Given the great quantity of work on genre theory that has been developed over the years, one volume of this kind can do no more than introduce a little of what has actually been achieved. Still, what is presented here constitutes a representative discussion. As such, it serves to offer readers both an account of some current SF thinking about genre, and an illustration of how it is that Halliday's functional grammar remains a critical tool in the enterprise of genre analysis and research.

While the reader might well choose to read the chapters here in any order, a sequence is nonetheless intended. Martin offers an overview of some critical theoretical perspectives that shape much of the discussion in later chapters. Rose, Iedema and White each take one significant site in which the genres of the workplace or community are examined. Thus, Rose considers the genres of science and technology, Iedema those of administration in a sampling of worksites, and White considers the narratives of 'hard news' reporting in the daily press. Christie's chapter then introduces a sequence of chapters that explore the genres of schooling. Hers is primarily devoted to oral genres, and to the manner in which particular pedagogic subject positions are constructed in pedagogic talk. The chapters of Veel, Coffin, and Rothery and Stenglin then go on to examine written genres in a range of significant secondary school subjects: science, history and English.

This book is not about pedagogy, though several of its chapters address questions of pedagogy, and it will, hopefully, interest many educators and teacher educators. Rather, it presents a theory about the role of genre in the social construction of experience, and its thesis includes the view that educational processes are critical in the building of various social positionings of relevance in the wider world beyond school, the world of work and community participation. We hope the book will be of interest, then, to linguists and social theorists of many kinds, all engaged in the scholarly pursuit of genres and their role in the building of social reality.

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1 Analysing genre: functional parameters

J. R. Martin

Resources

In this chapter we will outline in general terms the linguistic framework deployed throughout the volume, and consider in a little more detail some recent developments that bear critically on the analyses undertaken. Essentially, these analyses are informed by the model of language known as systemic functional linguistics (hereafter SFL), especially the variety of that model which has evolved in Australia since 1975. The most accessible introduction to this variety of SFL is Eggins (1994).

The functional grammar of English assumed here is that outlined in Halliday (1985a/1994), and elaborated by Matthiessen (1995). Beyond this, the discourse analyses undertaken draw on Halliday and Hasan (1976) and Martin (1992a). The model of context in focus here has evolved out of earlier work by Martin (1985b/1989) and Ventola (1987) and will be considered in more detail below.

We should also clarify here that a substantial portion of the research impelling the development of the model since the early 1980s has been carried out in the field of educational linguistics. The chapters by Coffin, Iedema, Rose, Rothery and Stenglin, Veel, and White in fact draw on research into secondary school and workplace literacy based in the Metropolitan East Region of the New South Wales Department of Education's Disadvantaged Schools Program in the early 1990s. This research and the materials deriving from it represented the second phase of literacy initiatives informed by SFL in the region (the first being the late 1980s primary school focused Language and Social Power Project). For a critical introduction to the issues contextualizing this work, see Cope and Kalantzis (1993). Martin was the chief academic consultant for both phases of this research, and was in addition supervisor of doctoral research by Christie, Iedema, Rose, Rothery and White. As a result it would be fair to say that the variety of SFL deployed here has been strongly influenced by University of Sydney SFL and its involvement in the development of 'genre-based' literacy pedagogy and curriculum (for mid-term reviews, see Christie 1992 and Martin 1993a).

Modelling language in context

Functional linguistics is centrally concerned with showing how the organ-ization of language is related to its use. In SFL this concern is pursued by modelling both language and social context as semiotic systems in a rela-tionship of **realization** with one another. In such a model social context and language metaredound (Lemke 1995) – which is to say that social context comprises patterns of language patterns. Realization also entails that language construes, is construed by and (over time) reconstrues social context. One of the images commonly used to outline this relation-ship is presented in Figure 1.1, with language and social context as co-tangential circles.
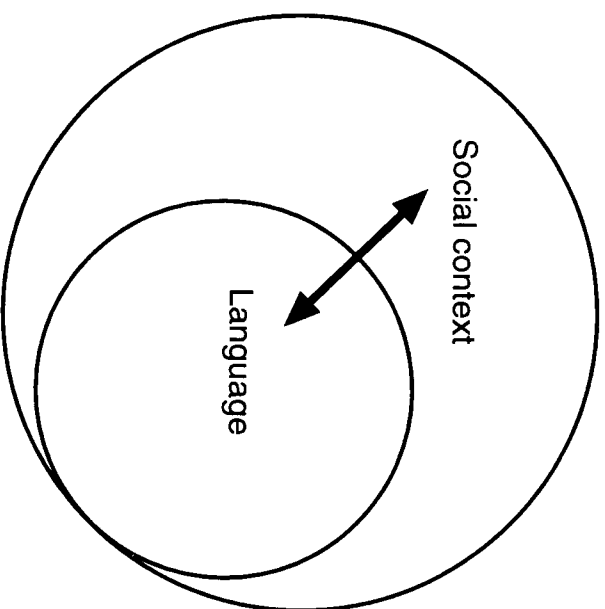

Figure 1.1 Language as the realization of social context

Adding to this model, SFL treats the organization of language and of social context as functionally diversified along similar lines. With language, functional diversification is modelled through **metafunctions** – ideational, interpersonal and textual. Ideational linguistic resources are concerned with representation, interpersonal resources with interaction, and textual resources with information flow. In SFL this intrinsic functional organiza-tion is projected on to context, redounding with the variables of field, tenor and mode – where field focuses on institutional practices, tenor on social relations and mode on channel. Useful discussions of linguistic metafunctions in relation to register variables are found in Halliday (1978), Halliday and Hasan (1980/1985/1989) and Martin (1991). The functional diversification reviewed here is laid over the language/social

context relation in Figure 1.2; note the proportionality' of the intrinsic and extrinsic functionality – field is to ideational resources as tenor is to interpersonal resources as mode is to textual resources.
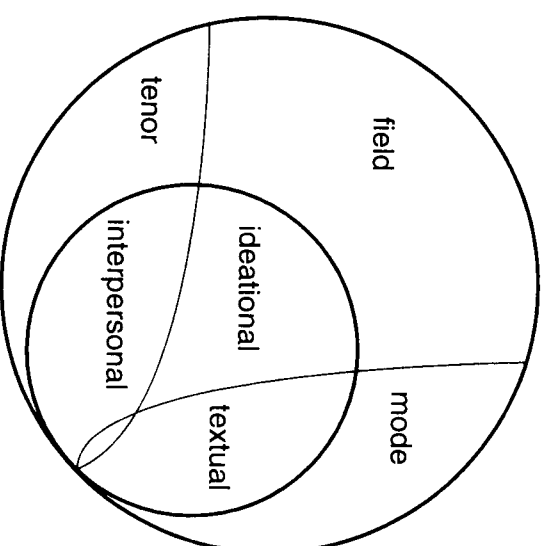

Figure 1.2 Functional diversification of language and social context

To begin, we looked at the issue of realization in relation to the rela-tionship between language and social context. At this point we return to realization, by way of unpacking the 'internal' organization of language and of social context. As far as language is concerned, SFL follows Hjelm-slev in assuming a fundamental separation of content and expression planes. The content plane is concerned with the construal of meaning; the expression plane with the organization of segmental and prosodic realizations of meaning in spoken or written language (phonology/graphology), or sign. Developing Hjelmslev, SFL takes the step of stratify-ing his content plane – as lexicogrammar and discourse semantics. Lexicogrammar focuses on resources for incorporating ideational, inter-personal and textual meaning as clauses and smaller units (groups/phrases, words and morphemes), as in Halliday (1985a/1994) and Matthiessen (1995), with lexis integrated as a more delicate perspective on grammar (Hasan 1987). Discourse semantics focuses on resources for integrating clauses with one another as cohesive text, as in Halliday and Hasan (1976) and Martin (1992a). If we unpack the inner circle of lan-guage in Figures 1.1 and 1.2, we arrive at the stratified model outlined in Figure 1.3 – as discourse semantics metaredounding with lexicogrammar, metaredounding in its turn with phonology/graphology.
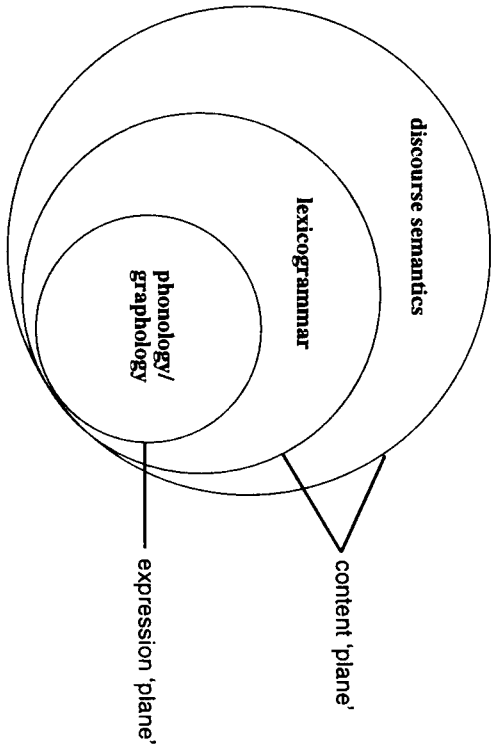
Figure 1.3 Stratification within language – as metaredundancy

Social context, in the model assumed here, is also treated as a stratified system[2] – comprising the levels of register and genre (as in Eggins and Martin 1996). Register is used as a general composite term for the field, mode and tenor variables introduced earlier.[3] Set up as a level in this way, register is designed to interface the analysis of social context naturally with the metafunctionally diversified organization of language resources. Genre on the other hand is set up above and beyond metafunctions (at a higher level of abstraction) to account for relations among social processes in more holistic terms, with a special focus on the stages through which most texts unfold. The relation of genre to register as complementary perspectives on the social 'content' of language (i.e. context) is thus comparable in some respects to the relation of discourse semantics to lexicogrammar as complementary perspectives on language's own content plane. Genre and register constitute a stratified perspective on what Hjelmslev referred to as connotative semiotics – semiotic systems that make use of another semiotic system as their expression plane (as opposed to denotative semiotics that have an expression plane of their own). The relation of connotative to denotative semiosis in the model is outlined in Hjelmslev's terms in Figure 1.4 (for further discussion, see Martin 1992a).

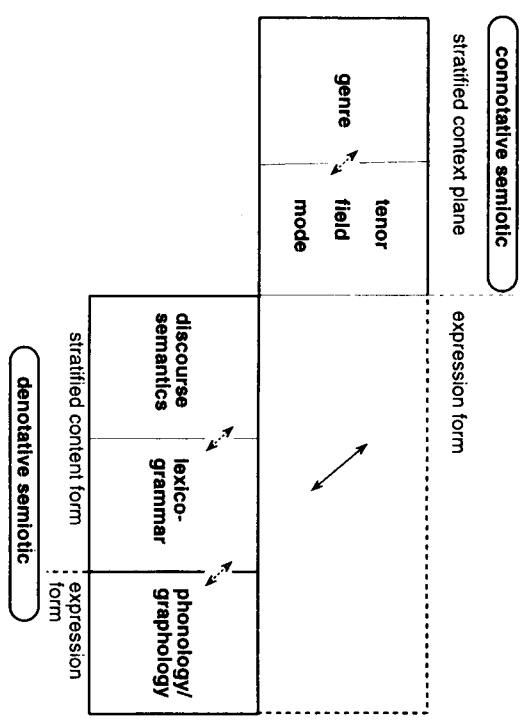In earlier models of context (e.g. Martin 1992a), an additional layer of

Figure 1.4 Language's stratified content form in relation to a stratified model of social context

context was set up, referred to as ideology, to focus attention on the distribution of discursive resources in a culture, and the divergent ways in which social subjects construe social occasions. This modelling strategy does not appear to have fostered the dialogue among functional linguists and critical theorists that was intended (cf. Threadgold 1991, 1993, 1994). An alternative strategy for enhancing this dialogue will be suggested below. For purposes of this volume, then, the metaredundancy[4] model outlined in Figure 1.5 will suffice. In such a model, register (encompassing field, tenor and mode) contextualizes language and is in turn contextualized by genre.

Genesis (and subjectivity)

Throughout the period of research canvassed by chapters in this volume, Halliday and Matthiessen were drawing increasing attention to language change (e.g. Halliday 1993b, Matthiessen and Halliday in press). The central issue here has to do with instantiation – the manifestation of system in process, and the way in which manifestations rebound on and ultimately reconstrue the system from which they derive. Halliday (e.g. 1991, 1992a, b, c, 1993a) suggests a model in which language is conceived as a set of probabilistic systems, each instantiation of which in some way re-inflects
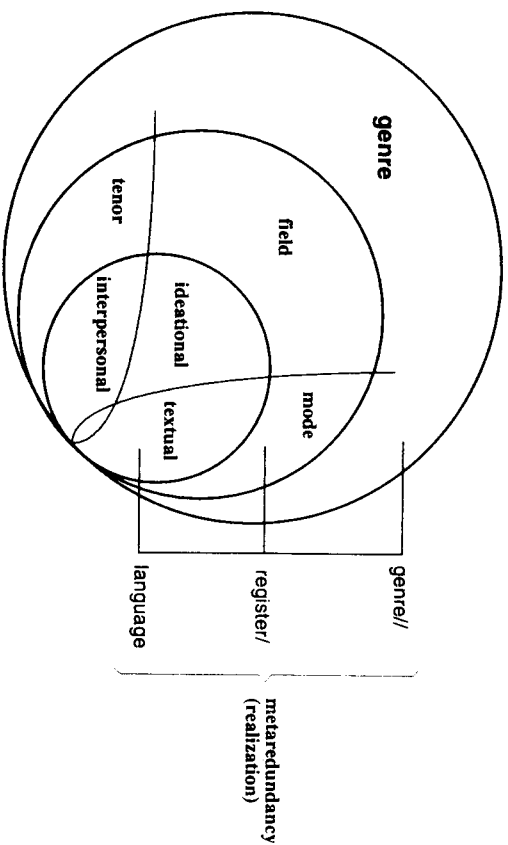
Figure 1.5 Language metaredounding with register, metaredounding with genre

probability – just as a cricketer's batting average fluctuates slightly with every run scored. What we call 'change' has to do with a drift of reverberations over time that in some way perturbs the system, making way for new resources. Nesbitt and Plum (1988) provide the classic insight into this process of semantic evolution in the context of clause complex relations. Note that a probabilistic model of this kind highlights the way in which connotative semiotics like register and genre are realized through language – namely, by reweighting the probabilities of certain linguistic choices being taken up (i.e. by putting different kinds of meaning at risk).

Halliday and Matthiessen suggest a framework for modelling semiotic change according to the 'time depth' involved. For relatively short time frames such as that involved in the unfolding of a text, they suggest the term logogenesis[5] (Matthiessen mimeo); for the longer time frame of the development of language in the individual, they use the term ontogenesis

(Painter 1984); and for maximum time depth, phylogenesis (as in Halliday's reading of the history of scientific English; Halliday and Martin 1993). This framework is summarized in Table 1.1.

Table 1.1 Framing semiotic change

logogenesis	'instantiation of the text/process'	unfolding
ontogenesis	'development of the individual'	growth
phylogenesis	'expansion of the culture'	evolution

In a model of this kind, phylogenesis provides the environment for ontogenesis which in turn provides the environment for logogenesis; in other words, the stage a culture has reached in its evolution provides the social context for the linguistic development of the individual, and the stage this development has reached in the individual provides resources for the instantiation of unfolding texts. Conversely, logogenesis provides the material (i.e. semiotic goods) for ontogenesis, which in turn provides the material for phylogenesis; in other words, texts provide the means through which individuals interact to learn the system, and it is through the heteroglossic aggregation of individual (always already social) systems that the semiotic trajectory of a culture evolves (Figure 1.6). Language change in this model is read in terms of an expanding meaning potential, a key feature of semiotic systems as they adapt to new discursive and non-discursive (physical and biological) environments.

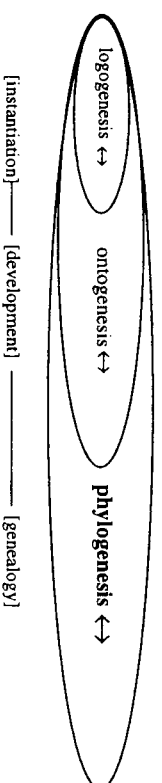At this point in the discussion we might resume the question of ideology, passed over above. The fundamental issue here has to do with the ways in which social subjects are positioned in a culture. To interpret this semiotically, we need to be able to model the meaning potential available to social subjects and, as well, the different ways in which they draw on this potential as they interact with each other. Traditionally, the variables which affect this positioning are generalized under headings such as gender, ethnicity, class and generation. SFL research in this area has been strongly influenced by Bernstein's notions of coding orientation (e.g. Cloran 1989; Hasan 1990), with Martin (1992a) suggesting that ideology

Figure 1.6 Time frames and semogenesis

Semogenesis: kinds of change

logogenesis ↔   ontogenesis ↔   **phylogenesis** ↔

[instantiation]———— [development] ———— [genealogy]

might be conceived as the system of coding orientations engendering subjectivity – at a higher level of abstraction than genre.

One of the dangers inherent in modelling subjectivity along these lines is that of locking subjects in and eliding agency, thereby effacing their potential for resistance and transformation. One way to defuse this danger might be to approach subjectivity dynamically, from the perspective of the genesis theory just outlined. This would enable us to foreground the ways in which subjects engage dynamically with texts as they unfold (logogenesis), the ways in which they are positioned and repositioned socially throughout their life (ontogenesis) and the ways in which a culture reworks hegemony across generations (phylogenesis). In a model of this kind, it would be more natural to interpret language, register and genre as the projection of semohistory (across all three time frames) than as realizing an abstract and reified ideology (as Martin's model has at times been read to imply). In these terms, language, register and genre constitute the meaning potential that is immanent, from moment to moment as a text unfolds, for the social subjects involved, at the point in the evolution of the culture where meanings are being made. An outline of this perspective is presented as Figure 1.7, including some indication of the way in which links might be drawn with the work of central post-structuralist theorists in a model of this kind. In Figure 1.7 Halliday's (1985a) α β' notation for projecting clause complexes has been borrowed to represent one of the senses in which history (i.e. semogenesis) gives meaning to synchronic (albeit always changing) semiosis.

A glance at register

Since the early 1980s, researchers involved in developing the model of context outlined here have been working towards a semiotic construal of field, tenor and mode variables – inspired by Halliday's (e.g. 1978) reading of language as a social semiotic. This has proved an ambitious undertaking, and has been shaped in various ways by the availability of research funding and consumer needs, with educational concerns compelling a good deal of the work. The descriptive responsibilities of the field, tenor and mode analyses assumed is essentially that outlined in Martin (1992a).

Field is concerned with systems of activity, including descriptions of the participants, process and circumstances these activities involve. From the perspective of field, the principles for relating activities to one another have to do with the institutional focus of the activities – the ways in which the activities co-articulate everyday and public institutions such as domestic life, bridge, rugby, information technology, sociology, science, bureaucracy and so on. The co-articulating activities of a field tend to share participants, which are organized taxonomically – via hyponymy (class/subclass) or meronymy (part/whole). Participants enter into activities by bonding with processes and circumstances, so that when we hear that *Waugh has just notched up a double century at Sabina Park* we know the field

of cricket is at stake[6] (or, if outsiders, we simply have no idea what is going on). For illustrative work on activity sequences and taxonomies in the field of science see Rose *et al.* (1992), Halliday and Martin (1993) and Martin and Veel (to appear).
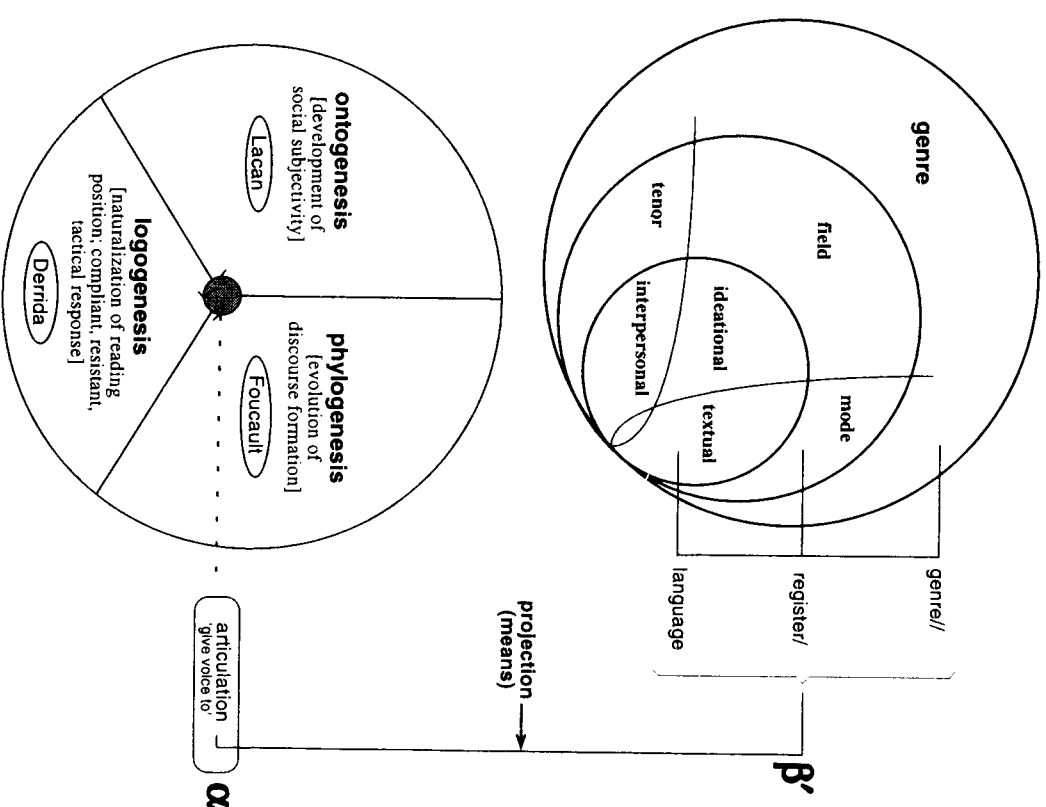

Figure 1.7 Language, register and genre as the projection of their semohistory – across time frames

Tenor is concerned with social relations, as these are enacted through the procedure and so on; see Rose, Chapter 2).

Tenor is concerned with social relations, as these are enacted through the dimensions of power and solidarity. Following Poynton (1985/1989), work on the 'vertical' status dimension has focused on reciprocity of semiotic choice – taking up her suggestion that interlocutors of equal status have access to the same kinds of meanings whereas interlocutors of unequal status take up semantic choices of different kinds. Work on the 'horizontal' contact dimension has been slower to evolve, dependent as it was on the development of better descriptions of evaluative language and its bonding potential (see the section on APPRAISAL below). For important work on tenor in administrative contexts see Iedema (1996 and Chapter 3 below).

Mode is concerned with semiotic distance, as this is affected by the various channels of communication through which we undertake activity (field) and simultaneously enact social relations (tenor). From the perspective of field, semiotic distance has to do with the role played by language in the activity – part of what is going on, live commentary on what is going on, reconstruction of what was going on . . . and on to abstract and theoretical texts in which language reconstitutes activity (see 'Grammatical metaphor' below). From the perspective of tenor, semiotic distance has to do with the kinds of interaction various channels enable or disable – from the two-way aural and visual feedback of face-to-face conversation through telephone, radio and television to the no immediate feedback context of reading and writing. Recently, partly as a result of emergence of communication via electronic texts (e-mail; the World Wide Web), the role of image in relation to verbiage has received increasing attention (as inspired by Kress and van Leeuwen 1990, 1996 and O'Toole 1994); the study of multi-modal texts is currently a dynamic growth area as far as mode research is concerned (e.g. Lemke to appear).

A glance at genre

As with register (field, tenor and mode) the framework for analysing genre is essentially that outlined in Martin (1992a; for illustrative implementations see Ventola 1987, 1988, 1995). As such, genre is concerned with systems of social processes, where the principles for relating social processes to each other have to do with texture – the ways in which field, mode and tenor variables are phased together in a text. This means that the principles for relating texts to one another at the level of genre complement those at the level of register. For example, from the perspective of field those instructions for doing a science experiment are immediately related to actually doing the experiment, the procedural recount of that experiment, the explanation the experiment is designed to illustrate (and so on; see Veel, Chapter 6). From the perspective of genre, on the other hand, the instructions are immediately related to a range of procedural texts (e.g. directions, recipes, instruction manuals) with closely related texture (i.e. a sequence of commands, potentially prefaced by a list of tools,

ingredients, or relevant apparatus, potentially headed by the purpose of the procedure and so on; see Rose, Chapter 2).

In Australian educational linguistics, genres have been defined as staged, goal-oriented social processes (e.g. Martin et al. n.d./1987), a definition which flags the way in which most genres take more than a single phase to unfold, the sense of frustration or incompletion that is felt when phases don't unfold as expected or planned, and the fact that genres are addressed (i.e. formulated with readers and listeners in mind), whether or not the intended audience is immediately present to respond. In these terms, as a level of context, genre represents the system of staged goal-oriented social processes through which social subjects in a given culture live their lives.

Recent work has foregrounded the question of modelling relations among genres and the nature of generic structure. The impetus for the concern with modelling genres relations stems from two sources: (1) the availability of descriptions of an ever-widening range of genres, especially in educational contexts (families of stories, procedures, explanations, etc.), and (2) countering resistance to the notion of a distinct level of genre as part of a model of social context (as voiced by Hasan 1995).

Genre agnation

As far as strategies for modelling genre as system are concerned, two approaches have been explored. One involves the traditional SFL approach to agnation, via **typology**. With this approach, categorical distinctions are set up as oppositions and used to factor out similarities and differences among genres. For simple sets of oppositions, a paradigm can be used to display the relevant valeur, as in Table 1.2[7] (from Martin in press).

Paradigms quickly become saturated as a display mechanism as additional oppositions are taken into account and more complicated typologies are better imaged as system networks. In Figure 1.8 (taken from Martin in press), procedural genres are added to the picture. The network shows procedures to be immediately agnate to historical recounts with which genres they share a generalized focus on activity; but whereas histor-

Table 1.2 Using a paradigm to express genre agnation

	particular	generalized
activity focused	procedural recount [1]	historical recount [2]
entity focused	description [3]	descriptive report [4]

ical recounts make a statement about the past, procedures direct activity which has yet to be undertaken.
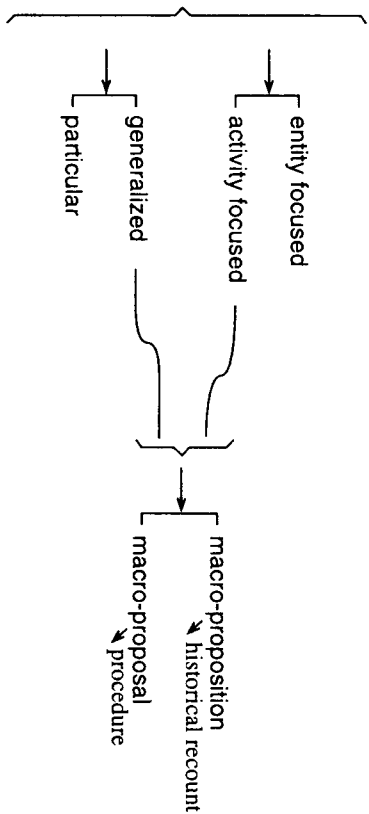

Figure 1.8 Using a system network to model genre agnation

Typological description of this kind and its formalization in system networks is of course the cornerstone of SFL theory and description. The categorical precision with which it sets up its oppositions and renders meaning as valeur is at the same time its weakness. In grammar, for example, clauses are classified according to process type – and for purposes of analysis and description they have to be one type or another. But as the front cover of Halliday's 2nd edition of his *Introduction to Functional Grammar* illustrates, process types can also be interpreted as blending into one another as does one colour to another in a rainbow. Behaving (*laughing, pondering, looking*) is between acting (material processing) and sensing (mental processing) just as purple can be read as a cline between red and blue (for a discussion of typology and process type see Martin 1996a). As a result it is necessary to complement typological analysis with a topological perspective. Lemke introduces the notion of topology in relation to genre relations as follows (the significance of topology elsewhere in the model is taken up in Martin and Matthiessen 1991):

A **topology**, in mathematical terms, IS A SET OF CRITERIA FOR ESTABLISHING DEGREES OF NEARNESS OR PROXIMITY AMONG THE MEMBERS OF SOME CATEGORY. It turns a 'collection' or set of objects into a *space* defined by the relations of those objects. Objects which are more alike by the criteria are represented in this space as being closer together; those which are less alike are further apart. There can be multiple criteria, which may be more or less independent of one another, so that two texts, for instance, may be closer together in one dimension (say horizontal distance), but further apart in another (vertical distance). What is essential, obviously, is our choice of the criteria, the *parameters*, that define similarity and difference on each dimension. These parameters can be represented as more or less alike. The same set of parameters allows us to describe both the similarities and the differences among texts, or text-types

(genres). (From Lemke 'The topology of genre ...' unpublished earlier draft of Lemke in press)

By way of brief illustration, consider the genre topology in Table 1.3, involving a set of secondary school history genres (as further explored and exemplified by Coffin, Chapter 7 below). The display arranges the history genres in a pedagogic developmental sequence, as a scaffolding for apprenticeship into the discipline. It begins on the left with genres that are likely to be more accessible to students because of their similarity to recounting genres in their oral cultures; it ends on the right with genres that involve a great deal of grammatical metaphor as far as text organization is concerned, and thus depend on levels of literacy commonly associated with senior secondary school.

Table 1.3 A topological perspective on genre agnation (for secondary school history genres)

1	prosodic appraisal		periodic appraisal		thesis appraisal
2	proposition				proposition/ proposal
3	tell	record	explain		argue
	auto/ biographical recount	historical recount	historical account	factorial and consequential	exposition/ challenge
		reveal	probe		
			explanation	challenge	discussion
4	individual focus		group (+ hero) focus		
5	text time = field time		text time ≠ field time		
6	episodic unfolding in time	causal unfolding		internal unfolding	

In Table 1.3 we have boxed in the genres, but the relation of one to another needs to be seen as a cline. For example, from the typological perspective, the categorical difference between historical recounts and accounts has to do with whether history unfolds sequentially or causally – whether one event is followed by another or leads to another. But many texts use a combination of sequential and causal relations. For purposes of typological classification, we have to define just what percentage of causal relations is required for a text to qualify as an account. The topological perspective on the other hand allows us to position texts on a cline, as more or less prototypical recounts or accounts according to the time/cause parameter.

Generally, when articulating a pedagogic sequence like that in Table 1.3, there is more than one parameter to consider. Six parameters are in

fact deployed above. And note that these parameters group the history genres in different ways. The 'mood' parameter (proposition vs. proposition/proposal) opposes most of the genres to the argumentative ones on the right, since in general it is only the argumentative genres that include commands of one kind or another (e.g. exhortative appeals to redress past injustices). Conversely, the 'identification' parameter opposes most of the history genres to the autobiographical and biographical recounts, since in general it is only the auto/biographical recounts that focus on individual participants (as opposed to generic classes of participant). As with all topological parameters these distinctions are matters of degree – most mainstream history, for example, foregrounds male individuals who shape the course of history for generic classes of participant, right across the historical recount, account, explanation and argument spectrum.

We have found the topological perspective on genre agnation to be a particularly significant one in educational contexts for a number of reasons. For one thing, it facilitates the development of learner pathways (as in Table 1.3) – outlines of what kinds of developmental sequence will help students move smoothly from control of one genre to another. For another, it helps teachers and students make sense of the real-life instantiations of genres they come across in their reading and marking, which are not always prototypical examples of canonical genres. And, finally, the topological perspective provides principled tools for reasoning about genre mixing and semogenesis – as with the greening of secondary school science (Veel to appear); topologically, the new green genres can be read as involving additional ecological discourse parameters, above and beyond the traditional parameters associated with the discipline.

Genre structure

Turning to the question of genre structure, the main developments have involved moving away from simple constituency representations of genre staging. This development first arose in the context of dealing with longer texts, such as those comprising so much of the reading and writing in secondary school subjects. Martin (1994, 1995a) proposes the term **macro-genre** for texts which combine familiar elemental genres such as recount, report, explanation, exposition and so on. He suggests that logico-semantic relations such as those outlined by Halliday for clause complexes (elaboration, extension, enhancement) can be deployed to reason about genre complexing in longer texts. In the course of this research Martin also noted periodic and prosodic patterns ranging over combinations of genre complexes – for example, the introduction and conclusion of an essay, or the evaluative stance of a review. This raised the issue of whether the staging of elemental genres should be reconsidered in light of Halliday (e.g. 1979) and Matthiessen's work (e.g. 1988) on types of structure in grammatical description.

Martin (1996b) suggests that the structure of even elemental genres

can indeed be factored out according to a range of structuring principles, and that constituency representation offers only a relatively compromised image of genre phasing. Martin's rendering of Halliday and Matthiessen's types of structure is outlined in Figure 1.9, which in addition associates
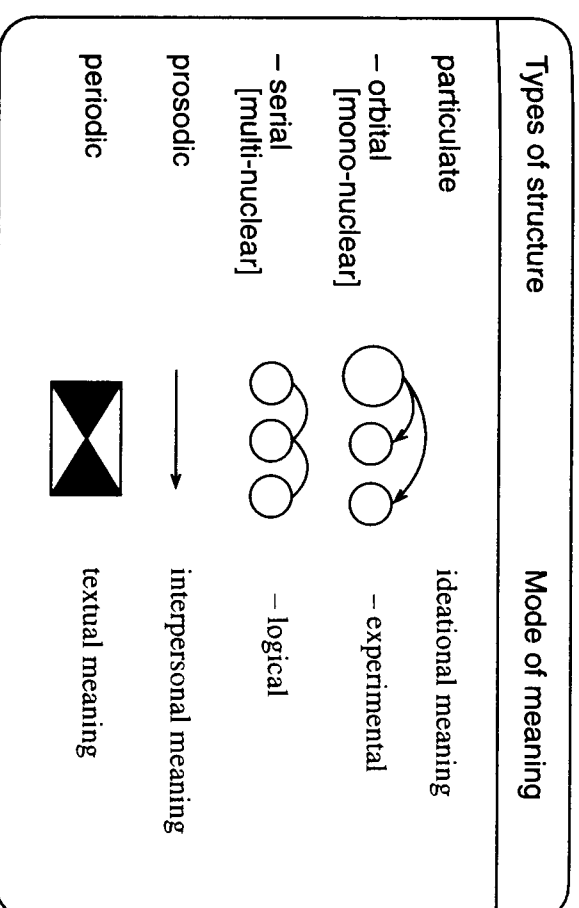

Types of structure	Mode of meaning
particulate	ideational meaning
– orbital [mono-nuclear]	– experimental
– serial [multi-nuclear]	– logical
prosodic	interpersonal meaning
periodic	textual meaning

Figure 1.9 Types of structure in relation to modes of meaning

the various structuring principles with metafunctions. The basic division is between particulate, prosodic and periodic structure. Particulate structure organizes text segmentally, into either orbital or serial patterns. Orbital structure takes one segment as nuclear, and associates other segments with this nucleus as satellites (see White, Chapter 4 below); with serial structure, there is no nuclear segment on which others depend – the text unfolds step by step, with each step dependent on the immediately preceding. Prosodic structure is supra-segmental: it spreads itself across a text, more and less intensely as required, in a way akin to tone contours in phonology. Periodic structure is wave-like; it organizes a text into a rhythm of peaks and troughs, as the demands of information flow prescribe.

It follows from this factoring of kinds of structure that genre structure is best interpreted simultaneously from the perspective of particulate, prosodic and periodic representations. By way of illustration, consider the analyses of an exemplum (one of the narrative genres discussed in Rothery and Stenglin, Chapter 8 below). Read from the perspective on constituency, an exemplum like Springsteen's 'Born in the USA' (Cranny-Francis and Martin 1991) consists of an Orientation, followed by an Incident, followed by an Interpretation, followed by a Coda. Read from the
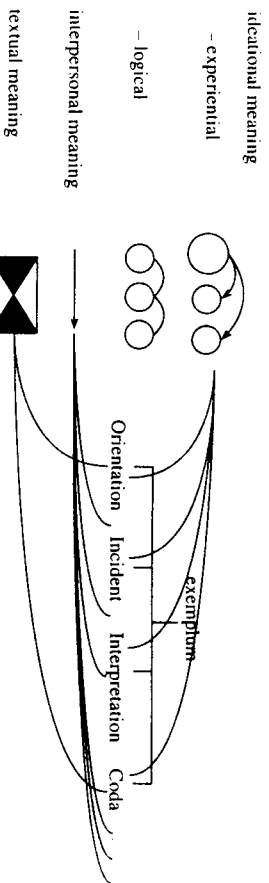
ideational meaning
- experiential
- logical

interpersonal meaning

textual meaning

Orientation Incident Interpretation Coda

exemplum

Figure 1.10 Types of structure in relation to constituency representation

perspective of a multi-structural analysis on the other hand, the song has a nuclear stage (the Incident), with Orientation, Interpretation and Coda satellites; alongside this, the song has a chorus ('Born in the USA') which interacts with the Interpretation in such a way that Springsteen's scathing deconstruction of America's military exploitation of its working class reverberates through the song; and punctuating this, the song begins with an Orientation and ends with a Coda that foreground, through relational clauses and low-key musical accompaniment, the powerless position of the veteran Springsteen has written the exemplum about. A crude synopsis of the complementarity of these readings is outlined in Figure 1.10, which includes some attempt to outline the sense in which constituency representation compromises the factored analysis.

A brief outline of APPRAISAL

In the course of the secondary school and workplace literacy research noted above, it became necessary to expand our analyses of interpersonal meaning to include more work on evaluative language (building on Martin 1992b, 1995b, 1996c). We tackled this first in the context of narrative analysis in English, moving on to the issue of objectivity in the media and finally focusing on responses to verbal and non-verbal artefacts in English and Creative Arts. Partly in line with this trajectory, we concentrated first on AFFECT (resources for construing emotion), then on JUDGE-MENT (resources for judging behaviour in 'ethical' terms) and finally on APPRECIATION (resources for valuing objects 'aesthetically'). Collectively, we refer to these resources as APPRAISAL, including additional resources for AMPLIFICATION and ENGAGEMENT (a more detailed discussion of these resources is presented in Martin to appear).

Before looking at the scaffolding we developed for categorizing AFFECT, JUDGEMENT and APPRECIATION, let's illustrate the domains of meaning at issue here. The examples are taken from the opening scene of the movie *Educating Rita'* – the first meeting between Rita and her tutor, Frank. In the first example, Rita expresses her emotional response to the view from

Frank's window, drawing on mental processes of affection (relevant appraisal in bold face in these examples):

AFFECT (emotions; reacting to behaviour, text/process; phenomena)
Rita: I **love** this room. I **love** the view from this window. Do you **like** it?
Frank: I don't often consider it actually.

In the following example, Frank makes judgements about the propriety of his appalling teaching as far as most of his students and Rita are concerned:

JUDGEMENT (ethics; evaluating behaviour)
Frank: You want a lot and I can't give it. Between you, and me, and the walls, actually I am an appalling teacher. That's **all right** most of the time. Appalling teaching is **quite in order** for most of my appalling students. But it is **not good enough** for you young woman.

In the next example, Rita comments on the value of a book she's been reading:

APPRECIATION (aesthetics; evaluating text/process, phenomena)
Rita: Rita Mae Brown, who wrote 'Rubyfruit Jungle'. Haven't ... haven't you read it?
Frank: No.
Rita: It's a **fantastic** book, you know. Do you want to lend it?
Frank: Ah yes.
Rita: Here.
Frank: Yes. Well, thank-you very much.
Rita: That's okay.

Alongside these evaluative resources, we also considered systems for adjusting a speaker's commitment to what they are saying (ENGAGEMENT). In the following example Frank uses explicitly subjective modality metaphors (Halliday 1994: 358) to hedge his reply (exasperating Rita in the process).

ENGAGEMENT (resources for adjusting modal responsibility)
Rita: . . . That's a nice picture, isn't it Frank?
Frank: Uh yes, **I suppose** it is.
Rita: It's very erotic.
Frank: Actually **I don't think** I've looked at that picture in 10 years, but, uh, yes, it is, **I suppose so.**
Rita: Well, there's no suppose about it.

Appraisal resources also include systems for grading evaluations – turning up the volume as in the first example, or playing things down as in the second.

AMPLIFICATION (resources for grading)

Rita: ... You know like when I'm in the hair-dressers where I work, I'll say something like um "Oh, I'm **really fucked**" **dead** loud. I mean, it doesn't **half** cause **a fuss**...
Frank: [laughs]

Frank: ... What is your name?
Rita: Me first name?
Frank: Well, that would **at least** constitute **some sort of** start, wouldn't it?
Rita: Rita.
Frank: Rita. Uh, here we are. Rita. It says here "Mrs S White."

Grading is an essential feature of APPRAISAL, which means that a number of related resources for negotiating solidarity are treated separately, under the heading INVOLVEMENT. These resources include the use of names, slang and taboo lexis, specialized and technical terms, standard and non-standard features and the like to orchestrate group membership.

INVOLVEMENT (lexical in/exclusion; not graded)
Rita: It's a fantastic book, you know. Do you want to **lend** it?

Rita: Yes, but with educated people, they don't worry, do they? It's the aristocracy that swears more then anyone. It's all 'Pass me the **fucking** pheasant' with them...

Rita: ... And oh what do they call you round here?
Frank: **Sir**. But you may call me **Frank**.
Rita: Okay, **Frank**. That's a nice picture, isn't it **Frank**?

A rough outline of interpersonal resources is presented as Table 1.4, organized by strata. In the table, NEGOTIATION refers to MOOD-based resources for exchanging information and goods/services, as outlined in Martin (1992a). The APPRAISAL and INVOLVEMENT systems are designed to complement the traditional focus on dialogue into terms of turn-taking and exchange. They are of special relevance to work on the discourse dynamics of solidarity.

Unfortunately, space does not permit a detailed presentation of APPRAISAL resources. Our framework for AFFECT stabilized around the variables outlined in Table 1.5. Note that at this stage it does not include resources for desire (wanting, wishing, longing, etc.), which is elsewhere grouped with modality (modulations of inclination); nor does it include resources for surprise (being shocked, startled, taken aback, etc.). AFFECT variables consider:

(i)   Are the feelings popularly construed by the culture as positive (good vibes that are enjoyable to experience) or negative ones (bad vibes that are better avoided)?

Table 1.4 A survey of interpersonal resources (across strata)

register	discourse semantics	lexicogrammar	phonology
TENOR			
	NEGOTIATION		
	– speech function	– mood	– tone (and 'key')
	– exchange	– tagging	
		– polarity	
power (status)	APPRAISAL		
	– engagement	– 'evaluative' lexis	– loudness
	– affect	– modal lexis	– pitch move-ment
	– judgement	– modal verbs	
	– appreciation	– adjuncts	– voice quality
	– amplification	– pre/numera-tion	– [formatting]
		– intensification	
		– repetition	
		– manner; extent	
solidarity (contact)	INVOLVEMENT		
	– naming	– vocation/names	– 'accent'...
	– technicality	– technical lexis	– whisper...
	– anti-language	– specialized lexis	– acronyms
	– swearing	– slang	– 'pig latins', secret scripts
		– taboo lexis	

– positive affect   the boy was HAPPY
– negative affect   the boy was SAD

(ii) Are the feelings realized as a surge of emotion involving some kind of embodied paralinguistic or extra-linguistic manifestation, or more prosodically experienced as a kind of predisposition or ongoing mental state?

– behavioural surge   the boy LAUGHED
– mental disposition the boy LIKED the present

(iii) Are the feelings construed as directed at or reacting to some specific external agency or as a general ongoing mood for which one might pose the question 'Why are you feeling that way?' and get the answer 'I'm not sure'?

Table 1.5 A framework for analysing English AFFECT (with examples)

	SURGE (of behaviour)	DISPOSITION
UN/HAPPINESS		
unhappiness		
misery [mood]	whimper / cry / wail	down [low] / sad [median] / miserable [high]
antipathy [directed feeling]	rubbish / abuse / revile	dislike / hate / abhor
happiness		
cheer	chuckle / laugh / rejoice	cheerful / buoyant / jubilant
affection	shake hands / hug / embrace	fond / loving / adoring
IN/SECURITY		
insecurity		
disquiet	restless / twitching / shaking	uneasy / anxious / freaked out
apprehension	tremble / shudder / cower	wary / fearful / terrorized
security		
confidence	declare / assert / proclaim	together / confident / assured
trust	delegate / commit / entrust	comfortable with / confident in/about / trusting
DIS/SATISFACTION		
dissatisfaction		
ennui	fidget / yawn / tune out	bored / fed up / exasperated
displeasure	caution / scold / castigate	cross / angry / furious
satisfaction		
engagement	attentive / busy / flat out	interested / absorbed / engrossed
admiration	pat on the back / compliment / reward	satisfied / impressed / proud

– reaction to other   the boy LIKED the present/the present PLEASED the boy

– undirected mood   the boy was HAPPY

(iv) How are the feelings graded: towards the lower valued end of a scale of intensity or towards the higher end, or between?

– low   the boy LIKED the present
– 'median' the boy LOVED the present
– high   the boy ADORED the present

(v) The final variable in our typology of affect groups emotions into three major sets. The in/security variable covers emotions concerned with eco-social well-being – anxiety, fear, confidence and trust; the dis/satisfaction variable covers emotions concerned with telos (including frustration) – ennui, anger, curiosity, respect; the un/happiness variable covers emotions concerned with sadness, antipathy, happiness and love.

Our framework for JUDGEMENT is outlined in Table 1.6 (for a partial exemplification see Martin 1995c). Judgement can perhaps be thought of as the institutionalization of feeling, in the context of proposals (norms

– in/security   the boy was ANXIOUS/CONFIDENT
– dis/satisfaction   the boy was FED UP/ABSORBED
– un/happiness   the boy was SAD/HAPPY

Table 1.6 A framework for analysing JUDGEMENT in English

SOCIAL ESTEEM 'venial'	POSITIVE [admire]	NEGATIVE [criticize]
normality [fate] 'is s/he special?'	lucky, fortunate, charmed. . .; normal, average, everyday. . .; in, fashionable, avant garde. . .	unfortunate, pitiful, tragic. . .; odd, peculiar, eccentric. . .; dated, daggy, retrograde. . .
capacity 'is s/he capable?'	powerful, vigorous, robust. . .; insightful, clever, gifted. . .; balanced, together, sane. . .	mild, weak, whimpy. . .; slow, stupid, thick. . .; flaky, neurotic, insane. . .
tenacity [resolve] 'is s/he dependable?'	plucky, brave, heroic. . .; reliable, dependable. . .; tireless, persevering, resolute	rash, cowardly, despondent. . .; unreliable, undependable. . .; weak, distracted, dissolute. . .
SOCIAL SANCTION 'mortal'	**POSITIVE [praise]**	**NEGATIVE [condemn]**
veracity [truth] 'is s/he honest?'	truthful, honest, credible. . .; real, authentic, genuine. . .; frank, direct. . .	dishonest, deceitful. . .; glitzy, bogus, fake. . .; deceptive, manipulative. . .
propriety [ethics] 'is s/he beyond reproach?'	good, moral, ethical. . .; law abiding, fair, just. . .; sensitive, kind, caring. . .	bad, immoral, evil. . .; corrupt, unfair, unjust. . .; insensitive, mean, cruel. . .

about how people should and shouldn't behave). Like AFFECT, it has a positive and negative dimension – corresponding to positive and negative judgements about behaviour. Our media research led us to divide judgements into two major groups, social esteem and social sanction (Iedema et al. 1994). Judgements of esteem have to do with normality (how unusual someone is), capacity (how capable they are) and tenacity (how resolute they are); judgements of sanction have to do with veracity (how truthful someone is) and propriety (how ethical someone is).[9]

Social esteem involves admiration and criticism, typically without legal implications; if you have difficulties in this area you may need a therapist. Social sanction on the other hand involves praise, and condemnation, often with legal implications; if you have problems in this area you may need a lawyer. The kinds of judgement speakers take up is very sensitive to their institutional position. For example, only journalists with responsibility for writing editorials and other comment have a full range of judgemental resources at their disposal; reporters writing hard news that is meant to sound objective have to avoid explicit judgements completely.

Our framework for APPRECIATION is outlined in Table 1.7. Appreciation can perhaps be thought of as the institutionalization of feeling, in the context of propositions (norms about how products and performances are valued). Like AFFECT and JUDGEMENT it has a positive and negative dimension – corresponding to positive and negative evaluations of texts and processes (and natural phenomena). The system is organized around three variables: reaction, composition and valuation.[10] Reaction has to do with the degree to which the text/process in question captures our attention (reaction:impact) and the emotional impact it has on us. Composition has to do with our perceptions of proportionality (composition:balance) and detail (composition:complexity) in a text/process. Valuation has to do with our assessment of the social significance of the text/process.

Table 1.7 A framework for analysing APPRECIATION in English

	POSITIVE	NEGATIVE
reaction: impact 'did it grab me?'	arresting, captivating, engaging...; fascinating, exciting, moving...	dull, boring, tedious, staid...; dry, ascetic, uninviting...
reaction: quality 'did I like it?'	lovely, beautiful, splendid...; appealing, enchanting, welcome...	plain, ugly...; repulsive, revolting...
composition: balance 'did it hang together?'	balanced, harmonious, unified, symmetrical, proportional...	unbalanced, discordant, contorted, distorted...
composition: complexity 'was it hard to follow?'	simple, elegant...; intricate, rich, detailed, precise...	ornamental, extravagant...; monolithic, simplistic...
valuation 'was it worthwhile?'	challenging, profound, deep...; innovative, original, unique...	shallow, insignificant...; conservative, reactionary...

Of these dimensions, valuation is especially tied up with field, since the criteria for valuing a text/process are for the most part institutionally

specific. But beyond this, since both JUDGEMENT and APPRECIATION are in a sense institutionalizations of feeling, all of the dimensions involved will prove sensitive to field. An example of this coupling of ideational and interpersonal meaning is presented for appreciations of research in the field of linguistics in Table 1.8.

Table 1.8 Field specific appreciation (for linguistics)

linguistics	positive	negative
reaction: impact [noticeability]	timely, long awaited, engaging, landmark...	untimely, unexpected, overdue, surprising, dated...
reaction: quality [likeability]	fascinating, exciting, interesting, stimulating, impressive, admirable...	dull, tedious, boring, pedantic, didactic, uninspired...
composition [balance]	consistent, balanced, thorough, considered, unified, logical, well argued, well presented...	fragmented, loose ended, disorganized, contradictory, sloppy...
composition [complexity]	simple, lucid, elegant, rich, detailed, exhaustive, clear, precise...	simplistic, extravagant, complicated, Byzantine, labyrinthine, overly elaborate, narrow, vague, unclear, indulgent, esoteric, eclectic...
valuation [field genesis]	useful, penetrating, illuminating, challenging, significant, deep, profound, satisfying, fruitful...	shallow, ad hoc, reductive, unconvincing, unsupported, fanciful, tendentious, bizarre, counterintuitive, perplexing, arcane...

Further complicating this issue is the implicit coupling of field with appraisal. This means that ideational meanings can be used to appraise, even though explicitly evaluative lexis is avoided. For example, when Rita mentions Rita Mae Brown's *Rubyfruit Jungle* in the example noted above, it is clearly the case that her tutor Frank and anyone else naïvely apprenticed into mainstream literary sensibilities is being positioned by Willie Russell to value the book as insignificant, judge Rita as ignorant and feel dislike for the book, its author and Rita as well. Mere mention of the book evokes these feelings, without any explicit appraisal having to be construed at all. Every institution is loaded with couplings of this kind, and socialization into a discipline involves both an alignment with the institutional practices involved and an affinity with the attitudes one is expected to have towards those practices.

In practical terms this means that when analysing APPRAISAL in a text, one has to take into account the APPRAISAL that is evoked by ideational tokens, alongside that which is explicitly inscribed; and beyond this it means that analysts need to declare their reading position – since the evaluation one makes of evocations depends on the institutional position one is reading from. There are many readers, for example, who would have aligned with Rita rather than Frank with respect to a popular culture

text like *Rubyfruit Jungle*. Similarly, according to reading position, formal and functional linguists will evaluate terms in the following sets of oppositions in complementary ways – with firm convictions about what the good guys and the bad guys should celebrate.¹¹

rule/resource:: cognitive/social:: acquisition/development:: syntagmatic/paradigmatic:: form/function:: language/parole:: system/process:: psychology and philosophy:: sociology and anthropology:: cognitive/social:: theory/description:: intuition/corpus:: knowledge/meaning:: syntax/discourse:: pragmatics/context:: parsimony/extravagance:: cognitive/critical:: technicist/humanist:: truth/social action:: performance/instantiation:: categorical/probabilistic:: contradictory/complementary:: proof/exemplification:: reductive/comprehensive:: arbitrary/natural:: modular/fractal:: syntax and lexicon/lexicogrammar...

By way of summary, a topological perspective on APPRAISAL resources is offered in Figure 1.11. It tries to align types of AFFECT, JUDGEMENT and APPRECIATION in terms of their affinities across appraisal variables. For example, capacity is aligned with valuation, because of the close relation between judging someone's behaviour as capable and appreciating the text/process arising from the behaviour (e.g. a skilful cricketer/a skilful innings; a gifted painter/an innovative painting, etc.). Similarly, reaction is aligned with the relevant types of AFFECT. ENGAGEMENT (modality, projection, mitigation, etc.) and AMPLIFICATION (grading, intensity, etc.) have been included as attendant resources for hedging how committed we are to what we feel and how strongly we feel about it.

Grammatical and contextual metaphor

At this point in the discussion I would like to return to the stratification parameter introduced in the section above on SFL, and elaborate a little on the way a stratified content plane (lexicogrammar and discourse semantics) is used by Halliday to interpret abstraction, particularly in written English. Then, in closing, I will briefly consider the way in which analogous reasoning in relation to a stratified context plane (register and genre) might be used to interpret one of the kinds of texts that emerge around the issue of 'mixed genres'.

First, stratification and abstraction. Halliday has described the realization relationship between lexicogrammar and discourse semantics (modelled in images like Figure 1.3 above) as 'natural'. This reading suggests that there is an unmarked correlation between meanings and wordings – that all things being equal we expect, interpersonally, that statements will be realized as declaratives, questions as interrogatives and commands as imperatives, or, ideationally, that participants will be realized as nouns, processes as verbs, properties as adjectives and logical relations as con-
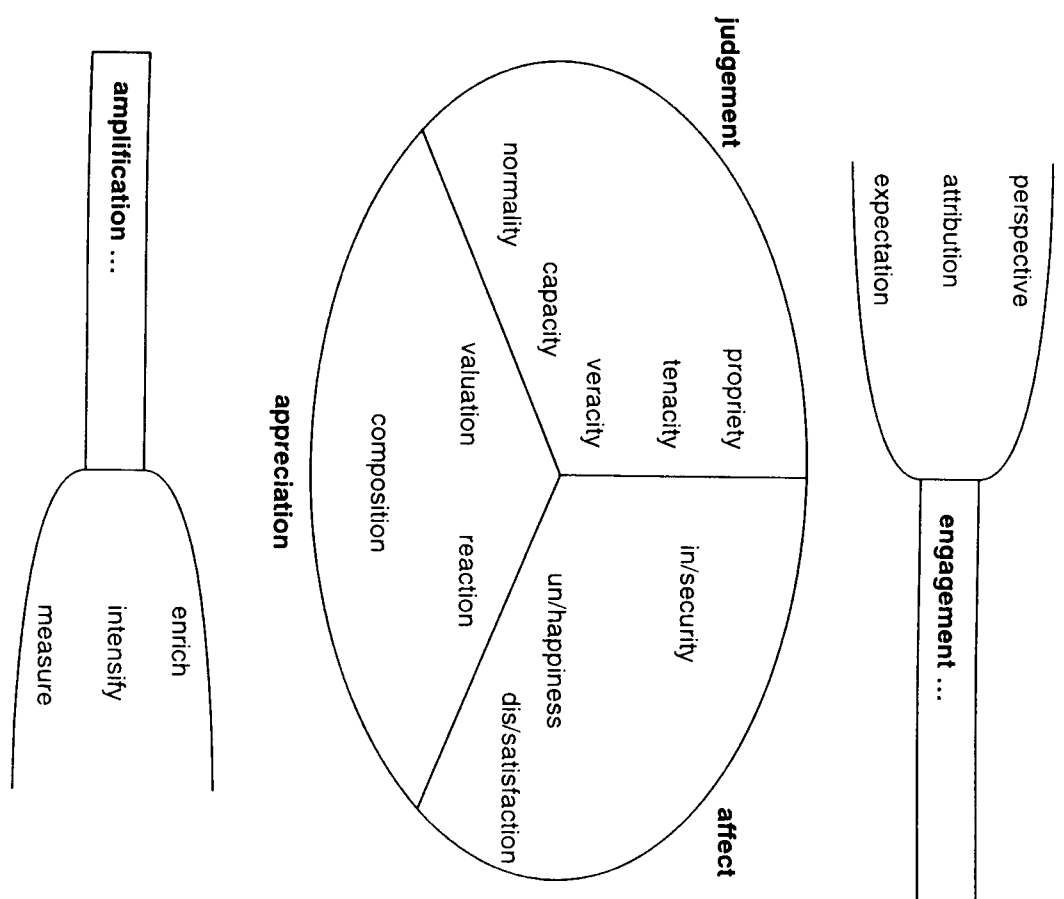
engagement ...
- perspective
- attribution
- engagement ...

affect
- in/security
- un/happiness
- dis/satisfaction

judgement
- expectation
  - normality
  - capacity
  - veracity
- propriety
  - tenacity

appreciation
- valuation
- reaction
- composition

amplification ...
- enrich
- intensify
- measure

Figure 1.11 A topological perspective on APPRAISAL resources

junctions. Things not being equal, the model allows for tensions to arise between semantics and grammar, opening up the possibility of indirect speech acts (one mood acting as another) or nominalizations (e.g. processes dressed up as nouns). Halliday refers to the realization and instantiation processes whereby meaning and wording are denaturalized along these lines as grammatical metaphor (see especially Halliday 1985a: chapter 10).

Interpersonal grammatical metaphors of the indirect speech act variety

are well known in the discipline. In the following example from a bureaucratic context, a declarative clause (*I ask that . . .*) is used in an 'imperative' context, in place of the direct imperative *Give them your full support*:

(The guidelines have been developed as a resource for staff and students and have my personal endorsement.) I ask that you give them your full support.

Halliday refers to these indirect speech acts as grammatical metaphors because: (i) they must be read on two levels, with the literal declarative mood taken as standing for the underlying command (it is the interaction of the two levels that makes the meaning); and (ii) the literal level in some sense symbolizes the underlying reading (in the example just considered the clause complex, with its first person, present tense projecting verbal process (*I ask*) and irrealis projection (*that you give*) deconstructs the meaning of imperative in ideational terms).

Whereas speech act theory focuses on interpersonal metaphors of mood, Halliday's theory generalizes the phenomenon to other interpersonal resources, including modality. Grammatical metaphor in relation to modality was illustrated in the context of the discussion of ENGAGEMENT above, with Frank using first person present tense mental processes of cognition (*I suppose*) instead of modal verbs to realize low probability. Borrowing ideational resources to construe interpersonal meanings in this way opens up, among other things, opportunities for verbal play. Russell takes up one of these in the opening scene of the play *Educating Rita*, with Frank facetiously reconstruing his partner's modality metaphor as a misplaced query about his ideational desires.

Frank: . . . What do you mean am I determined to go to the pub? – I don't need determination to get me into a pub . . . (Russell 1985: 2)

For detailed analyses of interpersonal metaphor across a range of texts see Halliday (1982) and Martin (1992a, 1995b).

Halliday further generalizes the notion of grammatical metaphor across metafunctions, to cover tensions between ideational wordings and meanings. These have been extensively reviewed in Martin (1992a, 1993b) and Halliday and Martin (1993), especially in the context of their role in constructing the uncommon sense discourses of science and humanities. Ideational metaphors also abound in bureaucratic contexts, as illustrated in the following example:

The Passive Restraint Guide is designed to prevent intentional abuse by children. Excessive towel loop length could make intentional abuse more likely. Failure to follow loading instructions could result in serious injury or death. (Notice on towel dispenser in the men's loo in The 99er Diner, north of Vancouver in Canada)

If we paraphrase the second sentence as 'If you don't act as you've been

instructed to when loading, you could injure yourself seriously or die', then various features of the metaphorical version are foregrounded – for example, the realization of cause as a verb (*could result in*), and processes as nouns (*failure, loading instructions, serious injury* and *death*). Note that grammatical metaphor facilitates metaphor in its more traditional literary usage – how else can playing cricket catch an ear?

On a mid-week evening the sound of willow and leather in violent collision caught my ear and I hurried along. (Colin Luckhurst, 'I do like to be beside the seaside', *Guardian Weekly*, 21 August 1994)

Grammatical metaphor also facilitates the organization of APPRAISAL across institutions. In the following example two judgements (of tenacity and capacity) are nominalized (*courage and toughness*) and placed in a causal relationship (*contributed to*) with the success of the Long March. The advantage of nominalizing the judgements for the historian is that s/he can make them Agents in a range of causative processes whose meaning potential is subtle and differentiated enough to support the interpretation of why things happened as they did.

This question has often been raised by historians, and a number of factors have been suggested to explain the success of the Long March . . . The courage and toughness of the young members of the Red Army, many of whom were teenagers, also contributed to its success.

The educational implications of grammatical metaphor are immense, especially in light of Halliday's suggestion (e.g. 1993c) that grammatical metaphor develops out of non-metaphorical text across all three of the time frames discussed above – tending to unfold later in text (logogenesis), tending to develop later in the maturation of the individual (ontogenesis) and tending to evolve later in the history of a culture (phylogenesis). In other words, if we take the fracturing of glass as an example, Halliday is claiming that a series of realizations which unfolds as follows is in some sense a natural one as far as semogenesis is concerned.

(the question of how) glass cracks, (the stress needed to) crack glass, (the mechanism by which) glass cracks, as a crack grows, the crack has advanced, will make slow cracks grow, speed up the rate at which cracks grow, the rate of crack growth, we can increase the crack growth rate 1,000 times. (Halliday and Martin 1993: 56)

If we add to this Halliday's association of the emergence of ideational metaphor with the development of writing systems (e.g. Halliday 1985b), and the association of ideational metaphor with discipline specific secondary school literacy (e.g. Martin 1993b), then we arrive at a foundational sequencing principle as far as institutionalized learning is concerned, namely, grammatically metaphorical text after non-

metaphorical. The principle has certainly shaped genre-based literacy programmes in Australia (as reflected in the genre topology in Table 1.3 above). Its implications and implementations are likely to reverberate through language in education initiatives for years to come.

The move from non-metaphorical to metaphorical text is in some sense symbolized across literate cultures by the separation of primary and secondary schooling and the drift from thematically organized multidisciplinary units of work in primary school to strongly classified discipline specific work in secondary school. Halliday (1993c) also suggests a semiotic interpretation of the beginning of school, which has been explored in detail by Painter (1993). What seems to be emerging from this research is that the move to primary schooling symbolizes the ability to deal with abstractions. The example I often draw on to illustrate this point comes from my daughter, then aged 4. At Manly Pier in Sydney, there is a famous sign which greets visitors: *7 miles from Sydney and 1000 miles from care.* Upon my reciting this on arrival, my daughter asked 'Where's care?' Over the next year or two, she learned not to ask questions like this,[12] and then to laugh at her younger brother making mistakes of just that kind.
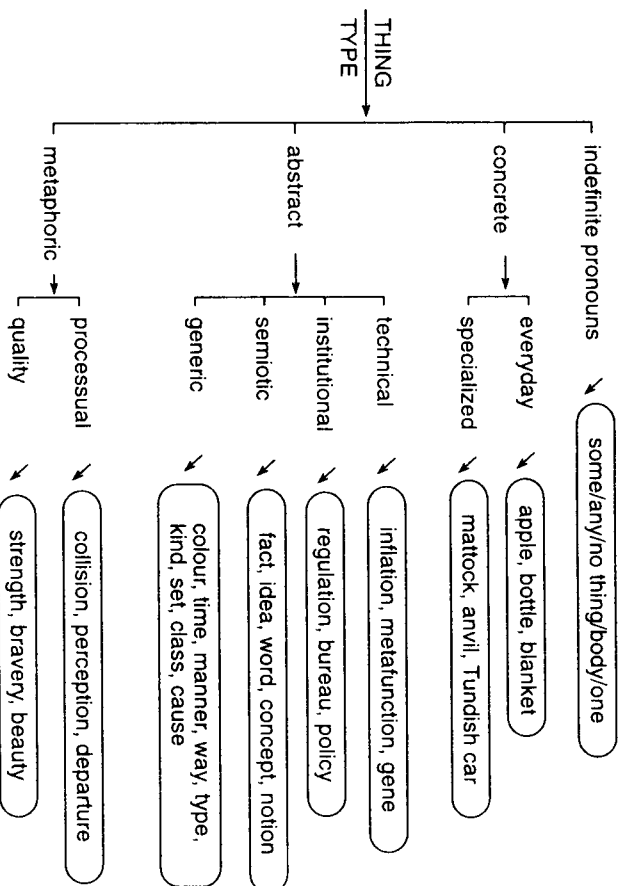

Figure 1.12 Kinds of thing: covering abstractions and grammatical metaphors

A rough framework[13] for classifying types of thing is outlined in Figure 1.12. Note that the network distinguishes specialized and technical language. Specialized things, like everyday things, can be ostensively defined; you can point them out to apprentices. Technical things on the other hand are abstractions that have to be linguistically defined (and even if

you can point to them, as with the gene in a microscope, just pointing doesn't fully explain what they mean; Halliday has referred in passing to technical terms as 'semiotic ratchets'). Alongside the technical abstraction of science, we find institutional abstractions (bureaucratic ratchets if you will) that organize our lives. Abstractions also include terms for semiosis (e.g. *fact, idea, concept, notion*) and terms for generic dimensions of meaning (such as *size, shape, colour, means, manner, way*, etc.).

Analysis of the abstract and metaphorical things is not just a matter of derivation. The noun *regulation*, for example, may refer to an institutional abstraction, as in *the regulations don't permit that activity*, or it may be a metaphorical process, as in *excessive regulation of students' behaviour may not always be in the school's best interests*. Analysis is further complicated by the fact that technical and institutional terms are engendered through grammatical metaphor – in other words, grammatical metaphor is used to define and explain these meanings, which are then intended to transcend the metaphors and carry on as abstractions in their own right. The following text from Halliday and Martin (1993: 223) illustrates this process for the terms *compression, rarefaction* and *compression wave*, leading to the definition of the once concrete, but now abstract meaning *sound*.

(a) If we look at how a tuning fork produces sound (b) we can learn just what sound is. (c) By looking closely at one of the prongs (d) you can see that it is moving to and fro (vibrating). (e) As the prong moves outwards (f) it squashes, or compresses, the surrounding air. (g) The particles of air are pushed outwards (h) crowding against and bashing into their neighbours (i) before they bounce back. (j) The neighbouring air particles are then pushed out (k) to hit the next air particles and so on. (l) This region of slightly 'squashed' together air moving out from the prong is called a **compression**. (m) When the prong of the tuning fork moves back again (n) the rebounding air particles move back into the space that is left. (o) This region where the air goes 'thinner' is called a **rarefaction** (p) and also moves outwards. (q) The particles of air move to and fro in the same direction in which the wave moves. (r) Thus **sound** is a **compression wave** that can be heard.

For purposes of analysis, these terms are probably best treated as metaphorical at their point of genesis, and as technical abstractions thereafter. In order to help clarify the boundary between metaphorical and abstract things, Halliday's inventory of types of grammatical metaphor has been included here as Table 1.9 (Halliday to appear b).

This brief discussion of the educational significance of grammatical metaphor puts us in a position to raise the issue of contextual metaphor and ask whether similar kinds of tension across strata can be found at the level of context. The following text, discussed in Cranny-Francis and Martin (1995), lends itself to an interpretation of this kind. On the surface, the text is organized as a kind of story – a psychological quest narrative; the story, however, was intended in its context to stand for an information report about dolphins – as part of an attack on genre-based

Table 1.9 Types of grammatical metaphor

1. quality ⇒ entity
   Epithet = Thing — adjective ⇒ noun
   unstable = instability

2. process ⇒ entity
   (i) Event = Thing — verb ⇒ noun
   transform = transformation
   (ii) Auxiliary ⇒ Thing:
   (tense) — *will/going to = prospect*
   (phase) — *try to = attempt*
   (modality) — *can/could = possibility, potential*

3. circumstance ⇒ entity
   Minor Process = Thing — preposition ⇒ noun
   with = accompaniment, to = destination

4. relator ⇒ entity
   Conjunctive = Thing — conjunction ⇒ noun
   so = cause/proof, if = condition

5. process ⇒ quality
   (i) Event = Epithet — verb ⇒ adjective
   [poverty] is increasing = increasing [poverty]
   (ii) Auxiliary = Epithet:
   (tense) — *was/used to = previous*
   (phase) — *begin to = initial*
   (modality) — *must/will [always] = constant*

6. circumstance ⇒ quality
   (i) Manner = Epithet — adverb/prepositional phrase ⇒ adjective*
   [decided] hastily = hasty [decision]
   (ii) other = Epithet — *[argued] for a long time = lengthy [argument]*
   (iii) other = Classifier — *[cracked] on the surface = surface [cracks]*

7. relator ⇒ quality
   Conjunctive = Epithet — conjunction ⇒ adjective
   then = subsequent, so = resulting

8. circumstance ⇒ process
   Minor Process = Process — be/go + preposition ⇒ verb
   be about = concern; be instead of = replace

9. relator ⇒ process
   Conjunctive = Event — conjunction ⇒ verb
   then = follow; so = cause; and = complement

10. relator ⇒ circumstance
    Conjunctive = Minor Process — conjunction ⇒ preposition/-al group
    when = in times of/in . . . times
    if = under conditions of/under . . . conditions

11. [zero] ⇒ entity — *= the phenomenon of . . .*

12. [zero] ⇒ process — *= . . . occurs/ensues*

13. entity ⇒ [expansion] — noun ⇒ [various] (in env. 1, 2 above)
    Head = Modifier — *the government [decided] =*
    the government's [decision], [a/the decision]
    of/by the government, [a] government(al) [decision]
    the government [couldn't decide/was indecisive =
    the government's [indecision], [the indecision] of
    the government, government(al) [indecision]

* or noun; cf. *mammal*
  [cells]/ mammalian
  [cells]

literacy pedagogy, along the lines of 'Why can't students hand in a range of genres in science? Why are you trying to limit them to boring old information reports?' Informally, then, we might describe the text as a story

standing for a report (analogous to informally describing an indirect speech act as a declarative standing for an imperative).

Rephrasing this in terms of stratal tension at the level of context, we could argue that the register of the text (its field, mode and tenor selections) invokes narrative, but that certain features of the story (the Socratic dialogue, the technical information about dolphins, the fact that the object of the quest is information, etc.) indicate that at a deeper level this text is intended to instantiate a report genre. As with grammatical metaphor, it is the tension between levels (between genre and register in this instance) that construes the meaning. Contextual metaphors of this kind represent an excursion of English discipline discourse across the curriculum which has been promoted by radical progressive pedagogies around the English speaking world.

Is this a report or a recount or a discussion?

Yesterday I went to the library and found a book about dolphins. I had seen dolphins on TV and I was interested in them. I wanted to find the answer to the question, why are dolphins so interesting to humans?

The book said that dolphins were sea mammals. I bet you didn't know that dolphins have to breathe air! If they don't breathe the air, they will die.

I have often wondered what dolphins like to eat, so I looked in the book for information about this. Do they eat other fish, I wondered? I found out that they do.

I suppose you know what dolphins look like, of course. I found out some interesting things, such as what that dorsal fin is for and how they keep warm.

Why do we humans like dolphins so much, I often wonder. I searched in the book for the answer to this question, but could not get down to the real reason. The book talked about their tricks and stunts and their general friendliness. As I thought about it, I came to the conclusion that it had something to do with the fact that they, like us, are mammals.

It may well be that a notion of contextual metaphor, interpreted along these lines, will turn out to be as educationally significant as Halliday's work on grammatical metaphor – particularly with respect to success in secondary school. In progressive history classrooms, for example (see Coffin, Chapter 7 below), students are often encouraged to write stories from the point of view of participants in historical processes. To succeed in this task, they have to realize that the story they tell must not only be accurate in historical detail, but ought as well to symbolize and focus attention on issues the historian considers significant. The task, in other words, has to be read not as an opportunity to depart from history discourse, but as an opportunity to use a story to stand for historical interpretation.

Looking beyond education, the notion of grammatical metaphor (interpreted as stratal tension within language) has been developed by systemic linguists as an important insight into the way in which a culture increases its linguistic meaning potential (e.g. Halliday 1992a, c, 1993b,

1996a; Martin 1993b; Halliday and Martin 1993). By refocusing attention on the issue of contextual metaphor (interpreted as stratal tension at the level of context) we should be able to gain some valuable insights into one of the trajectories along which the social processes of a culture expand – by deploying register variables metaphorically (as figure), to symbolize a complementary genre (as ground).

Notes

1 One problem with this image is that it implies that field/ideational resources are in some sense more extensive than mode/textual or tenor/interpersonal ones; theoretically, this is not the case.

2 For critique of this stratified model see Hasan (1995); Martin (in press) offers a partial reply.

3 In this sense of the term, register is thus comparable to what Halliday and Hasan (e.g. 1985/1989) refer to as context of culture; see Matthiessen (1993) for discussion.

4 In Figure 1.5, a single slash is used to represent metaredundancy, and a double slash to represent meta-metaredundancy – thus language/register//genre is read as language metaredounding with register, metaredounding with genre.

5 Along this dimension Halliday and Matthiessen are refocusing a long-standing SFL interest in the dynamics of text as process (Martin 1985a; Bateman 1989).

6 For the record, Steve Waugh is an Australian cricketer, who performed the remarkable feat of scoring more than 200 runs in a single innings against the West Indies in 1995; in this field, 100 runs is considered an outstanding contribution.

7 Procedural recounts give an after-the-fact account of a procedure that has been enacted; historical recounts record two or more generations of human endeavour; descriptions characterize a specific participant; descriptive reports characterize a generic class of participants.

8 *Educating Rita*, Copyright Columbia Columbia Pictures Industries 1983, RCA/Columbia/Hoyts PTY LTD 1985. Marketed and Distributed by CEL Home Video. RCS/Columbia Pictures International Video.

9 At this level of delicacy the types of JUDGEMENT are related to MODALITY (Halliday 1994), in the following proportions: normality is to usuality, as capacity to ability, as tenacity is to inclination, as veracity is to probability, as propriety is to obligation.

10 These variables are relatable to the kind of mental processing (Halliday 1994) involved in the appreciation, in the following proportions: reaction is to affection, as composition is to perception, as valuation is to cognition.

11 For these complementarities, '/' stands for 'is to' and ':..' stands for 'as'; they can thus be read as *rule is to resource as cognitive is to social . . .*, etc.

12 Compare from about the same period (while swinging high on a swing): 'I'm full of petrol and energy'; 'Well, Hamie, what do you reckon about the meaning of life this morning?' (daughter interrupting) 'What meeting?'; 'Daddy, what's government mean?'

13 This framework was jointly constructed in the course of research seminars involving David Butt, Carmel Cloran, Michael Halliday, Ruqaiya Hasan, Jim Martin, Christian Matthiessen and Chris Nesbitt.

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