ulyemyen, -yeto, -(ta)myen, -(u)myen, -yeya, -eya, -camyen
		Concessive	-	-ciman, -a/eto, -una, -telato, -ntay(to), umyenseto
	Manner	Degree	-	-l mankhum

Table 2: Basic types of inter-clausal linkers in Korean

3.2.1.2. Hypotactic Enhancement

Hypotactic enhancement is further categorised into temporal (same time and different time), causal-conditional (reason, purpose, result, condition and concessive) and manner. While linkers of an expansion clause complex are realised typically in clause ending suffixes (e.g. *myen 'if'*), the construction of a noun/bound noun[21], which occurs as frequently, can also be regarded as functioning as a ranked clause (c.f. Choi 2005). In the Example *i kinungul sayonghal ttay 'when using this functi*on*'*, the underlined *-l ttay* comprises a group-rank linker (*-l*) which connects between the verbal group (that comes right before the linker) and the bound noun (*ttay 'time'*), to create the meaning '*the time when*'. The reason this construction is considered a ranked clause in this paper is because the verbal group coming before *ttay* has the potential to have affixed tense and honorific morphemes unlike its noun form *sayong si 'when in use'*. It can also be compared with "nominal conjunctions" in English, which have a similar construction of "*the* + various nouns of time or manner" and are treated as a clause (Halliday and Matthiessen 2004: 419). This construction appears most commonly in hypotactic: temporal: different time and, though less commonly, in hypotactic: causal-conditional: reason, and hypotactic enhancing: manner: degree relation.

The grammatical resources of different types of taxis and logico-semantic relations in Korean are summarised in Table 2 above.

3.2.2. Projection

Projection in Korean typically takes the structure of an interrupted clause nexus. The projecting clause encloses the projected clause as in Table 3 below. The projecting clause is divided into two parts: the Participant (*Ku-nun 'he'*) and the Process (*malhanta 'says'*). These parts surround the projected clause and its linker (*lako*). The Participant (the first Participant if there are two or more) is often omitted once the context of a text is established and the omitted part is retrievable. This structure is the same for locution and idea, both in direct and indirect forms (1-<<"2>> -1; α- <<"β>>-α; 1-<<'2>>-1; α-<<'β>>-α).

Kunun	*"sonyentul-ey kenkangsangtay-ka yanghoha-yss-supni-ta" –lako*	*malha-yss-ta.*
He	*"the boys' health conditions were good"*	*said*
1–	*<<" 2>>*	*–1*

Table 3: A typical structure of projection in Korean

The process type used for locution is verbal process. Some of the verbal processes realised in manner (e.g. *soncishata 'gesture'*) (Lee P. 1995: 46) are also used for locution. The process type employed for idea is mental process: perception and cognition subtypes both in limited cases. However, emotive and desiderative subtypes are not used to project idea. Paratactic locution and idea clause complexes can project minor clauses, but hypotactic locution and idea clause complexes cannot.

3.2.2.1. Locution

Paratactic locution encodes quoting a clause complex whose clauses have equal status (1^"2, "1^2). In paratactic locution in Korean, as in English, the projected clause carries all the

---

[21] A bound noun is broadly regarded as a type of noun as it appears in the same environment as a noun. However, unlike a noun, a bound noun cannot stand on its own without a pre-modifier, and its main function is grammatical rather than lexical.

interpersonal features of a clause as exchange, including full mood potential, vocatives, continuatives and tone selection. In written Korean, the projection is commonly signaled by double quotation marks (double inverted commas). In spoken Korean, the projection has two tone groups: there is a clear pause between the projected clause and the linker that connects with the process of the projecting clause, and stress is placed on the linker (the same tone groups apply to paratactic idea). Linkers typically used for paratactic locution are *hako* and *lako*. The former focuses more on the procedure of uttering the projected part whereas the latter concentrates on the outcome of such utterance (Lee, P.1995: 44).

Hypotactic locution is manifested when reporting a clause complex with unequal status (α^"β). It has no quotation marks and has only one tone group with no stress on the linker. Linkers for hypotactic locution are diversified depending on mood: *tako* (declarative: 'state'), *nyako* (interrogative: 'ask'), and *lako* and *cako* (imperative: 'order' and 'propose', respectively). In the linkers, *ta, nya, la* and *ca* specifically denote mood. In this process the 'polite form' used in the paratactic projection is changed to the 'non-polite form' (one tone group and the change to a non-polite expression also apply to a hypotactic idea clause nexus).

When converting paratactic locution to hypotactic locution in English, grammatical elements including subject and tense, and other Circumstantial elements such as space in time and location are changed. In Korean, however, certain grammatical elements are preserved in a hypotactic locution clause complex. Tense, (in some cases) subject, and interpersonal items like *-keyss* (presumption, intention) and *-te* (retrospection) remain unchanged (Lee, P. 1995: 17-26). (This feature of hypotactic locution also applies to a hypotactic idea clause complex).

		Paratactic	Hypotactic
Locution	Proposition (indicative mode)	Φ , -(i)lako, -hako	Declarative: -tako, -lako, (nu)nyako Interrogative: -(n)ayko
	Proposal (imperative mode)	Φ , -hako	-lako, -cako, -tolok
Idea	Proposition (indicative mode)	-lako, -hako	-(la)ko, -tako, -hako, -kka(boa)
	Proposal (imperative mode)	-hako	-hako, -lako

Table 4: Linkers used in projection

3.2.2.2. Idea

Paratactic idea expresses a reporting clause complex with equal status (1^'2, '1^2). A paratactic idea clause complex has two tone groups, and idea is signaled through single quotation marks (single inverted commas). Common linkers used for a paratactic idea clause complex are *lako* and *hako*. The process type used for paratactic idea clause complexes includes mental: cognitive processes (e.g. *sayngkahata 'think', uysimhata 'doubt'*) and, much less commonly, mental: perceptive processes (e.g. *tutta 'hear'*). Hypotactic idea is manifested in reporting clause complex with unequal status (α^'β). The same process sub-types used in paratactic idea (i.e. cognitive and perceptive) are employed for hypotactic idea.

Emotive and desiderative processes are not encoded in projection in Korean. Both of them are expressed in an auxiliary in a verbal group construction: for example, *kekcengtoynta 'worried'* in *salccil <u>kkaboa</u> kekcengtoynta 'worried <u>for fear of</u> gaining weight'* (emotive subtype) is expressed as an verbal auxiliary while *sipta 'want'* in *toyko sipta 'want to become'* (desiderative subtype) as adjectival auxiliary. In addition, the desiderative subtype serves as a verbal group (Process) that post-modifies a nominalised embedded clause (Phenomenon) (e.g. *hakil palanta 'hope to', - l kesulo kidayhanta 'expect to'*).

Linkers used in projection are tabulated in Table 4 as shown above.

4. Importance of analysing clause complexing in translation studies

The analysis of clause complexes has a great potential to contribute to translation studies both at the clause nexus level and above. Clause complexing offers the device to relate experiential events (i.e. clauses) in a way that can have overarching impacts on the whole text, the object of translation. At the same time, clause complexing is engaged in the semantic realm (and register and genre): clause complexes realise "rhetorical complexes" or the organization of text (Matthiessen and Thompson 1988: 44). Given that the organisation of text differs between text types, having an understanding of clause complexing would benefit translation theory and practice because they deal with a variety of text types. However, as this paper limits itself to lexico-gramamr, the semantic issues need to be pursued at another time.

5. Conclusion

This paper presented a summary of Korean clause complexes and inter-clausal linkers from the functional perspective. The SFG-based description of clause complexes can be of assistance to text analysis for translation studies because it focuses not just on the class of grammar but on the functions of the grammar in a text. The differences identified between Korean and English clause complexing (e.g. sequence in a hypotactic clause nexus, and tense in hypotactic locution) may be used as a departure point for further study with the purpose of applying the findings to translation research and teaching.

References

Choi, W. (2005). The Quantitative Studies on the Connective NPs. *Hangeul*, 269, 135-160.

Martin, J. R. (1995). Logical meaning, interdependency and the linking particle {-ng/na} in Tagalog. *Functions of Language*, 2(2), 189-228. [reprinted in SFL Theory 2010. 131-168]

Halliday, M.A.K. and Matthiessen, C.M.I.M. (2004). *An Introduction to Functional Grammar. (3 rd ed.).* London: Arnold.

Lee, K. (1999). Taetungmwun, Congsokmwun, Pwusacel Kwumwunuy Pyenpyel Tukseng (Characteristics of Distinguishing between a Coordinate Sentence, a Subordinate Sentence and Adverbial Clause Structure). *Senchengemwun 27*, (pp. 753-780). Seoul: Department of Korean Education, College of Education, Seoul National University.

Lee, P. (1995). *Kwukeuy Inyongkwumwun Yenkwu (A Study on Quotations in Korean)*. Seoul: Top Publishing Company.

Sohn, H. (1999). *The Korean Language*. Cambridge University Press.

Teruya, K. (2006). *A Systemic Functional Grammar of Japanese*. New York, London: Continuum.

Yun, P. (2005). *Hyentaykwuike Cepsokemi Yenkwu (A Study on Modern Korean Connective Word Ending*). Seoul: Pakijung.

Context and double articulation in the translation of verbal art

Annabelle Lukin1, Adriana Pagano[2]

[1]Centre for Language in Social Life, Macquarie University annabelle.lukin@mq.edu.au
[2]Universidade Federal de Minas Gerais apagano@ufmg.br

Abstract

In 'Towards a theory of good translation', Halliday argues 'It is notoriously difficult to say why, or even whether, something is a good translation…The central organizing concept is presumably that of 'equivalence'; but equivalence with respect to what?' (Halliday, 2001: 15). Catford (1965) defines translation equivalence in relation to situation, i.e. as 'the greatest possible overlap of situational range'. In this paper, we take Catford's definition of translation equivalence in order to consider the work that 'field', 'tenor' and 'mode' can do in the interpretation of the higher order meanings of a literary work, and in the evaluation of literary translations. In relation to the analysis of verbal art, Hasan (e.g. 1996) argues for two orders of field, tenor and mode. Taking field, for instance, she considers the first level to be the meanings that we can paraphrase, while the second order field concerns meanings we deduce from 'the particular ways in which the first order field is constituted' (ibid. p51). This is a process of 'double articulation', (or 'symbolic articulation' e.g. Hasan, 1971, 1985) and relates to the expression of the deepest meanings, of 'theme' of the work. Literary texts are the environment in which we see the potential of values in field, tenor and mode as 'raw material' in the creation of art; yet as 'values' they are already semiotic (cf Mukařovský 1977). The text we draw on is 'Bliss', a famous, somewhat controversial, and widely translated story from a celebrated 20th century short story writer, Katherine Mansfield.

1 Introduction

Katherine Mansfield (1888-1923) is a celebrated short story writer. Born in New Zealand, she spent much of her brief adult life in England. 'Bliss' is one of her best known stories (Full story at: http://www.eastoftheweb.com/short-stories/UBooks/Blis.shtml); it has been widely translated[22]. The central dramatic event of this story is a dinner party, during which the following 'exchange' takes place:

> *'What I want to do is to give the young men a show. I believe London is simply teeming with first-chop, unwritten plays. What I want to say to 'em is: "Here's the theatre. Fire ahead".'*
> *'You know, my dear, I am going to decorate a room for the Jacob Nathans. Oh, I am so tempted to do a fried-fish scheme, with the backs of the chairs shaped like frying-pans and lovely chip potatoes embroidered all over the curtains.'*
> *'The trouble with our young writing men is that they are still too romantic. You can't put out to sea without being seasick and wanting a basin. Well, why won't they have the courage of those basins?'*
> *'A <u>dreadful</u> poem about a girl who was <u>violated</u> by a beggar <u>without</u> a nose in a lit-tle wood. . . .'*

The speakers are three guests (Mug, Face, and Warren) in the home of Bertha and Harry Young, an upper middle class English couple. Despite the absence of projecting clauses, the speakers are easily identified at this point in the story. These guests talk as if to themselves. While the extract displays the turn-taking typical of conversation, each speaker pays no attention to what has been said by others. It is one of the many fascinating features of this story that a passage like this, notable for its lack of cohesion across turns, its nonsensicality (e.g. consider whether it is possible to say what Mug means by *Well, why won't they have the courage of those basins?*), and its absurdness (viz. the idea of fish and chips as a decorative motif), is part of the consistent trajectory of the story. The features of this extract are part of the story's 'semantic drift' (Butt, 1983), a consistency of meanings across diverse linguistic features, construing the theme of the work. This 'conversation' has to have a context of situation (Halliday and Hasan, 1985/89) for its enactment. The context for this talk is a dinner party, a material setting designed for the semiotic context of shared talk (Hasan, 1973[2005]).

---

[22] Mansfield has been translated into 28 languages; for this story 'Bliss', we have found 11 different translations into either Spanish or Portuguese.

The Young's dinner party is the dominant event in this short story. Roughly two thirds of the story is concerned with the unfolding of this event, and much of the first third with the anticipation of it, including Bertha's musings over the guests, her relations with them, and their significance as tokens of her apparently full life. The choice of dinner party as the central 'event' is a signal of a story concerned with the meaning of interaction, of a story in which talk and kinds of talk are central to its themes. What does this mode of talk signify? And for the purposes of translation evaluation, what meanings must be preserved to be able to say one has successfully translated this story? To reflect on these questions, we consider the systemic functional notion of 'context of situation', and its vectors field, tenor and mode (e.g. Halliday, 1977[2002], Halliday and Hasan, 1985/89, Hasan, 1999, 2009a) in relation to literature (e.g. Halliday, 1977[2002], Hasan, 1996) and literary translation.

2   'Context of situation' in the context of verbal art in translation

In 'Towards a theory of good translation', Halliday argues 'It is notoriously difficult to say why, or even whether, something is a good translation…The central organizing concept is presumably that of "equivalence"; but equivalence with respect to what?' (Halliday, 2001: 15). Nearly 50 years ago, Catford addressed this question in his book *A Linguistic Theory of Translation*. Catford argued that:

> *'Presumably, the greater the number of situational features common to the contextual meanings of both SL and TL text, the 'better' the translation. The aim in total translation must therefore be to select TL equivalents not with 'the same meaning' as the SL items, but with the greatest possible overlap of situational range' (Catford, 1965: 49).*

Catford does not make reference to Malinowski in his discussion of translation and situation, but the notion of 'context of situation' was proposed by Malinowski as essential to the translation process, since the receiver of a translated text would need 'to be informed about the situation in which [certain] words were spoken. He would need to have them placed in their proper setting of native culture' (Malinowski 1923: 301[23]). In 1965 Catford stated that there was 'as yet, no general theory of situation-substance, no general semetics (sic) ... from which to draw descriptive terms for the distinctive features of contextual meanings of grammatical or lexical items in particular languages (ibid: 50)'. With respect to the systemic functional tradition, an initial linguistic description of context appeared in Halliday et al. (1964 [2007] p 19). Halliday (1977[2002]) argued the contextual parameters of 'field', 'tenor' and 'mode' were constitutive of the 'semiotic structure' of the situation. The SFL conception of context has continued to develop since then (e.g. Halliday and Hasan, 1985, Hasan, 1999, 2009a).

In our analysis of Mansfield's short story, we can consider the dinner party – the central dramatic event of the short story - with respect to these parameters of context. Very briefly, and with respect to field, the social activity is [quotidian] (i.e. not [specialised]) and has the feature [relation-based] (Hasan, 1999); what is 'achieved' by the end of such a social process is measured only in interpersonal terms. At least, it is this dimension of the discourse that is worthy of dramatisation in the story. No doubt other languaging is necessary for the unfolding of a dinner party, such as the language associated with the supply of food and drink, the passing of salt, and so on. But it is the language of the [relation-based] activity that is on display in Mansfield's story. In Hasan's explication of the notion of a complex context, the [relation-based] activities are considered not typically part of the 'main context', but rather, as a prosody of facilitating sub-contexts (Hasan, 1999). But in the context of the dinner party, the [relation-based] activity is in the foreground, with the language for

---

[23] We are grateful to Ruqaiya Hasan for this point, and for other comments on a draft of this paper.

facilitating the eating and drinking relegated to a secondary status. This, we would suggest, is defining the 'dinner party' notion. As Lewis Carroll said, 'That which chiefly causes the failure of a dinner-party, is the running short—not of meat, nor yet of drink, but of conversation'.

Hasan argues that [relation-based] activities are 'sensitive to the ideological orientation of the speaker' (Hasan, 1999: 289), an ideological orientation which, according to Bernstein is an aspect of code, and which Hasan has shown to be expressed in patterns of semantic behavior (Hasan, 2009b). Bernstein argues 'different speech systems or codes create for their speakers different orders of relevance and relation' (Bernstein 1971: 124), and the acquisition of one's orientation to relevance and relation is a function of a speaker's social positioning. What Mansfield is wording in the dialogue of the dinner party is a distillation of features of the code associated with the English upper middle class, the language of the people which Bertha aspires to call 'friends' (*modern, thrilling friends, writers and painters and poets or people keen on social questions - just the kind of friends they wanted*), because they constitute part of what it means to 'have everything'. When the dinner party is considered from the perspective of both tenor and field, the characters' social positioning is being expressed. Hasan has argued that mode is also responsive to this vector in social experience:

> *'Social positioning is relevant to the management of mode…the co-presence of interactants always implies some specific social relation between the social groups to which they are affiliated. Not just any member of a society can be in the same place with just any other member of that society apropos the same social activity' (Hasan, 1996: 47).*

In this light, we ought to note that neither Mary, the maid, nor 'Nanny', sit down for the dinner. These characters are, obviously, symbolic of the family's social position. Social positioning, Hasan argues, subsumes social class as well as 'its far reaching consequences for social agents, such as their family, friends, social network, range of expertise, belief systems and experience of living with others' (Hasan, 2009c: 28). As such, one's position with respect to social hierarchy is ever present. Mansfield's dialogue captures this 'reciprocity of language and society' (Hasan, 2009c: 26).

The dinner party is not just one context of situation on display. Viewing context of situation as an instantiation of culture is central to (Halliday's) SFL; Halliday's cline theorises the two entities presented by Malinowski. Thus, the social context of the dinner party is redolent with meanings, as a bearer of culture. In Mansfield's representation of it, the context of the dinner party becomes amenable to being read as telling us something over and beyond the playing out of a single instance of human interaction. Thus, context is itself a unit subject to the principle of 'double articulation', or a 'double layering of symbolisation', a necessary principle of verbal art which permits some set of represented experiences to serve as 'extended metaphor' (Hasan, 1971, etc). Literary texts are the environment, then, where the linguistic construal of the values of field, tenor and mode is a kind of 'raw material' with the potential of creating verbal art; yet as 'values' they are already social and semiotic. We can extend Mukařovský's analogy here: 'Stone, metal and pigment enter art as mere natural phenomenon which gains semiotic nature only in art; they begin to 'mean' something. Language is its very essence is already a sign' (Mukařovský, 1977: 9). Hasan has made this point, when arguing that verbal art relies most on 'two indispensable matrices as its sources of energy – the powerful semiotic system of language and the intricately woven fabric of the semiotically shaped culture' (Hasan, 2011: xvii; see also Hasan, 1996). In a related claim, Halliday has argued that one effect of sociosemiotic approach is that from a certain point of view '**all** language is literature' (emphasis in original), in that all texts 'involve many orders of cultural values, both the value systems themselves and the many specific sub-systems that exist as metaphors for them' (Halliday, 1977[2002]: 60).

If the extract above is Mansfield's sense of the talk of this stratum of society, what characterises it? The presentation of it in Mansfield's story is idealised, meant to convey in a short hand a kind of orientation to 'relevance and relations' called the 'elaborated code' in Bernstein's work, and described in linguistic terms by Hasan (1973[2005]: 168) as characteristically 'individuated'. The elaborated code reflects a mode of living in which 'the specific…over-rides the general; the personal, the communal' and the 'personal distance between the speaker and the addressee has to be bridged discursively' (Hasan, 2002[2005]: 223). Each move in this talk is about the presentation of the individual's individual preoccupations and sensibilities, 'their unique subjectivity – their ego-based experiences' (Hasan, 1988[2009]: 157). The speakers' lack of connection displayed in the extract above symbolises the logical extension of an individuated mode of relating - one's talk is not for engaging an other, but for putting one's self on display.

3   Achieving situational overlap: translating code

When the social process of 'dinner party' is put against an account of the context of situation and context of culture, the complexity of the social situation becomes apparent; by extension, the process of translating Mansfield's artistic representation is also complex. In Catford's terms, the translation task is to achieve the greatest overlap in situational range. With respect to a translation, the recapitulation of tenor relations into a target text is crucial to the translation of cultural values, since tenor is the vector for the realisation of culture: 'The interactants are the dynamic element in the context of situation, and it is at this point that I would locate the basis for the realisation of culture in the discourses of community' (Hasan, 1996: 46; see also Hatim and Mason, 1997). Let us interpret 'interactants' here in the first instance as those internal to the text, i.e. the speakers associated with the extract above from 'Bliss'. Part of the artistry in verbal art 'consists in the languaging aspects by which such characters are constituted in such a way that it is possible to project on the basis of their first order behavior a significance which contributes to the deep meaning of the text' (Hasan, 1996: 52). The qualities of the discourse of these socially positioned characters is, therefore, crucial to what the text is saying. But the experiential content is the least significant feature of this talk - hence the lack of cohesion between turns in the extract above. In a further example, consider the following turn by Norman Knight ('Mug'), as he inquires into the absence of Bertha's husband, Harry, who has not yet arrived home from work: 'Why doth the bridegroom tarry?' The selection of 'doth' signifies a degree of formal education. The reference to a 'bridegroom tarrying' calls up not just the parable of the wise and foolish virgins, but specifically, the King James version of this parable, a sign that Mug is a bearer of 'high culture'. [Note: the reference can be read, in the wider context of the story, as a parable of Harry and Bertha's relationship, and the consequences of Bertha's lack of sexual desire. We are unable to pursue further here this important dimension of the story]. So Mug's inquiry has two interpersonal values. It is not only a question about Harry's whereabouts; it is at the same time an opportunity for Mug display his 'unique subjectivity'. Table 1 shows that across five Spanish translations, none is able to capture this additional dimension of Mug's question.

A local translation shift of this kind is not, in itself, consequential. However, the idea that a certain way of talking reflects a certain kind of social positioning is central to the theme of Mansfield's story (see Lukin and Pagano, under review), and thus, arguably, should be of interest to a translator (see e.g. Hatim and Mason, 1997). Moreover, in her dramatisation of this way of talking, Mansfield is suggesting something potentially pathological in this intense form of individualism. It is for this reason that we suggest the lack of cohesion, the nonsensicality, and the absurdness in the turns of this talk are functional in respect of the theme of the story, which is a reflection on how unfulfilled a woman might be despite having

the trappings of a very comfortable upper middle class life. The story portrays the tensions in, or contradiction between, the apparent fullness of this mode of living (measured by its financial comforts, and the cultural capital that attends upon such a social position) against the realities of the lack of real connectedness between Bertha and her husband and her friends (Lukin and Pagano, under review). This meaning is expressed as a prosody across the story, as a 'semantic drift' (Butt, 1983), a selection of different kinds, on different scales, but all heading in a single, semantic direction suited to realising the theme.

Spanish translations of 'Bliss'	'Why doth the bridgegroom tarry'?	Back translation into English
1945. Mansfield, K. 'Felicidad'. Trans. Jose Maria Souviron. Santiago de Chile: Zig Zag. (T1); 1998. 'Felicidad Perfecta'. Trans. by L. Graves & E. Lambea. Barcelona: Alianza Editorial. (T4)	«¿Por qué se retrasa el novio?»	Why is the bridgegroom late/delayed?
1959. 'Felicidad'. Trans.by Esther d. Adreis, Barcelona: Libros Plaza. (T2)	Pero ¿dónde está el novio?	But, where is the bridgegroom?
1976. Mansfield, K. 'Dicha'. Trans. Juana Heredia. Buenos Aires: Sogol, 1976. (T3)	«¿Por qué se atrasa el novio?»	Why does the bridgegroom lag behind?
2000. 'Éxtasis'. Trans. by J. Guerra. Madrid: Cátedra. (T5)	«¿Por qué se demora el esposo?»	Why does the husband delay?

Table 1: 'Why doth the bridgegroom tarry?' in five Spanish translations.

We have suggested that the speech of the characters is central to the story's thematic concerns. The speech reflects the internal tenor relations of the story; and as we have suggested, the contextual values are subject to a principle of double articulation. In relation to the issue of translating the dialect and code of these characters, Halliday argues that while different registers can be translated into other languages, 'we cannot translate different dialects; we can only mimic dialect variation' (Halliday, 1990[2002]: 169). In his discussion, Halliday appears to include the notion of code, referred to as 'social dialect'; Hasan has argued that 'code' is a more suitable term that 'social dialect', since it is at a higher order of abstraction from dialect, which she argues relates 'the manifest to the manifest' (1973[2005]: 164). Code is not visible in the same way that dialect is, since it is variation at the semantic stratum of language. In the context of Mansfield's story, this translation problem raises very interesting questions about how to identify the semantic qualities of the elaborated code as it is displayed in Mansfield, and about how these qualities can be translated, or 'mimicked'.

Sternberg (1981, cited in Munday, 2009: 181) argues it is conventional in translation to homogenise 'dialect, slang and social variation'. Hatim and Mason (1997: 103) also note this tendency; they argue that geographic and social dialect patterns of speech in literary text are a function of tenor, that tenor 'yields values', and that translators should 'identify and preserve the purposefulness behind the use of these seemingly individualistic mannerisms'. In assessing the translations of 'Bliss', one aspect of the evaluation must consider to what degree the characters in translation are allowed to speak Mansfield's idealised representation of the elaborated code. Thus, if a translator is to achieve the 'greatest possible overlapping of situational range' (Catford, 1965), it is fair to say that the unfolding of contexts of situation in the inner world of the text must be translated with due regard for how these contexts stand as signifiers of higher order meanings (Hasan, 1996, 2012), which amounts to understanding that 'the social and the semiotic systems are co-genetic in nature' (Hasan, 2009c: 34).

References

Bernstein, B. (1971). *Class, codes and control: Theoretical Studies toward a Sociology of Language*. London: Routledge and Kegan Paul.

Butt, D. (1983). Semantic Drift in Verbal Art. *Australian Review of Applied Linguistics, 6*(1), pp34-48.

Catford, J. (1965). *A Linguistic Theory of Translation*. Oxford: Oxford University Press.

Halliday, M.A.K. (1977 [2002]). Text as semantic choice in social contexts. In J. J. Webster (ed.) *Linguistic Studies of Text and Discourse*. Volume 2 in the Collected Works of M.A.K. Halliday. London and New York: Continuum. pp23--81.

Halliday, M.A.K. 1990 [2002]. The construction of knowledge and value in the grammar of scientific discourse: with reference to Charles Darwin's *The Origin of Species*. In J. J. Webster (Ed.) *Linguistic Studies of Text and Discourse*. Volume 2 in the Collected Works of M.A.K. Halliday. London&NY: Continuum. pp168-192.

Halliday, M.A.K. (2001). Towards a theory of good translation. In E. Steiner & C. Yallop (Eds.), *Exploring Translation and Multilingual Text Production: Beyond Content*. Berlin, New York: Mouton de Gruyter.

Halliday, M.A.K. and Hasan, R (1985/1989). *Language, context and text: Aspects of language in a social semiotic perspective*. Geelong, VIC/Oxford: Deakin University Press/OUP.

Halliday, M.A.K., McIntosh, A., & Stevens, P. (2007 [1964]). The users and uses of language. In J.J. Webster (Ed.), *Language and Society*. Vol. 10 in the Collected Works of M.A.K. Halliday. London&NY: Continuum. pp. 5-37.

Hasan, R. (1971). Rime and Reason in Literature. In S. Chatman (Ed.), *Literary Style: A Symposium*. New York: Oxford University Press.

Hasan, R. 1973[2005]. Code, register and social dialect. In *Class, Codes and Control*, Vol II, edited by Basil Bernstein. Routledge and Kegan Paul. Reprinted in Hasan, R. 2005. *Language, Society and Consciousness*. Volume 1 in the Collected Papers of Ruqaiya Hasan. Edited by J.J.Webster. London: Equinox.

Hasan, R. (1985). *Linguistics, language and verbal art*. Geelong, VIC: Deakin University Press.

Hasan, R. (1988[2005]). Language in the processes of socialisation: home and school. In J.Oldenburg, R. van Leeuwen and L. Gerot (eds). *Language and Socialisation: home and school*. North Ryde, NSW: Macquarie University. Reprinted in Hasan, R. 2009. *Semantic Variation: Meaning in society and sociolinguistics*. Volume 1 in the *Collected Papers of Ruqaiya Hasan*. Edited by J.J.Webster. London: Equinox.

Hasan, R. (1996). On Teaching Literature Across Cultural Differences. In J. James (Ed.), *The Language-Culture Connection*. Singapore: SEAMEO.

Hasan, R. (1999). Speaking with reference to context. In M. Ghadessy (Ed.), *Text and Context in Functional Linguistics: Systemic Perspectives* (pp. 219-328). Amsterdam/Philadelphia: John Benjamins.

Hasan, R. 2002 [2005]. Ways of meaning, ways of learning: code as an explanatory concept. British Journal of the Sociology of Education, vol 23, no. 4. pp 537-48. Reprinted in Hasan, R. 2005. *Language, Society and Consciousness*. Volume 1 in the Collected Papers of Ruqaiya Hasan. Edited by J.J.Webster. London: Equinox.

Hasan, R. (2009a). The Place of Context in a Systemic Functional Model. In M. A. K. Halliday & J. Webster (Eds.), *Continuum Companion to Systemic Functional Linguistics* (pp. 166-189). London and New York: Continuum.

Hasan, (2009b). *Semantic Variation: Meaning in society and sociolinguistics*. Volume 2 in the Collected Works of Ruqaiya Hasan. Edited by J.J. Webster. London: Equinox.

Hasan, R. (2009c). Wanted: An integrated theory for sociolinguistics. In Hasan, R. (2009b).

Hasan, R. (2011). A Timeless Journey: On the Past and Future of Present Knowledge. In *Selected Works of Ruqaiya Hasan on Applied Linguistics*. Beijing: Foreign Language Teaching and Research Press.

Hatim, B and Mason, I. (1997). *The Translator as Communicator*. Routledge.

Lukin, A and Pagano, A. (under review). Planes of narration as technique and theme in Katherine Mansfield's Bliss. *Journal of Literary Semantics*.

Malinowski, B. (1923) 'The Problem of Meaning in Primitive Languages', in C.K. Ogden and I. A. Richards (Eds.), *The Meaning of Meaning*. pp 146-152, London: Routledge

Mansfield, K. (1922). *Bliss and other stories*. New York: Alfred A. Knopf.

Mukařovský, J. (1977). *The Word and Verbal Art*. New Haven: Yale University Press.

Munday, J (Ed). (2009). *The Routledge Companion to Translation Studies*. Routledge.

Transitivity/Ergativity in Thai Political Science texts

Ingrid Wijeyewardene

University of New England
Armidale, NSW
iwijeyew@une.edu.au

Abstract

Agency is an important area of study in both politics and linguistics. It attributes power or capacity to social actors and can also confer legitimacy to their actions. A study of how agency is construed in the grammar of political texts can illustrate how writers attribute agency as well as signify their position on the legitimacy or otherwise of political events. An initial transitivity analysis of Thai political science texts on the 2006 coup shows that the ways writers attribute agency reflect their own divergent political and ideological positions on the legitimacy or otherwise of these events. As Halliday & Matthiessen (2004) argue, the system of TRANSITIVITY comprises two complementary perspectives: the transitive model and the ergative model, and one or the other may be foregrounded across different registers. In this paper I explore the potential fruitfulness of ergative analyses of three Thai political science texts, each of which were written from competing discourse positions. I ask what this analysis reveals about agency or lack of agency in texts written at a particularly fraught time in Thai politics and whether the complementary perspectives, transitivity and ergativity, foreground complementary ideas on the role of the agents and affected participants in the events surrounding the 2006 coup. That is, which actors or institutions act on others or are being acted upon, and which acts are construed as self-engendered?

1   Introduction

On 19th September, 2006, conservative forces loyal to the Thai monarchy and led by the military staged a "bloodless" coup that overthrew the popularly elected government led by Thaksin Shinawatra. The conflict marked a critical point in a struggle not only between competing elite forces, but set in motion a conflict between conservative elites and an increasingly vocal and broader society-based oppositional movement in Thailand. The conflict has polarised the country and has been the subject of a great amount of public and academic debate that has variously sought to legitimise or challenge the actions of those competing social forces, interests and groups embroiled in the struggle. This paper focuses on three articles by three Thai political scientists written shortly after the coup, each representing divergent political and ideological positions. Depending on the ideological positions of the writers, it is argued that different participants will be foregrounded as agents while other participants will be construed as affected by the actions of particular social actors, or may not appear in the texts at all. By building up an account of linguistic agency in these texts, and linking this to the social context we can uncover aspects of the particular ideologies at work and understand aspects of the struggle for hegemony in these particular contexts and the use of rhetoric to build a persuasive argument in these politically contested circumstances. In SFL, agency can be explored through the ergative model.

While there has been a significant contribution to documenting the metafunctional profile of Thai (Patpong, 2006), there has, however, been very little work on the system of AGENCY as realised through the ergative model in Thai grammar. As Halliday & Matthiessen (2004) have argued, the system of TRANSITIVITY comprises two complementary perspectives: the transitive model and the ergative model, and one or the other may be foregrounded across different registers. Some of the literature on ergativity in SFL (e.g. Halliday, 1968; Davidse, 1992) seeks to explain the phenomenon in language whereby the affected participant (the Medium through which the process is enacted) in an intransitive clause becomes the Goal in a transitive clause. Davidse (1992), for example,

restricts her discussion to material clauses. However, Halliday (1968, p. 195) argues that "[t]he 'affected' function … makes it possible to generalize from among several more specific transitivity functions" including material, mental and relational processes, and that this process may be caused by an external agent. The ergative model is thus concerned with cause and effect as opposed to the transitive model that focuses on process types and in which there is a semantic relation of extension. Any clause can be analysed both from a transitive perspective and an ergative perspective, but "the critical question is which perspective has more power to generalize in any given instance?" (Matthiessen, 2004, p. 607). This paper explores the value of an ergative analysis of three political science texts to ask what it can tell us about how the writers construe agency or lack of agency in relation to the events surrounding the coup and the involvement of various social actors in these events. The ergative analysis in these texts has made it possible to cluster events regarded as self-caused and other events as engendered by an external causer.

The three texts used in this study were all written shortly after the coup. The first is a paper written by Khien Theeravit (2006), "The right to stage the coup". Khien is a retired, conservative, political scientist from Chulalongkorn University who has been a loyal supporter of the royalist and conservative forces in Thailand since the 1970s. His paper strongly supports the actions of the coup leaders. The second is a paper by Chaiwat Satha-Anan (2007), "Aristotle and the 19 September coup". Chaiwat is a US trained political scientist/political philosopher specialising in Peace Studies from Thammasat University. Chaiwat's position is that, while he understood people's felt need to overthrow the Thaksin government, coups are morally reprehensible. The third is a paper written by Pitch Pongsawat (2007), "The coup of 19 September turned citizens into *phrai (bonded commoners)*". Pitch is a younger, Marxist political scientist from Chulalongkorn University, trained in England and the United States. Pitch opposes the coup and the actions of the coup leaders. Due to the length of the three texts, I have taken only selected sections from each of them.

2   What an ergative analysis has to offer

The transitive perspective asks whether or not the action of a participant extends to a second participant. If it does, this is a transitive (effective) clause. If it does not, this is an intransitive (middle) clause. Some texts are more suited to a transitive analysis. While there is not a one to one correspondence between Thai and English processes that can occur as both intransitive (middle) and transitive (effective) with the subject of the intransitive (middle) being the same as the subject of the transitive (effective) clause, a similar situation can occur in both Thai and English. For example, in Thai, a middle clause such as

   thahǎan róp tháŋ wan (the military fought all day)

can be further clarified by the addition of the Goal where the action of the process extends to the Goal. That is, the protesters are affected by the action of the military:

   thahǎan róp khon prathúaŋ tháŋ wan (the military fought the protesters all day)

Clauses such as these favour a transitive analysis more than an ergative analysis (Halliday & Matthiessen, 2004). The perspective is one of extension from the Actor to the Goal, the Goal being in some way affected by the process performed by the Actor.

Some texts, however, are more suited to an ergative analysis. These texts feature clause types in which the Actor of a middle clause becomes the Goal of an effective clause. Again,

Thai has examples of this type of process, but there may not be a one to one correspondence between the Thai process of this type and English processes of this type. In Thai, for example, the non-ergative

> *fay dàp (the fire (was) extinguished)*

maps with its ergative counterpart

> *tamrùat dàp fay (the police extinguished the fire)*

The perspective in an ergative analysis is one of a nuclear participant (the Medium) through which the process is enacted, with or without an external causer. Davidse (1992) talks about the transitivity/ergativity distinction as "Janus-headed", with a transitive perspective looking down the clause from the Actor to the Goal and the ergative perspective looking from a nuclear participant, the Medium, back up the clause to an external causer.

In light of this brief discussion, the three Thai political science texts all lend themselves more to a transitive analysis as they display more examples of the first type of process illustrated above. Also, as is typical of academic writing these texts feature highly nominalised, relational clauses more than material clauses. However, what an ergative analysis does allow for is the ability to generalise for agency across all the process types. Of particular note in these Thai texts are the analytic causative constructions which occur in material, mental, relational and existential clauses. These clauses are constructed with a verbal group complex, often with *tham hây (make, cause)*, but they may also occur with another process + *hây*:

1.   *Ø*   *tham hây*   *saphâap*   *"prachaarát"*   *mót sîn pay*

   (Tyrant)   *make let*   *condition*   *"people's state"*   *end finish go*

Agent/ Initiator	Pro…	Medium/ Actor	…cess: material

  The tyrant caused the "people's state" to end. (The tyrant destroyed the people's state)

2. *saphâap*   *chên nií*   *tham hây*   *khâaphacâw ...*   *tòk yùu*   *nay pom prisanăa thaaŋ sĭnlatham*

  Condition   *like this*   *made*   *me ...*   *fall be*   *in*   *enigma*   *moral*

Agent/Initiator	Pro….	Medium/ Actor	…cess: material	Location

  This condition (the use of force to solve political problems) made me ...(lit.) fall into a moral enigma.

Examples 1 and 2 illustrate the use of the analytic causative in material clauses. The same pattern is found in the texts with relational attributive processes:

3. *rát ʔeeŋ*   *tàaŋ hàak*   *thîi*   *tham hây*   *phonlamɨaŋ*   *pen*   *phrây*

  State itself   *independently*   *that*   *made*   *citizens*   *be*   *phrai (bonded commoner)*

Agent/ Attributor		Pro…	Medium /Carrier	…cess: rel. attrib.	Range/Attribute

  The state itself turned citizens into phrai.

A very productive construction is the use of *tham hây* with mental processes. Mental processes can occur from Senser to Phenomenon and from Phenomenon to Senser. In the second instance, the clause is effective and the Phenomenon functions as the Agent of the clause. These texts use this structure often to emphasise a point that they want to make concerning the process of cause and effect in the construction of their argument, and appears to be a common rhetorical strategy in Thai academic writing.

4. *lɛ́ʔ*   Ø   *tham hây*   Ø   *hěn*

and (this situation)   *make let*   *(us)*   *see…*

	Agent/ Phenomenon	Pro…	Medium/ Senser	…cess: mental

and (this) situation lets (us) see

One point worth noting in these examples is that the initial process in this verbal group complex may not be *tham* but another process. In example 5 below, the use of *bìip baŋkháp* (*force*) modulates the clause.

5.   Ø   *bìip baŋkháp hây*   *rábòp yútìtham*   *láwén*   *kaanpatìbàt nâathîi*

(Thaksin government)   *force compel let*   *judiciary*   *refrain*   *performance duty*

Agent/Initiator	Pro…	Medium/ Actor	…cess: material	Range/

(The Thaksin government) forced the judiciary to refrain from their duties.

In the Thai texts, there were also some occurrences of the analytic causative in an existential clause. This has been coded according to the final verb in the group complex (following Halliday & Matthiessen, 2004, p. 498). As causatives with existential process have not been recorded as occurring in other languages (for example, see Cafferell, 2004; Halliday & Matthiessen, 2004; Halliday & McDonald, 2004), I have only labelled the participant as Agent. The following example is also modulated by *yɔɔm* (*allow*) in place of *tham*:

6. Ø   *kɔ̂*   *yɔɔm hây*   *mii*   *kaanprathúaŋ khɔ̌ɔŋ khon klùm léklék*

(coup group)   *Cj*   *allow let*   *there be*   *protest*   *of*   *people group small*

	Agent		Process: existential	Medium/ Existent

(The coup group) allowed protests of small groups (lit. allowed there to be)

Ellipsis is common in Thai, and *mii* can be either an existential process or one of possession meaning *have*. I have encoded example 6 above as existential since I believe the possessor features as a component of the Existent and so is part of the nominal group and not ellipsed in this case.

Example 7 illustrates a use of *hây* that carries a benefactive or purposive meaning. Patpong (2006, p. 445) codes a similar construction with a material followed by a mental process as configured with Beneficiary: Client and a final verb corresponding to the Goal. The example below has a verbal followed by mental process. But the resemblance to the causative both in

form and meaning is striking. The clause is followed by a projected clause, what it is that history has shown us.

7. *tὲæ prawàttisàat* *kɔ̌* *dây* *chíi hây* *Ø* *hǔn lǽæw*

   But history *Cj.* *Perf.Asp. point for* *(us)* *see Perf. Asp.*

	Agent/ Sayer		Pro. verbal	Medium/ Receiver	Pro.: mental

But history has shown us (lit. points (out) for us to see)

Effective material clauses also can be synthetic in the Thai data. An ergative analysis highlights the agentive role of the Actor of the clauses.

8. *Ø* *khôon lóm* *rátthabaan tháksǐn* *loŋ*

   (the military) *overthrow* *Thaksin government* *down (descend)*

Agent/ Actor	Pro…: material	Medium/ Goal	…cess

(The military) overthrew the Thaksin government.

Thus, while this Thai data does not feature clauses of the type that are often dealt with in discussions of the ergative in English, it has been a useful exercise to analyse the data from an ergative perspective to view the ways in which agency interacts with the different process types. Based on the transitivity and ergativity analysis of the three Thai political science texts, I will now summarise what some of the most salient features highlighted in this analysis tell us about the relative position of social actors and events in relation to the coup and subsequent events.

3   Interpretation of the texts

For Khien, the conservative royalist supporter, general, non-specific people or supporters of particular political groups occur as Medium/Actor in "happening" clauses. These people are only realised as Agents in situations where governments become tyrannical and need to be toppled. Governments also occur as Medium in middle voice (governments collapse or exist). However, tyrannical governments and the Thaksin government are represented mainly as Agents, causing disharmony and corruption, and pulling institutions such as the military into their conflicts with "the people". The military featured mainly as Medium/Carrier of particular attributes until the actions of the Thaksin government became the catalyst for the military's move from affected participant to an Agent that effects change. Thus, through these choices of Agents and Medium, Khien attributes legitimacy to the actions of the military in staging the coup.

Chaiwat, the political philosopher who draws on Aristotle to support his condemnation of the coup, represents Thai politics as Medium. The coup is encoded as Agent as are abstractions such as the "acceptance of the threat of violence", "the moral enigma of a non-violent coup" and "the placing of importance on immoral actions". This highlights a more esoteric purpose for this article, that is, to draw attention to the ethical question of the morality or immorality of the coup and its effect on Thai society and Thai politics.

A salient aspect of Pitch's article, coming from a Marxist perspective, is his reference to classes of people. *Phrai*, for example, only ever occur as Medium/Actor or as Medium/Carrier of particular attributes. Citizens, civilians and *râatsadorn* ("citizen" or "subject") also occur mainly as disenfranchised, affected by other people, events, institutions or even ideas. The coup is represented both as Agent and as Medium. Institutions take on agentive roles in Pitch's article, including the state, the absolutist state and the military. Pitch also encodes many abstract states or ideas as agent in this article (for example, violence and bloodshed, *phrai* political culture, the idea of military professionalism), thus highlighting the ways in which competing political forces in Thailand have attempted to legitimise or delegitimise the coup and the attempt by powerful forces to effectively disenfranchise a large segment of the population.

4 Conclusion

The particular choices in the system of TRANSITIVITY in these three political science texts can be analysed from both a transitive and an ergative perspective. The different analyses foreground different perspectives on the participants, the coup and related events. The choices made by the individual writers of these texts as to which participants act on others and which are acted upon reflect the differing ideological positions of each of these writers. These choices also serve as mechanisms through which the authors attempt to legitimise or delegitimise certain actions within a context of significant political conflict.

References

Caffarel, A. (2004). Metafunctional profile of the grammar of French. In A. Caffarel, J.R. Martin & C.M.I.M. Matthiessen (Eds.), *Language typology. A functional perspective* (pp. 77-138). Amsterdam: John Benjamins.

Davidse, K. (1992). Transitive/Ergative: The Janus-headed grammar of actions and events. In M. Davies & L. Ravelli (Eds.), *Advances in systemic linguistics* (pp. 105-135). London: Pinter.

Halliday, M.A.K. (1968). Notes on transitivity and theme in English: Part 3. *Journal of Linguistics, 4*(2), 179-215.

Halliday, M.A.K. & Matthiessen, C.M.I.M. (2004). *An introduction to functional grammar* (3rd ed.). London: Hodder Education.

Halliday, M.A.K. & McDonald, E. (2004). Metafunctional profile of the grammar of Chinese. In A. Caffarel, J.R. Martin & C.M.I.M. Matthiessen (Eds.), *Language typology. A functional perspective* (pp. 305-396). Amsterdam: John Benjamins.

Matthiessen, C.M.I.M. (2004). Descriptive motifs and generalizations. In A. Caffarel, J.R. Martin & C.M.I.M. Matthiessen (Eds.), *Language typology. A functional perspective* (pp. 537-673). Amsterdam: John Benjamins.

Patpong, P. (2006). *A systemic functional interpretation of Thai grammar: An exploration of Thai narrative discourse*. PhD thesis. Sydney: Macquarie University.

Pongsawat, P. (2007). Kaan tham rátthaprahǎan 19 kanyaa 2549 khɨɨ kaan tham hây phonlamɨaŋ klaay pen phrâi (The coup of 19 September 2006 turned citizens into *phrai*). *Faa Diaw Kan,* Special edition, 58-87.

Satha-Anan, C. (2007). Aristotle kàp rátthaprahǎan 19 kanyaa (Aristotle and the 19 September coup). *Faa Diaw Kan,* Special edition, 152-167.

Theeravit, K. (2006). Sǐt nay kaan tham rátthaprahǎan (The right to stage the coup). *Thai World.* Thai World Affairs Centre, Institute of Asian Studies, Chulalongkorn University. Retrieved from http://www.thaiworld.org/th/thailand_monitor/answer.php?question_id=578

Requests in tweets during a crisis: A systemic functional analysis of tweets on the Great East Japan Earthquake and the Fukushima Daiichi nuclear disaster

Motoki Sano, István Varga, Jun'ichi Kazama, and Kentaro Torisawa

National Institute of Information and Communications Technology
3-5 Hikaridai, Keihanna Science City, 619-0289, Japan

Abstract

We examined the requests identified from tweets on the Great East Japan Earthquake and Fukushima Daiichi nuclear disaster to understand their nature to construct an automatic request extraction-classification system. The requests were first classified by the types of acts or events that are required for satisfying them. Then they were analyzed in terms of congruence: congruent (e.g., *Please give us food and water*) or incongruent (e.g., *Food and water are running out*). In addition, the attitudinal lexis in the requests was analyzed with the framework of a Japanese system called APPRAISAL, especially the ATTITUDE system. The analysis result suggests that the recognition of incongruent requests is significant, particularly for extracting requests that propose a solution or ask for (alternative) resources. The annotation of ATTITUDE may contribute to classifying requests based on the types of the acts or events requested.

1   Introduction

The Great East Japan Earthquake on March 11, 2011, was followed by a tsunami and the Fukushima Daiichi nuclear disaster. According to the data published on April 11, 2012, by the National Police Agency (2012), the crisis killed 15,856 people, and 3,070 remain missing. Although more than a year has passed, Japan continues to face a number of issues that threaten to linger for decades: debris processing, debates about re-activation of nuclear plants, and low-level radiation exposure.

The disaster triggered a number of questions about social assumptions about science and technology. One such question addressed communication technologies. Despite the rapid development of such online communication technologies as Twitter and cloud computing, various communication failures occurred during the crisis. For instance, although the media reported that Minami-Sanriku city had enough supplies and that some relief shelters had an abundance of relief goods, it went unreported that other shelters were depleted (Saijo, 2012). This incident could have been avoided if the vast amount of requests from victims were successfully linked with the offers from volunteer groups, experts, and governments[24].

We are currently developing a problem-solving assistance system that can match requests with useful information to satisfy them. As a starting point for designing our system, we investigated the linguistic features of the requests from the tweets related to the Great East Japan Earthquake and the Fukushima Daiichi nuclear disaster. We argue that the writers of tweets select different kinds of congruence and attitudinal lexis based on the types of acts or events that were requested.

---

[24]Saijo (2012) is one project that contributed to the solution. His volunteer group established a relief supply delivery system using Amazon's wish list. Saijo's approach helped because Amazon's wish lists were directly linked to the demands of the victims and the supplies of the volunteers.

2 Twitter as a Resource for Crisis Communication and Management

Broadly speaking, studies regarding Twitter and tweets in various crises can be categorized into four types: sensors, opinion polls, logs, and exchanges of information. As sensors, Okazaki & Matsuo (2011) use tweets as an event notification system and developed a system that sends an earthquake notification in less than a minute. An example of tweets as an opinion poll is Doan et al. (2011) who investigated their function as a corpus for measuring public anxiety. Sakaki et al. (2011) considered tweets logs of a crisis event and compared ordinary and crisis circumstances. One example of tweets as exchanges of goods-and-services and information is Neubig et al. (2011) who developed a system that extracts requests related to safety confirmation from tweets using person names, location, and hashtags like "#anpi"[25]. Their system satisfied the requests for safety confirmation by linking the extracted data with Google Person Finder.

However, although Neubig et al. (2011)'s system has a very high *F*-score for extracting safety confirmation (92.3%), the extraction of other topics, such as rescue requests, is not as high. In addition, although studies have investigated the role of tweets during crises through open-ended questionnaires (Acar & Muraki, 2011) or the chronological changes of information in tweets related to safety confirmation and the types of other tweets (Murakami & Hagiwara 2012), few studies have explored how requests are expressed and their relation to linguistic features. Without such understanding, an automatic request extraction and classification system may not be able to identify a wide range of requests from victims. Therefore, we explored the linguistic features of requests based on the types of actions or events that were requested.

3 Earthquake and Nuclear Disaster Tweets

This study explored tweets related to the Great East Japan Earthquake and the Fukushima Daiichi nuclear disaster. We collected those posted from March 11 to 19 (1,775,320) and limited the data to those that were not re-tweets (678,615) and those with the hashtags shown in Table 1 (7,860). Hashtags "#save_***" were chosen since they were used to post local information related to the disasters. Some tweets contained more than one hashtag. We also removed duplicate tweets. 7,102 tweets satisfied these conditions.

From the extracted tweets, 2,392 were identified as requests and used as the corpus. The identification process was based on classifications by three human annotators. The extracted tweets were categorized into three types: requests, information offers, and others. A request asks for a solution to a certain problem. For instance, *miruku-o kudasai* (Please give me some infant formula) or *miruku-ga fusoku shite imasu* (My infant formula is running out) belongs to this category. An information offer contains information that helps satisfy a request. An example is *5% no satoo-mizu ga miruku no kawari-ni narimasu* (5% sugar solution can be an alternative to infant formula). The category is decided by a majority vote of the three annotators (none of whom were authors). The kappa score (Davies & Fleiss, 1982) of this annotation task was 0.73, which indicates substantial agreement among the annotators. The proportion of requests was 33.7% (2,392), and information offers were 53.6% (3,806). 12.7% (904) were considered neither requests nor information offers, so they were categorized as other.

---

[25] #anpi ("safety") was the hashtag used to indicate that the subject matter of a given tweet was safety confirmation.

Table 1: Hashtags and number of tweets

hashtag	number of tweets
#save_fukushima	1,773
#save_miyagi	3,158
#save_aomori	1,604
#save_iwate	2,115
#save_akita	1,231
#save_yamagata	1,202
Total	7,102 (unique)

In addition, the tweets classified as requests were further categorized into four types listed below based on the requested acts or events. Hereafter, they will be referred as the types of solutions.

SC — request for Safety Confirmation: e.g., I am worried about hospital X at Y. Are the doctors, nurses, everyone ok?

ID — request for Informing about Damages to buildings or particular areas: e.g., In Tokyo, there have been no report about Yamagata prefecture. I want to hear about my hometown.

PS — request for Proposing a Solution: e.g., To the media, "please do not use helicopters". Their noise is interfering with the communication among rescue workers.

SR — request for Supplying (alternative) Resources: e.g., Home nurseries are running out of petrol. The situation is getting worse ...

These categories were established based on the pre-examination of 3,336 tweets conducted by the first author. Multiple coding was allowed when one tweet contained more than two types. The kappa score (Davies & Fleiss, 1992) was 0.88[26], which suggests that the inter-agreement was almost perfect. The categories were decided by majority vote of the three annotators (none of whom were authors). As a result of the annotation, over 60% of the requests were categorized as SC, followed by PS (13.1%), SR (12.2%), and ID (11.1%).
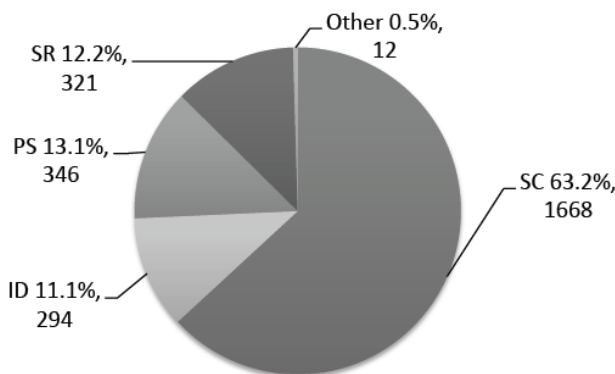
Figure 1: Proportion of tweets based on types of solutions

3.1 Analysis of Requests from Tweets Analyzing Directness: Congruent or Incongruent?

To analyze the directness of the requests, we classified the tweets based on congruence. The notion of congruence is employed as a criterion for determining a request's directness. According to Halliday (1999), a congruent pattern between a lexico-grammar and semantics is the one that "evolved" while an incongruent pattern refers to any cross-coupling within this

---

[26] The kappa score was calculated based on the 1,681 tweets that were not multiple coded.

pattern, which is metaphorical by definition. In this study, we categorize a request as congruent when its mood is imperative (e.g., *miruku-o kudasai.* Please give me some infant formula), interrogative (*miruku-wa doko ni arimasuka.* Where can I get infant formula?), or optative[27] (e.g., *miruku-ga hoshii.* I want some infant formula). On the other hand, a request is classified as incongruent when its mood is declarative (e.g., *miruku-ga fusoku shiteiru.* My infant formula is running out.).

The result of the analysis shows that based on the types of solutions, the writers of tweets select different choices of congruence (Table 2). A chi-square test confirms a statistically significant relationship between the types of congruence and solutions ($p<.01$) [28]. Residual analysis indicates that PS and SR are realized with incongruent forms more frequently, but SC is expressed with congruent forms more frequently. For PS, the incongruent form is selected more frequently than the congruent form. These data suggest that in constructing a request extraction and classification system, although the recall of extracting SC and ID can be high without extracting incongruent requests, this is not the same for PS and SR. To extract PS and SR, the extraction of incongruent requests is crucial.

	congruent	incongruent
SC	1314**▲	44**▽
ID	62	3
PS	50**▽	69**▲
SR	78**▽	52**▲

$p<.05$* $p<.01$, ▲ significantly high,   significantly low**

Table 2: Types of congruence and solutions

This tendency may suggest that incongruent forms are more frequently selected when writers of tweets attempt to invoke a variety of offers. Macaulay (1996) suggests that using indirect requests is motivated not only by politeness but also for invoking. An indirect request may trigger more variations of answers or offers than a direct request. For instance, while such a direct request as *Please provide me with some infant formula* triggers only one action, "provide", indirect request *My infant formula is running out* may trigger such actions as "provide," "substitute," or "deliver," as offers. Considering the types of solutions from this perspective, the actions or events that can satisfy SC and ID are limited in comparison to those of PS and SR because SC and ID can only be satisfied when the information regarding families, friends, buildings, or areas has been provided; the acts or events that can be asked about are limited and the writers have no necessity for invoking. Contrary, various options can satisfy PS or SR, as illustrated by "*My infant formula is running out*". This may explain why congruent forms are selected for requesting SC and ID, and incongruent forms are chosen for requesting PS or SR.

3.2 Analyzing Attitudinal Lexis

Requests often involve instances of attitudinal lexis. For instance, *miruku-ga fusoku shiteiru* (My infant formula is running out) can function as a request since it contains an evaluative term, *fusoku* (running out) and problematizes the status of infant formula. Offers are provided when listeners/readers feel an urge to solve the problematized matter.

---

[27]The optative form enacts desires or urges, marked by such auxiliary verbs as *-tai* (Teruya, 2006).
[28]The 1,681 tweets that were not multiple coded were used for the chi-squire test.

In this study, the attitudinal lexis was analyzed with the framework of the Japanese system of APPRAISAL, especially with ATTITUDE (Sano, 2011). Although a detailed account of the system network is not provided here, one main distinction between the English (Martin & White, 2005) and Japanese systems (Sano, in print) is that the former classifies types of attitudes into three features: affect (evaluation based on feeling), judgment (evaluation of behavior) and appreciation (evaluation of value). However, the Japanese system classifies the types into two features: internalized (*nai-hyoka*) and externalized (*gai-hyoka*). Such instances of internalized as *shinpai* (worry) and *kansha-suru* (to appreciate) express the evaluation of a target by realizing the feeling or the emotional behavior of the appraiser, i.e., the person who is evaluating. On the other hand, such instances of externalized as *kokatsu-suru* (to be drained) and *sonkai-suru* (to collapse) express the evaluation of a target by describing its characteristics[29]. We identified and classified the attitudinal lexis using the terms in the JAppraisal dictionary (Sano, 2011). The 5,792 terms that were not polysemous were used in the analysis.

Similar to the case of congruence, the result of the appraisal analysis indicates that writers of tweets use different types of attitudinal lexis based on the types of solutions (Table 3).

	internalized	externalized	no AL
SC	170*▲	209**▽	979**▲
ID	6	13	46
PS	8	67**▲	44**▽
SR	10	72**▲	48**▽

p<.05* p<.01**, ▲ **significantly high,** ▽ **significantly low**

Table 3: Types of solutions and attitude lexis. "no AL" refers to the number of tweets without an attitudinal lexis.

The chi-square test shows a statistically significant relationship between the types of solution and the attitudinal lexis ($p<.01$)[30]. As represented in Table 3, residual analysis indicates that while the internalized are used more frequently in SC, the externalized are more frequently employed in PS and SR. SC contains such terms as *shinpai* (worry), *aseru* (to panic), *kigakari* (concern), and *fuan* (anxiety) that express anxiety toward a missing person. PS contains such various types of externalized as *hason* (broken), *arasu* (to ravage), and *hiagaru* (to dry up). In SR, the attitudinal lexis of the externalized is evident that expresses a lack of entities such as *fusoku* (depleted) or that indicates necessity such as *hitsuyoo* (essential). In ID, a small number of attitudinal lexis was used. An exception to this tendency is *ureshii* (happy), but its use is conventionalized as in *oshiete kuretara ureshii desu* (I'd be happy if you could teach me …). This difference among the types of solutions in selecting the types of attitudinal lexis sheds light on the fact that the classification of attitudinal lexis can contribute to the development of an automatic request extraction and classification system for classifying tweets based on types of solutions.

4   Summary and Conclusion

This study examined requests from tweets related to the Great East Japan Earthquake and the Fukushima Daiichi nuclear disaster. We collected the requests from the tweets and annotated them with types of solutions. We conducted two analyses with the extracted requests. An

---

[29] A detailed account of the system network and its justification are in Sano 2011 and in print.
[30] The 1,681 tweets that were not multiple coded were used for the chi-squire test.

analysis of congruence showed that while SC is typically expressed with congruent forms, PS and SR are realized with incongruent forms. The writers of tweets, consciously or unconsciously, differentiate their choices in congruence for invoking. The analysis of appraisal suggested that SC is often accompanied with internalized attitudinal lexis, while PS and SR often contain externalized attitudinal lexis. These findings imply that for constructing an automatic request extraction system, the identification of incongruent requests is important for PS and SR, and the types of attitudinal lexis can contribute to classifying requests into types of solutions.

References

Acar, A. & Muraki, Y. (2011). Twitter for crisis communication: lessons learned from Japan's tsunami disaster. *International Journal of Web Based Communities*, 7(3), 392-402.

Davies, M. & Fleiss, J. L. (1982). Measuring agreement for multinominal data. *Biometrics*, 38, 1047-1051.

Doan, S. et al. (2011). An analysis of Twitter messages in the 2011 Tohoku Earthquake. *eHealth 2011*, 58-66.

Halliday, M. A. K. (1999). The grammatical construction of scientific knowledge: The framing of the English clause. In R. Favretti et al. (Eds.) *Incommensurability and translation* (pp. 85-116). Cheltenham: Elgar.

Hasan, R. (1992). Meaning in sociolinguistic theory. In K. Bolton and H. Kwok (Eds.) *Sociolinguistics today: International Perspectives* (pp. 80-119), London: Routledge.

Neubig, G. et al. (2011). Safety information mining-What can NLP do in a disaster-. *Proceedings of the 5th International Joint Conference on Natural Language Processing*, 965-973.

Macaulay, M. (1996). Asking to ask: The strategic function of indirect requests for information in interviews. *Pragmatics*, 6(4), 491-509.

Martin, J. R. & White, P. R. R. (2005). *The Language of evaluation: Appraisal in English*. New York: Palgrave Macmillan.

Murakami, K. & Hagiwara, M. (2012). Anpi-joohoo tsuiito koopasu no shoosai-bunseki to anoteeshon ni kansuru ichi koosatsu (A study of annotation and detailed analysis of safety confirmation tweets corpus). *Proceedings of the Eighteenth Annual Meeting of the Association for Natural Language Processing*, 1232-1235. (In Japanese)

National Police Agency (2012). *Heisei 23-nen Tohoku-tiho taiheiyoo-oki jishin no higai-jokyo to keisatsu-sochi (The damages by the Great East Japan Earthquake and the treatments by the police).* http://www.npa.go.jp/archive/keibi/biki/higaijokyo.pdf. (In Japanese)

Okazaki, M. and Matsuo, Y. (2011). Semantic twitter: Analyzing tweets for real-time event notification. in J.G. Breslin et al (Eds.) *BlogTalk 2008/2009, LNCS 6045* (pp. 63-74), Berlin: Springer-Verlag.

Saijo, T. (2012). *Hito-o tasukeru sungoi shikumi. (a stunning system that saves people).* Tokyo: DIAMOND, Inc. (In Japanese)

Sakaki et al. (2011). Tweet trend analysis in an emergency situation. *Proceedings of the Special Workshop on Internet and Disaster.*

Sano, M. (2011). *Japanese dictionary of appraisal-attitude- (JAppraisal Dictionary ver1.1).* Tokyo: Gengo Shigen Kyokai. http://www.gsk.or.jp/catalog_e.html

Sano, M. (in Print). The classification of Japanese evaluative expressions and the construction of a dictionary of attitudinal lexis: an interpretation from an appraisal perspective. *NINJAL Research Papers*, 3. (In Japanese)

Teruya, K. (2006). *A Systemic Functional Grammar of Japanese*. London: Continuum.

Hasan's semantic networks as a tool in discourse analysis

Annabelle Lukin

Centre for Language in Social Life, Macquarie University
annabelle.lukin@mq.edu.au

Abstract

Semantic networks present a "hypothesis about patterns of meaning" (Halliday, 1972[2003]): 327). Since we cannot relate behavioural options directly to grammar, semantic networks constitute a "bridge between behavioural patterns and linguistic forms" (Halliday, 1972[2003]): 334). While Halliday's early networks were context specific, Hasan has claimed that her semantic networks are contextually open (Hasan, 1996). Some evidence for this claim can been seen in the use of semantic networks for the analysis of a broader range of research contexts beyond that in which the networks were originally developed (e.g. Chan 2005, Hall, 2004, Maley and Fahey, 1991, Hasan et al. 2007, Lukin et al. 2008). This paper provides further evidence for Hasan's claim through the analysis of one question from a current affairs interview, between the ABC's Kerry O'Brien and Australia's then Prime Minister, John Howard, under whose authority Australia troops had been committed to the "Coalition" invasion of Iraq. I draw on existing semantic network descriptions (e.g. Hasan, 1983, 1996, forthcoming), to show how many dimensions of meaning these descriptions can currently account for. While the paper will not directly evaluate this question or interview, the elucidation of "how meanings construe the distinctive attributes of some context" (Hasan et al, 2007: 716) would seem to be a pre-condition for evaluating a context of this kind, with respect to, for instance, whether the journalist displays behavioural patterns we might call "adversarialness" or "deference" (Clayman and Heritage, 2002). Such considerations are important for sociological studies concerning the inter-relations of the media and the state (e.g. Robinson, et al. 2009), particularly when the state is engaged in pursuing its interests by means which are of dubious legality under international law.

1 Semantic networks in Systemic Functional Theory

The conception and development of semantic networks in the systemic functional tradition emerged out of the theory's engagement with sociology. The term "semantic network" first appears in a paper by Halliday titled "Towards a sociological semantics" (Halliday, 1972[2003]), although the notion of a "functional semantics" described in paradigmatic terms is seen in Hasan's early work on cohesion (see e.g. Figure 24.1, in Hasan et al., 2007: 703, which comes from a Hasan mimeo dated 1968). Halliday (Halliday, 1972[2003]): 327) defined semantic networks as a tool for representing "paradigmatic relations on the semantic stratum", or, less technically, "a hypothesis about patterns of meaning"; and he defined semantics in this paper as "the potentiality of encoding in language that which is not language" (Halliday, 1972[2003]): 323). In proposing the notion of "semantic networks", Halliday noted that "We cannot, as a rule, relate behavioural options directly to the grammar", and so semantic networks constitute "a bridge between behavioural patterns and linguistic forms" (Halliday, 1972[2003]): 334); they are "what we understand by 'semantics'", and they constitute "a stratum that is intermediate between the social system and the grammatical system" (Halliday, 1972[2003]): 347).

In this short paper I want to apply existing semantic network descriptions (e.g. Hasan, 1983, 1996, forthcoming, Hasan et al. 2007), to one sample question from a current affairs interview from 2003 with Australia's then Prime Minister, John Howard, in order to be able to understand what and how a message means; this, I would argue, is the precondition for a judgment about whether a journalist has fulfilled some criteria by which one might evaluate his/her performance (see Lukin forthcoming). A message semantic analysis, following Hasan, is revealing of how much a message can mean; in other words, it brings out how many dimensions of meaning are in play. The interview from which the question is extracted

pertained to Australia's involvement in the unfolding invasion of Iraq by "Coalition" forces. The question I will examine consists of two messages (a term defined below; superscript annotation on the question indicates message numbers and boundaries), and is as follows:

> [message1]*When you sanctioned Australia's role in this war,||* [message2]*did you imagine || that you would be seeing the kinds of images of innocent victims [[now emerging]] – [[little children lying dead in ditches from American fire || civilians young and old blown literally to pieces in Baghdad markets]]?*

There is now an extensive literature on the media reporting of the so-called "Iraq war". Media studies along such lines can be said to be concerned with the problem of whether those who stand to gain by prosecuting war exercise undue influence on the reporting of it. Thus, in the evaluation of news in some given period, one can ask whether news functions as "symbolic control" in Bernstein's terms, or as a "fourth estate", holding officials to account on behalf of the public they are elected to represent (e.g. Schultz, 1998). In the context of a current affairs interview, the central resource of a journalist for "holding officials to account" is the question. Questioning must be variable, and capable of expressing distinctions such "adversarialness" or "deference" (Clayman and Heritage, 2002). To paraphrase Halliday, qualities such as "adversarialness" or deference" – or indeed any other forms of rhetorical force we might consider "enactable" through the process of subjecting a public figure to being interviewed - will not be found directly in the grammar. A semantic network, with its emphasis on describing "how meanings construe the distinctive attributes of some context" (Hasan et al, 2007: 716), provides the "bridge" between the actualized forms of language, and the contextual work that language does.

2   Contextually open semantic networks

Hasan et al. (2007: 699-700) argue that the development of system networks for the representation of meaning were a natural extension of Halliday's view of language as "meaning potential", and developed out of research problems with which the theory was grappling in the 1960s: "As problems arose, so pressure was put on the resources essential to the work's progress…And nothing put as much pressure on the development of semantic networks for analyzing meaning as contact with the research projects concurrently being directed by Bernstein at the Sociological Research Unit". Turner's networks, also part of the early history of semantic networks in the systemic tradition, were developed in the context of this research, and constitute an attempt at the description of the context of maternal control. Halliday 1972[2003] elaborated Turner's network, and grounded his description by supplying options in the network with realization statements. The validity of the network for Halliday required three things: it had to specify the range of alternatives at the semantic stratum; it had to relate the hypothesized categories to some general social theory or "theory of behavior"; and it had to relate those same categories to the categories of linguistic form (Halliday, 1972[2003]): 334); this kind of statement would later be called by Halliday the "trinocular perspective" (Hasan, 1996). Halliday's and Turner's networks shared the feature that they were context specific. Halliday argued that "the input to the semantic networks is sociological and specific; their output is linguistic and general" (Halliday, 1972[2003]: 331). And although Hasan's early attempts at (what in hindsight are the beginnings of) semantic network description were oriented to the explication of coding orientation, Hasan's descriptions of options in semantics have, since their beginnings, aimed at "language exhaustive semantic networks" (Hasan et al, 2007: 703). The bases on which Hasan argues for "contextually open" semantic networks (see Hasan, 1996: 114), include that:

- while "the constraints on the privilege of using certain meanings rather than others" is always contextual, this situation is not different in kind from that with respect to the choices in lexicogrammar

- like networks in lexicogrammar, semantic networks, even those oriented to the description of one defined context type, are capable of describing distinct actualisations of that context type.
- and, that as the description of "contextually specific semantic systems" develops, these systems will be found to be permeable

Clearly these claims need exploration and testing. Hasan et al. 2007 reviews some of the research in which contextually open semantic network descriptions for the unit of message have been applied. The most extensive of this work is by Cloran (1994 etc) and Williams (1995), which has made use of Hasan's descriptions largely within the same research agenda, i.e. that of exploring semantic variation. This may be the reason why Martin (2009) describes Hasan's semantic networks as "designed for the study of adult/child interaction in home and school" (Martin, 2009: 161). But, while the networks have not been tested as extensively as they should (given SFL's preoccupation with meaning), they have been applied to contexts outside of those for which they were initially developed (e.g. Chan 2005, Hall, 2004, Maley and Fahey, 1991, Hasan et al. 2007, Lukin et al. 2008). Moreover, Hasan 1996 is insistent that semantic systems are contextually open, and that her descriptions are, in principle, capable of being applied to any context of situation. Such a claim is not contradicted if a given researcher finds the need to propose amendments (as in, for instance, Chan, 2005, Lukin et al. 2008, Williams 1995). The networks will, over time and through use, be extended in delicacy, a process that takes "the realization steadily toward 'delicate grammar', eventually reaching the point of lexis" (Hasan et al., 2007: 714).

3   A network for the semantic unit of message

In the turn made by the journalist above, what has been meant? To begin the analysis, note that the point of origin for Hasan's semantic networks is the message, defined as "the smallest significant semiotic action that an interactant might take in the context of an interaction so as to affect its character" (1996: 117). Figure 1 sets out the primary systems with respect to messages with the feature [progressive], which is realized by a [major] as distinct from a [minor] clause (Hasan, 1996). These systems are: (4a) RELATION ENACTMENT (which replaces the earlier term ROLE ALLOCATION, e.g. Hasan 1996), (4b) CONTINUATION, (4c) AMPLIFICATION, and (4d) CLASSIFICATION. RELATION ENACTMENT refers to meanings associated with the INTERPERSONAL metafunction, CONTINUATION to the TEXTUAL, AMPLIFICATION to LOGICAL relations, and CLASSIFICATION to the EXPERIENTIAL metafunction (Hasan, 1996, forthcoming). Given these systems are simultaneous, when a speaker 'chooses' a particular means for the expression of a demand for information, the semantic unit which carries the 'questionness' is also a location for the expression of other metafunctionally-related meanings. Thus, the force of a question in its context of situation will be in the combination of its qualities as question, and the features it displays with respect to the other metafunctional semantic systems.

In the analysis of O'Brien's question, I will consider the semantic network systems in the following order: 4b, 4c, 4d, 4a. 4b, the system of CONTINUATION makes a primary distinction between [topic maintaining] and [topic changing]. O'Brien's question is [topic maintaining], since it follows the question *John Howard, you said last week that the civilian death toll was low. What is an acceptable number of civilian deaths in a war?* The example question is the second of five questions in a row all on the topic of civilian casualties. A further question slightly later in the interview also echoes this topic (see interview transcript here: http://www.abc.net.au/7.30/content/2003/s821040.htm). It seems reasonable to hypothesize that at least one basis for a journalist to be seen as "adversarial" or "hostile" in his/her questioning of an interviewee would be evidence of topic maintenance, since topic maintenance can signal that the addressee's answer is being treated as inadequate.
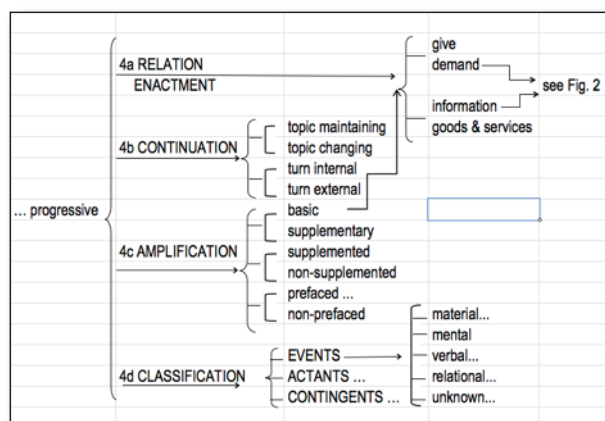
Figure 1 Hasan's primary options for a message with the feature [progressive] (based on Hasan, 1983, 1996, forthcoming, and personal communication)

With respect to the semantic system of AMPLIFICATION, there are three primary systems: the first entails a distinction between a message as either [basic] or [supplementary]. Message 1 (*When you sanctioned Australia's role in this war*), is a [supplementary] message, while the remainder of the turn, message 2, is a message of the [basic] type. The feature [basic] is a pre-condition for entry into the system of RELATION ENACTMENT. Thus, the [supplementary] message does not enter into the exchange, in the sense that its representational content is not directly proffered for confirmation or refutation. Message 2 in this example would be analysed, with respect to AMPLIFICATION, as [basic&supplemented]; i.e the [basic] message is [supplemented] by message 1. By contrast, a question such as *What stage do you think this war is at now* would be a [basic&non-supplemented] message. Still in system 4c, the message has the feature [prefaced], with the clause *did you imagine* acting as a prefacing element to the rest of the message. Hasan argues that when the feature [prefaced] occurs in the environment of a question, the question "is not about what the world is like; it is rather an inquiry about someone's … 'mental representation of that world'" (Hasan, 1991[2009]: 250). It is a type of question that "seeks not so much to know what the world is like as it seeks to know what someone else's view is" (Hasan, 1991[2009]: 254). The effect of the choice of [prefaced] needs to be considered in relation to the option taken up with respect to the system of CLASSIFICATION. For space reasons, only a small section of this network appears in Figure 1. With respect to the system of EVENTS, the [basic] message selects [mental]. The question thus probes the mental representation of the addressee's inner world. The events of the outer world which created the necessity for the interview are found embedded within the object of the Prime Minister's mental process: they are at a distance from the nuclear elements of the message. In the representation of the "outer world", the transitivity choices express agency either directly at clause rank (viz. *blown to pieces*) or obliquely at group rank (via a circumstance of manner: means – *from American fire*); these wordings avoid the specification of human agency with respect to the carnage referred to in O'Brien's question (see Lukin et al, 2004 for agency-effacing options). These choices combine with a further message semantics system relating to the construal of time (which has not been displayed here). But it should be noted that the question probes the perception of the Prime Minister from a past time, projecting into a hypothetical future (*did you imagine you would see...*).
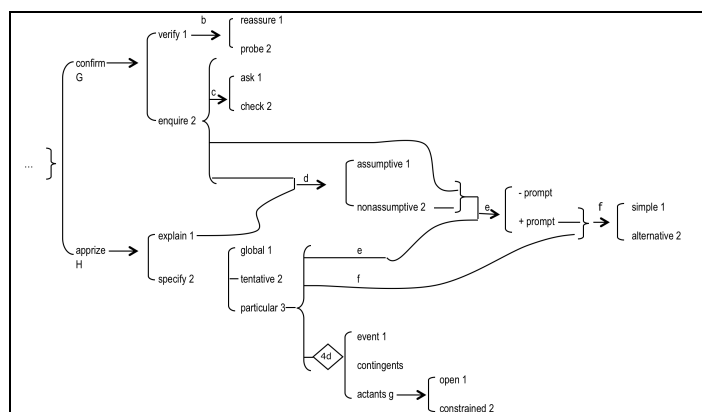
Figure 2 Options in demand + information (Hasan, forthcoming; Hasan 1983, 1996)

I turn now to analyse the nature of the question with respect to the system of RELATION ENACTMENT. Figure 2 sets out Hasan's network for questions (see Hasan, 1996, forthcoming). The network makes a primary distinction between questions that [confirm] versus those that [apprize]. Here it is worth reiterating that the system network is an operationalization of Saussure's "associative" relations (Hasan, forthcoming). At each point that a choice is made, the significance of a feature lies in the fact that it was chosen from some set of alternatives. O'Brien's question is a [confirm] question, that is, in general terms, the propositional content of the question is entirely configured, and the addressee's role is to confirm or deny what is offered. Hasan argues that [confirm] questions are either procedural ('Do you want your lunch now?') or lead to what Bernstein (1971) called 'sympathetic circularity' (it's lovely here, isn't it?) or exercise other forms of relation enactment (Hasan, forthcoming: 36). Of the [confirm] types, an [ask] type is "the most neutral way of attempting to elicit a yes/no response" (Hasan, 1991[2009]: 246). O'Brien's question is also [non-assumptive] (i.e. *did you imagine you would…* rather than *didn't you imagine you would…*). Associated with the feature [assumptive] is "a sense of challenge to the addressee; the idea is that the person asking such a question 'knows best" (Hasan, forthcoming: 37). None of O'Brien's questions to the Prime Minister in this interview display this feature.

4   Summary of features of this interview

In summary, the example question combines the following features: 4a: [confirm:ask:non-assumptive]; 4b: [topic maintaining]; 4c: [basic&supplemented&prefaced]; 4d [mental:perception]. Even with this quite indelicate analysis, it is possible to see how much is done in the uttering of single message. As suggested in the introduction, bringing out the dimensions of meaning in a message complex such as the one examined here is a precursor for any kind of evaluation of this discursive practice. The significance of these choices would be clearer if I had been able to spell out the other available but unselected options in these systems. In a linguistics which seeks, following Firth (1950), to make "statements of meaning", the point of the analysis must be to account the kinds of meanings expressed through the combination of a given selection of features across these networks, and to show how these meanings "construe the distinctive attributes" of the situation (Hasan et al, 2007: 716). To conclude, let me briefly present a slightly bigger picture of this interview (see also Lukin, forthcoming, for a contrast between this and other interviews by this journalist), by summarizing the options selected in RELATION ENACTMENT with respect to the interviewers turns. The interviewer, Kerry O'Brien has twelve turns across this interview, seven of which involve a message which constitutes a question. This means for five of these turns at the point of handover to the interviewee, O'Brien was giving rather than demanding information, as in,

for instance, *I don't imagine we look to Saddam Hussein for ethics, Prime Minister, but I hope we look to Australia, America and Britain for ethics*. This finding is interesting with respect to both field and tenor. Five of the seven questions were [confirm] type, including three [ask], and one each of the type [verify: reassure] and [inquire: check]. There are two [apprize] questions in the interview (*What is an acceptable number of civilian deaths in a war?; What is your definition of short and specific duration?*). Hasan argues that [apprize] type questions place greater demand on the listener. Both of the [apprize] questions in the interview are of the type [specify: actant: open]. It should be noted that absent from the interview are questions of the [explain] type. In other words, despite the reference to the Prime Minister's responsibility for the decision to send Australian troops to Iraq, O'Brien does not ask the Prime Minister any "how" or "why" questions.

References

Chan, E. (2005). *Dialogue and evolving meaning potential: Developing abstraction in children's texts*. (Unpublished PhD Thesis), The University of Sydney.

Clayman, S and J. Heritage. (2002). Questioning presidents: Journalistic Deference and Adversarialness in the Press Conferences of U.S. Presidents Eisenhower and Reagan. *Journal of Communication*. Dec., pp 749-775.

Cloran, C. (1994). *Rhetorical Units and Decontextualisation: An enquiry into some relations of context, meaning and grammar*. Monographs in systemic linguistics, No: 6. U. of Nottingham: Dept of Linguistics.

Firth, J.R. (1950). Personality and Language in Society. In *The Sociological Review: Journal of the Institute of Sociology*. 42: 2. pp37-52.

Hall, P. (2004). Prone to distortion? Undue reliance on unreliable records in NSW Police Service formal interview model. In J. Gibbons, V.Prakasam, K.V.Tirumalesh and Nagrajan (eds) *Language in the Law*. New Delhi: Orient Longman Private Limited.

Halliday, M. A. K. (1972[2003]). Towards a sociological semantics. In J. J. Webster (Ed.), *On Language and Linguistics*. London and New York: Continuum.

Hasan, R. (1983). *Message semantics coding manual*. Mimeo. Department of Linguistics, Macquarie University.

Hasan, R. (1991[2009]). Questions as a mode of learning in everyday talk. Reprinted in Hasan, R. 2009.

Hasan, R. (1996). Semantic networks: a tool for the analysis of meaning. In Carmel Cloran, David Butt & Geoff Williams, eds., *Ways of Saying, Ways of Meaning*: Selected papers of Ruqaiya Hasan. London: Cassell.

Hasan, R. (2009). *Semantic Variation: Meaning in society and in sociolinguistics.* The Collected Works of Ruqaiya Hasan, Vol 2, edited by J.J. Webster. London: Equinox.

Hasan, R, (forthcoming). Choice taken in the context of realization. In L Fontaine, T Bartlett, & G O'Grady (eds) *Systemic Functional Linguistics: Exploring Choice*. Cambridge: CUP.

Hasan, R, C. Cloran, G. Williams & A. Lukin. 2007. Semantic networks: the description of meaning in SFL. R. Hasan, et al. eds., *Continuing Discourse on Language Vol 2*. London: Equinox.

Lukin, A. forthcoming. Meanings in questions: a case study of the ABC's current affairs coverage of the 2003 invasion of Iraq. *Journal of Applied Linguistics and Professional Practice*.

Lukin, A., Butt, D.G., & Matthiessen, C.I.M.M. 2004. "Reporting War: A View from Linguistics" in *Pacific Journalism Review*. Vol 10, No 1, April 2004. pp 58-74.

Lukin, A, Moore, A, Herke, M, Wegener, R. Canzhong W. (2008). Halliday's model of register revisted and explored. *Linguistics and the Human Sciences*. Vol 4, No 2 (2008). Publication year 2010.

Maley, Y. and Fahey, R. (1991). Presenting the evidence: constructions of reality in the court. *International Journal for the Science of Law* iv(10).

Martin, J.R. (2009). Discourse studies. In R. Hasan, C.M.I.M. Matthiessen, J.J. Webster, eds., *Continuing Discourse on Language Vol 2: A functional perspective.* London: Equinox.

Robinson P, Goddard P, Parry K and Murray C. (2009). Testing models of media performancein wartime: UK TV news and the 2003 invasion of Iraq. Journal of Communication 59(3):534–563.

Shultz, J. (1998). *Reviving the fourth estate: democracy, accountability, and the media*. Cambridge: Cambridge University Press.

Williams, Geoff. (1995). *Joint Book Reading and Literacy Pedagogy: A socio-semantic examination*. (Doctoral dissertation). Macquarie University: Department of Linguistics.

SFL and language branding

Susana Murcia Bielsa

Universidad Autónoma de Madrid
Spain
susana.murcia@uam.es

Abstract

Systemic Functional Linguistics (SFL) has many applications, but its application to language branding is not very well known. When we talk about how brands are represented, we normally think about the images that provide the brand's visual identity: generally through ads, logos, colour scheme, or simply the look of the product. However, brand identity is also conveyed through language. Language branding refers to how language is used in corporate communications to provide or reinforce a particular brand identity (e.g. adventurous, safe, innovative, prestigious, modern). Language branding is especially interesting in the case of companies which provide services, rather than material products, because the relationship with the customer is mainly established through regular communications. This paper will show how, following the techniques proposed in Delin (2005), SFL is successfully used in language branding work carried out for some Spanish companies, namely a bank and a health insurance company. Various aspects of SFL have been found useful in language branding, including transitivity, reference, formality vs. informality, and appraisal stance. In addition to providing a general overview of language branding, I will provide specific examples extracted from Spanish language audits and from branded language recommendations – which are generally known in the field as Tone of Voice manuals.

1   Introduction

The ways companies interface with their customers have evolved greatly in the past century, from a focus on just the product in the first half of the 20th century, through a focus on brand from the 1950's onwards, to a focus in the early 21st century on how a brand is created through the series of experiences that consumers undergo involving the brand (Diller et al., 2005: 6-7). The practice of branding as we know it today is intimately related to the notion of brand identity or brand personality and is widely used in the world:

> most brands – at least to their owners – are motivated by some explicit statement of their position: a set of characteristics, traits, or behaviours that expresses what is **unique** or **distinctive** about the brand. (my bold) (Delin, 2005:8)

It is, therefore, this identity - which is associated with particular brand values - that differentiates one company from its competitors; for example, a company's identity might be associated to the values 'new and innovative' while its competitors might choose to be 'safe and secure'.

Brand identity has traditionally been conveyed through what is known in the field as the brand's *visual identity* – all the mechanisms that allow a brand to express its brand values visually, e.g. logo, colour scheme, typography, images and also layout. In fact, up to quite recently, most companies only developed their visual identity. The last few years, however, have seen an increase in the interest and development of what has been termed *verbal identity* (Simmons, 2000; Allen and Simmons, 2009) – the expression of brand values through language, or what is known in the field as a brand *tone of voice* (ToV). Other works (e.g. Delin 2005) prefer using the term *language branding* to refer to how language is used in corporate communications in order to provide or reinforce a particular brand identity (e.g. adventurous, safe, innovative, prestigious, modern). Obviously, linguistics and, as Delin (2005) shows, Systemic Functional Linguistics (SFL) in particular can make a great contribution to the development of branded language. This application of SFL to language

branding, however, is not well known within the systemic community. Therefore, the purpose of this paper is to show how SFL has been successfully used in the language branding work that Judy Delin and I did for several Spanish companies, although I will focus here on only two of these, a bank (BBVA) and a health insurance company (Sanitas). I will show how, following the procedure specified in Delin (2005), different areas of SFL have been applied both in the language branding process for these companies.

2   Language branding

Companies spend large amounts of money to design their own brand personality. This brand personality should be reflected in the wide range of communication types and modes, as well as through the language used in these communications. But not all brands are similar or have the same requirements. Two main types of brands can be identified in terms of what they offer to the customer: product brands and service brands. As Olins (2003: 75) puts it, 'Product brands are about products. Service brands are about people.' Product brands, which simply sell a commodity, can probably rely mostly on visual identity without needing to pay excessive attention to their language (with the exception of the name, the slogan and the language used in advertising and packaging). However, brands that provide a service (e.g. banking, insurance, health, telephone, energy) need to maintain a continuous relationship with the customer, through bills, letters offering new services, etc. Service brands are thus particularly interesting for the linguist, since, 'the experience of the brand is almost completely constituted in acts of communication' (Delin, 2005: 7) because they establish longer relationships with the customer.

The brands studied in this paper (BBVA and Sanitas) provide banking and health services and are, therefore, service brands with a long customer journey and quite frequent communication throughout this journey. Before we move onto the application of SFL to language branding in these two brands, let me briefly introduce these brands and their positioning:

BBVA provides banking services and has branches and offices all over the world, but especially in Latin America and Europe. BBVA's brand positioning is based on 3 brand principles or values: 'Leadership', 'Innovation', and 'For people from people.'[31]

Sanitas is now part of BUPA and has been providing health services in Spain for more than 50 years. Its brand principles are: Caring, Respectful, Ethical, Enabling, Dedicated and Accountable.

Brand values tend to be quite broad and not always easy to transfer onto language in a straightforward way. Thus, for language branding purposes, brand values tend to be "translated" into more manageable values often called "Tone of voice principles". In the case of BBVA, the tone of voice principles include: professional, positive, open and people together. In the case of Sanitas, the tone of voice principles are: inclusive, energetic, authoritative, inspiring about health, and human.

Having introduced what language branding involves and the two brands studied, the following subsection will present those aspects of SFL theory that have been found to provide a valuable contribution to the expression of brand identity, as suggested in Delin (2005).

---

[31] See Foro de marcas renombradas Españolas (2008:268-269) for information on BBVAs business, and Alloza (2004) y Grupo BBVA (2006:15-16) for detailed information on this brand and its brand values.

2.1 Applying SFL to language branding

Among the linguistic means within the SFL framework that are particularly fruitful in the study corporate communications and language branding, Delin (2005: 12ff) highlights the following: transitivity, chains of reference (Halliday & Hasan 1976), formality vs. informality, and appraisal stance (Martin & White, 2007). The study within corporate communications of all of these areas will expose how the brand positions itself and its customers.

The next subsections will apply these techniques to communications samples (sometimes external and others internal) of Spanish service brands and show how they help reinforce brand positioning.

2.1.1 Transitivity

The system of Transitivity (Halliday & Mathiessen, 2004) involves the study of processes, and participant roles associated to those processes. In Delin's approach (2005:18) transitivity is used to see how the brand positions itself and its customers, and how it builds relations:

> This kind of study is related to what Fairclough (1989: 202) has called 'building relations' between the producer/advertiser and the consumer, 'building images' of products (in our case, brands), and 'building consumers' themselves by associating them with ideal 'subject positions' in which they might be likely to accept or reject the product and their relationship with it.

By looking at what kinds of processes are included in a company's communications and who performs these processes or is affected by them, we can see how the brand positions itself and its customers. Let's illustrate this with a text from Sanitas before the language branding took place. Table 1 shows the processes associated to Sanitas in the Sanitas Oro leaflet, which provides information about this particular cover, to help potential customers choose the product most suitable for them.

Doer	Process	Context
Sanitas Oro Reembolso	ofrecer [offer]	atención primaria [primary attention]
	completar [complete]	su asistencia sanitaria [its health services]
	ofrecer [offer]	mejor servicio [better service]
Sanitas Oro	Incluir [include]	coberturas [covers]
	aumentar [increase]	compromiso con salud [commitment to health]
Sanitas	ofrecer [offer]	Coberturas [covers]
(nosotros)	crear [create]	Sanitas Oro [Sanitas Gold]
servicio	permitir [allow]	contacto permanente [permanent contact]

Table 1: Processes associated to Sanitas in 'Sanitas Oro' leaflet

From the tokens in Table 1, we observe that Sanitas offers services (*ofrece atención primaria, completando su asistencia sanitaria, ofrece mejor servicio, incluye coberturas*), expressed through material processes. In addition, processes such as '*complete*' and '*increase*' (*completando* and *aumentando nuestro compromiso con la salud*) indicate an improvement of the service provided. At this stage, therefore, Sanitas positions itself as creating opportunities for the customer, by making goods and services available. Furthermore, Sanitas, its products and services are also associated with processes such as creating (*crear*), and allowing or enabling (*permitir*). Except for one case (*En Sanitas estamos convencidos de que lo más importante es cuidar la salud*), this text does not position Sanitas as having beliefs, feelings or thoughts.

As regards customers, this text places them in a rather passive role; customers are positioned as simply having access to tangible benefits (e.g. health cover, services), while

they could have been positioned as receiving also lifestyle benefits (improvement of lifestyle, happiness, health, peace of mind), which would be more in keeping with their principle 'Inspiring about health'.

Examples of text after the language branding process add a stronger positioning of Sanitas as having feelings, beliefs and thoughts (with mental or near-mental behavioural processes), providing a more human personality of Sanitas, as shown in the following examples:

Cuidamos de su salud … [We care about your health]
Así entendemos en Sanitas lo que … [That's how we understand in Sanitas what …]

In addition, the newly branded texts position the customer as benefiting from intangibles, with mental processes such as ' enjoy' or 'like' (*disfrutar de la tranquilidad* [enjoy peace of mind]*, Porque le gusta poder moverse con libertad* [because you like moving freely]), which convey their principle 'inspiring about health'.

2.1.2 Reference and chains of reference

Chains of reference are examined in language branding to see 'how the brand and concepts related to it are evoked and kept activated in the mind of the hearer/reader' (Delin 2005: 12). Based on the work by Halliday & Hasan (1976), Prince (1981) and Gundel et al. (1993), Delin (2005:13-14) develops a very useful tool for assessing how strongly a brand is evoked in texts. Among the most strongly evoking means of reference, Delin includes:

repetition: *Sanitas … Sanitas*
partial repetition: *El Grupo BBVA … El Grupo*
co-reference: *BBVA …* pronouns *(nos),* verbal ending *(apostamos)*
brand elements: logo, colour, *BBVAnet*
possessive inferrables (less strongly evoking): BBVA … *nuestras oficinas* [our offices]

Among the references to brand, it is interesting to notice that Sanitas brands all its services by repeating the brand name: *Sanitas Oro, Sanitas Multi, Sanitas Dental*. This constant repetition strongly evokes the brand.

It is also interesting to study whether the brand is referred to as 3rd person or by using 1st person plural. If, for instance, a customer receives a letter from the company and it refers to the brand by using 3rd person singular, it gives an impression of detachment and distance on the writer's part of the writer.

When referring to customers, 3rd person reference is often used (*el cliente* [the client]). Sometimes this is combined with the possessive pronoun (*nuestros clientes* [our customers]), which serves a double purpose: it reinforces the brand by evoking it, and at the same time it positions the reader as being part of the brand.

Another aspect of reference to customer that needs special attention in Spanish is 2nd person reference. We will mention these cases in the following subsection on formality vs. informality.

2.1.3 Formality vs informality

An important distinction available in Spanish and other romance languages is that between formal and informal second person address. Until a few decades ago, distant address was required in all business transactions. However, nowadays the practices as regards formal

distance have changed and companies need to think carefully which form of address they choose to use. The choice will depend on the tenor as well as on the mode of each interaction.

In the case of internal communications, the trend is for all communications to use informal address (through the pronouns *tú, vosotros* and/or their corresponding verb endings) at all levels. For external communications the issue gets more complex, as the brand needs to take into account the customer and his/her potential reaction to each form of address. Customer's age, rather than social status, is what tips the scales here. Younger customers prefer informal *tú*, while older customers would be offended by the 'closeness' implied in informal *tú* and prefer formal address (*usted*). Mode also influences the choice between formal and informal address: webpages (which are a more modern means of communication) tend to use informal address with *tú*. Letters (and also emails) that are personalised (e.g. response to a request) can probably choose depending on the age of the customer. Telephone contact through call centres will strongly go for formal address, as in the examples below:

> *Si necesitara el número, se lo podemos facilitar* [If you need the number, we can give it to you]
> *Gracias a usted y enhorabuena* [Thank you and congratulations]

In these two examples produced by an employee of Sanitas call centre as the final exchanges in a conversation with a customer, we can see the use of formal address in the subjunctive verb form *necesitara* ['need' 2nd p. sing. formal] in the first example, and the pronoun *usted* ['you' formal] in the second one. Notice also that the first example exhibits reference to the brand through 1st person plural verbal ending [*podemos* 'we can'], an issue discussed in section 2.1.2.

2.1.4 Appraisal stance

Brands have obvious commercial purposes and, to achieve their aims, they use attitudinal language. Part of the branding process often involves finding lexis that invokes the brand values. These values are usually positive ones and the lexis that expresses them can often be analysed as tokens of the Attitude and Graduation systems within Appraisal theory (Martin & White, 2007). When looking at one of BBVA texts, for instance, we can see that two of their brand principles 'leadership' and 'innovation' are extremely positive words. Some of the branded language that BBVA uses includes clearly positive nouns such as *pioneros* [pioneer], *calidad* [quality], *ventaja* [advantage], *innovación* [innovation]. In addition, the adjectives they use (*nuevo* [new], *sólida* [solid], *fuerte* [strong]), apart from being positive, are often graded, as in *mejor* [better], *más completa* [more complete], *máximo* [highest]. All of these help position the brand as unique and differentiated from its competitors and indicate that appraisal is an avenue worth exploring with regards to language branding.

3 Conclusions

Although many brands have in the past paid attention only to their visual identity and neglected the way brand identity is expressed verbally, brands (and in particular service brands) cannot turn their backs on the potential that language offers for conveying their brand values. As shown in the literature, language branding can benefit from linguistics and, in particular from the Systemic Functional Linguistics framework. This paper has followed Delin's (2005) approach, and applied various aspects of SFL to Spanish corporate communications from two service brands in order to show how these brands position themselves and their customers. The areas explored and illustrated with Spanish examples include transitivity, reference, formality vs. informality, and appraisal stance. All of them are fruitful mechanisms for reinforcing brand values and brand positioning through language.

References

Allen, T. and J. Simmons (2009). Visual and verbal identity. In R. Clifton and J. Simmons (Eds.) *Brands and branding* (pp. 113-126). New York: Bloomberg Press.

Alloza, A. (2004). El caso de BBVA. La marca, la experiencia y la reputación corporativa. *MK Marketing+Ventas*, Nº 189, 112. http://pdfs.wke.es/8/7/2/8/pd0000018728.pdf

Delin, J. (2005). Brand Tone of Voice: a linguistic analysis of brand positions. *Journal of Applied Linguistics*, 2(1), 1-44.

Diller, S., Shedroff, N., and Darrell, R (2005) *Making Meaning; How Successful Businesses Deliver Meaning Customer Experiences*. Berkley: New Riders.

Fairclough, N. (1989). *Language and Power*. London: Longman.

Foro de marcas renombradas españolas (2008). *Grandes Marcas Españolas. Leading Brands of Spain*. Madrid.

Grupo BBVA (2006). *Informe anual de responsabilidad corporativa 2005*.

Gundel, J., Hedberg, N. and Zacharski, R. (1993). Cognitive status and the form of referring expressions in English. *Language* 69, 274–307.

Halliday, M.A.K. and C.M.I.M. Matthiessen (2004). *Introduction to Functional Grammar*. 3rd Edition, London: Edward Arnold.

Halliday, M.A.K. and R. Hasan. (1976). *Cohesion in English*. London: Longman.

Martin, J.R. and White, P.R.R. (2007). *The Language of Evaluation: Appraisal in English*. Basingstoke and New York: Palgrave Macmillan.

Olins, W. (2003). *On Brand*. London: Thames and Hudson.

Prince, E. (1981). Toward a taxonomy of Given-New information. In P. Cole (ed.) *Radical Pragmatics* (pp. 223-255). New York: Academic Press.

Simmons, J. (2000). *We, Me ,Them & It*. London: Texere.

Loops of spoken language in Danish Broadcasting Corporation news

Michael Ejstrup, and Bjarne le Fevre Jakobsen

Danish School of Media and Journalism and Institute of Language and Communication, University of Southern Denmark
me@dmjx.dk and bjarne@language.sdu.dk

Abstract

The tempo of Danish television news broadcasts has changed markedly over the past 40 years, while the language has essentially always been conservative, and remains so today. The development in the tempo of the broadcasts has gone through a number of phases from a newsreader in a rigid structure with well-edited material, in 1965, to an anchor who hands over to journalists in live feeds from all over the world via satellite, Skype, or mobile telephone, in 2011. The narrative rhythm is faster and sometimes more spontaneous. In this article we will discuss aspects of the use of language and the tempo of programmes, and we will anchor television news in a wider context.

1 Introduction

1.1 Television news on DR (Danish Broadcasting Corporation) as a media-cultural genre, and as a sub-element of the news media reality

As a genre, television news on DR has undergone a root-and-branch transformation, which can be seen as a consequence of the societal, media, and technological contexts in which the TV news forms a part. In overall terms (Eggins (1994/96: 34) the genre can be defined as the communication of news executed disparately, and through multiple mediums, for example, the press, radio, TV, the internet, and smartphone. It is under continuous development in the same way as the literary novel or film drama. Television news on DR should be seen as an element of the communication of news, and television news in 2011 is the analytical centre of gravity of this process in this paper. Its contrast can be found in the 1965 genre which represents the starting point on a timescale while the 2011 genre is the current end-point of the development. This is defined in Eggins and in functional linguistic, communication, and media science, as the impact of the context of culture on language:

> The concept of **genre** is (...) the impact of the context of culture on language, by exploring the staged, step-by-step structure cultures institutionalize as ways of achieving goals.
> (Eggins (2004/2007): 9)

Television news should be seen as a concrete impact on the general cultural context (i.e. all of the surrounding world), in which the linguistically anchored interaction occurs on two fronts: that between the newsreader/reporter speaking directly to the viewers, and that between the interviewer and the interviewee, which in turn, has the viewer as the target group. The broadcast sets the scene with time, place, and participant, and is organized and structured through items selected on the criteria of news value and importance at a particular point in time.

2 Language in the TV news, 15 October 1965

By way of introduction, we will look back to the infancy of television and television news, when the only channel Danes could relate to was the Danish Broadcasting Corporation, and

we will look at how the genre's language manifested itself in October 1965. The newsreader is a middle-aged man whose name is Eric Danielsen. He sits dressed in a jacket, white shirt and tie. During the entire broadcast he remains seated with his gaze flickering in turn between a very visible script and a camera whose angle is constantly towards Danielsen's front. The news is introduced in October 1965 with clear '*Good evening'*, in which an archaic and upper class tone is struck, with pronounced soft 'd' (th) and closed 'a' vowels (which today we would recognize in Danish names such as *Hansen* and words such as *can*). This was pronunciation which, even in 1965, most people either had abandoned or had never used.

2.1 First normative guidelines and remarks on rhythm and tempo

Here it is interesting to include Ulla Albeck's book *Farlige Ord* (Dangerous Words), which was published by J. H. Schultz Forlag in 1942. In the preface to the book one can read:

> *… It is the Task of the Committee to assess the Language which is spoken on the Radio, and to contribute to the Advancement of good and correct Pronunciation… Farlige Ord, which is the first normative Guide in the Pronunciation of the Queen's Danish is intended not only to be a Guideline for the many who contribute to Radio Broadcasts, but also a popular Aid for everyone interested in the Pronunciation of the Danish Language ….* (Albeck (1942): 3)

With its 45 closely-typed pages, the book contains long and meticulous lists of not how words should be pronounced, but how they must be pronounced. The vowels in words such as *træ* (tree/wood)*, græde* (weep) and *træde* (tread) must be pronounced as *æ-vowels (not a-vowels)*; the vowels in *butik* (shop)*, sikker* (certain) and *vikle* (to wind) must be *e-vowels (not æ-vowels);* it is recommended that the *r-consonant* is dragged over to start the next syllable in feminine words such as *lære-rinde,* (teacher) *danse-rinde* (dancer) and *skuespille-rinde* (actor) (*–inde* corresponds to the English *–ess*, as in actress). These are archaic pronunciations from the language of the Copenhagen social elite. It could almost be said that every detail in the pronunciation of Danish is given a lecture to help it on its way. As outlined in the following description, the impact of this work has been enormous, and the thinking behind it has set the agenda for the language in the Danish Broadcasting Corporation ever since.

In a more global perspective Theo van Leeuwen argues with reference to Evans (1972: 50) that the rhythm of newscasters is monotonous, as follows:

> *Perhaps newsreading, like other formal, official types of speech, has to sound impersonal and official. One way of achieving this is then to 'regulate' what should or should not stressed…on the basis of an impartial, mechanical 'rule', which will guarantee an impression regularity.* (van Leeuwen, 2005: 190)

The newsreaders in the Danish television news on DR also follow these rules and model until about 1990, where one can see a development away from that. The personality of the speaker is then more emphasized and in 2011 some of the newsreaders have a personal pronunciation close to everyday spoken language. Similarly, elsewhere, the pronunciation committee with Daniel Jones and George Bernard Shaw set the standard for the BBC, but that kind of committee does not exist anymore. Germany does not have such a development, and in the German 'Tageschau' (ARD) they still speak 'Neuhochdeutsch'.

During the 40 years of our investigation the speech tempo has been growing all the time and so has the measure of taped and on-the-spot reports. The reports and the interviews have been shortened with the result, that the density of information is much higher now. We also know that the level of distinction – if you measure it in clearly separated syllables – has been declining in Danish radio news from 1950 until today (Thoegersen, 2011). The tempo in

Danish radio news has become faster in measured words per second and in speech and articulation speed. The major difference is in the speaking tempo, when the pauses are included in the measures. This means that there have been fewer and shorter breaks in the spoken language of Danish radio news.

2.1.1 Newsreading

The newsreader in 1965 is a middle-aged man who holds the script in his hand and reads clearly from it. Consequently, the language totally parallels the written language with the linguistically rigid and minimalist elements which characterize writing. The newsreader has thus his full attention on the script and only in glimpses is there a nervous interaction with the camera. The rhythm of the speech is staccato and the intonation is monotonous without the prosodic colouring of the spoken language. Breathing is adapted to the reading rhythms and is in step with the radio speaker model discussed in section 2.1. Speech is thus clearly scanned to the pattern and punctuation of the written language. Full stops are clearly marked in the rhythms and, occasionally, and disturbingly, grammatical commas can be heard in this very well-trained and experienced newsreader's speech. Generally, it can be heard that speech has been scanned to units of meaning, or, it could be said, phrase size. In this way, the written language form is clearly prominent and the television news presents as a written newspaper which is just read aloud. Forms of address to interviewees are consistent, *De, Dem and Deres* (formal forms of *you, yourself and your*) in a news item where journalist, Claus Toksvig is visiting the head of Askov Højskole, a well-known school.

3 Language in TV news, 1 February 2011

In 2011 we start live with a news item from Egypt. The news anchor, Klaus Bundgård Povlsen, is middle-aged and dressed in a jacket, shirt and tie; as we know it all the way back from 1965. The tempo has increased considerably and the anchor now stands and moves around the studio while presenting the news. The speech tempo has also increased and everyday speech has now moved into the anchorman's presentation. Klaus Bundgård Povlsen speaks in a modern Copenhagen dialect, in which some of the pronunciation patterns indicate what socio-linguists would call Low Copenhagen. For example, he clearly pronounces vocal qualities which are influenced by a following *soft d* (English th). This means that words such as *jyde* and *jøde* (Jute and Jew), *hvede* and *væde* (wheat and wet)*, truede* and *troede* (threatened and believed) sound alike. This is a modern feature of Copenhagen speech but is unknown in the other Danish regions. Similarly, it is a feature which we have not before met in DR news presenters over the years.

3.1 There are no ties that bind…

Television news in 2011 is no longer autonomous nor is it tied in time and space. Now the internet, chat, blogs, and other forms of electronic media communication are part of the free and constantly changing reality in the studio. Satellite images appear constantly with information from far and wide. In many cases the language is clearly colloquial even though there are a few occasions when items are clearly scripted, and the normal language that we know from the infancy of television news makes an appearance. A report from a young journalist from a snowdrift near Horsens, and an item on the travel branch, from Kastrup airport, have been prepared for the evening news, and the language is marked by monotony and sentence constructions of the written language; speech rhythms are staccato. It is very close to the 1965 model.

3.1.1 …but Steen, we heard of course

The anchor in 2011 presents, in a number of connections, unscripted items, with appropriate pronunciation, sentence constructions, prosody, and interview control elements. For example, in a live interview with journalist Steen Nørskov he interrupts with a *…but Steen…* and changes to a more comradely tone. This fails to get Steen Nørskov to surrender the floor to Klaus Bundgård Povlsen so he follows up very quickly with*…but Steen, we heard, of course, that he…eh…actually was…eh…in a fairly weak position. Isn't it a little fraudulent?....* In another item he states,*….that one day the history books can tell us that on the first of February a huge crowd was gathered in Tahir Square....*And again, a little later *…We Danes are very ready to do more voluntary work than we actually believe….* Here he employs contractions that are unacceptable in the written language.

The spoken language has free rein, the anchorman moves around the studio with his cue-cards in his hand, allowing facial expressions with raised eyebrows which reveal empathy and activity; he switches between the quite literal language of his cue-cards while introducing his guests with light comments such as *…now we have you again from Cairo, Steffen….* and later he adds *…what I hear you saying is that it could actually happen that he resigns ….* We have reached the point that modern Copenhagen speech is accepted on the television news as long as it sticks fairly closely to the habits and norms from the north eastern areas along the North Zeeland east coast.

4 Genre and register and autopoiesis in the TV news, 1 February 2011

The internet has made its entry on the television news. The journalist reports directly via a net connection of reasonable quality and thus we are no longer dependent on a costly satellite connection. Now, it is all about getting a correspondent or others on the spot, which, in this case, is Cairo. Several individuals from all over the world can be displayed in their separate screen segments, so that the tenor, mode, and field in the Eggins model field register constantly change balance. As much as possible, reporting of events like the uprising in Egypt is live and the development in the coverage follows its own cycle. First we know nothing and items are ended with, 'See the next transmission at … where we will know some more' and again reference will be made to the later programme. The viewers are kept on a tight rein and only viewing figures matter. A good television news programme means one with high viewing figures. High figures prove that the news presenter is good; low figures, that he is less good. Correspondingly, individuals appear and disappear from the screen. If viewers zap away when a particular individual appears on the screen then that individual is not invited to appear again. The autopoiesis of television news has acquired an inbuilt correctional factor that would have been inconceivable earlier, because the system would otherwise break down.

4.1 Writing on the screen

There is still, in 2011, a tension between the written and spoken language in DR's news programmes. For many years, the written language has had a totally dominant position in DR's television news. There could be many reasons for this and the scope of this analysis does not make it possible to present any certain conclusions. However, through Dansk Sprognævn (Danish Language Committee), Retskrivningsordbogen (official Danish dictionary) and educational institutions, such as the Danish School of Media and Journalism, the written language has been prioritised and promoted as the norm for the media generally. The language in Copenhagen and North Zeeland's eastern region has thus acquired a

prominent position solely because the norms of the Danish written language have been based on the position this language had in these regions almost 300 years ago.

The Danish spoken in the western regions of the country has not thus acquired any position whatsoever in the media or in DR's television news. In this connection, it is relevant to note that both Danish legislation and DR's charter emphasise language, and, in fact, the text of the Act states:

> *Furthermore, particular emphasis must be placed on the Danish language and Danish culture.*

Similarly, the public service contract for 2011-2014, states:

> *DR shall place particular emphasis on the Danish language and contribute actively to preserving and developing the Danish language so that listeners, viewers and users, experience correct and comprehensible Danish in DR's programming...DR must additionally emphasise correct and comprehenisble Danish in programmes and pursue an active language policy.*

What is particularly interesting and illuminating is what is not stated, because what is "correct and comprehensible Danish", and how is DR expected to prosecute an "active language policy". These are interesting questions and, as the analyses reveal, it appears to be the norms of the written language of Dansk Sprognævn (Danish Language Committee) and Retskrivningsordbogen (official Danish dictionary) which form the framework for both of these. From this we arrive at the fact that the language along North Zeeland's east coast, from Østerbro in Copenhagen to Elsinore has once more acquired the position of being the correct and the comprehensible. Not the east coast from Copenhagen's Sydhavn to Køge, the east coast from Nyborg to Svendborg, or the east coast from Skanderborg to Fredericia. This is not stated explicitly, but the analyses of the language in the six television news programmes on DR from 1965 to 2011 speak for themselves. And it should be added that in no way could the language of the west-facing coasts in Denmark be included in the group "correct and comprehensible Danish". This is obvious. DR, as set out in the public service contract for 2011-2014, has a language policy, but Cordsen et al. (2009) reveal that in one specific area it is not pursued as actively as could be expected from the contract. This applies to linguistic diversity which is explicitly mentioned in DR's language policy as deserving of promotion. Cordsen et al. conclude as follows:

> *DR's attitude to dialects is not apparent in the selected programmes, and the presenters' dialect-free language is perceived as having a credibility and status as the language of a knowledgeable and professional individual. Interviewees who speak with a dialect risk a loss of credibility.*
> *(Cordsen et al., 2009: p. 53)*

5 Media language spiral

The spoken language is our primary language with infinitely more nuances than the written language can encompass. Such crucial elements as stress, tonal shift, abrupt and dynamic, and distinctive prosody, are absent from the Danish written language. Writing is the human invention which allows us to save language from before we had the possibility of recording and saving sound and images electronically. Writing is arranged as economically and minimalistically as possible. It is both practical and sensible, but unfortunately, this also means that we surrender many of the nuances and fine detail which the sound register of the spoken language gives us. To speak Danish demands knowledge of vocabulary, grammar and rules of pronunciation, i.e., knowledge of the formal language system. Additionally, speaking Danish demands just as high a degree of the ability to adjust our language to other individuals and situations. Language is an inseparable part of our culture and is rooted in our common

cultural inheritance. The description of language must constantly shift between the focus on the sender and the receiver, both of whom influence and are influenced by the language. The sender must be aware of every element and give careful consideration to his use of language.

One example could be the television priest who has the public as his congregation, a specific faith he must communicate a message on, because it is precisely that faith that has brought them together. A great many obstacles in the form of time, place, space, outside threats to the faith, dogma, tradition, and particular expectations to the language of the church he must consider carefully to enable him to use the language and act appropriately in the circumstances. The media, in all its forms, must keep the same considerations in mind, when communicating journalistic messages. Here, it is not least the traditions which the media have created themselves, with a literal and Northern Zeeland influenced language being an important factor. In this, the media have themselves created an expectation which forms a language spiral where the use of language by the media and by media users is more and more remote from one another, in the same way that the distance between the written and spoken language is constantly increasing.

6 Conclusion

In the article we have discussed how television news has undergone a root-and-branch transformation over the past 40 years, while the use of language has lagged behind. We have shown that this development can be recognized with the aid of Eggins' functional paradigm, with a distinction between formal and functional criteria. The contextual connection is crucial and the phases move from a genre with a centralised script-reading news presenter to items via mobile phone and Skype. The structure in the first television news from 1965 is rigid and the language stiff. Pronunciation is that of the language found by Øresund's east coast, north of Copenhagen, or in the Royal Theatre. Forms of address are 'De, Dem and Deres' (formal, i.e. capitalised, forms of you, yourself and yours), and subtitles mark these cultural bonds. Jute is subtitled but not southern Swedish! The language of the news presenter in 2011 can best be characterised as something betwixt the written and spoken languages. Streams of individuals enter and leave the studio and the interviewees' language is given much air space and the tempo is high. Journalists now report 'on location'. Denmark Radio's language policy is set out and it is discussed whether compliance is inadequate and debatable. All in all, true 'loops of spoken language'.

References

Albeck, U. (1942): *Farlige Ord. Udgivet af Statsradiofonien og godkendt af Statsradiofoniens Sprogudvalg.* København: J.H. Schultz Forlag.

Cordsen, M. M., Høyer, A. R. & Pedersen, S. Ø. (2009): *Nyhedsformidling i radioen.* RUC. Roskilde. Upubliceret.

Eggins, S. (1994/1996/2007): *An Introduction to Systemic Functional Linguistics.* London/New York: Continuum.

Ejstrup, M. (2009). *Sproglig mangfoldighed længe leve.* Det rum[me]lige sprog. Danmark: Dansklærerforeningen..

Evans, H. (1972): *Newsman's English.* London: Heinemann.

Larsen, P. H. (2003): *De levende billeders dramaturgi.* København: Danmarks Radio.

Leitner, G. (1989): BBC English – und Englisch lernen mit der BBC. Berlin: Langenscheidt

Luhmann, N. (1996/2002): *Massemediernes realitet.* Danmark: Hans Reitzels Forlag.

Thoegersen, J. (2011): 'Talesprog i radioavisen', in: *Danske Talesprog 12.*

Van Leeuwen, T. (1984): 'Impartial Speech – Observations on the Intonation of Radio Newsreaders, *Australian Journal of Cultural Studies* 2(1): 84-89.

Van Leeuwen, T. (2005): *Introducing Social Semiotics.* London/New York: Routledge.

A study of evaluative meanings in disaster news photos using Appraisal Theory

PENG Yi and FENG Haihua

School of Foreign Studies, University of Science and Technology Beijing
ypeng@sic.ustb.edu.cn; haihuafeng@hotmail.com

Abstract

Research on discourse analysis of different genres has been conducted in the past few decades within a variety of theoretical frameworks, and from different perspectives. However, little research has been done on disaster news photos within the framework of appraisal theory. Therefore, this paper analyses the visual-verbal meanings of disaster news photos and their captions under the framework of linguistic appraisal theory (Martin & White, 2005) and visual appraisal theory (Economou, 2009). The aim is to examine whether and how appraisal theory can be applied to the analysis of visual meanings in disaster news photos.

The data was selected from *China Daily* and *New York Times* about earthquakes in China (May. 12, 2008) and tsunami in Japan (Mar. 11, 2011). By analyzing evaluative meanings in three disaster news photos with captions, several conclusions can be drawn as follows:

Firstly, it was found that the appraisal model can be used to analyze not only verbal discourse, but also nonverbal discourse in the interpretation of news photos. Secondly, the analyses also showed that evaluative meanings in disaster news photos position readers/viewers in respect to news content. Thirdly, some evaluative meanings such as negative affect inscribed in disaster news photos may not necessarily be shown in their captions.

Key words: Appraisal theory; disaster news photos; evaluative meanings

1. Introduction

Appraisal theory (Martin, 2000; Martin & White, 2005) derived from SFL (Halliday, 2004/1994) has been applied to verbal texts for over a decade, and the multimodal discourse analyses based on Kress & van Leeuwen (2001) have become predominant in interpreting images. A few scholars (Economou, 2006, 2009; Chen, 2010) have more recently attempted to explore visual meanings in visual-verbal text from the perspective of subsystems of appraisal theory, i.e. attitude, engagement and graduation.

This paper draws on analyzing evaluative meanings in three disaster news photos about earthquakes in Sichuan, China in 2008 and tsunami in Japan in 2011. The data was selected from *China Daily* and *New York Times* (via internet news sites), two influential newspapers both in China and the United States because they may evoke positive appraisal and position readers positively about the recovery from the earthquake. The aim of the paper is to test whether appraisal theory can be applied to the analysis of visual meanings and in what way the evaluative meaning is realized in disaster news photos.

2 The framework of Appraisal theory

Appraisal theory is the overall system of choices designed to interpret evaluative meaning, one aspect of interpersonal meaning potential (Martin, 2000). Three broad sub-systems of evaluative meanings are proposed in appraisal theory: attitude ("values by which positive and negative viewpoints are activated"), graduation ("values by which the intensity or force of propositions is raised or lowered") and engagement ("values by which the speaker/writer engages with the other voices and alternative value positions in communicative text") (White, 2006, p.38). In the attitude system three types of attitudinal meaning are identified: affect, judgement and appreciation (Martin & Rose, 2007). Affect, or embodied feelings, functions

as the center of the attitudinal system, while judgment (of people's behavior) and appreciation (of the value of material, semiotic or abstract things) are regarded as institutionalized feelings. The relation among these three perspectives of attitude is presented in Figure 1 below.
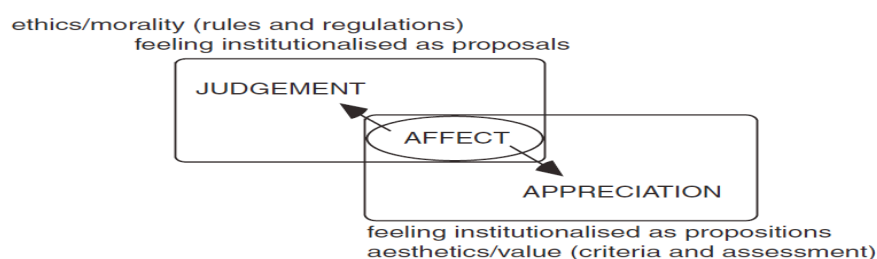

Figure 1: Judgement and appreciation as institutionalised affect (Martin & White, 2005, p. 45)

Economou (2009) applies systemic-functional (SF) theory to verbal-visual news media texts, trying to develop social semiotic descriptions of visual meaning in order to facilitate analyses of evaluative stance in visual-verbal text and explores how contemporary verbal-visual media texts attitudinally position readers in respect to knowledge.

3. Studies on news photos

News photos, especially disaster news photos, with dramatic images of damage done by floods, earthquakes and tsunami etc., play an increasingly significant role in news coverage. In the course of disseminating information, news photos depicting disasters have high news value.

Generally speaking, current research on news photos falls into two predominant domains: one is in the media and communication studies (Hock & Kendrick, 2003); the other is in multimodality studies often using visual grammar (Kress & van Leeuwen, 2001). Little research using appraisal theory to analyze visual images has been conducted in China. In recent years, research has been attempted to explore the verbal-visual text (Martinec, 2005; Chen, 2010), and news photos under the framework of appraisal theory and systemic functional linguistics, mostly led by Economou (2006, 2009), Kress and van Leeuwen (2001) and other scholars like Freebody and Zhang (2008). The study done by Kress and van Leeuwen on visual communication looks at the relation between what is depicted and the viewer, and at what images are designed to do to for or with the viewer. This paper tries to examine whether the appraisal model can be applied to the analysis of visual meanings and how evaluative meaning is realized in disaster news photos.

4. Appraisal analysis of disaster news photos

4.1 Attitudinal meanings in disaster news photos

Analyzing attitude in disaster news photos has to do with identifying evaluative meaning associated with depicted items in photos, both those evoked by "non-human participants" such as the ruins or rubbles of an earthquake, and those expressed by facial expressions and body language of human participants such as victims or survivors, their feelings such as sorrow and loss. News photos on disasters are often highly evaluative as the pictures mainly capture the moments of sorrow and grief and so often both depict and evoke in the viewer intense feelings and strong reactions to destruction.

Through the analyses, it was found that the majority of affect resources in disaster news photos are mostly negative feelings which aim to arouse sympathy of viewers though there

are some positive feelings expressed on the faces of depicted people. In disaster news photos, explicit/inscribed affect surpasses that of evoked/invoked affect. Sometimes, affect values demonstrated in "visually inscribed emotion on depicted people" may interact with judgment value, which is triggered by both "depicted and implied people and behavior" (Economou, 2009, p.129).

In other words, depicted human participants and behavior in an image often both express inscribed affect and imply other kinds of attitude which together may evoke certain attitude values in viewers. In Figure 2 below, human participants (the Chinese Premier and leaders, and several elderly women in the quake zone) are shaking hands. This depicted behavior implies sympathy, solidarity and solicitude and interacts with inscribed negative affect [unhappiness] on all people's faces and bodies. In addition, positive judgement [social sanction] targeting in the behaviour of handshaking by Premier Wen (a token of the government) with victims (the common people) is likely to be evoked in viewers.

Figure 2 CAPTION: Premier Wen **visits** SW China quake zone. Chinese Premier Wen Jiabao has **called for** comprehensive consideration to **be given in** the **reconstruction** at the quake-stricken Yingjiang country in southwest China's Yunnan province (from *China Daily*)

This photo thus affords both shared negative affect with victims and positive judgment [social sanction] of politicians in viewers. In this photo, not only is the inscribed negative affect, high force visual graduation in the miserable and agonised facial expressions of the victims arousing sympathy in the viewers, but also the gazing-down eyes of all the participants towards the handshake behavior and the repetition of two handshakes and six hands [high force visual graduation: repetition] draws attention onto the salient interaction (circled white). This evokes admiration for the politician and also implies that the politician and victims are a united force to overcome the difficulties.

In the visual-verbal interaction, though negative affect is explicitly inscribed in images on faces and bodies, no attitudinal evaluation is inscribed in the verbal text. Moreover, positive judgement [social sanction] of the behavior "visit", the main action in verbal text, is realized in the overall setting of the image, Premier Wen, local communities and a blue temporary tent in the backdrop. "Call for a reconstruction" [judgement] in the text not only inscribes the caring of the government [judgement: social sanction], but also evokes the determination [judgement: social esteem] that the Chinese authorities have in mind and confidence [judgement: social esteem] that citizens have in government. All these aspects are involved in the iconic behavior "shaking hands to show affection", which is salient and concise, and the overall effect is achieved by the interaction of negative affect and positive judgement elements.

According to Economou (2009, p.135), appreciation values can also be evoked in viewers by items in the news photos. These can be categorized into three: reaction ('I like it'), valuation ('it is worthwhile), and composition ('it is beautiful'). The most overt targets of evoked appreciation within disaster news photos are non-human elements such as buildings, trees, relics etc. However, sometimes, a human participant, when considered as "an object", can also function as a target of appreciation. The photo of Premier Wen visiting the quake zone in Figure 2 above, which shows both inscribed and provoked judgement and affect values in the earlier analyses, can now be analysed for appreciation. All participants such as *people* and *hands*, and *the handshaking behavior* may thus evoke three kinds of attitude values, positive affect, positive judgment and also positive appreciation [reaction + valuation] of the handshake as a symbol of unity in adversity.

4.2 Engagement in disaster news photos

News photos are mainly monoglossic in that most are presented as a "factual" proposition. However, some of the disaster news photos may be regarded as "marked" photos, as heteroglossic, where there is an "internal authorial voice or external voice/text acknowledged or incorporated" (Economou, 2009, pp. 345-49). Figure 3 is a photo of cherry blossoms among the ruined buildings and an example of heteroglossia.
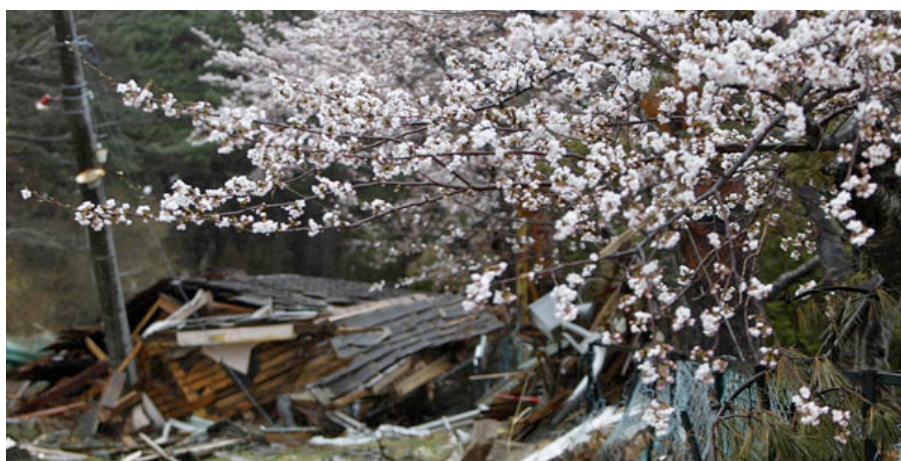

Figure 3 CAPTION: Cherry blossoms **bloom** in Japan disaster zone. Cherry blossoms **in full bloom** are seen at an **area devastated** by the March 11 earthquake and tsunami in Ishinomaki, Miyagi prefecture, April 19, 2011 (from *China Daily*)

The photo portrays a scene in Japan after the earthquake, and the photographer foregrounds the cherry tree in full bloom with **bright** blossoms and backgrounds the ruins and rubble **of buildings** destroyed in the March 11 earthquake and tsunami. The positive appreciation values evoked by the tree reinforce the negative appreciation values evoked by the ruin. The latter is also a token of loss, which may also trigger negative affect in viewers.

In the photo caption of Figure 3, the verbal expression "*in full bloom"* describing the blossoms of a cherry tree can be considered as evoking positive appreciation [reaction], also [composition] and high force graduation. In contrast, another expression *devastated ruins inscribes* a negative appreciation [reaction] + [composition] value, + high force graduation destruction in those areas. Juxtaposing blossoms [positive appreciation] with *devastated ruins* [negative appreciation] achieves an interpersonal meaning, which is not shown in verbal text. In turn, reinforcing this is another contrast, the dark color of *ruined objects* against the *animate objects of* bright colour of pink and white cherry blossoms. The foregrounding of the strong vitality and rejuvenation of cherry tree may symbolize and emphasize the bright future in Japan after the disaster. Metaphorically, the cherry is the symbol of the Japanese, and the

cherry tree in full bloom implies that with the time passing, wound and memories will fade away while the cherry tree will regularly blossom each and every year no matter how severe the weather is. As a whole, this contrast between negative appreciation and positive appreciation in Figure 3 can evoke positive affect [happiness] to viewers.

In addition to attitude evaluation, the photo in Figure 3 is "marked" as its content, for it is not simply a "factual" proposition. The photo can be regarded as heteroglossic, where there is an internal authorial voice which reveals the relation between what is depicted and the viewer, and what the image in the photo (the cherry tree in full bloom with bright blossoms and the devastated ruins of the buildings in the quake zone) is designed to do to the viewer.

4.3 Graduation in disaster news photos

Economou (2009) has discussed visual graduation in terms of force scaled up/down, through quantification (via number, mass and extent), and through intensification (brightness or vividness), as well as the repetition of countable similar visual items; focus as specification in three sub-options, "clarity", "substantiation" and "completion" (Economou, 2009, pp. 178-190). Figure 4 is an example of multiple high force graduation.

Figure 4 CAPTION: Sichuan: Out of disaster comes **hope for** a **brighter future** (from *China Daily*)

The photo shows a group of students and their teacher after the earthquake. In the photo, all the students are *smiling* and *cheering up* with *open mouths* [affect: happiness] toward the camera. Those young people with their facial expressions and body language also evoke positive affect, and the evoked attitude values are likely to position compliant readers/viewers to respond with sympathy and joy.

There are almost thirty students [quantification: number] in the foreground and a volunteer teacher at the center. The up-scale graduation can be seen in the above photo, depicting **students** [force: repetition X 30] from earthquake-stricken area, Sichuan, China. Most of them are holding a picture [force: repetition X 26] drawn by themselves and making a *victory* gesture with two fingers [force: repetition X 20]. The brightness of the visual images with sunshine on their faces [intensification: brightness and vividness] also builds up graduation values, all increasing force of positive affect.

5 Conclusions

This paper has shown how some evaluative meanings are realized in the three disaster news

photos and their captions. Through the analyses, some conclusions are drawn as follows:

Firstly, the three subsystems in the appraisal theory: attitude, graduation and engagement, can be used to analyze not only verbal discourse, but also nonverbal discourse in the interpretation of news photos. The news photos depicting disasters are prominent in expressing attitudinal resources. Unlike factual news reports, where there is little negative affect, more visual affect is both inscribed and evoked in photos. Secondly, evaluative meanings in disaster news photos position readers/viewers in respect to news content, showing a relation between what is depicted and the viewer. Thirdly, some evaluative meanings demonstrated in disaster news photos may not necessarily be shown in their captions and no attitudinal evaluation inscribed in the photos is inscribed in the verbal text beneath the photo. As such, evaluative meanings inscribed or evoked in the photos are richer than those in verbal text.

To sum up, this article has sought to explore ways in which evaluative meanings in news photos and captions may be described using appraisal theory. Due to the limitations in data and analyses, the ananlyses of engagement is not made sufficiently. Further research on this area should be done in the future. Despite this, the paper hopes to make a contribution in applying the framework of appraisal theory to the understanding of visual text.

References

Chen, Y.M. (2010). Exploring dialogic engagement with readers in multimodal EFL textbooks in China. *Visual Communication*, 9 (4), 485- 506.

Economou, D. (2006). The big picture: the role of the lead image in print feature stories. In I. Lassen, J. Strunck and Vestergaard, A. (Eds.), *Mediating Ideology in Text and Image* (pp.211-33). Amsterdam: John Benjamins.

Economou, D. (2009). Photos in the news: appraisal analysis of visual semiosis and verbal-visual intersemiosis (Doctoral thesis, University of Sydney). Retrieved from http://ses.library.usyd.edu.au/handle/2123/5740

Freebody, P. and Zhang Bin, B (2008). The designs of culture, knowledge, and interaction on the reading of language and image. In L. Unsworth (Ed) *New Literacies and the English Curriculum: Multimodal Perspectives*. London: Continuum, pp. 23-46.

Halliday, M. A. K. (2004/1994). *An Introduction to Functional Grammar*. London: Edward Arnold. (2004 third edition revised by C. M. I. M. Matthiessen).

Hock, M. E. and Kendrick, M. R. (Eds) (2003). *Eloquent Images: Word and Image in the Age of New Media*. Cambridge, MA: MIT Press.

Hood, S. and Martin, J.R. (2007). Invoking attitude: the play of graduation in appraisal discourse. In J. Webster, C. Matthiessen and R. Hasan (Eds.), *Continuing Discourse on Language* (pp. 739- 64). London: Equinox.

Kress, G. and van Leeuwen, T. J. (2001). *Multimodal Discourse.* London: Arnold.

Martin, J. R. (2000). Beyond exchange: appraisal systems in English. S. Hunston & G.. Thompson. *Evaluation in Text: Authorial Stance and the Construction of Discourse*. Oxford: Oxford University Press.

Martin, J. R. & Rose, D. (2007). *Working with Discourse: Meaning Beyond the Clause.* London: Continuum.

Martin, J. R. & White, P. R. R. (2005). *The Language of Evaluation: Appraisal in English.* London: Palgrave.

Martinec, R. (2005). A system for image-text relations in new (and old) media. *Visual Communication*, 4 (3), 337- 71.

White, P. R.R. (2006). Evaluative semantics and ideological positioning in journalistic discourse: a new framework for analysis. In I. Lassen, J. Strunck and A. Vestergaard (Eds.), *Mediating Ideology in Text and Image* (pp.69-96). Amsterdam: John Benjamins.

Visual discourse systems of Identification and Taxonomic Relations in Grimm's fairytales

XIE Nini

Department of Foreign Languages and Literatures, Tsinghua University
Haidian District, Beijing 100084, P.R. China
xiejueying@126.com

Abstract

Compared with image-text relations at the level of grammar, image-text relations at the discourse level have been little explored, which may be due to the disproportion of rich studies on verbal systems of the discourse semantic stratum (Martin 1992, 2003) compared to scarce ones on their visual counterparts (Lim 2007). This study aims to examine two of those visual discourse semantic systems, i.e., visual identification and taxonomic relations. It first extends Lim's (2007) visual systems by including Co-extending, Symbolic and Intertextual relations within VISUAL TAXONOMY, and by distinguishing Long-, Medium-, Short-distance Visual Chain and Framing Chain within VISUAL REFERENCE. Afterwards, the newly proposed concepts are employed in the analysis of *Fisherman and His Wife*, one of Grimm's fairytales. The analysis shows that these concepts provide better meta-language to describe visual items in a sequence of images in illustrated fairytales, and enables a better understanding of the meaning made in fairytales.

1   Introduction

Image-text relations have been investigated by analogy to text-forming resources of language, such as information structure (Kress & van Leeuwen 1996), cohesion (Royce 1998), logico-semantics (Martinec & Salway 2005), transitivity (Cheong 2004), rhetorical structure theory (Bateman 2008), and discourse-based logical relations (Liu & O'Halloran 2009). However, as Kress (2000) points out "[I]mage is founded on the logic of display in space; writing (and speech even more so) is founded on the logic of succession in time", image and text are different from each other; these intramode-oriented studies failed to treat them as distinct semiotic codes. Painter & Martin (2011) have pointed out that inter-modality and intramodal texturing are different in kind, and they have built up complementary semantic systems across image and language to explore image-text relations. Nevertheless, their analysis was page-based, focusing on images which stand alone. This study, as part of a project on image-text relations on the discourse level, aims to examine how illustrated images in fairytales present participants through identification and taxonomic relations. It first extends Lim's (2007) visual systems by including Co-extending, Symbolic and Intertextual relations within VISUAL TAXONOMY[32], and by distinguishing Long-, Medium-, Short-distance Visual Chain and Framing Chain within VISUAL REFERENCE. Afterwards, *Fisherman and His Wife* (hereafter *FHW*), one of Grimm's well-known fairytales, is analyzed with reference to the newly proposed concepts, to show how they could be applied in multimodal analysis.

2   Identification and Taxonomic Relations in Image

Based on Halliday & Hasan's (1976) cohesion theory, Martin (1992) developed discourse semantics, and proposed that text is structured metafunctionally through the systems of IDEATION, NEGOTIATION, IDENTIFICATION and CONJUNCTION. Lim (2007: 195-213)

---

[32] Following systemic functional linguistics' convention, TERMS in small caps are names of system.

argued that all the four systems have counterparts on the visual semantics stratum. The two systems of the current study's concern are summarized in Table 1.

Metafunction	Discourse Systems	Visual Systems
Ideational	IDEATION: Taxonomic Relations: Superordination and Composition Nuclear and Activity Relations	VISUAL TAXONOMY: Associating Element
Textual	IDENTIFICATION: Phoricity Reference chains	VISUAL REFERENCE: Visual Linking Device

Table 1: Systems on the Discourse Semantics Stratum (adopted from Lim 2007: 200)

According to him, VISUAL TAXONOMY is the visual counterpart of IDEATION, which includes taxonomic relations, nuclear relations, and activity relations. It operates through the recurrence of the Associated Element (AE), which manifests a pictorial whole-part relationship with a larger object, an abstract idea or concept. VISUAL REFERENCE is corresponding to IDENTIFICATION and is concerned with tracking participants in a discourse. In images, the reference chain is realized by Visual Linking Device (VLD), the recurrence of which functions textually to create cohesion. A common VLD is the depiction of the main character of the narrative.

Lim (2007) skillfully drew an analogy between verbal systems and visual systems on the discourse stratum. However, he only made a list of visual systems corresponding to verbal systems. Except the system of visual taxis, he did not provide detailed discussions on the other systems, for example, what elements in pictures can be AEs. Since words and images are two distinct semiotic codes, they have their own characteristics. Through analyzing 52 Grimm's fairytales, the author proposes extending Lim's (2007) visual systems by including Co-extending, Symbolic and Intertextual relations within VISUAL TAXONOMY, and by distinguishing Long-, Medium-, Short-distance Visual Chain and Framing Chain within VISUAL REFERENCE (see Table 2).

Metafunction	Discourse Systems	Visual Systems

Ideational	IDEATION:
	 Taxonomic Relations: Superordination and Composition
		VISUAL TAXONOMY:
		 Visual string:
		     Co-extending
		     Symbolic
		     Intertextual

Textual	IDENTIFICATION:
	 Reference Chains
		VISUAL REFERENCE:
		 Visual Chain:
		     Long-distance
		     Medium-distance
		     Short-distance
		 Frame Chain

Table 2: Systems on VISUAL TAXONOMY AND VISUAL REFERENCE

Co-extending refers to the composition and superordination relations in a series of pictures, the two main taxonomic relations proposed in Martin (1992: 294-295). The more Co-extending relations pictures present, the richer ideational meanings they convey. Symbolic, similar to Kress and van Leeuwen's (1996: 108) Symbolic Suggestive Process, is about what a participant implies. Symbolic relation indicates implicit ideational meanings as opposed to the explicit ideational meaning of Co-extending. Likewise, Intertextual relation expresses implicit ideational meaning, and is concerned with the situation in which one

participant in an illustrated fairytale may remind us of another similar participant in another text. Additionally, these resources of Visual String can also function as the resources of Visual Chain, building up cohesion among a series of pictures, as Lim (2007: 202) held that an AE can also be used to connect a sequence of pictures and operates in tandem with VLD.

According to the distance between the referencing item and the referred item in a verbal text, the cohesive tie can be long, medium or short (Zhang 2001). Visual Chain also varies with the distance between the presenting participant and the presumed participant in pictures. Short-distance Visual Chain connects two adjacent pictures, Medium-distance Visual Chain links two pictures with at least one picture as an interval between them, and Long-distance Visual Chain joins two pictures with a longer interval. These different types of visual chains all formulate a textual connection in a sequence of images.

Framing was initially regarded as the presence or absence of devices (such as elements which create dividing lines, or actual frame lines) for connecting or disconnecting parts of pictures (Kress & van Leeuwen, 1996: 183) and between text and image (van Leeuwen 2005:7-12). Painter, Martin & Unsworth (2011) have written a textual system of framing in picture books. Similar to visual participants, framing devices can also function to build up a cohesive link. It is referred to as Framing Chain in this study. In addition, the above two visual systems also convey interpersonal meanings, which can enhance reading delight.
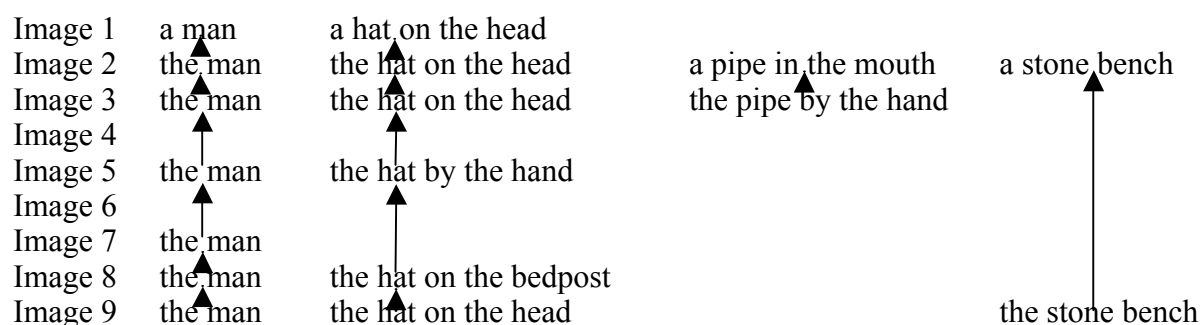
3   Analysis of *Fishman and His Wife*

3.1   Visual Reference: Visual Chain and Framing Chain

There are nine pictures in *FHW* (see Appendix) and they are connected not only by the main character of the "fisherman" but also by some minor participants like a "hat", a "pipe" and a "bench", which formulate several visual chains (see Figure 1). The fisherman is tracked in all the images except Image 4 and Image 6, which either depicts a "woman" sitting on a throne or on a "fish", another two characters in *FHW*. The hat chain appears in the same images as the fisherman chain except Image 7. The hat, on the head, by his hand or on the bedpost, is like a seal of the man, identifying him as the same person in each picture. These two chains play significant roles in demonstrating the images as cohesive ones. In addition, the fisherman is taking a puff of his pipe in Image 2, and holding his pipe by his left hand in Image 3; a woman and a man are sitting on a stone bench in Image 2 and Image 9. The pipe chain and the stone bench chain also contribute to the cohesiveness of the images no matter how far the two images along the chains are. Most of the chains concerning the man and the hat and the pipe chain are Short-distance Visual Chains. The man chain between Image 3 and Image 5 and between Image 5 and Image 7, and the hat chain between Image 3 and Image 5 and between Image 5 and Image 8 belong to Medium-distance Visual Chain. The stone bench chain between Image 2 and Image 9 shows an example of Long-distance Visual Chain. The short or medium distance means close connection and the long distance indicates loose connection, but they all help build up the unity of the pictures. Additionally, these visual chains also construe rich interpersonal meanings by engaging viewers/readers, and convey explicit or implicit ideational meanings.

According to Painter et al.'s (2011) framing system, the frames of the nine pictures in *FHW* can be described variously. For instance, Image 1 can be described as [bound: textual] as the frame of the picture is shaped by frame lines. Image 9 is [bound: ideational], overlapped by the outline of the vinegar jug. The frame of each picture also functions like the visual participant of the "man" to connect the nine pictures. Meanwhile, they also express interpersonal meaning as well as the ideational meaning, as Adams (2005: 13-17) pointed out

that lines and shapes can be used by artists to convey ideas and emotions. For example, a square is a symbol of reliability and stability; as a result, the frame of Image 1, structured by straight lines, either vertical or horizontal, expresses a stable feeling.

Image 1   a man   a hat on the head
Image 2   the man   the hat on the head   a pipe in the mouth   a stone bench
Image 3   the man   the hat on the head   the pipe by the hand
Image 4
Image 5   the man   the hat by the hand
Image 6
Image 7   the man
Image 8   the man   the hat on the bedpost
Image 9   the man   the hat on the head   the stone bench

Figure 1: Visual Chain in *FHW*

3.2 Visual Taxonomic Relations: Visual String

The taxonomic relations in the illustrated fairytale of *FHW* can be classified into three categories: Co-extending, Symbolic and Intertextual (see Figure 2). The different women along the "woman" string across the pictures present a Co-extending relation. Each woman is depicted to have a different life condition and a different social status also. The "bench" string, the "smoke" string, the "candle" string and the "clothes" string present a Co-extending relation. Co-extending conveys explicit ideational meaning. Symbolic and Intertextual indicate more implicit ideational meaning. The "flower" string is rich in the Symbolic relations, and linked up by the Symbolic "flowers on the carpet" and a "garland" in Image 3 and Image 5 and the Co-extending "a chrysanthemum flower" and "cup-shaped flowers" in Image1 and Image 2. The participants of "a chrysanthemum flower" and "cup-shaped flowers" show the tranquil life, but the "flowers on the carpet" and a "garland" imply the illusion of vain life. The "fish" string, consisting of all the three types of taxonomic relations, is special for the Intertextual relation. It is presented by the "mermaid" on the tapestry in Image 3 which is associated with the little sea maid in one of Andersen's fairytales[33]. The Intertextual indicates that what the couple pursued may be a vain attempt and all the splendor they obtained disappeared like beautiful and transient bubbles. In addition, the Symbolic "a fish on the stool" in Image 3 and "fish pattern" in Image 8 along the fish string forecasted the return of the fishing life in the end.

The pictures are connected through the collaboration of the visual relations. In *FHW*, they work together to demonstrate that the enchanted fish intended to satisfy the fisherman and his wife with only one wish, instead of several wishes, from the very beginning. Everything seemed to be controlled by the fish.

There are four pieces of evidence showing that the life as depicted in Image 2 is what the fish intended to grant the couple. Firstly, the Symbolic Carrier "the flower pattern" on the carpet in Image 3 implies the start of the illusion. Secondly, the little sea maid on the tapestry in Image 3 intertextually forecasts the illusion of their pursuit. Thirdly, the Co-extending relation between the wood bench in Image 1 and the stone bench in Image 2 presents the change from the fishing life to the farming life. However, the fisherman and his wife's bulging desire drove them to hunt for more. They did not recognize that they were destined for having only one wish to be satisfied. They would have had a better life like the one in Image 2, but they lost it because of their greed. The Visual Chain between the stone benches

---

[33] The little sea maid. In *The Complete Illustrated Stories of Hans Christian Andersen* (pp. 543-559), translated by H. W. Dulcken, PH.D.. 1983. London: Chancellor Press.

in Image 2 and Image 9 once again reveals the intention of the enchanted fish. After it was enraged by the couple's greed, it let them go back to their vinegar jug in Image 9. But the fact that the stone bench in Image 9 is linked to the stone bench in Image 2 instead of the wood bench in Image 1 exhibits the fish's intention of reminding the couple of something. Finally, the Framing Chain also shows no return of the original life of the couple. They are depicted within the shape of the jug, which seems to indicate they lost something that they originally owned. The nine pictures in *FHW* are linked up through different types of visual relations to construe visual narratives.

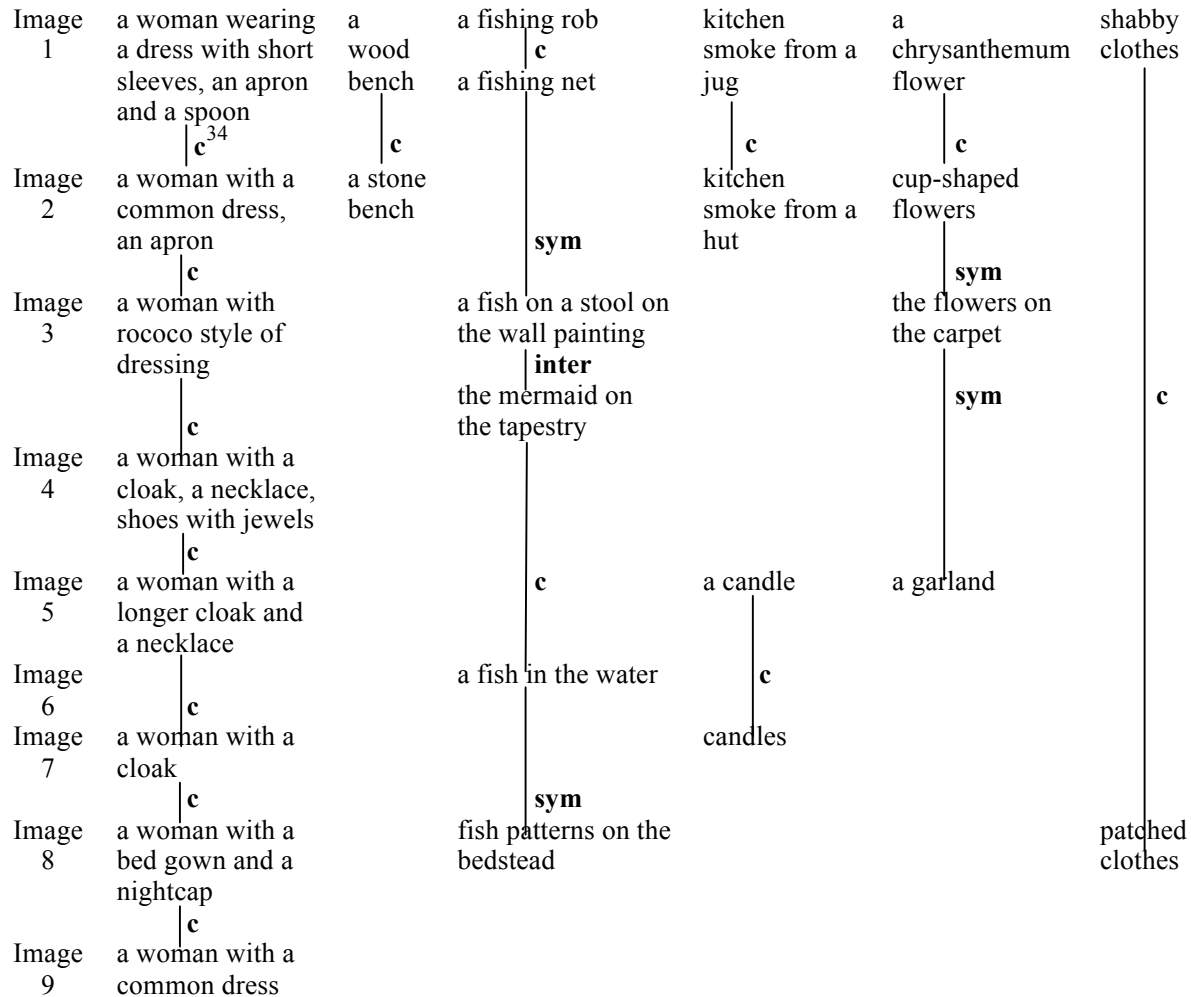|						
Image 1	a woman wearing a dress with short sleeves, an apron and a spoon	a wood bench	a fishing rob a fishing net	kitchen smoke from a jug	a chrysanthemum flower	shabby clothes
	c[34]	c	c		c	
Image 2	a woman with a common dress, an apron	a stone bench		kitchen smoke from a hut	cup-shaped flowers	
	c		sym		sym	
Image 3	a woman with rococo style of dressing		a fish on a stool on the wall painting inter the mermaid on the tapestry		the flowers on the carpet sym	c
	c					
Image 4	a woman with a cloak, a necklace, shoes with jewels					
	c					
Image 5	a woman with a longer cloak and a necklace		c	a candle	a garland	
Image 6			a fish in the water	c		
	c					
Image 7	a woman with a cloak			candles		
	c		sym			
Image 8	a woman with a bed gown and a nightcap		fish patterns on the bedstead			patched clothes
	c					
Image 9	a woman with a common dress					

Figure 2: Visual String in *FHW*

4 Conclusion

The study extends Lim's (2007) visual systems on the discourse semantic stratum by including Co-extending, Symbolic, and Intertextual relations within the system of VISUAL TAXONOMY, and by distinguishing Long-, Medium-, Short-distance Visual Chains within the system of VISUAL REFERENCE. These newly proposed concepts provide better meta-language to describe the visual items in a sequence of pictures. The analysis of *FHW* shows that they help us obtain a better understanding of illustrated fairytales. Furthermore, the two extended visual discourse semantics systems lay foundation for the exploration of image-text relations on the discourse stratum.

---

[34] **C**, **sym** and **inter** are short for Co-extending, Symbolic, and Intertextual relations respectively.

References

Bateman, J. A. (2008). *Multimodality and genre: A foundation for the systematic analysis of multimodal documents.* New York: Palgrave Macmillan.

Cheong, Y. Y. (2004). The construal of ideational meaning in print advertisements. In K. L. O'Halloran (Ed.), *Multimodal discourse analysis: Systemic-functional perspectives* (pp. 163-195). London: Continuum.

Halliday, M. A. K. (1994). *An introduction to functional grammar* (2nd ed.). London: Arnold.

Halliday, M. A. K., & Hasan, R. (1976). *Cohesion in English*. London: Longman.

Kress, G., & van Leeuwen, T. (1996). *Reading images: The grammar of visual design*. London: Routledge.

Lemke, J. (1998). Multiplying meaning: Visual and verbal semiotics in scientific text. In J. R. Martin, & R. Veel (Eds.), *Reading science: Critical and functional perspectives on discourses of science* (pp. 87-113). London: Routledge.

Lim, F. V. (2007). The visual semantics stratum: Making meaning in sequential images. In T. D. Royce, & W. L. Bowcher (Eds.), *New directions in the analysis of multimodal discourse* (pp. 195-213). New Jersey: Lawrence Erlbaum Associates.

Liu, Y., & O'Halloran, K. L. (2009). Intersemiotic texture: Analyzing cohesive devices between language and images. *Social Semiotics 19* (4), 367-388.

Martin, J. R. (1992). *English text: System and structure*. Amsterdam/Philadelphia: John Benjamins.

Martin, J. R., & Rose, D. (2003). *Working with discourse: Meaning beyond the clause*. London: Continuum.

Martinec, R., & Salway, A. (2005). A system for image-text relations in new (and old) media. *Visual Communication 4* (3), 337-371.

Painter, C., & Martin, J. R. (2011). Intermodal complementarity: Modelling affordances across image and verbiage in children's picture books. In Fang Yan (Ed.), *Studies in Functional Linguistics and Discourse Analysis 3* (pp.132-158). Beijing: Higher Education Press.

Painter, C., Martin, J. R., & Unsworth, L. (2011). Organising visual meaning: FRAMING and BALANCE in picture book images. In S. Dreyfus, S. Hood, & M. Stenglin (Eds.), *Semiotic margins: Meaning in multimodalities* (pp. 125-143). London & New York: Continumm.

Rimmon-Kenan, S. (1983). *Narrative fiction: Contemporary poetics*. London: Methuen.

Royce, T. (1998). Synergy on the page: Exploring intersemiotic complementarity in page-based multimodal text. In N. Yamaguchi, & W. Bowche (Eds.), *JASFL occasional papers 1* (1), 25-49.

Zhang, D. (2001). Force of cohesion and degrees of coherence. *Foreign Language and Their Teaching* (1), 9-15.
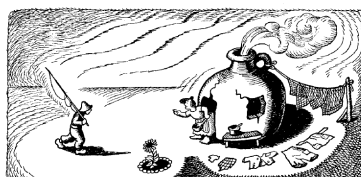
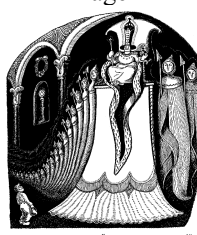# Appendix: Nine Illustrations in *FHW*
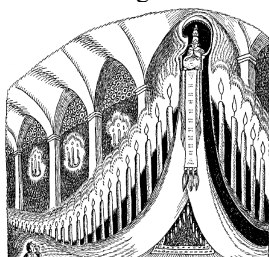

Image 1

Image 2

Image 3

Image 4

Image 5

Image 6

Image 7

Image 8

Image 9

Towards developing a framework for analysing tourist site entry tickets in an ecosocial environment

Jennifer Yameng Liang

Sun Yat-sen University
No. 135 Xingangxi Road, Guangzhou, 510275, China
l.jennifer.w@gmail.com

Reality consists of meanings, and the fact that meanings are essentially indeterminate and unbounded is what gives rise to that strand in human thought – philosophical, religious, scientific – in which the emphasis is on the dynamic, wavelike aspect of reality, its constant restructuring, its periodicity without recurrence, its continuity in time and space. (Halliday 1978: 139)

Abstract

Based on a database of 300 entry tickets purchased from tourist sites in mainland China since the 1980s, this paper raises issues important for developing a framework for analysing tourist site entry tickets in an ecosocial environment. The concept of "ecosocial environment" is concerned with the complexity and dynamics of open, self-organising systems. These systems include both material-physical and semiotic-discursive processes and practices that are tightly linked and interdependently cross-coupled.

Tourism activities embody tight linkages and strong interdependence which are established by artefacts such as tourist site entry tickets. As a type of multimodal ensemble, entry tickets employ linguistic, non-verbal and verbal-pictorial resources to construe certain kinds of meanings. This paper is a further extension of Bowcher and Liang (in press) which discusses two types of intersemiotic cohesive relations realised in tourist site entry tickets that are relevant to working towards a generalised analytical framework, i.e. one that can be applied to the analysis of other semiotic artefacts.

This paper starts by problematizing the purposes of the study and then provides a brief overview of the concept of "ecosocial environment". It then moves on to apply a key notion in ecosocial environment, the "semodynamic cycle", to describe the dynamics of tourist site entry tickets in a developmental trajectory. With such an awareness of the dynamic complexities of meaning making, this paper concludes by presenting a tentative analytical framework as well as key issues to be addressed for developing this framework in future study.

1 Purposes of this Study

This paper is about the meaning of tourist site entry tickets in an ecosocial environment. As a key artefact in tourism activities, tourist site entry tickets construe a variety of meanings: from authorising the visitor's entry to providing a synopsis of the site and even to becoming a collector's item. In realising these meanings, coherence is established by cohesive ties between the visual and verbal aspects of the text itself (the internal cohesion) and also through the semantic links between the ticket and its contexts of use (the extended cohesion; see Bowcher and Liang in press). The internal cohesion, also known as intersemiotic complementarity (e.g. Royce 2007), is semantically realised through a series of cohesive devices. For example, repetition, synonymy, antonymy, hyponymy, meronymy, and collocation are the devices for ideational intersemiotic complementarity. The extended cohesion is construed through an integration of the multimodal semiotic artefact with the material-physical and semiotic-discursive practices in its ecosocial environment. For instance, there might be a relation of synonymy or meronymy between the maps on the tickets and the signage at the site.

The present study further extends the discussion on internal and extended cohesion by presenting a tentative analytical model and highlighting key issues important in extending

this framework to the analysis of other semiotic artefacts in the ecosocial environment in which they are located.

2   What is "Ecosocial Environment"?

The concept of "ecosocial environment" arises out of a concern for studying meaning-making activities in a material-physical environment. It was first proposed by Lemke (e.g. 1993, 1995, 2000). Its use in Systemic Functional Linguistics (SFL) has been further developed by researchers such as Thibault (e.g. 2004). The concept owes its theoretical inspirations to Bakhtin's view of heteroglossia (e.g. Bahktin 1986), Halliday and Bernstein's register and code theory (e.g. Halliday 1978), Foucault's archaeological view on knowledge (e.g. Foucault 1969), and Bourdieu's theory for complex social phenomena, the theory of social habitus (e.g. Bourdieu 1972). Based on these ideas, the concept of "ecosocial environment" thereby aims at accounting for the complexities and dynamics of the world around us.

2.1   Why Use the Concept of "Ecosocial Environment"?

With regard to tourism practices and to touristic artefacts and their relations with their environments of use, Thurlow and Jaworski (e.g. 2010) have proposed the concept of "banal globalisation". This concept attempts to account for the discursive and material practices in the global reach of tourism. Thurlow and Jaworski's work has provided useful insights into understanding the semiotics of tourism. However, the present study does not aim to confine the analytical framework to a local vs. global perspective. Rather it aims to account for the relations between specific semiotic artefacts, in this case, tourist site entry tickets and a grander social reality which transcends national boundaries to a much higher level of ecosocial environment. Therefore, the notion of "ecosocial environment" is invoked to more comprehensively account for the cultural dynamics and complexities of meaning making in semiotic artefacts using tourist site entry tickets as an exemplar type.

2.2   What systems are within the Ecosocial Environment?

"Ecosocial system" is the umbrella term for systems within the ecosocial environment. It is the most complex, dynamic, self-organising system in a "specification hierarchy" (a concept developed by Salthe, a theoretical biologist; e.g. Salthe 1985). It includes the following four types of systems and these systems are not just systems of beings but also systems of doings (Lemke 1993: 263; my emphasis):

1. human organisms and their *interactions* with each other;
2. all the material elements which *act* on, in, and through humans and which humans *act* on, in, and through;
3. all the other species with which we are *co-dependent* and with which we have *co-evolved*;
4. webs of *interdependent* organisms and material and energy *flows*.

 Systems of these kinds fall into two general categories: human social communities and material ecosystems. As material ecosystems in the first place, human social communities are further bestowed with the power to make meanings, and these meanings in turn exert an impact on the material ecosystems. Thus, human social communities and material ecosystems are in a dialectic relation and bring forth a unitary ecosocial dynamics characteristic of both. That is, on the one hand, the ecosocial system is "enable[d], support[ed] and constrain[ed]" by material ecosystems; on the other hand, it is also "biased, constrained and *organized*, in part in accordance with [the] cultural meanings and values" of "the material interactions of its elements" (Lemke 1995: 119 italics in original). Therefore, ecosocial systems are governed

by an organisation principle that is both in "the specifically culturally, semiotically mediated portions of, and in the rest of their material-ecophysical dynamics" (Lemke 1995: 119).

In taking into consideration both material ecosystems and human social communities, we find both physical-material and semiotic-discursive practices and processes. Inevitably, some activities take place here-and-now and others are situated at "larger-than-human, greater-than-here-and-now time scales" (Lemke 2000: 191). To take tourism for example, touristic artefacts may include the natural landscape which takes thousands of millions of years to acquire its geographical appearance, man-made structures with hundreds of years' history, and activities of touring which normally take a relatively shorter time span. Therefore, by representing the trajectory of touristic artefacts and studying their meanings in relation to other systems and processes across spatial-temporal scales we can unravel the "condensation of the histories and processes" (Lemke 2000: 192).

Of relevance to this study is Thibault's (2004) analysis of a solo performance of a six-year-old girl. Here Thibault makes an acute observation of the activities taking place across different space-time scales and how that affects the distribution of participant roles in the experiential space-time of the activity. His analysis also reveals how textbooks as a type of multimodal material artefact reconstitute material processes (sound events) by a range of semiotic resources. This fits with Lemke's concept of "heterochrony" where "longer-term processes and shorter-term events [are] linked by a material object that functions in both cases semiotically as well as materially" (2000: 281). In a similar vein to Thibault's study, the present research focuses on a specific type of multimodal text, tourist site entry tickets which employ linguistic, non-verbal (photographs, drawings, maps, etc) as well as verbal-pictorial features (Bowcher in press) such as calligraphic writing. In the next section, the dynamics of entry tickets which realise heterochrony are explicated in terms of the tickets' developmental trajectory.

3   The Developmental Trajectory of Tourist Site Entry Tickets

There is no doubt that tourism activities display a tight linkage between material ecological processes and semiotic-discursive practices and thereby take place within an ecosocial environment. One touristic artefact realising this kind of cross-coupling is a tourist site entry ticket. A glimpse at the developmental trajectory of an entry ticket reveals a "semodynamic cycle" in which "new distinctions of meaning, new resources and new formations are continuously created and destroyed, all as part of the total material-semiotic dynamics of the ecosocial system" (Lemke 1995: 123). The semodynamic cycle of a tourist site entry ticket can be described by means of Kress and van Leeuwen's (2001) "stratification" model for meaning making in multimodal texts, that is, meanings are manifest at every stratum: discourse, design, production, and distribution.

In the first place, when regular patterns of processes and practices occur repeatedly, they form what is known as "semiotic formations" (Lemke 1995: 102, 105). Tourism, like any other discursive action, involves a multiplicity of patterned processes and practices. Entry tickets as part of this semiotic formation serve a range of roles associated with tourism, such as entry license, tourist guide and the like. In turn, these abstract roles require a material artefact to make them happen. Design, for instance, is a transitional stage. Bowcher and Liang's (in press) interview with the administrative office of the site, Juyongguan at the Great Wall, reveals that design is a collaborative effort of the tourist site, the designer(s), and the taxation bureau. In meeting the range of needs which are economic, aesthetic, managerial, etc, entry tickets must meet certain standards and employ a variety of semiotic systems,

verbal, non-verbal, and verbal-pictorial. These systems work in a concerted effort to "semiotically re-constitut[e]" (Thibault 2004: 140) entities and events that take place in a material ecosystem.

Design, in its conceptual or digital form, is materialised in the next stage by production and may be recoded or reproduced in distribution for various purposes. At the production stratum, paper, plastic cards, or even compact disks are chosen as the material "vehicles", with the new forms still emerging. Design of the ticket is either painted or printed on to this material "vehicle". Its size is carefully chosen so that it is convenient for the visitor to carry and for the site officials, or other types of validating apparatus, to check. Typically, the quality of the material "vehicle" is such that it does not get torn easily. Moreover, the tickets are often printed in a way that images dominate one side and language dominates the other side. These features are often made possible by the inherent qualities of the material used. They express the material-semiotic affordances of this specific artefact. Last but not least, since tickets are often just physically relocated from the printing press to the tourist site, few new meanings are created at the level of distribution.

Once the distribution level finishes, certain meaning-making processes come to an end while others commence. That is, when entry tickets are purchased and distributed to the hands of visitors, some meanings are inhibited while others are created and added and the semodynamic cycle thereby expands. For instance, after the ticket is purchased, its function of being a licence is activated. For those which have a description or a map of the site, they have a representing or even a directing function to perform. After the touring activity is finished, the licensing, representing and directing aspects of the ticket terminate and the ticket may either be discarded or kept by the visitor with the potential to become a collector's item. These material-physical and semiotic-discursive practices and processes bring forth a constant expansion of the semodynamic cycle. Meanings are dynamically created, activated or inhibited due to the change of context. Therefore, in order to arrive at a relatively comprehensive analysis, we need to locate the meaning making of tourist site entry tickets along their developmental trajectory and take into consideration the dynamic processes and practices in the semodynamic cycles.

In the next section, a tentative model is presented for analysing the meaning making of tourist site entry tickets in an ecosocial environment. Meanwhile, key issues are also proposed and discussed with a relevance to extending this particular framework for entry tickets to more generalised semiotic artefacts. These issues are informed by SFL theory and owe a great debt to Kress and van Leeuwen's (2001) "stratification" model for multimodal texts, Thibault's (2004) research on a multimodal text in the ecosocial environment, and to Bowcher and Liang's work (in press) on internal and extended cohesion.

4   Towards Developing a Comprehensive Analytical Framework

◆   *Semiotic Artefacts as Texts*

From an SFL point of view, text is considered a "semantic unit" (Halliday 1985: 10). Semiotic artefacts as meaningful units can thereby be viewed as texts. Like any other text, semiotic artefacts are also a process and a product at the same time. This dynamic view on text can be represented through an instantiation cline. Situated at the two ends are potential, the system, and instance, the text. The instantiation cline can be applied to all systems of order: physical, biological, social, and semiotic (e.g. Halliday and Webster 2009: 233). Thus, a semiotic artefact that involves at least one of the above systems also follows such an

instantiation cline. At one end, "potential" is what an artefact can mean. In this regard, Kress and van Leeuwen's (2001) "stratification" model is useful for exploring the meaning repertoire of multimodal semiotic artefacts: discourse, design, production as well as distribution. After a "movement through the network of meaning potential" (Halliday 1985: 10), we arrive at the other end of the cline, the actual artefact. Thus, by viewing semiotic artefacts as a dynamic process as well as an instance, we can more fully understand the nature of meaning making by semiotic artefacts in a dynamic ecosocial environment.

◆ *Choices in System Networks*

Considering that choices are constantly being made along the developmental trajectory of tourist site entry tickets, we thus need a dynamic framework to model the change of meanings. From within the domain of SFL, numerous studies have been done in this regard (e.g. O'Donnell 1987 in the form of system networks; Ventola 1987 in the form of flowcharts). In the tentative model (Figure 1), system networks are chosen to dynamically track and locate the "constituent activities" (Thibault 2004) that are relevant to the meaning making of tourist site entry tickets in the ecosocial environment. However, it still needs further research to test and to improve the framework in order to enhance its capability of dynamic modelling.
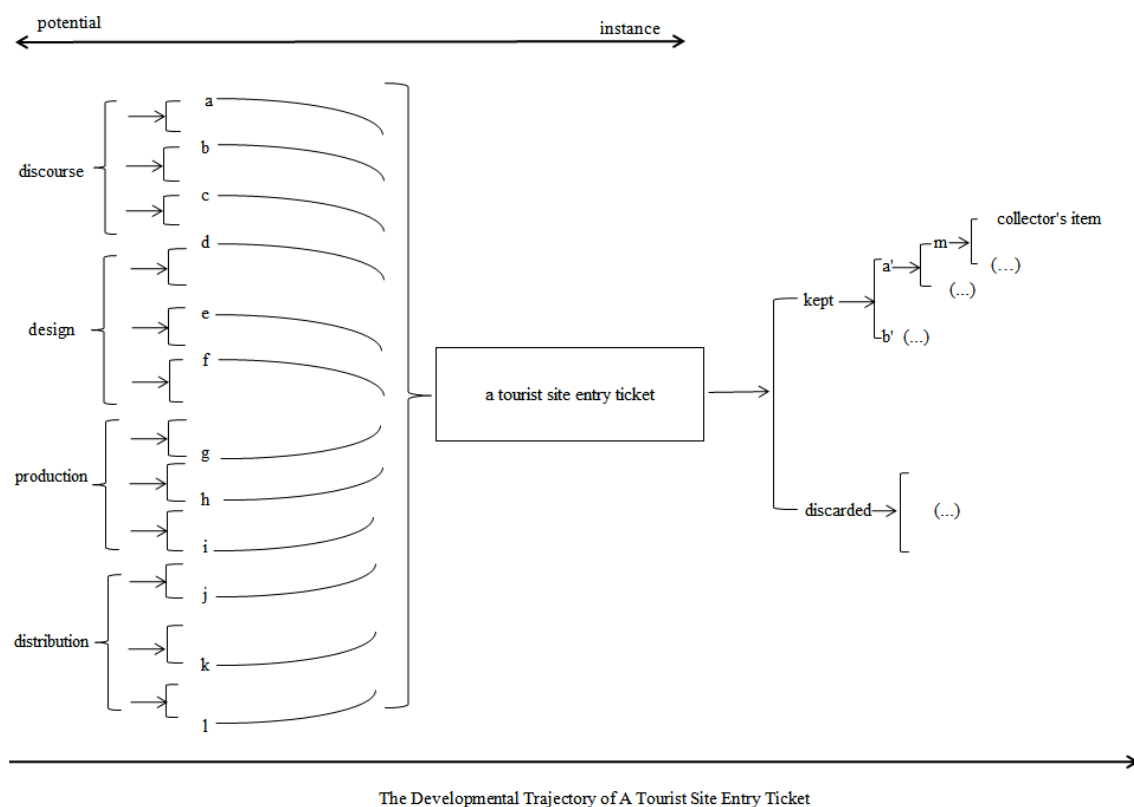

Figure 1: A tentative analytical framework for a tourist site entry ticket (I am grateful to Wendy L. Bowcher for proposing the structure of the framework used in this paper and also as a key part of my Ph.D. project)

◆ *Devices for Realising Cohesive Relations*

Although Figure 1 is only presented as a linear progression along the developmental trajectory, it is expected that relations among constituent activities as well as among all systems of order can also be shown in this model. Previous studies on cohesive devices (e.g.

Halliday and Hasan 1976; Royce 2007; Bowcher and Liang in press) are thus drawn on in order to fully account for the material-semiotic integration. Yet, in order for a deeper understanding of the mechanisms behind the dynamic meaning making, more effort is to be made in terms of incorporating into the framework the types of relations among systems of all kinds.

5   Conclusion

This paper applies the concept of "ecosocial environment" and uses tourist site entry tickets as exemplar to discuss the complex nature of meaning making by semiotic artefacts. It is found that in analysing their meaning-making processes and practices, semiotic artefacts are in a constant and dialectal relation with other material-physical and semiotic-discursive practices in the environment. This paper presents a preliminary model and some key issues for analysing tourist site entry tickets along their developmental trajectory. However, bearing in mind the key issues proposed, more research needs to be done in terms of extending the current model to be applicable for analysing a range of semiotic artefacts in an ecosocial environment.

References

Bahktin, M. (1986). *Speech Genres and Other Late Essays*. Austin, TX: University of Texas Press.

Bourdieu, P. (1972). *Outline of a Theory of Practice*. Cambridge: Cambridge University Press.

Bowcher, W. L. (in press). Multimodality in Japanese Anti-war Placards. In W. Bowcher (Ed.) *Multimodal Texts from Around the World: Cultural and Linguistic Insights*. Basingstoke, NH: Palgrave Macmillan.

Bowcher, W. L., & Liang, J. Y. (in press). Chinese Tourist Site Entry Tickets: Intersemiotic Complementarity in an Ecosocial Environment. *Social Semiotics*.

Foucault, M. (1969). *The Archaeology of Knowledge*. New York: Random House.

Halliday, M. A. K. (1978). *Language as Social Semiotic: The Social Interpretation of Language and Meaning*. London: Arnold.

Halliday, M. A. K. (1985). *Language, Context and Text: Aspects of Language in a Socio-semiotic Perspective* (Part A). Geelong, Vic.: Deakin University Press.

Halliday, M. A. K., & Hasan, R. (1976). *Cohesion in English*. London: Longman.

Halliday, M. A. K., & Webster, J. J. (Eds.) (2009) *Continuum Companion to Systemic Functional Linguistics*. London and New York: Continuum.

Kress, G., & van Leeuwen, T. (2001). *Multimodal Discourse: The Modes and Media of Contemporary Communication*. London: Arnold. New York: Oxford University Press.

Lemke, J. L. (1993). Discourse, Dynamics, and Social Change. *Cultural Dynamics*, 6, 243-275.

Lemke, J. L. (1995). *Textual Politics: Discourse and Social Dynamics*. London and Bristol: Taylor & Francis Ltd.

Lemke, J. L. (2000). Material Sign Processes and Emergent Ecosocial Organization. Revised chapter for P. B. Andersen et al. (Eds.), *Downward Causation: Minds, Bodies, and Matter* (pp. 181–213). Aarhus, Denmark: Aarhus University Press.

O'Donnell, M. (1987). *A Dynamic Systemic Representation of Exchange Structure*. Dept. of Linguistics, University of Sydney: Mimeo.

Royce, T. (2007). Intersemiotic Complementarity: A Framework for Multimodal Discourse Analysis. In T. Royce & W. Bowcher (Eds.), *New Directions in the Analysis of Multimodal Discourse* (pp. 63-109). Mahwah, NJ: Lawrence Erlbaum and Associates.

Salthe, S. (1985). *Evolving Hierarchical Systems*. New York: Columbia University Press.

Thibault, P. (2004). *Agency and Consciousness in Discourse*. London and New York: Continuum.

Thurlow, C., & Jaworski, A. (2010). *Tourism Discourse: Language and Global Mobility*. Basingstoke, NH: Palgrave Macmillan.

Ventola, E. (1987). *The Structure of Social Interaction: A Systemic Approach to the Semiotics of Service Encounter Interaction*. London: Pinter.

Spatial Engagement: Grammaticalising 'voice' in exhibition space

Robert James McMurtrie

PhD Candidate, UNSW
2302/184 Forbes Street Darlinghurst NSW 2010 Australia
r.j.mcmurtrie@bigpond.com

Abstract

This paper applies APPRAISAL theory (Martin & White, 2005) to exhibition space. In particular, it considers ENGAGEMENT, which is concerned with resources to introduce or deny alternative voices in discourse and to (dis)allow room for negotiation. In language, attitudes are often expressed using metaphors of space (people state *where they stand on* an issue). In exhibition space, metaphors of alternative positions are literal (*cf.* Cranny-Francis, 2005, pp. 88-113). This paper demonstrates that bodily movement enables visitors to art museums to transform interactive meanings in exhibition space. It is argued that while the curator's/institution's authorial voice may position visitors one way, visitors can accept the stance or challenge it through movement options. While movement in museums has been researched in terms of *control*, *freedom* and *dialogism* (Bennett, 1995; Pang, 2004; Ravelli 2006; Stenglin, 2004; Witcomb, 2003), this paper foregrounds that exhibition space is *used*, and considers the contribution visitors make to its meaning potential. By considering the relationship between a museum's navigable space and visitors' movements, this paper formalises interactive meanings as a system network, SPATIAL ENGAGEMENT, which helps to analyse and to reflect on the ways in which visitors can(not)/do (not) negotiate the curator's/institution's voice.

1 Introduction

That visitors move through exhibition space is axiomatic; however, it is perhaps only when movement is constrained or prohibited that its functional role in the meaning-making process is brought to consciousness. This paper is concerned with the grammaticalisation of the authorial voice in exhibition space. One of the strategies of an institution to exert its authorial, perhaps authoritative, voice is through the provision of, or denial of, alternative pathway options (Bennett, 1995; Dean, 1994; Pang, 2004; Ravelli, 2006; Stenglin, 2004). This paper explores the ways in which visitors to the Museum of Contemporary Art Australia (MCA) are enabled or prohibited to move through, and in, exhibition space. Drawing on the theoretical frameworks developed for Systemic Functional Linguistics (SFL) and APPRAISAL theory (Martin & White, 2005; White, 2005), this paper contributes to the body of knowledge by developing a system network, SPATIAL ENGAGEMENT, which adopts a perspective on space that differentiates between potential navigable space (Ambient space) and actual navigated space (Hodological space). It is argued that visitors are part of the meaning-making process, their movements contributing to the degree of spatial dialogism. The first part of the paper provides an overview of the theoretical frameworks, and develops a system network for spatial engagement. The network is then applied to explore visitors' movements at a three-dimensional installation. This paper concludes by providing some findings and by reflecting on their implications in terms of communication.

2 Theoretical foundations

2.1 SFL

This paper draws heavily on SFL in order to grammaticalise engagement in exhibition space, as the grammar of SFL deals with *meanings,* which are made through *choice* (Halliday, 2003, p. 8). In particular, it is based on two of the fundamental principles scaffolding SFL's theoretical framework: namely, *system* and *rank.*

2.1.1 System

Given that the principal aim of this paper is to develop a system network, this section provides a description of the most generalised system writing technology in order to assist in reading the proposed network. Network writing technology elucidates the concept of *meanings,* as it specifies the *valeur, function* and *contribution* of a particular choice. First, a system is an organising concept which models *paradigmatic* agnation; it is a finite collection of mutually defining choices, or features. Once a system, for example MOOD, is entered (Figure 1), a choice is mandatory (Halliday, 2003, p. 4), either [indicative] or [imperative]. Second, the meaning of a feature also comes from the *syntagmatic* relations, i.e., its structure. The structure is defined as the ordering of the functional realisations of the features of the systems*,* indicated by a downward arrow (↘).To illustrate, [indicative] (Figure 1) is realised by the functions Finite (F) and Subject (S), represented by the operator *insertion* (+) and the operands (F;S) (Matthiessen & Halliday, 2009, p. 96). Undertaking a systemic analysis fundamentally involves extending primary systems in delicacy (Eggins, 2004, p. 202), i.e., adding systems to the right of a feature to create a system network. However, delicate systems are only ever created when there is a structural *reflex* (Eggins, 2004, p. 200). For example, the system INDICATIVE TYPE can be constructed because the realisation F^S (F precedes S) means [interrogative], whereas S^F means [declarative]. Third, the probability profile, the number written in superscript beside a feature, indicates the contribution that the feature makes to the semiotic system at stake. The profiles represent the frequency at which a particular feature is selected. It is predicted that [indicative] (Figure 1) will be chosen nine times more frequently than [imperative] (Halliday & Matthiessen, 2004, p. 22). Thus, the meaning of a feature is: (i) what it is not; (ii) its structure; and (iii) the likelihood of it being selected.
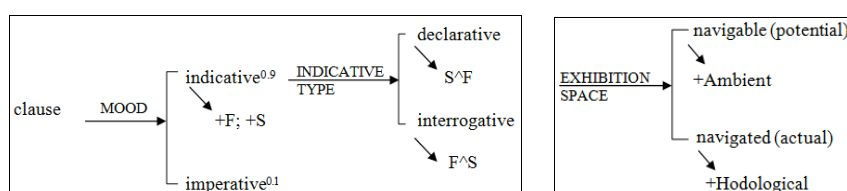

Figure 1: System network technology; Figure 2: System network locating Ambient and Hodological spaces

2.1.2 Rank

In language, there are hierarchical units of grammar, known as *ranks* (clause, word group, word, morpheme)*,* which are related through constituency (Halliday & Matthiessen, 2004, p. 8). Constituency refers to the way in which larger units are constituted of smaller units. The notion of *rank* has been applied to museums, which, for Pang (2004, p. 32), have four ranks: *Museum, Gallery, Area* and *Surface/Item* (*cf.* O'Toole, 1994, p. 86). This paper considers two ranks in art museums, *gallery* and *exhibit,* as movement at the rank of gallery is construed in terms of *direction*, whereas movement at the rank of exhibit is construed in terms of *positions.*

2.2 ENGAGEMENT

ENGAGEMENT, **part of** APPRAISAL, is concerned with the introduction of a range of voices in a linguistic text. Strategies include 'quoting or reporting, acknowledging a possibility, denying, countering, affirming' (Martin & White, 2005, p. 36). There are two features to ENGAGEMENT: [monogloss] and [heterogloss]. Monoglossic resources facilitate the clarity of one authoritative voice throughout the text. Monoglossic texts present an "objective" view of a reality without the recognition of dialogistic alternatives (Martin & White, 2005, p. 100). In

contrast, heteroglossic resources help to acknowledge alternative voices, either dialogically expanding or contracting room for negotiation. Dialogically expansive texts use distance formulations to open up space for alternative positions (Martin & White, 2005, p. 103), whereas dialogically contractive texts use resources which challenge, fend off or restrict the scope of other voices (Martin & White, 2005, p. 102).

2.3 Space

Other considerations in the theorisation of SPATIAL ENGAGEMENT are the concepts Ambient and Hodological spaces. Ambient space is the three-dimensional, 'measurable space defined by surfaces and objects which we design and build' (Charitos, 1996, p. 5). In contrast, Hodological[35] perspectives on space privilege the human body and its need for movement as integral to concepts of space (de Silva, 2007, p. 41). Hodological space is not predetermined; rather, it is articulated extemporaneously as people move through space. However, people do not move *in* hodological space; they create it by moving. In short, Ambient space is potential navigable space, whereas Hodological space is navigated space (Figure 2, above).

3   SPATIAL ENGAGEMENT

SPATIAL ENGAGEMENT, as developed herein, is concerned with the ways in which the authorial voice enters an exhibition space and the ways in which visitors negotiate this voice. An authoritative institutional voice can be manifest in various ways: surveillance cameras, security guards, signage *inter alia*. However, the institution's voice is also manifest in 'the degree of control exerted over the navigation of pathways' (Ravelli, 2006, p. 132) through gallery space and of positions at exhibits. Thus, SPATIAL ENGAGEMENT deals with the relationship between Ambient and Hodological spaces at various ranks. As in language, there are two choices for SPATIAL ENGAGEMENT: [monogloss] and [heterogloss] (Figure 3).
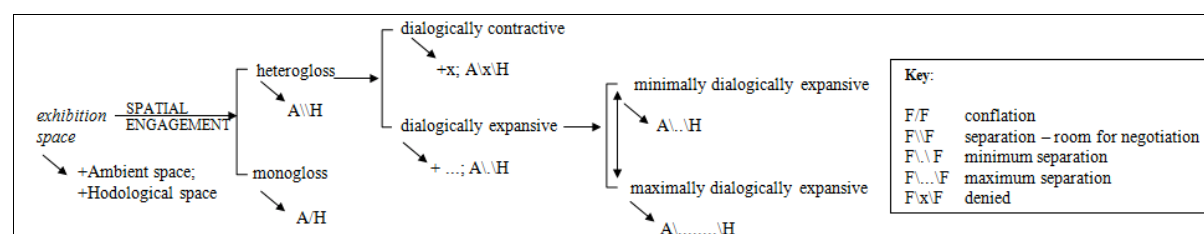

Figure 3: System network of *exhibition space*

3.1 Monoglossic exhibition spaces

Monoglossic spaces are tightly controlled, realised by the conflation of Ambient and Hodological spaces (A/H). At the rank of gallery, the conflation means that there is no choice in direction. Consider the circular exhibition space that wends its way from the top to the bottom of the Solomon R. Guggenheim Museum in New York in one uninterrupted spiral. At the rank of exhibit, monoglossic exhibition space positions visitors to gain only one perspective on an artefact. In monoglossic exhibition spaces, the curator is ostensibly declaring that there is *a* way to interact with exhibitions.

3.2 Heteroglossic exhibition spaces

Heteroglossic spaces, in contrast, afford various directions and positions, enabling alternative perspectives to be entertained. In heteroglossic spaces, Ambient and Hodological spaces are distinct to varying degrees (A\\H); they can be dialogically expansive (A\.\H) or contractive

---

[35] The term *hodology* derives from the Greek word οδος (odos), meaning *a way*.

(A\x\H). Dialogically expansive space can be [maximally expansive] (A\...\H), whereby space has opened up, and an infinite number of directions and positions can be actualised, or minimally expansive (A\.\H), whereby space has opened up, yet the number of potential directions and positions are limited. In heteroglossic spaces, interactive meanings are presented as polysemous. Dialogically contractive spaces are concerned with the denial of directions and positions. Some spaces may be visually accessible yet physically inaccessible, as they have been cordoned off, objects create impasses, or a simple line has been drawn on the floor. In dialogically contractive spaces, visitors are aware of alternative directions and positions, which would proffer different approaches and stances, but they cannot actualise them because of these restrictions. Thus, dialogically contractive spaces suppress different points-of-view. However, unlike monologic spaces, in which there are no alternative perspectives, but similar to heteroglossic expansive spaces, in which the alternatives are provided, dialogically contractive spaces bring to consciousness other perspectives, yet perspectives which can only be entertained. It is posited that if alternative spaces cannot be seen, visitors might accept the monoglossia of the space unquestioningly; however, if visitors are aware of the denial of alternative spaces, they might question the institution's enforcement of a single perspective. Dialogically contractive spaces are paradoxical. On the one hand, they are spaces in which the authoritative voice is the loudest as the institution has simultaneously offered and denied an alternative perspective; on the other hand, dialogically contractive spaces promote the concept of other points-of-view and thus socialise visitors into a form of tolerance for the unknown and the unknowable. As will have been noted, the system network deploys new system network writing technologies. The operator double backwards slash (\\) signifies the opposite of conflation (/); the extent of the ellipses (...) represents the degree of distinction between Hodological and Ambient spaces, whereas (x) signifies exclusion.

4   Analysis

This section analyses the movement patterns of one hundred visitors at a three-dimensional installation in the MCA. The installation is located in the centre of a gallery, surrounded by unobstructed Ambient space. Its location was chosen by the curator as visitors could walk around the installation to contemplate its beauty (Barkley, 2010, personal communication). The putative visitor, therefore, is one who exploits the dialogically expansive space. The installation is a rectangular display case; however, the nature of its objects, for the purposes of this paper, are irrelevant. The analysis demonstrates that while dialogically expansive exhibition space was provided, most visitors monologised (*cf.* White, 2005) it and disaligned themselves with the curator.

4.1   System Network of *interaction*

The condition of entry for the system network (Figure 4) is *interaction.* Interaction occurs when a visitor and an exhibit are co-present. The most generalised system is CONTACT, which refers to a visitor's direct gaze towards an exhibit for a discernible period (*cf.* Kress and van Leeuwen, 2006, p. 118). Interaction at this stage is at the rank of gallery (above the dotted line). Interaction at the rank of exhibit (below the dotted line) occurs when visitors encounter the exhibit by coming to rest. When visitors stop, they then must enter SPATIAL ENGAGEMENT, in which they select [monogloss] or [heterogloss]. *Monogloss* in this system, therefore, does not describe the curated exhibition space, but rather the way in which visitors transform the space. Visitors who select [monogloss] remain stationary, and treat the exhibition space as if it were monoglossic, refusing the invitation to move and thus disaligning themselves with the curator. If visitors choose [heterogloss], realised by Stasis^Motion, they can create a dialogically *maximally*, *moderately* or *minimally* contractive space, by interacting with the installation from different positions along one, two or three

sides of the display case, respectively. Visitors selecting these options align themselves only partially with the curator, as they are still closing down some of the potential. Alternatively, visitors can accept the invitation to negotiate the dialogically expansive space by circumnavigating the installation, thereby fully aligning themselves with the semiotic designer.
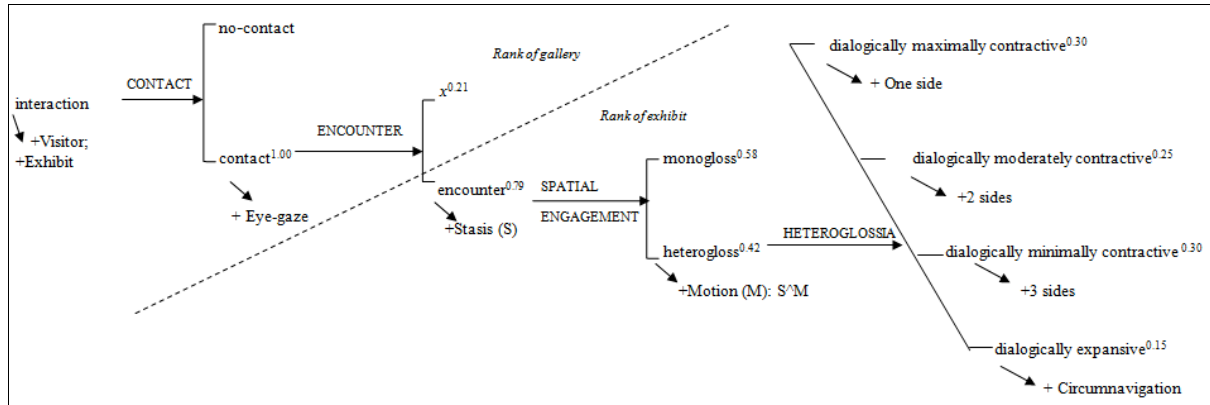

Figure 4: System network of *interaction*

4.2 Findings

The probability profiles indicate the contribution that each selection makes to the meaning of a particular exhibition space. Most visitors who made contact encountered the exhibit; the high probability profile (0.79) demonstrates that visitors were attracted to it. However, the probability profiles for SPATIAL ENGAGEMENT demonstrate that the majority of visitors interacted with the installation from one perspective (0.58), treating it as a monoglossic exhibition space and disaligning themselves with the curator. Of the 42% who dialogically expanded the space, only 15% (or 5% of the total sample) utilised the dialogically expansive space on offer. Moreover, if the probability profile from the feature [maximally contractive], realised by interaction with only one side of the installation, were included with the profile for [monogloss], it would mean that nearly three quarters of the visitors (72%) interacted with the installation from a single side as might be done with a two-dimensional painting. While the curator offered his visitors a dialogically expansive exhibition space at this particular installation, most visitors transformed it into a monoglossic exhibition space. This explicitly demonstrates that visitors' movement contribute to the meaning of the space in which it takes place. It also suggests that providing too much space is not helpful for visitors as evidenced by their closing down options themselves. As Vygotsky (1978, p. 86) has demonstrated in his theories on education, but equally applicable to interaction in exhibition spaces, people need a scaffold to facilitate learning, and perhaps something in the design or label could have guided visitors to adopt more perspectives.

5 Conclusion

This paper argued for the applicability of ENGAGEMENT (Martin & White, 2005) to exhibition space. Since focus was limited to visitors' movement options at a single exhibit, the analysis herein is not to be considered exhaustive, and results are not definitive; nonetheless, they provide a point of departure for further debate and inquiry. This paper demonstrated that the authorial voice in exhibition space is manifest in the amount of navigable space provided. Institutions can construct spaces that are tightly controlled and monoglossic, or free-flowing and heteroglossic (*cf*. Pang, 2004, p. 40; Ravelli, 2006, p. 132). In museums, these various types of exhibition spaces have been referred to as *directed*, *suggested* and *unstructured* (Dean, 1994, p. 54), depending on circulation options, which

control traffic flow. Previous research has also formalised choices in circulation paths as a system network (Pang, 2004, p. 41). However, this paper, in its attempt to grammaticalise voice in exhibition space, developed an alternative system network with new system writing technologies. SPATIAL ENGAGEMENT demonstrated that the various types of dialogised or undialogised exhibition spaces are realised by the relationship between the functional elements Hodological and Ambient spaces, thus foregrounding visitors' movements as integral to the meaning-making process. In addition, it provided the probability profiles, which elucidate the contribution that visitors' movement make to the exhibition space.

The degree of spatial dialogism can reflect an institution's approach to communication. The art museum experience is a communicative event and communication can be monologic or dialogic; it is, as Ravelli (2006) states, 'an active social process […] understood in relation to issues of choice' (p. 5). Does the institution permit a multiplicity of interactive choices or is there a single overarching hegemonic "non-choice". Some institutions subscribe to the *transmission* model of communication and *didacticism*, providing a strong linear narrative with room for one point-of-view, usually the institution's (Witcomb, 2003, p. 128). In contrast, an institution whose spaces are dialogically engaged is said to champion the concept of *latitudinarianism*, defined herein as a tolerance for ambiguity, polysemy, pluralism and democracy as well as for alternative "voices", perspectives, points-of-view, truths, cultures and ideologies.

References

Bennett, T. (1995). *The birth of the museum.* London: Routledge.

Charitos, D. (1996). Defining existential space in virtual environments. *Proc. Virtual Reality World* 96. Stuttgart: IDG Publications.

Cranny-Francis. A. (2005). *Multimedia*. London: Sage.

de Silva, W. (2007). Otto Friedrich Bollnow's concept of human space: A critical discussion on the fundamentals of the concepts of space. *Built-environment-Sri Lanka,* 7(2), 40-42.

Dean, D. 1994. *Museum exhibition: Theory and practice*, London: Routledge.

Eggins, S. (2004). *An introduction to systemic functional linguistics* (2nd ed.). New York: Continuum.

Halliday, M. A. K. (2003). *On language and linguistics.* London: Continuum.

Halliday, M. A. K., & Matthiessen, C. M. I. M. (2004). *An introduction to functional grammar* (3rd ed.). London. Arnold.

Kress, G., & van Leeuwen, T. (2006). *Reading images: The grammar of visual design* (2nd ed.). London: Routledge.

Martin, J. R., & White, P. R. R. (2005). *The language of evaluation: Appraisal in English.* New York: Palgrave Macmillan.

Matthiessen, C. M. I. M., & Halliday, M. A. K. (2009). *Systemic Functional Grammar: A first step in to theory.* Higher Education Press.

O'Toole, M. (1994). *The language of displayed art,* London: Leicester University Press.

Pang, K. M. A. 2004. Making history in *From Colony to Nation:* A multimodal analysis of a museum exhibition in Singapore. In K. L. O'Halloran (Ed.), *Multimodal discourse analysis: Systemic functional perspectives* (pp. 28-54). London: Continuum.

Ravelli, L. 2006. *Museum texts: Communication frameworks*. London: Routledge.

Stenglin, M. (2004). *Packaging curiosities: Towards a grammar of three-dimensional space*. Unpublished PhD Thesis. University of Sydney, Department of Linguistics, Sydney.

Vygotsky, L. S. (1978). *Mind in society: The development of higher physiological processes.* USA: Library of Congress Cataloging in Publication Data.

White, P. R. R. (2005). *The language of attitude, arguability and interpersonal positioning.* URL: http://www.grammatics.com/appraisal

Witcomb, A. 2003. *Re-Imagining the Museum: Beyond the Mausoleum.* London: Routledge.

Instantiation, realization and multimodal musical semantic waves

Jodie L. Martin

University of Adelaide
Adelaide, Australia
jodie.martin@adelaide.edu.au

Abstract

Halliday (1991/2009) describes texts as simultaneously realising their context of situation and context of culture while instantiating the system of language. To examine the use of music notation in student texts, it is useful to understand how notation instantiates the system of music and realises the contexts of culture (jazz) and of situation (music conservatory). This paper combines the examination of instantiation and realisation with the semantic codes of legitimation (Maton, 2011a, 2011b, forthcoming) from Legitimation Code Theory for the characterisation of notation types and applies them to a multimodal analysis of music notation, adapted from Unsworth and Cléirigh (2009), to identify underlying organisational principles involved in the intersemiotic construction of meaning.

Drawing on a corpus of research projects from honours students of jazz performance, the different types of notation used are examined. The notation varies in the degree to which it is connected to a concrete, embodied performance, or offers space for a range of performances. This variation is connected to the concept of semantic gravity. By considering how information is variously unpacked from the notation into text, and repacked into generalisation with greater abstraction, this analysis provides insight into the ways notation operates in a text, and how it contributes to a co-construction and prosody of meaning throughout the text.

1 Introduction

Many academic disciplines incorporate non-linguistic examples in their texts to provide additional, condensed meaning. The examination of this meaning and how accompanying text repeats, expands and contextualises provides important insight for understanding academic literacies. Music notation is a fundamental resource in the study of music; it is used to prompt performance, to distribute repertoire, to enable analysis and to facilitate teaching and learning. The use of music notational quotes within written texts is instrumental for conveying musical information concisely and accurately. Its use, however, is under-theorised, both from a multimodal perspective and from a musical perspective.

This paper endeavours to address this shortage by theorising on the use of music notation with particular reference to a corpus of six texts. These texts are 5000-word research projects written as a mandatory ungraded element of the Bachelor of Music (Jazz Performance) (Honours). All texts were by local, native speakers of English. As honours students, they were believed by academic staff to be sufficiently acculturated to the study of music to be able to reflect upon it.

Music and its corresponding notational texts will first be aligned with Halliday's (1991/2009) model of context and instance. The focus on the degrees of instantiation and abstraction in music text types shall be supplemented with the concept of semantic gravity, drawing on Legitimation Code Theory (LCT) (Maton 2011a, 2011b, forthcoming), which describes the degree to which a meaning relates to its context. Using the descriptive power of semantic gravity, the texts will be briefly characterised to demonstrate how the use of notation may be organised within a text. This provides a foundation for looking at notation with the understanding of the role it plays in its cultural and situational contexts.

Language Verbalising Notation (LVN) (J. L. Martin, forthcoming) is a framework developed from Unsworth and Cléirigh's (2009) work on multimodal grammatical

identification between language and images. It provides a starting point for describing the co-construction of meaning between notation and linguistic text. By again triangulating this information with Semantics from LCT, this time both semantic gravity and semantic density, which describes the degree of condensation of meaning, organisational principles emerge for unpacking information from the notation into text, situating it within a textual and performative context, and then repacking it with greater abstraction to enable musical principles to be generalised across a musician's repertoire, across a range of instruments, or across a range of musical situations.

This research is part of an investigation into the academic literacies of music students. It provides descriptive power for the examination of notation as well as for the analysis of interleaved modes within a multisemiotic text.

2   Music in context

Halliday (1991/2009), drawing on the work of Malinowski, Firth, Sapir and Whorf, provides a model for understanding the relationships of instantiation and realisation between language and text, and the contexts of culture and situation. I suggest that not only can music be similarly modelled, but that music and language occur as adjacent yet interwoven semiotic systems, as displayed in figure 1. Paralleling language and music thus is not to suggest that their texts instantiate their systems in exactly the same way; rather, that their texts *do* instantiate their systems, systems which are a reservoir of everything that potentially could manifest in a text.
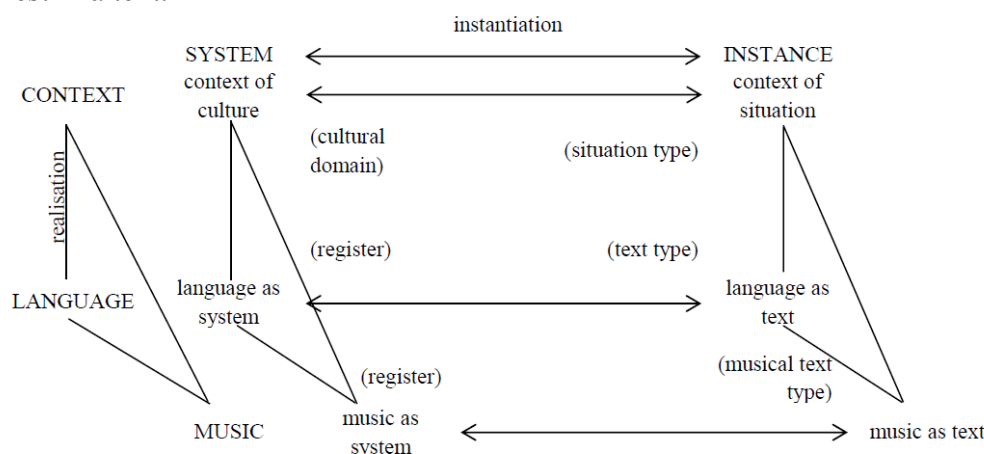

Figure 1: Language and music and context, system and instance; adapted from Halliday (1991/2009, p. 175)

This understanding of instantiation and realisation underlies a multimodal perspective; a multimodal text is understood as using the resources of the systems of both language and music, and construing the cultural and situational contexts of jazz and tertiary study. It should be noted that 'music as text' refers to instances of music in all possible manifestations – audible, written, recorded and enacted – just as language as text refers to "all the instances of language that you listen to and read. And that you produce yourself in speaking and writing" (Halliday, 1991/2009, p. 274). Perhaps it would be more appropriate to refer to music as performance; however, given that the focus of this paper is music notation I will maintain the use of the term 'music texts'.

While some of the notational quotes used in the research projects are solely intended for analysis, such as the improvisation transcriptions, others are taken from their normal performative context and recontextualised for a pedagogical purpose. The notation text types

vary in the strength of their connection to specific performances; that is, they vary in how much they realise the situation or the context. The stronger connection to its context of situation corresponds to stronger semantic gravity from LCT (Maton, 2011b, p. 65). We can therefore align instantiation/realisation and semantic gravity and place the various notation text types along these continuums (table 1). It should be noted that these are relative to one another within the given context. The degree of abstraction and semantic gravity of notation in comparison to linguistic text is not under consideration, nor is the performance of music.

Instantiation / Realisation	Semantic Gravity	Notation text type	Description
Abstract ↕ Concrete	SG- ↕ SG+	Harmonic progression	Underlying harmonic structure of pieces; may apply to multiple songs
		Lead sheet/chart	Basic details for a range of possible performances of a single song
		Pre-composed notation	Strongly prescribes elements of performance but less strictly than transcription, repeatable
		Improvisation transcription	Transcription of a specific performance; notation accurate to that performance

Table 1: Instantiation/realisation, semantic gravity and notation text types

The variations in semantic gravity of the different text types demonstrate the faculty of music notation to variously represent very specific instructions as to what was or should be played, reducing meaning potential, or to provide the essential details of a piece, creating space for multiple possible manifestations. In the case of the latter, the texts rely more on an understanding of their cultural context, i.e. jazz, in order to appropriately interpret the notation for performance with appropriate rhythmic and harmonic changes. Each of these texts has their function within the research projects.

3   Language verbalising notation

The framework of Language Verbalising Notation (J. L. Martin, forthcoming) provides a way to describe how the accompanying text repeats, expands and elaborates on the notational quotes. Descriptions of the categories of LVN are presented in Table 2.

Intermodal intensive identification occurs when the accompanying text verbalises qualities of the notation. These may be explicitly conveyed in the notation, such as "minim root notes", or more abstract qualities may be interpreted by the writer from the notation and/or listening to the music, such as "this melody epitomises true lyricism". Intermodal possessive identification identifies both human participants, such as the composer, improviser and bass player, and musical parts, such as the melody, rhythm and bass line. These two categories may or may not correspond to each other, or may combine, such as in "Carter's bass line". Intermodal circumstantial identification occurs when the text verbalises the musical circumstances of the focal notation, such as chords, harmonies and rhythms. It also occurs when the textual locations of the notation are identified, for example with references to bar numbers, sections of the piece as well as the title and recording details. Intermodal circumstantial identification: manner occurs when the text verbalises the manner or technique

in which the music was played. This may or may not be notated. Finally, intermodal circumstantial identification: effect conveys the effect of the musical choices described in the other categories on a listener, on the other members of the band or ensemble, or on musical parts. Traditional western music notation does not have the affordance to convey the effect of the music insofar as it is differentiated from what is played.

Category	The text verbalises…
Intermodal intensive identification	qualities of notation
Intermodal possessive identification	(human) participants who perform or otherwise contribute to musical parts
	musical parts that comprise the selected piece
Intermodal circumstantial identification	musical circumstance (chords, harmonies, rhythms)
	textual locations of the notation
Intermodal circumstantial identification: manner	manner in which the notation was played, whether notated or not, including technique
Intermodal circumstantial identification: effect	effect of the music choices

Table 2: Language verbalising notation

The analysis of two research projects using LVN identified some patterns; while there was variation, passages relating to a notational quote generally concluded with the effect of the qualities described. These qualities were variously situated within their textual, musical and performative context.

4   Multimodal musical semantic waves

Semantic profiles are "significant for cumulative knowledge-building and learning" (Maton, 2011a) and are produced by tracking the strengthening and weakening of semantic gravity and semantic density over time or text. Such profiles locate weaker semantic gravity and stronger semantic density at the top of the y axis and track the movement over time (x axis). Maton et al (J. R. Martin, 2011; Maton, 2011a; Matruglio, Maton, & Martin, 2011) in analysis of classroom discourse have observed that various shapes can be constructed by the profiles and describe semantic waves occurring when knowledge is sequentially unpacked and repacked, the half wave or 'broken elevator' occurring when knowledge is unpacked without being repacked, and flat lines occurring where there is little or no variation in the semantic range, that is the distance between the crests and troughs of the wave.

Profiling the semantic gravity of the notation used in the student texts, as described in Table 1, produces two main semantic profiles. Four of the six texts could be described as having a semantic flat line as they were characterised by one type of notation, the transcription of the focal musician's improvisation or bass line. A semantic ripple was evident where one student presented the decontextualised motive before presenting notational excerpts of its use, however the semantic range, the distance between peaks and troughs of the wave, was still limited. By contrast, one text used a semantic wave in employing notation text types varying in semantic gravity strength. For example, the text begins with a lead sheet excerpt, followed by two harmonic progressions of the same piece and concluding the section with another excerpt of the lead sheet. Semantic gravity is thus weakened and then strengthened, providing different perspectives of the same piece of notation by shifting in

degree of concretisation. The final student text included two levels of semantic gravity in the one musical excerpt by including the improvisation in the top line of the system, and the chord conveyed by that improvisation on the bottom line. This demonstrates the affordances of notation for providing parallel layers of meaning, but is problematic for depicting in a semantic profile.

Further research is required to investigate whether the semantic wave in one mode contributes to knowledge-building or more successful writing. The consideration of the semantic waves does highlight the contribution of notation specifically and examples generally in a text, and how they may connect or disconnect from specific instances. A more significant application is to the intersemiotic construction of meaning with text elaborating on notation.

The categories of LVN were interpreted in light of Semantics. Intensive, possessive and circumstantial identification unpacks information condensed in the notation, weakening semantic density. Possessive, circumstantial identification and manner strengthened semantic gravity by locating it within its textual context and providing stronger alignment with its embodied performance. Finally effect repacked the information with greater abstraction and generalisation across musical situations. The LVN analysis was conducted on two texts from the corpus, from the two students who have continued on to further study. The triangulation with Semantics was applied to the analysis of LVN. In the first text, which was characterised by a semantic wave in the notation text types, a semantic wave was also observed in the linguistic text. Significantly though, the qualities identified by intensive identification could be more concrete, such as "the interval of a fourth", thus weakening semantic density by unpacking the information condensed in the musical symbols, or could attain greater generalisation by abstracting qualities of the whole notational excerpt, such as "strong intervallic identity", thus strengthening semantic density and weakening semantic gravity by providing observations applicable to new or multiple contexts. Thus the high points of the semantic profile were variously provided by either intermodal intensive identification or effect. By contrast, the second text analysed appeared to have a smaller semantic range; the effects described were strongly connected to the embodied experience of the listener in the given context, thus providing stronger semantic gravity than the first text's abstractions generalised across instruments, eras and contexts. Although the use of notation ensured there was some semantic variation, this might better be described as a semantic ripple rather than a semantic wave.

5 Conclusion

The meanings made in musical notation can be understood by situating the texts within Halliday's model of instantiation and realisation. The triangulation of this understanding with the notion of semantic gravity from LCT demonstrates the semantic wave present in student texts as the different notation types incorporated vary in the strength of their relation to their performative context and in the degree of abstraction. These notation types variously construe the cultural context of jazz and the situation of performance and analysis. Language Verbalising Notation was briefly introduced as a framework for exploring how text elaborates and expands on meanings made in notation. By again triangulating this with Semantics from LCT it was found that information from notation was unpacked and related to its context of situation, and repacked with greater abstraction which speaks to the greater context of culture, that is jazz performance.

This research contributes to the understanding of music and music notation. It also highlights the repurposing of notation from performance for academic texts in a pedagogical

context. Further research is required to see whether the semantic variations observed contribute to knowledge-building and student success. Investigating variations in semantic gravity is useful for understanding non-linguistic examples in texts; investigating semantic gravity and semantic density provides insight into the interaction between linguistic and non-linguistic text.

References

Halliday, M. A. K. (1991/2009). The notion of "context" in language education. In J. J. Webster (Ed.), *Language and Education* (Vol. 9, pp. 269-290). London: Continuum.

Martin, J. L. (forthcoming). Language verbalising notation: an intersemiotic analysis of musical notation in student texts. *Multimodal Communication*.

Martin, J. R. (2011). Bridging troubled waters: Interdisciplinarity and what makes it stick. In F. Christie & K. Maton (Eds.), *Disciplinarity: Functional linguistic and sociological perspectives* (pp. 35-61). London: Continuum.

Maton, K. (2011a). *Mastering semantic waves: A key to cumulative knowledge and social justice*. Paper presented at the Australian Systemic Functional Linguistics Association Annual Conference.

Maton, K. (2011b). Theories and Things: The Semantics of Disciplinarity. In F. Christie & K. Maton (Eds.), *Disciplinarity : Functional Linguistic and Sociological Perspectives* (pp. 62-84). London ; New York: Continuum International Publishing Group.

Maton, K. (forthcoming). *Knowledge and Knowers: Towards a realist sociology of education*. London: Routledge.

Matruglio, E., Maton, K., & Martin, J. R. (2011). *Waves through time: Temporality and the semantic wave*. Paper presented at the Australian Systemic Functional Linguistics Association National Conference.

Unsworth, L., & Cléirigh, C. (2009). Multimodality and reading: The construction of meaning through image-text interaction. In C. Jewitt (Ed.), *The Routledge handbook of multimodal analysis* (pp. 151-163). London: Routledge.

Committing Commitment: Theorizing processes of change

Ken Tann

University of Technology, Sydney

1 Introduction

Following Martin's (2006) conception of intertextuality in terms of movement on the 'hierarchy' of instantiation, the term 'commitment' was coined in Martin (2008), and further developed with respect to the three metafunctions in Hood (2008). Originally used to model the reformulation of meaning from a source text to a piece of rewritten work, 'commitment' has been introduced as a theory of intertextuality, with consequent implications across a range of research areas ranging from media (Caple 2008; Knox 2009) and multimodality (Caldwell 2009; Bezerra 2011) to pedagogy (Hood 2008; Chen 2009), translation (de Souza 2010) and identity (Martin 2006; Tann 2010).

Martin (2008) proposes the concept of 'commitment' as a means for exploring what he calls the 'relative semantic weight' of a text in terms of "the degree to which meanings in optional systems are taken up and, within systems, the degree of delicacy selected" (p.45). While he acknowledges that all available subclassifications in a system network have to be 'committed' in every instance in this sense, he adds in the endnote that his concern with commitment is in the "less formal taxonomies of discourse semantic entities in which more and less delicate features can be lexicalized without an exhaustive traversal of the system" (p.56).

For instance, Martin (2008) argues that the expansion of a nominal group through the use of epithets and qualifiers does not constitute a relationship of hyponymy in terms of discourse, and is distinct from an expansion through classifiers, and that whilst a 'government truck' is a kind of 'truck', a 'Government truck from the Roads Department' is a specification of the truck rather than a subtype of trucks (p.49). He is also concerned with the elaborations of processes such as 'running through the bush until I found a road' that can neither be properly analyzed as subtypes nor parts of the activity 'going away' (p.48). Hence, he proposes the concept of commitment as a way of describing meaning shifts of this sort where one text is clearly a more 'specific' or 'explicit' reformulation of another, even if the relationship between them cannot be satisfactorily accounted for in terms of taxonomic specificity (e.g. Halliday and Matthiessen 1999:615).

Commitment in this technical sense therefore does not refer to the author's epistemic conviction in a proposition, but the relative 'semantic weight' between two texts that are intertextually related through a temporal dimension. Focusing on the foundational papers of Martin (2008) and Hood (2008), this brief theoretical paper will argue that the notion of 'semantic weight' is insufficiently clear in these accounts, and will attempt to clarify the concept in relation to metafunctions, stratification and axis.

2 Theorizing semantic weight

Martin (2008) and Hood (2008) found a number of such 'semantic variations' between the source texts and reproduced texts that they describe, summarized in Table 1 below, suggesting that expressions on the right hand column correspond to our notion of something 'more specific' than their equivalents on the left. They also point out that the current account

of generalization in terms of taxonomic relations (e.g. Halliday and Matthiessen 1999:615) does not account sufficiently for all these examples, and that a wider concept is necessary to describe these patterns of meaning shift. In other words, commitment as an analytical concept is introduced as a means of generalizing across the various relationships between elements in the left and right hand columns of Table 1.

Relation	Less committed	More committed
hyponymy	class	member
	e.g. man	*e.g. driver*
meronymy	whole	part
	e.g. Francistown	*e.g. Nyangabwe Hospital*
incumbency	role	incumbent
	e.g. Head Librarian	*e.g. Ms Andrews*
exemplification	concept	instance
	e.g. a strange place	*e.g. Francistown*
composition	label	activity sequences
	e.g. sales scene	*e.g. foot-in-the-door technique, patter...*
explicitness	invocation	inscription
	e.g. fenced in like sheep	*e.g. prejudice*
lexical metaphor	congruent	metaphorical
	e.g. change	*e.g. make a break*
grammatical metaphor	metaphorical	congruent
	e.g. that effect	*e.g. This story...had affected her profoundly...*
infusion	basic	compound
	e.g. consider	*e.g. reassess (consider+ again + evaluatively)*
characterization	elaborated element	elaboration
	e.g. Government truck	*Government truck from the Roads Department*
Abstraction	abstract	concrete
	e.g. a fortunate life	*e.g. [recount]*
metadiscursivity	metadiscourse	concrete
	e.g. a story	*e.g. [recount]*
heteroglossic expansion	entertain	attribution
	e.g. perhaps	*e.g. says*

Table 1. Summary of types of commitment processes in Martin (2008) and Hood (2008)

For instance, the recount of an event in the source text may simply be glossed over as 'a story' in a subsequent retelling, or the metaphorical expression 'fenced in like sheep' may be summarized as an act of 'prejudice'. In these examples, we get a sense that the full recount is somewhat more "precise" in content than the metadiscursive label 'a story', while the attitude is more "specified" in the inscription 'prejudice' than the invocation. Martin (2008) describes the more ideationally specific and the more interpersonally explicit as carrying more 'semantic weight', and analyzes them as being more "committed". The theoretical underpinning of this notion of 'semantic weight' has to do with his understanding of instantiation and the amount of meaning in a text.

2.1   Instantiation and semantic weight

Martin (2008) describes the cline of instantiation as a scale whereby "the meaning potential of the culture… is progressively narrowed until we arrive at the reading of a particular text" (p.33). In other words, text types have more meaning potential than texts, while the overall language system has the most meaning potential. He then reasons that different aspects of that meaning potential further up the cline are "activated" (p.45) or "manifested" (p.52) in a particular instance. Hence when meanings in a particular text have to be reproduced in another text through activities such as note-taking and translation, it is necessary for the author to reach back along the cline, "to open up meaning potential which has in the previous instance been foreclosed" (p.49), a process he terms "distantiation" (p.50) to differentiate between the two directions of instantiation. By comparing the choices made in an earlier and later versions of the same text (such as in summaries and translations), their difference in commitment (e.g. specificity) serves as a means for explaining how those two texts are related in terms of metastability, and a predictor for how far up the scale of generality meaning must be recovered in the production of the subsequent text. As with other concepts however, its usefulness depends very much on how consistently it can be operationalized.

Firstly, it is necessary to distinguish between commitment and instantiation. It would be misleading to describe alternative expressions as possessing different 'amounts' of meaning potential for example, as each text is an instance in itself. Conversely, 'less commitment' of meaning also does not shift a text any further up the cline. That is to say, while the superordinate 'man' in the example above may be less committed or specific, it is not any less instantiated than its hyponym 'driver'. The difference in commitment between texts is therefore not a comparison between the amount of meaning potential in the texts, but the number of selections and types of selection that are made in each instance. When more selections are made or 'activated' in the subsequent text, more resources have to be accessed by drawing on a greater range of available resources from higher up the cline.

Secondly, a careful reading of Martin (2008) and Hood (2008) reveals that there are at least two distinguishable ways in which 'semantic weight' is understood. At times, commitment is described as an increase or decrease in the *amount* of meaning:

> …the degree to which meanings in optional systems are taken up… (Martin 2008:45)   Where less meaning is committed… (Martin 2008:50)
> …commitment has to do with the amount of meaning manifested… (Martin 2008:52)
> In this sense, they can be said to commit less ideational meaning. (Hood 2008:357)
> …additionally commits interpersonal meaning in the classification. (Hood 2008:357)
> …a resource by which we commit less ideational meaning. (Hood 2008:360)
> Inscribed Attitude commits more interpersonal meaning than… (Hood 2008:362)

At other times, it is described in terms of *how* meaning is committed:

> …the degree of delicacy selected. (Martin 2008:45)
> …meanings are committed differently from the source text… (Hood 2008:358)
> *Change* instantiates meaning in a less committed way… (Hood 2008:360)
> …a single inscription commits evaluative meanings in a less committed way than… (Hood 2008:362)

The former set of descriptions seems to imply a comparison between quantities of meaning, while the latter implies a comparison between the qualities of two instances of the same amount of meaning. This opens up the pertinent issue of how we determine if the two chunks of text selected for analysis are comparable for analysis, if we do not delimit the amount of meaning or length of text considered in some way.

2.2 Paradigmatic and syntagmatic variation

One consequence of conflating between the two competing understandings of commitment outlined above – in terms of quality and quantity – can be seen in Hood's (2008:362) description of interpersonal commitment. On the one hand, she describes (following Martin 2008) inscribed evaluation as more committed than flagged evaluation, which is in turn more committed than afforded ones. This conceptualizes commitment as a difference in paradigmatic selection between the three possible ways of instantiating the same attitude from the appraisal system. On the other hand, she simultaneously argues that "a single inscription commits evaluative meanings in a less committed way than an accumulating prosody of co-articulating instances." This conception of commitment is one that is structurally informed and allows for serial expansions. In other words, we get a different account of commitment for invoked appraisal depending on whether we are looking at it as a systemic selection or a structural expansion.

A similarly contradictory analysis can also be observed in Hood's (2008) discussion of metaphoric expressions. She finds on one hand that the participants of processes are omitted in nominalizations such as "the loss of opportunity" (p.360), which results in less specificity, while on the other hand the nominal group construes two layers of meaning as both process and thing which implies greater semantic weight, and concludes that grammatical metaphors involve a "complex relationship". In this example, we observe a reduction of ideational meaning structurally in the form of participants, alongside an increase in layers of meaning paradigmatically. In both of these cases what initially appears as a contradiction in analysis is a consequence of analyzing meaning shift through different (i.e. syntagmatic and paradigmatic) perspectives.

While some meaning shift clearly involves paradigmatic variation in terms of delicacy such as more or less specific choices between 'man' and 'driver', others such as the two examples above are not as clear. Where meaning is committed accumulatively, taking axis into consideration provides a clearer picture of what it is that we are comparing. When a metadiscourse is unpacked into a full recount for instance, we may first identify the two chunks of texts that are comparable from a paradigmatic perspective. Following this, we may then describe the structural unfolding of meaning within the recount. The complementarity of both perspectives is necessary because such serial expansions can potentially be extended indefinitely, and this allows us to specify the textual boundaries when we weigh the amount of meaning committed (see for example Tann 2010).

3 Conclusion

While commitment is an innovative attempt to model meaning shift in terms of 'semantic weight', the theory is in its infancy, and there remains some confusion between quantity of meaning and the quality of selection instantiated in a text. One consequence of this is a lack of clarity in what is being compared, and another consequence is the apparent contradiction in descriptions that involve both aspects in the shift. I have called attention to some areas of the theory that requires more clarification, and suggested axis as one possible solution. While this brief discussion has by no means covered all the ground, it is hoped that the questions raised will help bring some of the assumptions into focus, and stimulate further dialogue between the different ways that the theory has been put to use.

References

Bezzara, F. (2011) "Coupling and commitment: an SFL-MDA investigation of ideational meanings and gender representation in the film Sex and the City", *Systemic Functional Linguistics seminar series*, May 27, University of Sydney, Australia.

Caple, H. (2008) 'Reconciling the co-articulation of meaning between words and pictures: exploring instantiation and commitment in image nuclear news stories', in A. Mahboob and N.K. Knight (eds.) *Questioning Linguistics*. Newcastle: Cambridge Scholars Publishing, 77-94.

Chen, Y. (2009) *Interpersonal Meaning in Textbooks for Teaching English as a Foreign Language in China: A Multimodal Approach*. PhD Thesis. University of Sydney.

De Souza, L. (2010) *Interlingual re-instantiation: a model for a new and more comprehensive systemic functional perspective on translation*. PhD Thesis. Universidade Federal de Santa Catarina and University of Sydney.

Hood, S. (2008) 'Summary writing in academic contexts: implicating meaning in process of change', in *Linguistics and Education* 19, 351-365.

Knox, J. (2009) 'Punctuating the homepage: image as language in an online newspaper', in *Discourse & Communication* 3(2): 145-72.

Martin, J.R. (2006) 'Genre, ideology and intertextuality: a systemic functional perspective', in *Linguistics & the Human Sciences* 2(2), 275-298.

Martin, J.R. (2008) 'Tenderness: realization and instantiation in a Botswanan town', in N. Norgaard (ed.) *Odense Working Papers in Language and Communication* vol.29, 30-58.

Tann, K. (2010) Semogenesis of a Nation: An Iconography of Japanese Identity. PhD Thesis. University of Sydney.

to boldly proceed ...

Going beyond speech to seek out New information in writing & other modalities

Nick Moore

Khalifa University
PO Box 573, Sharjah, United Arab Emirates
najm@kustar.ac.ae

Abstract

Information Structure functions to highlight what the speaker chooses as newsworthy. Realised by the tone unit, it has long guided the Systemic Functional Linguistic (SFL) analysis of spoken English. The realisation of New information in written English, however, is problematic because there is no graphological equivalent of the tonic foot. This paper goes beyond SFL and uses historical, psychological and neurological studies to support the proposal that New information is realised by final position in a clause. Going beyond spoken and written English, it keeps constant the function of Information Structure while exploring the realisation of New information in other semiotic modes in order to identify the most suitable non-arbitrary realisation for the function of New information.

1 Introducing Information

One of Halliday's many enduring insights into the functioning of English is the contribution of intonation to the structuring of Information. Halliday (1967) identifies Information as a unit of discourse independent of other grammatical features. The Information unit provides the environment for further choices, particularly the location of New information. Halliday's Information unit consists of the tonic foot, which realises New information, and the pre-tonic. Crucially, New information functions to alert the listener to the most important, note-worthy or "Newsworthy" (Fries, 2002) part of the Information unit: "Information focus is one kind of emphasis, that whereby the speaker marks out a part (which may be the whole) of a message block as that which he wishes to be interpreted as informative" (Halliday, 1967, p.204). New information is chosen independently of other discourse factors, such as Theme or a previous mention of a referent, and can equally be applied to non-referents. However, in unmarked cases it will align with the grammatical choices of Presenting reference (Martin, 1992) in Rheme (Halliday and Matthiessen, 2004). A final essential feature of Information Structure is that it is obligatory in spoken English. Even if a spoken utterance may be considered ungrammatical, it will exhibit Information Structure. Exclamations such as "Fire!" or "Run!" cannot be expressed without a tonic foot.

The term *Information Structure* has been adapted to suit other linguistic paradigms, often being conflated with reference (*e.g.* Haviland and Clark, 1974; Prince, 1981; Gundel, Hegarty and Borthen, 2003) and conjectured psychological processes (Steedman, 2000; Jackendoff, 2002). In Systemic Functional Linguistics (SFL), developments in the theory of the textual metafunction (*e.g.* Matthiessen, 1992) and progress in thematic analysis (Martin, 1992; Ghadessy, 1995) have hardly changed the original insight into the function and realisation of Information Structure in spoken English (Halliday and Matthiessen, 2004; Halliday and Greaves, 2008). Assuming that Information Structure functions in written English, its realisation remains uncertain since written English does not realise intonation (Martin, 1992; Fries, 2000, 2002).

2   What's New?

Written English has not developed an exclusive system to realise intonation; there is no unmarked graphological equivalent of the tonic foot. Thus, while the choices for information structure in spoken English present themselves independently of clausal grammar, choices in written English are constrained by clausal grammar. Assuming that Information Structure in written English functions independently of the systems of Theme and Reference, as it does in spoken English, and with no intonational realisation for New information in written English, the general consensus is that the unmarked position for New information in spoken English – clause-final – is the obligatory position for New information in written English (*e.g.* Fries, 2000). Rather than varying intonation, written language moves elements into clause-end New position by using passive voice, cleft sentences and other structures to make meaning in information structure (Fries, 2002). Matthiessen (1995) applies the term 'Culmination' to the function of New information in written English to distinguish its graphological realisation. Martin (1992) extends the 'newsworthiness' function of New information to different units of written text, applying the terms New, hyper-New and macro-New to, roughly, clause, paragraph and discoursal patterns, respectively, to realise the Point of discourse.

Although many agree on the realisation of New information in written English within SFL, there are few explanations as to why clause-final position should have supplanted intonation. The following sections offer historical, psychological and neurological evidence for why sequence has subsumed the realisation of Theme and Information in written English.

2.1   Historical Development of Written Text

The first reason that New Information may be realised by clause-final position is because of the introduction of spaces into written language in the 9th to 12th Centuries (Parkes, 1992). The prevalence of ungapped text (*scriptura continua*) throughout Western Europe up until the 12th Century meant that it was far easier for the reader to speak the text aloud in order to make sense of it:

> *Without spaces to use for guideposts, the ancient reader needed more than twice the normal quantity of fixations and saccades per line of printed text. The reader of unseparated text also required a quantity of ocular regressions for which there is no parallel under modern reading conditions (Saenger, 1997 p.7)*

Introducing spaces between words enabled a marked increase in the habit of silent reading (Saenger, 1982; 1997). When a written text is vocalised (or sub-vocalised), it must conform to the respiratory-system constraints of spoken Information Structure. Thus, *scriptura continua* was no more than a written record of speech. Rayner (1998; Hirotani, Frazier and Rayner, 2006) emphasises the importance of word spaces and punctuation to the silent reading process. Simply put, without spaces and punctuation, there are no distinguishing marks for the eye to saccade to. Punctuation marks provide suitable cues for the saccading eye: the reader knows not to focus on punctuation marks but can easily saccade to the preceding position. Consequently, the non-arbitrary link between the function of New information – what is newsworthy – and the realisation of what can be easily focused on – clause final position – is maintained in the visual mode when reading.

2.2   Psychological Perspectives

It may be that reading silently is the same as reading aloud – only silent. If we hear written text in our heads, it can be argued that intonation is realised in written English, and so Information Structure will function without an explicit graphological realisation. Conversely,

if psychological theories of reading tell us that we do not hear the text when we read, we must still look for a realisation in written English that is independent of an imagined or real pattern of intonation. More traditional studies of the psychology of reading have oscillated between theories that do not require the text to be heard, by proposing a direct route from the written word to meaning (*e.g.* Dehaene *et al.*, 2005), and those that require some form of detour through a phonological level of processing (Lukatela *et al.*, 2001), resulting in suggestions that both 'routes' operate simultaneously (Perfetti and Bolger, 2004).

However, recent advances in psychological theory cast serious doubt on these perspectives because they view cognitive processes as modular – a view now considered "indefensible" (Edelman, 2004). An embodied, grounded approach to cognition demands that we view all the senses employed in learning as being redeployed in recall (Barsalou, 2008). For instance, hearing speech probably deploys the same cognitive processes used for producing speech, up to the motivation of the physical system (D'Ausilio *et al.*, 2009). Thus, reading is not the 'receiving' of a writer's words (as presumed by earlier psychological paradigms), but the interactive making of meaning. In cognitive space, there may be no real difference between reading and listening, as they both entail the motivation of speaking and writing processes.

Significantly, however, even if we 'hear' what we read, we do not need to draw breath when reading silently, and so the written information unit is constrained not by the limitations of the physical respiratory system as in speech, but by the cognitive visual system. This again supports the view that New information should be positioned where it is easily identified by the eye, but also implies that written information units are likely to be distinct from spoken units. Evidence for such differences can be found in academic or legal texts that are extremely difficult to read aloud but present little challenge to the silent reader, highlighting again that written language performs different functions to spoken language (Halliday, 1989).

2.3   Intonation in Neuroanatomy

The independence of prosodic features and syntax is recognised in most formal grammatical theories (Jackendoff, 2002). However, Halliday and Matthiessen (2004) specify the separation of the (con)textual extent of the message from its interpersonal intent and ideational content through periodic, field and constitutional grammatical patterns, respectively. Evidence is emerging to suggest that the division between these semiotic metafunctions can be traced to brain structure and function, providing further evidence for an independent realisation for Information Structure in both speech and writing.

Whatever localisation or divisions in the brain that may be proposed for linguistic functions, these are no more than a bias and are "neither universal nor irreversible" (Deacon, 1997, p.310). What has been identified, however, is a role for the two hemispheres to separate prosodic from constituent data in the stream of linguistic input:

> *language production and analysis effectively require that we implement two different modes of phonetic analysis and vocal control simultaneously: prosodic and phonemic processes... the monitoring of prosodic information tends to operate against a foreground attention to specific words and phrases. (Deacon, 1997 p.314).*

That is, we identify prosodic and phonemic information simultaneously (Friederici and Alter, 2004). Although this insight has not yet been researched in the context of continuous reading, I would propose that in a saccade the same process is taking place: the hemispheres of the brain function to simultaneously recognise textual features of the visual signal, such as spaces and punctuation marks, while processing the signal for ideational meaning.

3   Functions Across Modalities

The previous section explored the realisation of Information structure in written English by transferring its function from the spoken to the written mode, further justifying its identification as a separate linguistic function from Reference and Theme. Maintaining the non-arbitrary relationship between function and realisation, evidence from historical, psychological and neurological studies supports the view that New information is realised by clause-final position, which can be readily identified in continuous written text independently of ideational content. This section proposes that to identify the realisation of Information Structure in other modes of semiosis, we can follow the same method of investigation: maintain the function of New information, while searching for its most suitable realisation as suggested by evidence in neurology, psychology, history or other disciplines.

3.1   Information in Visual Art

One approach to Information Structure in visual art is to directly transfer its realisation from written language, producing a left-to-right sequence of Given to New (Kress and van Leeuwen, 1996). In contrast, this paper proposes the transfer of the function of Information Structure to a new mode of semiosis. The function of Information structure has been designated in visual art and drawing as belonging to the metafunction of Composition. Identifying the framing, rhythm, alignment and relative position (O'Toole, 1994 p.24) or framing, axes, relative orientation and position, pattern and rhythm (Riley, 2004, p.303) of visual art and its components enables the analyst to describe meaningful systemic functional choices. I would add to these rich, complex analytical frameworks that we need to identify the underlying mechanisms that allow artists to manipulate Composition. As with written English, I propose that the answer lies in the psychological and neurological processes brought forward when viewing art.

As with reading, viewing a visual scene or trying to identify objects against a background requires the eyes to saccade. With or without a conscious or subconscious target for a visual task, the eye follows the pattern of saccade and focus (Findlay, 2004), much as it does when reading. What concerns us here are the mechanisms that determine those saccades, since it is the contention of this paper that a focus in a visual task is equivalent to the focus in a silent reading task. While there is still a lot more to understand, typical features that can be predicted to make a saccading eye focus on a particular area in a scene include "color, intensity, contrast, edge orientation" (Henderson, 2003); that is, the features typically identified by O'Toole and Riley.

3.2   New Information in Sound and Music

Returning to the original realisation of Information Structure in speech we may be able to identify a similar function with a similar realisation in music as they probably share the same cognitive resources (Juslin and Västfjäll 2008). Pitch, timbre and timing provide key cues in both music and speech to guide the listener to meaning (Kraus *et al.*, 2009), and rhythm in music and word stress in language have been shown to combine to amplify the effect of each on the listener (Gordon, Magne and Large, 2011). We can expect to find music using similar cues as speech to attract a listener's attention through pitch, rhythm and other forms of stress, such as accents (Moylan, 2006). It seems likely, therefore, that we will find information structure functioning in prosodic and rhythmic aspects of music independently of the melodic and language-based constituents of music. Clearly, this area demands further research.

4 Conclusion

SFL describes itself as a social semiotic theory (Halliday, 1978); the theory requires that all language use functions within a social context. For this reason, and because of a long-standing commitment to representational theories within psychology, SFL has rarely gone beyond the confines of the social sciences to bolster its theoretical foundations. However, changes brought about by biologically-determined theories of cognition (Maturana and Varela, 1987), an embodied perspective on language functions (Thibault, 2004) and a constructivist view of construal (Halliday and Matthiessen, 1999) combine to enable a compatible psychological perspective on social action. It is this approach that is advocated in this paper. While maintaining the fundamentally social, linguistic function of Information Structure, this paper identified the neurological constraints that produced its realisation in one mode and sought to identify the corresponding constraints in another mode.

The efficacy of the SFL model is typically justified through a continuous re-application to discourse analysis. However, analysis alone does not prove the validity of the model. Proof of the SFL model of analysis needs to be provided by external predictions. By convention, SFL has relied on models from sociology (*e.g.* Bernstein) and anthropology (*e.g.* Malinowski) to demonstrate its relevance to social meaning. In addition to these sources, the development of compatible theories in neurolinguistics (Lamb 1999; Thibault 2004) and new paradigms emerging in psychology (Barsalou, 2008; Edelman, 2004) enable SFL to move beyond its traditional sources of validation.

References

Barsalou, L.W. (2008). Grounded cognition. *Annual Review of Psychology*, 59, p.11.1-11.29

D'Ausilio, A., Pulvermüller, F., Salmas, P., Bufalari, I., Begliomini, C. and Fadiga, L. (2009). The motor somatotopy of speech perception. *Current Biology,* 19(5), pp.381-385

Deacon, T.W. (1997). *The Symbolic Species: The Co-evolution of Language and the Brain*. New York, NY: W. W. Norton

Dehaene, S., Cohen, L., Sigman, M. and Vinikier, F. (2005). The neural code for written words: A proposal. *TRENDS in Cognitive Science,* 9(7), pp.335-341

Edelman, G.M. (2004). *Wider Than the Sky - The Phenomenal Gift of Consciousness*. New Haven, CT: Yale University Press

Findlay, J.M. (2004). Eye scanning and visual search. In J.M. Henderson (ed.), *Interface of Language, Vision and Action* (pp.135-158). New York: Psychology Press

Friederici, A.D. and Alter, K. (2004). Lateralization of auditory language functions: A dynamic dual pathway model. *Brain and Language,* 89(2), pp. 267-276

Fries, P.H. (2000). Issues in modelling the textual metafunction. In M. Scott and G. Thompson (eds.), *Patterns of Text: In honour of Michael Hoey* (pp.83-107). Amsterdam: John Benjamins

Fries, P.H. (2002). The flow of information in a written text. In P. Fries, M. Cummings, D. Lockwood, and W. Spruiell (eds.), *Relations and Functions Within and Around Language* (pp.117-155). London: Continuum

Ghadessy, M. (ed.) (1995). *Thematic Development in English Texts*. London: Pinter

Gordon, R.L., Magne, C. And Large, E.W. (2011). EEG Correlates of song prosody: A new look at the relationship between linguistic and musical rhythm. *Frontiers in Psychology,* 2(352), pp.1-13

Gundel, J, Hegarty, M. and Borthen, K. (2003). Cognitive status, information structure, and pronominal reference to clausally introduced entities. *Journal of Logic, Language and Computers,* 12, pp.281-299

Halliday, M.A.K. (1967). Notes on transitivity and theme part 2. *Journal of Linguistics,* 3(2), pp.199-244

Halliday, M.A.K. (1978). *Language as Social Semiotic*. London: Edward Arnold

Halliday, M.A.K. (1989). *Spoken and Written Language*. Oxford: Oxford University Press

Halliday, M.A.K. & Greaves, W.S. (2008). *Intonation in the Grammar of English*. London: Equinox

Halliday, M.A.K. and Matthiessen, C.M.I.M. (1999). *Construing Experience Through Meaning: A Language-Based Approach to Cognition*. London: Continuum

Halliday, M.A.K. and Matthiessen, C.M.I.M. (2004). *An Introduction to Functional Grammar – Third Edition*. London: Arnold

Haviland, S. and Clark, H. (1974). What's new? Acquiring New information as a process in comprehension. *Journal of Verbal Learning and Verbal Behavior,* 13, pp.512-21

Henderson, J.M. (2003). Human gaze control during real-world scene perception. *TRENDS in Cognitive Science,* 7(11), pp.498-504

Hirotani, M., Frazier, L. and Rayner, K. (2006). Punctuation and intonation effects on clause and sentence wrap-up: Evidence from eye movements. *Journal of Memory and Language,* 54, pp.425-443

Jackendoff, R. (2002). *Foundations of Language*. Oxford: Oxford University Press

Juslin, P.N. and Västfjäll, D. (2008). Emotional responses to music: The need to consider underlying mechanisms. *Behavioral and Brain Sciences,* 31*,* pp.559-661

Kraus, N., Skoe, E., Parbery-Clark, A. and Ashley, R (2009). Experience-induced Malleability in Neural Encoding of *Pitch*, *Timbre*, and *Timing*. *Annals of the New York Academy of Sciences,* 1169, pp.543–557

Kress, G. & van Leeuwen, T. (1996). *Reading Images - The Grammar of Visual Design*. London: Routledge

Lamb, S. M. (1999). *Pathways of the Brain*. Amsterdam: John Benjamins

Lukatela, G., Eaton, T., Lee, C. and Turvey, M.T. (2001). Does visual word identification involve a sub-phonemic level? *Cognition,* 78, pp.B41-B52

Martin, J.R. (1992). *English Text: System and Structure*. Amsterdam: John Benjamins

Matthiessen, C.M.I.M. (1992). Interpreting the textual metafunction. In M. Davies and L. Ravelli (eds.), *Advances in Systemic Linguistics: Recent Theory and Practice* (pp.37-81). London: Pinter

Matthiessen, C.M.I.M. (1995). *Lexicogrammatical Cartography: English Systems*. Tokyo: International Language Science Publishers

Maturana, H.R. and Varela, F.J. (1987) *The Tree of Knowledge*. Boston: Shambhala

Moylan, W. (2006). *Understanding and Crafting the Mix*. London: Focal Press

O'Toole, M. (1994). *The Language of Displayed Art*. Cranbury, NJ: Associated University Presses

Parkes, M.B. (1992). *Pause and Effect - An Introduction to the History of Punctuation in the West*. Aldershot: Scolar Press

Perfetti, C. and Bolger, D. (2004). The brain might read that way. *Scientific Studies of Reading,* 8(3), pp293-304

Prince, E. (1981). Toward a taxonomy of given-new information. In P. Cole (ed.), *Radical Pragmatics* (pp.223-255). New York: Academic Press

Rayner, K.(1998). Eye movements in reading and information processing: 20 years of research. *Psychological Bulletin,* 124(3), pp.372-422

Riley, H. (2004). Perceptual modes, semiotic codes, social mores: a contribution towards a social semiotics of drawing. *Visual Communication,* 3(3), pp.294-315

Saenger, P. (1982). Silent reading: Its impact on late medieval script and society. *Viator,* 13, pp.367-414

Saenger, P. (1997). *Space Between Words*. Stanford: Stanford University Press

Steedman, M. (2000). Information structure and the syntax-morphology interface. *Linguistic Inquiry,* 31(4), pp.649-689

Thibault, P.J. (2004). *Brain, Mind and the Signifying Body*. London: Continuum

The 39th International Systemic Functional Congress was held
at the University of Technology, Sydney (UTS), 16-20 July, 2012.