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**CONSTRUING THE INVISIBLE:
SPECIALIZED LITERACY PRACTICES IN JUNIOR
SECONDARY ENGLISH**

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A thesis submitted in fulfilment of the requirements for the
degree of Doctor of Philosophy.

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August, 1996

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which has been accepted for the award of any other higher degree or diploma of a university or other institute of higher learning, except where due acknowledgment is made in the text.

ABSTRACT

This thesis is concerned with the discourses of English as these are enacted in junior secondary English classrooms in New South Wales. In particular, it focusses on narrative genres and the responses which students generate to these in examination situations. In the absence of guidance from the syllabus, these texts constitute an important source of understanding about the 'speciality' of English. The thesis develops a framework for thinking about the different contexts evoked by literacy practices in English, and for moving students into understandings and practices relevant to 'everyday', 'applied', 'theoretical' and 'reflexive' cultural domains. The framework also highlights some disjunctions between these practices which surface in the year 10 Reference Test. Linguistic analyses of the responses produced by students to narratives in this test reveal a contradiction between the apparently open-ended nature of the assessment task and the practices actually valued by examiners.

Argumentation about the 'speciality' of English is based on linguistic analyses of five narratives and nine responses to one of these. 'Psychological narratives' embody abstract 'themes' and ethical 'values' which successful students discern and replay in their own responses. Analyses of these narratives and responses to them reveal that examiners consistently reward readings which attend to higher order meanings and penalize those which fixate on lower order meanings such as the event sequence of a narrative. Many students are disadvantaged by the covert requirements of examination English.

The research has been conducted within the general framework of systemic functional linguistics but 'dialogues' with related research informed by sociolinguistics, critical discourse analysis and narratology. The analytical apparatus foregrounds the role of appraisal and mediation in narrative and response genres and attempts to capture the dynamic contribution of these systems to reader positioning.

Finally, the study systematically relates specialized to critical literacy practices and argues that the 'rhetoric' underlying both can be made visible and available to students whose coding orientation would otherwise exclude them from successful engagement with these.

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LIST OF ABBREVIATIONS AND SYMBOLS

Abbreviations

SFL	Systemic functional linguistics
CDA	Critical discourse analysis
CMH thesis	Context-metafunction hook-up thesis
FID	free indirect discourse

Symbols

	'is realized by'
^	'is followed by'
//	clause boundary
[[]]	embedded clause
[]	embedded group
	'span' between Token and Value

Logico-semantic relations

+	extending relation
x	enhancing relation
=	elaborating relation
"	projected locution
'	projected idea

Progressions

(+)	extending-type PROGRESSION
(x)	expectancy PROGRESSION
(~x)	counter expectancy PROGRESSION
(=)	elaborating PROGRESSION
(")	projected idea PROGRESSION
(')	projected locution PROGRESSION

"/act	'acting' external locution
"/react	'reacting' external locution
narrat:1	first order narrator
narrat:2	second order narrator
prot	protagonist
intrud	intruder
aux	auxiliary character

Metarelations

\approx	confirmation (METARELATION)
\emptyset	opposition (METARELATION)
\Rightarrow loc	local transformation (METARELATION)
\Rightarrow glo	global transformation (METARELATION)
E' prot	protagonist's internal evaluation
E'' prot	protagonist's external evaluation
E'' intrud	intruder's external evaluation
E' indir	indirect evaluation
E' auth	evaluation imputed to author
E' read	reader's evaluation

CHAPTER 1

BACKGROUND TO THE CURRENT STUDY

1.1 Introduction: The middle years of schooling in Australia

For many students, and for those who teach them, the middle years are 'the dead years' of schooling.¹ And it is not that nothing happens during years seven to ten either. In fact, many primary school students find the transition to junior secondary school an overwhelming experience. They move from the familiar and relatively simple arrangements of the primary school classroom into a regime of incessant room changes, a diverse mix of new subjects usually taught in forty-minute time slots by different teachers with different expectations and teaching styles.

And the instructional terrain is just as complex in organization as the behavioural regimes which govern it. In New South Wales, for example, the curriculum is now divided into eight 'key learning areas'. Some of these learning areas consist of one compulsory subject, like English, Science and Mathematics. Others incorporate a composite of subjects, as in 'Human Society and its Environment' which includes History, Geography and Commerce along with relatively new subjects like Aboriginal Studies, Asian Social Studies and Studies in Society. Some of these subjects are compulsory for a certain period of time during the junior secondary years and some are elective. There is relatively little predictability to the constitution of the different subjects: some are practical in emphasis, especially those which are part of key learning area known as 'Technological and Applied Studies'; others focus on issues of individual development, like 'Personal Development, Health and Physical Education'.²

1 This insight has been confirmed during extensive interviews with and observation of secondary teachers during the course of my work as a literacy consultant and researcher in different Sydney high schools.

2 There are variations across states in the way subjects are grouped according to 'learning area'. In the *National Statements and Profiles*, there are eight learning areas - English, mathematics, science, technology, languages other than English, health and physical education, studies of society and environment and the arts (Curriculum Corporation, 1994).

In fact though, the middle years of schooling present students with a bewildering mixture of choice, openness, activity and nothingness. The new educational 'territory' is neither well signposted for destination nor marked with indicators of progress. Text books are a rarity. There are no student guides to the demands of the syllabus in each subject and very often, no systematic links made between the studies of one year with one teacher and those of earlier years. Progression through a subject from year seven to ten is a haphazard affair. And in most states there is no formal, state-wide assessment of students' achievements until the School Certificate exam at the end of year ten. Furthermore, as will be seen, even this exam is an inadequate guide to one's actual achievements relative to others in the same subject. In fact, overall, there is little explicit signposting of the pathways to successful learning during the middle years of schooling and many of the thirteen to sixteen year old students are at a loss.

And so, in the absence of such indicators, students' perceptions are moulded largely by the specificities of their classroom experience: what counts as knowledge and competence in each subject is equated with what their teacher does in their classroom. How they 'do' in their subject relates only to standards which their particular teacher or school treats as normative. This problem has been exacerbated by the 'de-regulation' of the curriculum under the impact of progressivism over the last twenty or so years. Progressivist syllabus documents contain only the most general statements about the aims and assumptions of each subject. Matters like curriculum content, the arrangement and sequencing of this 'content' and the type and frequency of assessment imposed on students are typically left in the hands of (head) teachers in each school. Most state schools which I visited in the course of my work as a language consultant and researcher have developed their own curriculum 'mix' based on input from particular teachers and the contingencies of resource allocations. However, as sociologist Basil Bernstein (1975) has pointed out, the arrangements made in schools dominated by progressivism are fragile ones. A significant change of staff or resource funding in one year is very likely to put an end to curriculum initiatives and programs established in earlier years.

De-regulation affects all sectors of education. Despite moves 'to promote a more consistent approach' to curriculum in the national

Statements and Profile documents produced by the Curriculum Corporation (1994), official pedagogic discourse is a state matter and it varies not only across states but also within states, even across communities. However, many groups of students continue to fail in school regardless of the pedagogies and curricula employed by their teachers. And it is the ones most vulnerable to failure by virtue of their class, ethnicity or language origin who are least likely to move beyond a localized and idiosyncratic perspective on the demands of the curriculum during the middle years.³ They become casualties of the contingencies of their particular school if only because this represents their only opportunity to engage with the codes and demands of formal education. In this situation, openness becomes emptiness and choice becomes alienation.

The link between relatively successful and unsuccessful orientations to literacy and the socio-cultural backgrounds of students has been the focus of some well documented longitudinal studies (see for example Wells et al, 1981 and Heath, 1983). But it is Basil Bernstein's sociological studies of education which provide an explanatory model of the relation between the social and the linguistic in patterns of cultural reproduction (see, for example, Bernstein 1971, Bernstein, ed, 1973, Bernstein 1975 and 1990 and Bernstein in Apple, ed, 1982).

Bernstein (1990) maintains that traditional/conservative and progressive educational practices are alike in that they both focus on making changes within the individual. While conservative practices have a visible pedagogy (in that they are explicit about the regulative and discursive order they seek to reproduce), progressive practices are characterized by an invisible pedagogy, in which "the discursive rules (the rules of the order of instruction) are known only to the transmitter" (Bernstein, 1990:70). It is no accident, then, that within pedagogies characterized by an emphasis on 'experience', on 'relevance', and on the constitutive role of the learner in the construction of knowledge, many students are reduced to idiosyncratic and subjective impressions of what

3 The post-compulsory years (11 and 12) in New South Wales are more externally regulated by syllabuses, content prescription and by stronger pressures on the sequencing and pacing of learning. The credentialling demands of the Higher School Certificate puts an end to the open-ended curricula and progressivist pedagogies adopted in earlier schooling. But, as documents such as the *Contemporary English Syllabus* reveal, the legacy of progressivism and associated 'personal growth' models of literacy remains.

the discourse of their subject requires of them. The nature of 'what is to be learned' disappears and students are forced to 'intuit' the learning requirements of each subject on the basis of the particular pedagogic practices of their own teacher in their own classroom.

Without a 'meta-awareness' of the long-term learning demands of the particular discourse of study, many students are effectively 'locked out' of academic learning. Furthermore, students from class or ethnically disadvantaged backgrounds are particularly disfavoured by invisible pedagogies and are likely to continually 'misread the cultural and cognitive significance of classroom and assessment practices' just as the teacher is 'likely to misread the cultural and cognitive significance of the child' (Bernstein, 1990: 84). As Bernstein has argued, such pedagogies create codes that are "intrinsically more difficult, initially at least, for disadvantaged social groups (from the perspective of formal education) to read and control" (Bernstein, 1990: 79).

By contrast, the visible pedagogies associated with conservative education emphasize the 'performance' of the student (for example, the text she or he produces and whether it meets specified criteria). In conservative educational regimes, the focus is on students' external 'products' rather than on their internal 'processes'. And because students are graded on the basis of specific criteria, conservative visible pedagogies act to produce 'differences between' children and, as such, are openly stratifying transmission practices.

There is every reason to suspect that this situation is mirrored in the Australian context. Neither conservative nor progressivist regimes have served the interests of ethnically or class disadvantaged student groups. The research of Bob Connell et al into the impact of education on the chances of young people has shown that, despite the liberal-democratic rhetoric, the post-war period in Australia has witnessed an ongoing process of social stratification (Connell et al, 1982: 27). Furthermore, research undertaken from within frameworks informed by Halliday's systemic functional linguistics and Bernstein's theory of cultural reproduction corroborates the findings of Connell et al and highlights the failure of education to ameliorate outcomes for class-disadvantaged students.

Ruquaiya Hasan's study of the effect of socio-economic position on kinds of mother-child interaction has been seminal in this regard (Hasan, 1988b, Hasan, 1989, Hasan and Cloran, 1990). This research provides linguistic evidence in support of Bernstein's claim that

particular forms of social relation act selectively upon 'speech forms' and create for their speakers different orders of relevance and relation (see, for example, Bernstein, 1971: 144).

Bernstein's code theory has also informed Geoff Williams' research into the social bases of semantic variation in joint reading practices (Williams, 1994). Williams has demonstrated that semantic variation is inextricably associated with class location and that this is a determining influence on children's 'individuation of experience' - an orientation which is crucial to successful negotiation of school learning.

Finally, within research associated with 'genre-based' approaches to educational linguistics, Joan Rothery has explored the link between pedagogies of personal growth and 'invisible pedagogies of social stratification' and the ways in which the former serve to entrench the latter (Rothery, 1990).

Taken together, these linguistic studies support Bernstein's hypothesis that the codes into which young learners are socialized in family and community settings greatly influence their chances of success within schooling. Furthermore, they represent a theoretical backdrop to the current study which draws on Bernstein's code theory to interpret the differential responses of junior secondary English students to formal, state-wide examinations and to probe via linguistic analysis what appears to be a contradictory relation between curriculum and assessment practices in English.

According to Bernstein, there are three public 'message systems' in education: there is the curriculum ('what counts as valid knowledge'); there is pedagogy ('what counts as valid transmission of knowledge'); and there is evaluation ('what counts as valid demonstration that the knowledge has been acquired') (Bernstein, 1971, 1975). While the dominance of progressivism is still palpable in the curriculum offered to English teachers, via the *English 7-10* syllabus (Board of Secondary Education, 1987), classroom interactions continue to be marked by invisible pedagogies, certainly in many of the classrooms I have visited in the course of my work as consultant and researcher.

But when it comes to evaluation, students are subject to very different kinds of scrutiny from those which operate in many classrooms. Here progressivism ends and we glean an insight into the forms of literacy which are actually rewarded by examiner/teachers. Bernstein's code theory offers an explanatory framework for interpreting the split

between the avowed and the actual, between the overt and the covert requirements of the discipline and for reading the social in the textual.

My early research into 'interpretive' and 'creative' writing produced under examination conditions in junior secondary English in New South Wales revealed a 'hidden curriculum' operating, such that, while the examination tasks of the English Reference Test invited a wide range of responses and text types, only a restricted range of these were likely to be valued by examiners. Furthermore, it appeared that some examinees were able to read the 'invisible requirements' of these tasks and to produce the appropriate (i.e. highly valued) text type. Others - who took the tasks on face value - were often penalized as a result. For example, if examinees decided to produce an advertisement in a creative writing task in a response to an invitation to 'write in any form you choose', they were likely to attract a grade of D - along with negative comments about the fact that "plot and character are undeveloped" (Secondary Schools Board, 1988: 28-29).

A commonsense reading of the requirements of writing tasks like these proved to be far less valuable to students in this situation than a specialized reading. In fact, in the analyses which Joan Rothery and I made of a number of the texts written by students in the 1986 and 1987 Reference Test, we discovered that students were well advised to take a narrow view of the request for a piece of 'creative writing' and to produce a traditional narrative of 'vicarious experience' (see Rothery and Macken, 1991 for a more extended treatment of this issue).

But just how do students gain access to the 'specialized' reading rewarded in examination tasks like these? Rothery and I observed that many students' difficulties were compounded by the inability of their own teachers to explain the requirements of success in English. As part of initial research for a curriculum development initiative associated with the 'Disadvantaged Schools Program', Rothery conducted interviews with English teachers in some of the schools targeted for assistance. She sought to identify what they saw as the strengths and weaknesses of the junior English curriculum and in particular what kind of development they were aiming for in literacy from year to year in junior secondary school.⁴ None of the teachers

⁴ Joan Rothery conducted these interviews as part of initial research for the *Write it Right* Project which was undertaken within the Disadvantaged Schools Project in the Metropolitan East Region from 1991 until 1995. The case study in which Rothery presented these findings was not published however, because it threatened to alienate

interviewed was able to articulate goals for learning nor were they able to point to possible indicators of progression in learning in their students. The teachers blamed the English curriculum for this. Rothery argues, however, that it is not the lack of goals which constituted the problem here (the English programme these teachers drew on did contain statements about learning goals). The central issue for her is that these teachers "have no way of characterizing the goals set in this programme" (Rothery, mimeo).

The problem from the point of view of the current research is: What is the nature of the 'speciality' that is English ? How are its specialized literacy practices to be characterized in both semantic and social terms ? How do we relate the forms of meaning-making privileged in assessment situations to other, non-mainstream forms ? Finally, how do we operationalize Bernstein's findings about the continued pattern of failure of children from class or ethnically disadvantaged groups within the 'de-regulated' curriculum that marks the current climate of Australian education ? This task is made even more difficult because English itself is an unstable object of scrutiny.

1.2 The special problem of English

As far back as 1982, Ian Reid was writing of a 'crisis' in English studies and of "a radical uncertainty as to the very nature of this subject called English" (Reid, 1982: 8). And in the curriculum reforms of the early 1990's, the writers of *A Statement on English for Australian Schools* were forced to confront this problem head on. Very early in the process of constituting the boundaries and identity of the subject English, they discovered major differences between primary and secondary teachers about its focus (Is it a general introduction to the 'Language Arts' or a subject in its own right ?). And they found a parallel lack of agreement within the community of secondary English teachers. As one of the writers of the *English/Literacy Statement and Profile* (as it was called in 1991), Helen Campagna-Wildash reports:

A major challenge was to attempt to untangle English and literacy and to break the myths that English is a service curriculum to other

learning areas and the view that English has no content, but is all process and skill.

[Campagna-Wildash 1994:1]

Characterizing goals is particularly difficult in English not least because it is a subject without a singular 'disciplinary core'. In their far reaching study of the pedagogies of English literacy teaching across Australia, Frances Christie et al (1991) have depicted school English as a field of diverse and often competing models and associated practices. They have identified four 'models of literacy' evident within both preservice teacher education and classroom practices. There is, firstly, the 'personal growth' model, which encourages a student-centred regime of personal reflectiveness and experience communicated in language that is 'close to the self'. Secondly, there is the 'skills' model, which offers students an apprenticeship into the mechanical skills required to decipher and scribe written language. Thirdly, there is the 'cultural heritage' model, which offers students an initiation into the accumulated moral, intellectual and aesthetic values of the culture through literature. And finally, there is the 'critical social' literacy model, which encourages study of the discursive practices by which experience, knowledge and values are socially constructed and resisted. The general conclusion of this study is that the four different models of literacy have currency with teacher educators and with teachers in various combinations, but that "of the four, growth/process models still find strong expression" (Christie et al, 1991: 24).

Some theorists, who recognize the indeterminacy at the heart of English teaching, view it in a positive light. In his address to the 1993 Australian Association of Teachers of English Conference, Ian Reid described English as a 'hybrid' discipline incorporating three main strands - literature, ethics and rhetoric. While recognizing that these strands 'sit uneasily with one another', Reid cautioned against dividing the body of English into three independent subject areas, arguing that this "would require students to make choices which could only prevent them from gaining access to the most powerful literate habits" (transcript of AATE lecture). What Reid calls for is the preservation of these different elements in a 'strategic alliance', albeit with the development of a 'cohesive principle' by which they can be integrated within the curriculum.

Other theorists, like Ian Hunter for example, are much bleaker in their views of this 'patchwork discipline'. For Hunter, English

is constituted by an unstable amalgam of three competences: linguistic competence (or rhetoric), literary appreciation (or aesthetics) and personal development, (or ethics) (Hunter, 1994a, 1995). But unlike Reid, he advocates separation of these three strands into three different subjects if the 'personal development component' is not to continue to marginalize the others. Hunter has developed a full account of the genealogy of literary studies in English in his book, *Culture and Government: The Emergence of Literary Education*. Here he proposes that English can best be understood as a specialized sector of the apparatus of popular education rather than a creation of the universities disseminating ideas about 'culture'.

English inherited the tactics of correction through self-expression and the functions of moral supervision from an educational apparatus that was not essentially literary. In this context, 'life' and 'the child's discovery of self' must be seen as objects constituted by that merger of individualising surveillance and disciplinary organization which formed the popular school as such.

[Hunter, 1988: 121]

Hunter maintains that the study of literature has come to occupy a privileged place within the 'pastoral regime' of English. He gives three reasons for its pre-eminence. First there is the crucial role of literature within literacy education in general. Second, in ways unlike music and the visual arts, literature represents an important exemplar of moral norms and values: "Both popular and serious literature provided the school with points of identification already saturated with the new normativities of the social sphere" (Hunter, 1988: 119). Literary texts, particularly narratives, can be seen as 'a repository of exemplary figures and tactics' through which the teacher can 'mould the life of the child'. Third, there is the central role of the literary device of 'character' within narrative. Character can be seen to link the spheres of literature, pedagogy ('character formation') and the social (cf. the centrality of character types in criminal and medical anthropologies). For Hunter, "Character became a privileged point of exchange between the school and those other normative environments (family, neighbourhood, reformatory, hospital) that constituted the life of the child" (Hunter, 1988: 119). The account of narrative presented in chapter four of this study bears out Hunter's insights into the central role of literature, and particularly narrative, in values-formation through identification with narrative characters.

In Hunter's genealogy, the exercise of literary interpretation takes place within the confines of a special supervisory relationship. For him, it is this relationship which determines the constitution of school English rather than any specialized field of study. In a recent restatement of this view, Hunter argues that English "emerged through the pedagogical deployment of literature, rather than via the literary use of pedagogy" (Hunter, 1994a: 4). The 'personal growth' model of English identified by Christie et al has a special function in this pedagogy: students' responses to literary texts provide an opportunity for the practice of inwardness and ethical self government which Hunter suggests is crucial to the management of populations.

In the terms to be developed in this thesis, the literary reading can be seen as a secondary (lower order) phenomenon around which the (higher order) pastoral relation between teacher and students is organized. For Hunter then, it is the pedagogical milieu which needs to be in focus rather than any conceptualization of 'what is to be learned'. And the target of this pastoral relation is:

the individual as the member of a population whose health, literacy, criminal tendencies, private sentiments and public conduct had been constituted as objects of a new kind of government attention.

[Hunter, 1988: Vii]

Thus the 'aesthetic' component of English is taken over by the ethical and the rhetorical tends to disappear or, more typically to be taught to only some portions of the population.⁵

Nor are so called 'critical social' models of literacy going to 'rescue' students from the intrusiveness of 'personal growth' and associated 'pastoral pedagogies'. For Hunter, critical models of literacy are also pervaded by unrecognized ethical regimes which seek to emancipate learners from the conservative 'ideologies' of English. He argues that English cannot be adequately theorized as a 'vehicle for literary culture', 'a theatre for the creative child', or as 'a device for ideological programming' as Marxist-inspired critiques would propose.

⁵ Hunter maintains that traditional linguistic skills associated with the teaching of rhetoric are confined to middle-class and masculine grammar schools (Hunter, 1994a, 1994b, 1995). Furthermore, he identifies genre-based approaches to literacy with a 'renovated rhetorical curriculum' and argues that it offers a "radical transformation of that amalgam of introspective ethics, and literary rhetoric known as English" (Hunter, 1995: 6).

For all its value-laden character, the machinery of literacy is not an ideology; it is a social apparatus that combines (in Foucault's words) two types of government; 'the political government of the population and the ethical government of the self' (Foucault, 1991). Above all, these forms of government do not work via some general mechanism of repression. As we have seen, the achievement of literate populations was not a work of cultural subtraction; it involved a massive labour of institution building and cultural creation. The fact that modern government works by conferring statuses and augmenting capacities makes generalised oppositional critique redundant, except for a special caste of intellectuals whose status depends on their credentials as hyper-critics.

[Hunter, 1995: 6]

If English can be represented as 'a pedagogical milieu in which the attributes of a developing citizenry are shaped', as Hunter claims, the keenest expression of this in Australian curriculum can be found in the New South Wales English syllabus, *English 7-10*. This document now stands as a somewhat anachronistic instantiation of the 'growth' model of literacy in English, given the emphasis on 'knowledge about language' in curriculum documents produced in other states.⁶ In contrast with the national *Statement and Profile*, for example, *English 7-10* eschews theoretical 'knowledge about language' in favour of 'learning by doing':

Language learning occurs during the process of students USING LANGUAGE, not simply through their consideration of finished language products or by their accumulating abstract theoretical knowledge about language.'

[Board of Secondary Education, 1987a: 29, capitals as in original]

⁶ There is great disparity between the curriculum documents for English across different Australian states. In Queensland and Victoria, for example, the curriculum puts much greater emphasis on 'knowledge about' language than does the NSW syllabus document, *English 7-10*. Also the recently released national *Statement and Profile on English for Australian Schools* represents a significant shift away from the 'growth' model of literacy. It proposes two strands of knowledge about language:

The Texts strand indicates the range of texts that students should study, write or make. The Language strand deals with the knowledge about language that students should develop in school.

[Curriculum Corporation, 1994: 6]

The syllabus unambiguously calls for personal reflectiveness on the part of 'every student' of English. With respect to reading, for example, it recommends:

that students understand, enjoy and respond perceptively to what they read in a wide range of contexts. This involves students in reading for pleasure; understanding and evaluating what they read in a wide range of contexts; reading aloud interpretively; and using reading in study and learning.'

[Board of Secondary Education, 1987a: 29]

The teacher's role within the 'growth' model is that of a facilitator of the responses of the students whose personal sensibilities it is his or her task to develop. The same priority underpins advice about selection of literary texts for student reading. Whether the texts are novels, short stories, essays, plays, poetry, or films and songs, the crucial objective is that "students be encouraged to respond in personal and sensitive ways to literature and to express their responses in a variety of forms." (Board of Secondary Education, 1987a: 48). The links between Hunter's 'pastoral relation' and Bernstein's 'invisible pedagogy' are almost tangible here, and nowhere more clearly than in the exhortation to "encourag(e) deeper and more subtle understandings of literature" through the use of 'imaginative re-creation' - a technology of re-writing which aims to encourage greater engagement with literary texts.

Using this technology, students are invited to :

rewrite scenes from a different point of view; script episodes from a novel for radio or television; write an alternative ending to a novel, play or short story; rewrite an incident as a newspaper report; make models, collages or comic strips and write diary entries based on their apprehension of a character in a novel or a play and so on.

[Board of Secondary Education, 1987a: 48]

In fact, the 'imaginative recreation' has increasingly substituted for the traditional exercise of literary interpretation, so that, in the 'personal growth' classroom, literature presents an opportunity for individual responsiveness and 'interpretation', an activity in which one kind of text is turned into another. The usefulness of techniques like 'rewriting' is not at issue. What is problematic, however, is that the semiotic demands of the different genres, media and modes which are the basis of recreation of the literary text are usually left out of the picture completely, as if

students could effectively innovate on these without (at least some) explicit induction into them in the first place.

Perhaps even more disturbing in a document which is so avowedly 'student-centred' is that 'non-readers' and 'reluctant readers' are not given a mention. The ideal subjects of this kind of curriculum are assumed to already have high enough levels of literacy to afford personal sensibility. Unfortunately for the inexperienced teachers of such students, there is scant guidance in this document about how they might help their students read the literary texts in the first place. All that is called for is that students 'read and re-read the text'.

English 7-10, in fact, cautions against teaching any "formal knowledge of literary history, information about lives of authors or elaborate literary theory" although "students should be encouraged to refine their response by constant reference to the text" (Board of Secondary Education, 1987a: 49). The irony behind such disavowals of the value of 'literary theory' is that, in its calls for 'attentiveness' to the 'text' alone, this document in effect replays the familiar wisdoms of Leavisite and New Criticism theories of literary interpretation (see chapter three and four for extended discussion of these approaches to literary criticism). In short, and perhaps because of its 'personalist' bias, this syllabus creates an opposition between the (supposedly informal) response of a reader/writer to 'the text' and 'formal knowledge of literary history, information about lives of authors or elaborate literary theory'.

This appears to put student 'responsiveness' beyond the reach of matters like textuality and literary theory. However, as Catherine Belsey has observed:

... there is no practice without theory, however much that theory is suppressed, unformulated or perceived as 'obvious'. What we do when we read, however 'natural' it seems, presupposes a whole theoretical discourse, even if unspoken, about language and about meaning, about the relationships between meaning and the world, meaning and people, and finally about people themselves and their place in the world.

[Belsey, 1980: 4]

In fact, of course, *English 7-10* is not disinterested or theory-free. The exhortation to 'experience, enjoy and respond' feeds directly into the normative regimes of the English classroom, which Hunter argues combines "the incitement to free expression and the imperative of close supervision" (Hunter, 1994a: 3). Furthermore, the pedagogic focus

within a curriculum which encourages 'close reading and re-reading of the text' is not upon the text itself but upon the 'developing' sensibility of the individual student. Texts become the means of scrutinizing the student rather than the material of a rhetorically organized literary curriculum. Rothery's (1990) research confirms that in literacy pedagogies, where the individual is foregrounded, matters of textuality tend to disappear.

In short, the current syllabus for junior secondary English privileges the responsive enjoyment and understanding of student 'selves' over an explicit introduction to particular textual forms and practices. The 'message system' of the curriculum, in Bernstein's terms, is thoroughly progressive: 'what is to be learned' is invisible to the student/acquirers and emerges only in the unfolding 'present' of his or her experience of the classroom and of the individual teacher. In the Foucauldian representation adopted by Hunter, what 'holds English together' is thus independent of any particular approach to literary semiosis - whether the 'personal or the critical response' - but rather dependent on the 'specialized supervisory relationship of teacher and students'.⁷

Given the complex and ambivalent character of the pedagogical milieu in which English teachers work, it is small wonder that English should present "such a difficult and unstable object of analysis" (Hunter, 1994a: 4). Construing the nature of its speciality is difficult for a number of reasons. Firstly, there is the fact of its diversity. The 1991 report by Christie et al revealed that English is a heterogeneous field of models of literacy and pedagogic practices and that it is very difficult to predict the precise mix of models and approaches we will find in any one English classroom.

Secondly, there is a dissonance between what Bernstein refers to as the three 'message systems' of public education. Most significant for the present research is the contention between the systems of 'curriculum' and 'evaluation': what 'counts as valid' in the classroom is not what 'counts as valid' in the examination room. Year ten students who take on face value the invitation to 'write in any form you like' or to

⁷ There is evidence that English teachers do give priority to their pedagogical role in the classroom rather than to their knowledge of their subject matter. As the ongoing research of Cranny-Francis et al confirms, it is a case of 'teacher first; English teacher second'. (Cranny-Francis et al, 1994).

express what they 'think' of a story in the NSW Reference Test are profoundly disadvantaged by the lack of harmony between the public (more global) expectations of their teacher/examiners and the private (local) practices these same people adopt in their own classrooms.

Thirdly, there is the intrication of the 'personal growth' with 'cultural heritage' and 'critical' models of literacy, such that the 'pastoral' impulse identified by Hunter appears to overdetermine teachers' classroom practices and to reconstitute whatever (mix of) models they adopt in 'personal growth' terms.

Hunter's (1988) genealogy of the emergence of the pedagogical 'imperative' of the English classroom, corroborates Bernstein's (1990, 1996) sociological analysis of the invisible pedagogies associated with progressivism. The two accounts help to explain the pervasive influence of the 'growth' model within English curriculum and practice over the last twenty years and why it has not been abandoned without a second thought in the face of its inadequacy as a pedagogy for eliciting textual practices which are actually valued by English teacher/examiners. The fact is that the overt requirements of curriculum documents like *English 7-10* present teachers and students with messages which are directly contradicted in published collections of students' writing and examiners' comments on these (Rothery and Macken, 1991).

The studies by Bernstein and Hunter also help to account for the deep-seated resistance which English teachers manifest when they are introduced to explicit models of language as a system.⁸ Many of the educational linguists who have attempted to introduce teachers to new knowledge about language find they have very little to 'map' such knowledge onto both with respect to the metalanguage already used by English teachers and with respect to the requirements of the syllabus itself. David Butt and the other writers of linguistic resource materials on English have concluded that "the English classroom has become an environment without systematic descriptions of language" (Butt et al, 1989: 7). English teachers appear to prefer working with an 'implicit grammar' of their subject (Bernstein, 1996). As a consequence, proposals

⁸ In most teacher inservices conducted during the late 1980's and early 1990's at the Metropolitan East Disadvantaged Schools Program (in Sydney), English teachers were far more suspicious of 'genre-based' approaches to literacy than other non-language teacher specialists. Science teachers have proven to be far more amenable to calls for greater explicitness in literacy teaching than English teachers.

which call for greater explicitness about the knowledge base and literacy practices underpinning examination success are construed as reductive and intrusive.

Debates about English are important not least because they implicate the rest of the curriculum. Not only is English a compulsory subject in its own right, but control of both its spoken and written modes is crucial to learning in all the other subjects to a greater or lesser degree (and this is increasingly 'greater' the further advanced the student is in secondary education). Furthermore, for better or worse, since the inception of English as a field of study, it is the English teachers who have been left with responsibility for improving students' literate habits both within their own subject as well as across the curriculum. Their role with respect to improving students' abilities to negotiate the school curriculum has been, and still is, crucial.

Perhaps as a result of its centrality to learning in general and the instability of its very constitution, English has become a highly politicized arena of struggle for lobby groups both inside and outside education (see Goodson and Medway: eds, 1990 for a detailed exploration of the forms this struggle has taken). Debates about its role within school curriculum highlight the often incompatible diversity of viewpoints and practices which the discipline covers and the difficulties which teachers have in articulating the demands and possibilities of learning in English.

1.3 The present study: mapping heterogeneous literacy practices

How do we respond to the complexity of this situation? The typical English classroom is a 'norm saturated' environment and the pedagogical apparatuses through which students come to internalize its 'technologies of the self' are a pervasive feature of school English. We cannot avoid this fact, just as we cannot avoid the heterogeneity of models and practices which it appears to accommodate. Mapping this complex territory and identifying the place of specialized literacy practices within it cannot be achieved by glossing over the differences or announcing a new model by 'sleight of hand'. As one of the proponents of post-structuralist approaches to literacy, Brenton Doecke, puts it:

The answer does not lie, surely, in posing yet another model of literary competence. Any such construct must fail to do justice to the complexity of the classroom and the way students actually engage in reading. ... We need a much better understanding of the mediating

links between [post-structuralists'] ideal or textual literacy and the network of practices and discourses which we call English.

[Doecke, 1994: 22]

The important task - unless we agree with Hunter that English should be dismantled immediately - is to develop a framework by which we can develop the mediating links between different practices in English. If we regard the 'hybridity' of the discipline in positive terms, then we need an adequate theoretical construal of the 'discipline' in all its diversity. Within this 'patchwork', there is English as it promotes itself and here the 'growth model' is still the dominant form of practice - certainly within documents like *English 7-10*. Then there is English as it is actually valued in the assessment practices of the examination room. And there is English as a potential for reflexive learning - which recent work on 'critical social' literacy has highlighted. All of these aspects need to be accommodated within a framework for literacy practices in junior secondary English and inter-related in a theoretically and pedagogically coherent way.

English teachers tend to view themselves as 'eclectic' - taking what is useful for their immediate needs from a variety of paradigms and practices encountered during the course of their professional lives. They improvise in an ad hoc way to meet the everyday challenges of classroom teaching very much as the 'bricoleur' does in the world of Lévi-Strauss's 'primitive man' (Hawkes, 1977:51). Unlike 'the engineer', who makes use of specialized and custom-made tools and materials, 'the bricoleur' makes use of the odds and ends of materials and models immediately 'to hand'. Their 'bricolage' can become a great resource in times of economic restructuring, social change and governmental scrutiny. But not without a conscious awareness of the different kinds of capacities and opportunities which different material practices and associated 'tools' make available to their users.

Developing 'a unifying sense of the demands of English' (Andrews, 1993) and attempting to 'give intellectual coherence to the diversified agenda of English teachers' (Reid, 1991: 15) can only take place within a shared metadiscourse - or rhetoric - through which different literacy practices can be 'semioticized' (seen as meaning-making) and through which they can be related to each other. More than ever, English teachers need to talk to each other in mutually comprehensible terms about what they value. This dialogue can only be enhanced if they share

a metadiscourse for reflecting on their practices and their implications for students' learning.

This study attempts to take up the challenge embedded in Rothery's insight: how do we characterize the demands and possibilities of literacy in junior secondary English? And how can we do this in such a way as to take account of the various construals which different teachers often make of their discipline?

There are considerable research problems confronting such an ambitious project. As I emphasized earlier, it is very difficult to articulate the nature of the challenge of various forms of literacy at a time of such tumultuous change in curriculum history in Australia. How does one construe a common ground across a patchwork of curriculum offerings without either succumbing to innocuous platitudes about the four macro-skills and their different demands or privileging one model of literacy over others (and thereby alienating all those teachers who draw in resourceful ways from other models)? The same problematic confronts research into literacy assessment. How does one offer definitive statements about 'success' in English when calls for national testing meet with cries of outrage from all quarters and when the only large scale testing carried out so far has been of the psychometric variety (e.g. multiple choice questions) based on narrow conceptions of language ability (see Matthiessen, Slade and Macken, 1993). And then there is the problem of 'critical literacy'. The 'critical social literacy' which Christie et al (1991) call for in their report is not yet a well developed model within English literacy practices. How do we model the relationship between the literacy envisaged there and the 'specialized' literacy which is necessary for success in English?

My responses to these research problems are as follows. Firstly, I want to incorporate the heterogeneous discourses which surround the teaching of English in an integrated model of textual practices. This is necessary if we are to develop a metadiscourse which all English teachers can draw on in their collegial dialogues. Secondly, I want to deal with the kind of English which is rewarded in formal literacy examinations. This is essential if we are to effectively prepare students for success in English beyond our classrooms. And, thirdly, I propose that a critical literacy which challenges a discipline 'from the inside' must be related in a principled way to other forms of literacy in the formation of students. In effect, this means that critical perspectives will be dependent on prior, specialized ones.

With respect to the second matter, the construal of English as it is valued, I need to draw on the resources of the only exam which is given to New South Wales students during the middle years, the year ten Reference Test. This exam, which is given in English, mathematics and science, is the only opportunity which students have to compare their achievements against those of others across the state. Furthermore, as an externally-moderated exam, it represents the only occasion on which teachers can test their intuitions about acceptable practice in English against the literacy performances of the whole cohort of students across the state. The test is administered by the Board of Studies - which oversees the whole exam process and ensures a reasonable objectivity and anonymity in the marking process. Teacher/examiners are employed to rank and grade the students' scripts in official Marking Centres around the state. Once the scripts are marked, schools receive advice about types and number of grades which have been earned by the student body as a whole. The grades - which include level one or 'A' grade down to level five or 'E' grade - are then allocated to students on the basis of their performance on earlier, school-based assessment tasks.

The number of A's or B's which a school wins in the Reference Test is very important. Many parents evaluate the school's credentialling potential before they enrol their children there and it is possible to compare the performances of whole faculties on the basis of the number and kind of grades its students can command. The test grades are the principal means of making judgements about the relative achievements of students and their teachers across faculties and across schools in the junior secondary years. Its importance for teachers themselves as well as for parents is borne out by the following scenarios.

For example, I visited two teachers in two different schools over a three-year period as a language consultant for the Metropolitan East Disadvantaged Schools Program - during which time we trialled genre-based approaches to literacy teaching. In one school it was the Science teacher who introduced the students to 'genre', while the English teacher pursued the dominant 'growth/process' approach to literacy. In 1990, the students in this school won eight or nine A's and seventeen B's for Science and only four A's and less than half the B's for English. The fact that they were the same students with presumably the same potential for success in English as for Science greatly advanced the cause of those teachers who were pressing for more general teacher inservice in the 'genre-based' pedagogies the following year.

In another school in 1992, the situation was reversed. This time it was the English teacher who used the 'genre' metalanguage with his year ten students, while the Science and Maths teachers regarded it as irrelevant to achievement in their subjects. In the Reference Test of that year, his students received twelve level one's (the equivalent of the 'A' range in Science) and twenty level two's (the equivalent of the 'B' range in Science) for English and not one level one for either Science or Maths. One consequence of this disparity in test results for English and other subjects has been that this school has gone on to develop a whole-school 'genre-based' literacy inservice program. The point here is not necessarily that 'genre' is a powerful metalinguistic resource for enhancing achievement in English. It is that the Reference Test results in each school were sufficient to determine the direction which its teachers chose with respect to approaches to literacy generally. And this in spite of a syllabus like *English 7-10* and the continued dominance of progressivism more generally !

The third matter of critical literacy in English is more difficult to resolve. There is no corpus of critical responses to literature equivalent to those collected, published and distributed by a central agency like the New South Wales Board of Studies. In fact, I found no evidence of 'critique' in the 'specialized' corpus either. Students who were able to produce a successful (albeit compliant) reading of any of the test narratives which are the focus of the present study were quite simply unlikely to jeopardize their chances by producing a more critical reading. In short, argumentation about the requirements of critical literacy in English is much harder to support.

I have adopted a compromise position here. In line with the claim that a critical reading is dependent on the ability to make a compliant reading, I explore two texts in chapter six which undertake a 'resistant' reading of one of the narratives set in the Reference Test. These were written by adults - a fact which makes it more difficult to linguistically justify my claims about the relation of critical to specialized literacy. Nevertheless, these texts do demonstrate the ways in which critical readings build on but also depart from specialized reading practices in identifiable ways. I have treated this part of my research as an 'excursion' into the unfamiliar territory of critical semiosis rather than an attempt to map the territory fully.

1.4 The theoretical fields relevant to the present research

This research draws primarily on the social semiotic approach to language which Halliday presented in 1978 in his book, *Language as Social Semiotic* and which others have taken up in different ways in language education since that time (Halliday and Hasan 1985; Halliday 1985a/1994, Martin 1984a, 1985b and 1992a; Martin in Halliday and Martin, 1993; Rothery 1990 and 1994; Christie, ed, 1990; Macken in Hasan and Williams, eds, 1996). This model 'semiotizes' learning - foregrounding it as a meaning-making process. In this perspective, both texts and the social contexts in which they are produced and interpreted are seen as meaning-making: contexts are semiotized and meanings are contextualized. This is possible because Halliday and his colleagues posit a systematic and linguistically principled relation between language and its social environment. In this relation, language 'construes' context and contexts 'activate' particular language choices in texts.

There are three aspects of systemic functional linguistics (or SFL) which are crucial to the present enquiry: the notions of **realization**, **instantiation** and **metafunctions**. These will be dealt with in greater detail in chapter two, but some word of introduction is important here in order to contextualize the present study.

Realization refers to the relation between contextual and linguistic strata. 'Context of culture' and 'context of situation' are extra-linguistic categories borrowed by Halliday from the anthropologist Bronislaw Malinowski (1923) who used them as heuristics for interpreting the 'pragmatic' and 'magical' speech forms of Trobriand Islanders. Halliday (1978 and 1985c) has given the categories a more general application, arguing that, just as contextual information is necessary to interpret the meanings exchanged in any culture, so members of a culture build up and act out models of the social context on the basis of language, as one primary semiotic resource. We can interpret one in terms of the other via the notion of realization: the relevant features of the social environment 'activate' particular language patterns and language patterns 'realize' the relevant features of the social environment (see Hasan, 1995 for an extended discussion of this issue).

The linguistic system is itself stratified, with semantic systems ('meanings') being realized by lexicogrammar (an inclusive reference to the 'wordings' of a language) and these two 'content' strata being realized by the expression stratum of phonology/graphology (what

Halliday 1978: 21 has sometimes called the 'soundings' of language). Paralinguistic features such as gesture can be added to this stratum, although these are not generally dealt with in SFL. Nevertheless, within the rich apparatus of SFL, any 'language event' can be considered from the standpoint of semantics ('from above'); from the standpoint of the lexicogrammar itself (from 'round about') and from the standpoint of morphology and phonology ('from below') (Halliday, mimeo: 22).

Figure 1.1 (drawn from an introduction to SFL by David Butt et al), represents the relation between extra-linguistic and linguistic strata, with the downward-facing arrows signifying the relation of realization:

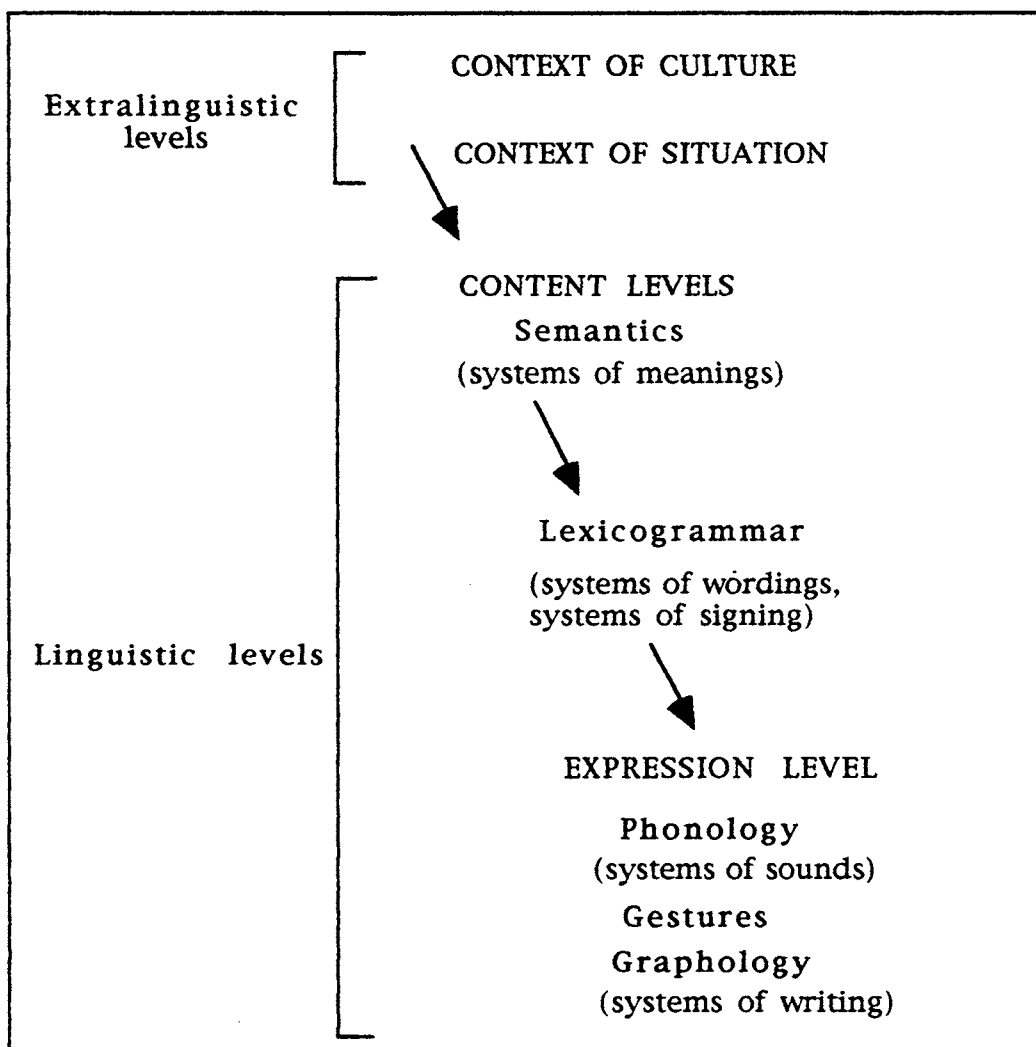


Figure 1.1: The realizational relation between contextual and linguistic strata (from Butt et al, 1995:15)

While the strata are ordered in abstraction, realization is not a cause-effect relation: we cannot say that situation 'causes' the text. In fact, the downward-facing arrows image only one aspect of this mutual

determination, suggesting that it is context which determines text. Rather, the relation between context and text is a dialectical one, such that, "whatever kind of order we set up between them, we can start from either end" (Halliday, 1991a: 15). Thus 'situation' and 'text' come into being together and this is what enables us to interpret 'the situation' on the basis of the language being used and vice versa.

We can model the relation between system and instance as one of **instantiation**. The system of 'langue', as Halliday models this, is not independent of 'parole' - instances of language use. In fact, the language system, like the cultural system, is simply the potential that lies behind the instances (Halliday 1991a, 1992a, 1995). Halliday draws an analogy between system as 'climate' and text as 'weather':

Climate and weather are not two different things; they are the same thing, which we call *weather* when we are looking at it close up, and *climate* when we are looking at it from a distance. The weather goes on around us all the time; it is the actual instances of temperature and precipitation and air movement that you can see and hear and feel. The climate is the potential that lies behind all these things; it is the weather seen from a distance, by an observer standing some way off in time. So of course there is a continuum from one to the other; there is no way of deciding when a "long term weather pattern" becomes a "temporary condition of climate", or when "climatic variation" becomes merely changes in the "weather".

And likewise with "culture" and "situation": a school, for example, is clearly a cultural institution, a matrix of social practices governed by cultural norms and values. But we can look at it as an assembly of situations: it consists of regular events called "lessons" in which people in certain role relationships (teachers and pupils) take part in certain forms of interaction in which certain kinds of meanings are exchanged. We can look at it as system (this is what we mean by education: the school considered systemically), or as text, repetitive instances of the processes of teaching and learning. We may choose to look at this phenomenon from either end; but it is still a single phenomenon, not two.

[Halliday, 1991a:9]

A general map of the semantic system of English is not (yet) available. At best, we have register-specific systems which model the choices relevant to a particular situation-type (see, for example, the system developed by Turner 1973 for situations of maternal control). The current study attempts to construe the registers 'at risk' for certain key situation-types in English and to utilize the notion of realization to do so.

It is important that semantic systems be developed if we are to systematize our interpretations of language use. Notions such as **register** (and now **genre**) have become an accepted part of English

teachers' metalanguage, at least as far as curriculum documents such as *Writing K-12* (NSW Department of Education, 1987), *English 7-10* (Board of Secondary Education, 1987a) and the national *Statements and Profiles* (Curriculum Corporation, 1994) are concerned. But moving beyond a merely intuitive and idiosyncratic approach to language variation requires that teachers engage not only with texts but with the systems they instantiate. As Halliday maintains, both are important.

Discourse analysis has to be founded on a study of the system of the language. At the same time, the main reason for studying the system is to throw light on discourse - on what people say and write and listen to and read. Both system and text have to be in focus of attention. Otherwise there is no way of comparing one text with another, or with what it might itself have been but was not.

[Halliday, 1985a/1994: xxii]

The system network has been a crucial representational resource in this enterprise, although linguistic analysis has focussed most upon the instantiation of choices at clause rank. Linguistic choices are modelled paradigmatically, as networks of inter-related options for (or 'systems' of) meaning which are 'realized' lexico-grammatically and phonologically. The **system network** has also been adapted for synoptic representations of more abstract semantic phenomena, such as **registers** (Turner, 1973, Halliday, 1973 and 1978) and **genres** (Martin, 1985b and 1992a). This representational resource is important to the present study also, although it serves a primarily heuristic function, representing the choices which appear most salient when it comes to narrative interpretation in the situation of examination English. It remains to be seen how useful this typological resource is for English teachers. My hunch is that they will be more comfortable with 'fuzzy' representational resources such as clines and topologies, which model choices in terms of tendencies and degrees (more or less) rather than with the dichotomous (either/or) terms available within the system network.

The two dimensions of the context-text relation are represented in figure 1.2, following Halliday, 1991a:

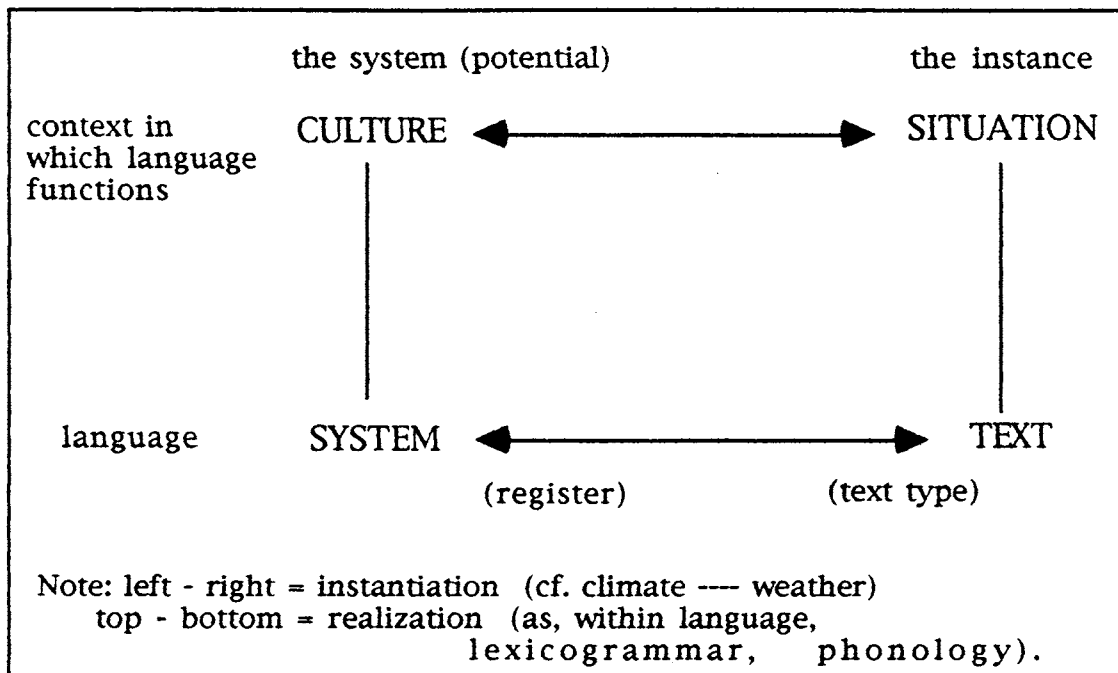


Figure 1.2: Language and Context (from Halliday, 1991a:8)

Finally, there is the notion of **metafunctions**, which is also crucial to the current study. SFL is 'polyfunctional' in its exploration of language, whether this is considered from the point of view of lexicogrammatical semantics, at clause rank (see, for example, Halliday, 1985a/1994, Matthiessen and Halliday in press) or discourse semantics, at the level of the text (see Martin, 1992a). Each text is seen to 'have' three major kinds of meaning (or 'metafunctions'): **ideational** meanings, including both **experiential** and **logical** sub-types (to do with the construal of experience), **interpersonal** meanings (to do with the enactment of social roles) and **textual** meanings (to do with the creation of contextual relevance). Text meanings are 'realized through' wordings, so that each clause in a text can also be differentiated along metafunctional lines. This effectively means that these three types of meaning are 'mapped onto' the clause, so that it represents a conflation of experiential, interpersonal and textual meaning and can be analyzed accordingly.

The concept of metafunctions has also been applied to other semiotic systems, like art (see, for example, O'Toole, 1995 and Kress and van Leeuwen, 1990/1996) and to the meaning-making systems of the culture more generally (see, for example, Lemke, 1988, 1989a, 1990 and 1995). Lemke's adaptations of SFL have been seminal for the current study which construes not only texts and text structure metafunctionally but also the assumptions which students bring to and build up in the

course of doing English. Metafunctions thus bears a heavy explanatory load within the current study.

The notions of realization, instantiation and metafunctions are important here for different reasons. **Realization** enables us to construe contexts (and contextualization practices) on the basis of texts (and textual practices). My early and later research revealed significant differences between students' varied contextualization practices, some of which militate against successful negotiation of examination English. It became clear that some texts and some contextual practices are more highly valued than others, even where interpretation of a context is left open-ended, as it is in the Reference Test questions. We can interpret which aspects of 'the context' are relevant for examinees by analyzing their texts. But we need an adequate description of the context-text relation in order to do this. The stratified model of language in context offers just such a description. Not without adaptation of course, which is the subject of chapter two and three. However, the notion of realization enables us to move in a semiotically principled way from the study of students' texts to the contexts these appear to construe.

It will be seen that some students' contextualization practices are closely aligned with those of their teacher/examiners. Others are less closely aligned, even to the point where very little contextual meaning is shared by teacher and student. Where students' texts reveal a significant divergence from the contextualization practices privileged within the school (and, especially its more formal assessment contexts), teachers need a framework for inter-relating these and moving students towards practices which will enhance educational learning. The notion of **instantiation** enables us to locate students' texts within the semiotic potential of the culture. Of course, the culture which is relevant to school English is a subset of the overall potential of the culture: it is delimited in the ways described by Christie et al (1991) in terms of different models of literacy and approaches to pedagogy. In other words, the sub-potential of school English is a multifaceted and hybrid system encountered by students in different ways.

More specifically, we need to find ways of representing the semantic potential 'at risk' in some key situation types. In the absence of a more comprehensive data base showing which literacy practices are valued and disvalued across the diverse contexts 'inhabited' by students in years 7 to 10, we are forced to construe the 'speciality' of English on the basis of a relatively small data set: the narratives students continue to

encounter in the Reference Test and the responses they generate to these. These texts plus the grades and evaluative comments they attract from examiners provide one kind of evidence about the literacy requirements of English in these years, at least, those imposed by formal examinations.

The notion of **metafunctions** is important because it enables us not only to interpret the demands of a particular context of situation along three dimensions, but to relate these to the texts students read and write. We can move from micro-level analyses of linguistic choices made in individual texts through to an intermediate-level interpretation of the patterns evidenced in texts of a particular set (like the 'C' or 'E' range student responses) and, finally, to macro-level analyses of particular genres (like the examination narratives of the present study). And we can extend the polyfunctional interpretation undertaken most fully in Halliday's *Introduction to Functional Grammar* (1985a/1994) to explorations of generic structure and to semiotic practices more generally.

Although this study is situated firmly within SFL, often called 'the functional language model' by educational linguists like Jim Martin, Joan Rothery and Frances Christie amongst others, it also draws on work within other theoretical fields. Bernstein's sociological account of educational reproduction, in particular his code theory has been crucial, as noted earlier. But there is also work on 'critical linguistics', as it is practised by theorists like Jay Lemke (1990 and 1995) and Paul Thibault (Thibault 1991) within SFL and Gunther Kress (1982, 1985), Bob Hodge (Hodge and Kress, 1988) and Norman Fairclough (1988a and 1988b, 1992a, 1995) within what is often called 'Critical Discourse Analysis' (hereafter CDA).

With respect to the study of the narratives, which forms a substantial part of the data set for analysis, I build initially on the work of William Labov (Labov, 1972 and 1982 and Labov and Waletzky, 1967) and extensions of this within SFL (Plum, 1988, Rothery 1990 and Rothery and Macken, 1991) and, later, on more comprehensive accounts of narrative from within narratology by Mieke Bal (1985), Catherine Belsey (1980, 1982 and 1985), Michael Toolan (1988), Ian Reid (1992), Ross Chambers (1984) and John Stephens (1992). Work by 'point of view' theorists has been especially important for development of an account of how narratives situate the reader and manage the play of voices in the text. Such theorists include, in addition to the above, Dorrit Cohn (1978, 1981), Geoffrey Leech and M. H. Short (1981), Roger Fowler (1986) and Paul Simpson (1993). And, perhaps most important of all from the point of

view of explorations of interpersonal meaning in narrative is the work of Mikhail Bakhtin (1928/1985, 1981, 1986). Bakhtin's work on dialogism in language enables us to reconstrue notions of tenor when it comes to written texts. This issue is dealt with in chapter two, three and four.

In terms of the problematic which this thesis explores (see section 1.5 on this), it has been necessary to put each theoretical 'field' in dialogue with the others. I will comment briefly on why this problematic cannot be adequately addressed without consideration of the related perspectives offered in Bernstein's 'code' theory and CDA.

The assessment tasks which typically occur in the Reference Test are superficially open-ended and student-centred. Nevertheless, as I mentioned earlier, some students appear able to contextualize these tasks in alternative ways and to produce texts which are rewarded with high grades. Other students take the tasks as they are written and produce responses which, although they are often quite 'literate', their examiners do not value as highly. So, it's not enough in this situation to know the 'grammar' of English or to be able to produce texts in a particular genre. Students need to be able to read not just the exam text but the institution in which it is embedded, i.e. to know what kinds of salience particular linguistic practices have in particular situations. This is why Bernstein's sociological research and findings on the 'coding orientation' of different groups of students is so important here and why we need to further explore their relevance for textual practices in English. Explanation has to be sought in theories which enable us to situate pedagogic practices (including those of the classroom and of the examination room) within larger institutional and cultural frameworks.

Neither progressivist nor conservative pedagogies is likely to alter the outcomes of ethnic or class disadvantaged students because, as Bernstein explains it, the primary object of both progressive and conservative pedagogies is to 'produce changes in the individual'. The two pedagogies appear to represent the interests and orientations of different fractions of the middle class, being oriented to either symbolic control or to control over the mode of production (see Bernstein, 1975, 1990). Neither progressivism nor conservative pedagogies can offer hope of changing the balance of relations between different social groups and their futures because this is not really in the interests of those who stand to benefit from them.

Bernstein has counterposed 'intra-individual' types of pedagogy (progressive and conservative) to what he calls 'inter-group'

types, whose primary object is "to produce changes not in the individual but between social groups" (Bernstein, 1990:72). Furthermore, he has identified both invisible and visible variants of these. Figure 1.3 outlines the relationship between the object of 'inter-group' and 'intra-individual' pedagogic practices and the two major pedagogic types.

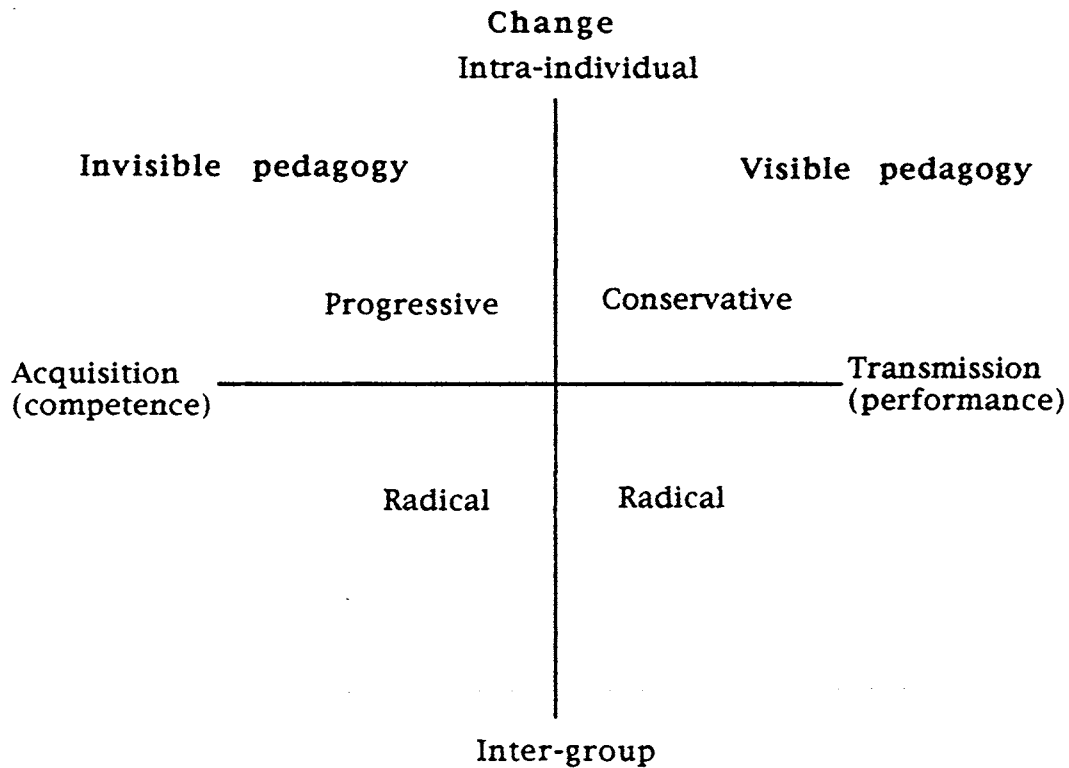


Figure 1.3: Bernstein's (1990: 72) model of progressive, conservative and radical practices and their relationship to pedagogy.

According to Bernstein, the vertical dimension refers to the 'object of change of the pedagogic practice' while the horizontal dimension refers to the 'focus of the pedagogic practice', which can be either upon the 'acquirer' or upon the 'transmitter'. The lower left-hand quadrant he identifies with the radical and neo-Marxist educational programs advocated by such theorists as Paulo Freire and Henri Giroux. The lower right-hand quadrant he has left unexemplified (unfilled).

Whether it is true as Martin (1993b) has argued that "genre-based curricula has come to occupy the bottom right-hand quadrant in this chart of pedagogies" remains to be seen. No substantive studies have been developed to verify or refute this claim. But the long-term aim of this study is to outline the requirements of a radical visible pedagogy within junior secondary English - one which proposes to reduce inter-

group inequality and to offer otherwise disadvantaged students pathways into and through the complex discursive territory of formal education.

Bernstein's theory of cultural reproduction is crucial to this enterprise because it presents a powerful explanation for the persistence of social stratification and inequality under educational regimes like progressivism, which aim to 'include all'. It enables us to account for the failure of particular groups of students to 'intuit' the invisible requirements of superficially open-ended assessment tasks in English - the 'split' between the overt curriculum of syllabus documents and the covert curriculum of examination practices. Furthermore, it gives language an important place within a sociological explanation for the persistent educational failure of some groups of students.

The work of both Bernstein and theorists associated with CDA problematizes the application of 'the functional language model' to literacy education which has yet to make a place for 'the reader'. This work challenges us to reconstrue students' diverse reading practices and to move beyond static, producer-centred and consensual models of the social. In short, the relations between the linguistic and the social need to be construed not just in terms of the view 'from language' as in SFL but also in terms which reflect the shifting and often conflictual realities of social relations in a society characterized by asymmetries of class, gender, age and ethnicity. This work is especially important in education, not just because the relations between teachers and students are so fundamentally asymmetrical but also because failing to read the power relations of the whole school system can serve to further entrench the 'disadvantage' it still systematically reproduces.

The body of work associated with CDA provides some important theoretical resources on which the present study draws. The Foucauldian approach to 'discourse' taken up by Gunther Kress (1983, 1985, 1993a), Norman Fairclough (1988a, 1992a and b and 1995), James Gee (1990, 1992), Cranny-Francis (1990a and b) and others enables me to link linguistic with social perspectives on textual practices. In addition, their work on 'reader positioning' also helps me to advance a better theorization of interpersonal meaning in written text than is currently available within educational applications of SFL. Currently analytic approaches to text are still biased towards experiential meaning and hence towards segmental or constituency-based modelling of text types.

Accounting for 'reader positioning' also requires that we move beyond localized and clause-level analysis and towards dynamic

and text-semantic accounts of interpersonal meaning. The work of 'point of view' theorists is especially important here. In this study, I draw on this and on some recent research within Sydney-based SFL on appraisal in written language. This research on appraisal attempts to 'go beyond' localized representations of the dialogism of writer and readers based on analysis of 'exchange structure' and 'speech function' patterns (Martin, 1996, in press b, c and d, Iedema et al, 1994). Analysis of the 'interpersonality' of the written narratives of the current research is based on and extends the model of appraisal currently in its early stages in the direction of a more global account of the axiological (value-orienting) function of narrative.

Finally, the current study seeks to contribute to a linguistically and socially coherent account of the interpretive resources which readers/listeners/subjects need to develop in their approach to the different literacy 'regimes' of the English classroom and their (often implicit) normativities. SFL offers a powerful 'grammatics' (Halliday, mimeo) on which such an account can be built and which, incidentally, none of the CDA theorists have been able to provide. But the development of a metadiscourse for English teachers can only proceed on the basis of a dialogue between the relevant theoretical accounts of both the textual and social practices of the discipline.

1.5 The problematic and its components

This first task of the study is largely an exercise in semiotic cartography - mapping the imaginary territory of English so as to bring out some of its institutionally salient features and their implications for learning across different contexts. I posit four regions or domains of meaning-making in English which students can expect to encounter in some form or combination of forms during their middle years: the 'Everyday', the 'Applied', the 'Theoretical' and the 'Reflexive'. The meaning potential privileged in each domain greatly overdetermines the consciousness and habitual practices of those who occupy it - although people often move between two or more of the domains in various aspects of their lives. The initial framework, introduced fully in chapter three, grew out of case study work (including classroom observations, teacher interviews and textual analysis) in science and English and was intended for use in 'language across the curriculum' teacher inservices.

Hence, English literacy practices are 'semioticized' in such a way that they can be related to those of other disciplines.

The social and textual practices associated with each of the four domains are then mapped onto the four major approaches to literacy in English mentioned earlier: the 'growth' model reproduces the commonsense constructions of 'selves' in their **Everyday** lives; the 'skills' model emphasizes the practitioner expertise typically called for in the **Applied** domain; the 'heritage' model is a traditional (and implicit) variant of the **Theoretical** domain in English, while the 'critical social' model of literacy can be mapped onto the **Reflexive** domain.

In this study, the Theoretical domain is no longer identified primarily with the 'heritage' model which focussed on canonical texts of the 'great tradition' but with the rhetoric by which literary interpretation is produced and with specialized literacy practices more generally. The potential of English, on the other hand, is primarily identified with the Reflexive domain, in which 'social subjects' contend with a range of discourses across different social practices.

It is possible to view the literacy practices privileged in each domain in terms of **intertextuality** (relations between texts). The relations which readers 'see' between texts can be more or less like the relations 'projected by' texts themselves. Intertextuality is seen to have both a productive and an interpretive dimension in this thesis and it is assumed that teachers need to consider not only the meanings made 'by' texts themselves, but also the meanings construed 'by' readers and how these may be negotiated in any reading and writing program.

The second task is to outline the literacy requirements of the least visible domain of meaning-making in junior secondary English: what I call its 'specialized literacy practices' - practices associated with the Theoretical domain. It is assumed that engagement with written language is crucial to such practices. The challenge is to articulate the nature of this 'engagement' so as to bring out the relation between the semiotic and the social in the intertextuality privileged in the Theoretical domain. I present a metafunctionally diverse model of **register** (as meaning potential 'at risk' in each domain) and **genre** (as text type produced out of this potential) and show how they reveal different aspects of the language varieties associated with each domain.

The third task is to 'semioticize' Bernstein's notion of 'recognition and realization rules' as he has developed them in his exploration of 'classification' and 'framing' respectively (see chapter two

for detailed treatment of these notions). The notion of 'privileging rule' can be connected to analysis of the 'speciality' of English when it comes to narrative interpretation. It is necessary to articulate hierarchies of meaning here and to differentiate their components along metafunctional lines. It will be argued that in the discourse hierarchies privileged in examination English, some meanings have a higher order salience than others. Furthermore, both register and genre are affected by these hierarchies. Such hierarchies are artefacts of the institutionalized regimes of reading and writing reproduced by the Reference Test rather than simply intrinsic to the texts. Students need to learn which meanings have salience in contexts marked as specialized, and then to distinguish these from those which have salience in other situation types.

The fourth and final task is to show how the 'privileging rules' of one domain are altered in another. The discourse hierarchies of the Theoretical can be related to those of the Reflexive domain. New hierarchies are proposed for critical literacy situation-types, which build on, but re-position, those outlined for specialized literacy practices. A critical intertextuality relevant to school English is seen to depend on prior engagement with and control of a specialized intertextuality.

Narrative is at the 'heart' of English and is ubiquitous in its presence both in school English and in the wider community. It is central to the exploration of 'values' - in places of 'high culture', in 'popular culture' and in home and community settings. In fact, as Hunter and others have pointed out, English is a site par excellence for the exploration and inculcation of particular values in the individual and in populations (Hunter, 1988, 1991, Mellor and Patterson, 1994, Beavis, 1994 and Doecke 1994). The hierarchies outlined for English in general in chapter three are applied to narrative in particular in chapter four. Students are required to produce a compliant reading of the narratives they encounter in the Reference Test. But it is possible that articulating the linguistic means by which narratives condition the axiologies (systems of values) of their compliant readers is an important step towards more critical appraisals.

1.6 An outline of each chapter and its contents

Chapter two reviews the literature relevant to the present study and lays its theoretical foundations. Chapter three presents an account of the macro-context of English studies in the junior secondary

school and outlines the model of 'privileging rules' which underpin firstly, a successful reading of the narratives given to students in examination English and secondly, those which support more resistant readings of these narratives.

Chapter four deals with the narratives which students are expected to respond to in examination situations. There are five texts to consider here. Four of the texts are taken from past Year 10 Reference Tests - *CLICK* (taken from the 1986 Reading Task), *Friend for a Lifetime*, (taken from the 1987 Response to Literature task), *The Block* (taken from the 1988 Response to Literature task) and *Feet* (taken from the 1990 Response to Literature task). The other narrative (*The Weapon*), was given to students in an inner-western high school in 1991 as part of a formal assessment activity. I ask: How do students produce a compliant reading of these narratives? Each text is examined from the point of view of its exploration of a problematic (an experiential perspective), its construction of a particular reading position and axiology for its (ideal) reader (an interpersonal perspective) and its privileging of global over local patterns of semiosis (a textual perspective). The analyses foreground the kind of 'intertextuality' presupposed by the narratives themselves; they are thus primarily concerned with the productive aspect of intertextuality in this chapter.

Chapter five deals with nine written responses to one of these narratives (*CLICK*) along with the accompanying examiner's comments and grades (three 'A' range, three 'C' range and three 'E' range responses). I explore the textual strategies (the 'rhetoric') deployed by students in each grade range, drawing on the discourse hierarchies presented earlier. In particular, I ask how it is that all the 'A' range students come to read the 'axiology', the 'problematic' and the global patterning of the stimulus narrative and then to produce responses to it which appear 'agnate' to those made in the narrative. I compare the strategies used by the top 'A', the middle 'C' and the bottom 'E' range students and demonstrate the usefulness of the discourse hierarchies outlined in chapter three for interpreting these strategies.

Finally, chapter six considers the components of a critical literacy, drawing on two resistant responses to *CLICK* (two short essays). It considers the relationship between specialized and critical intertextualities. A similar question is posed: How do readers produce a resistant reading of these narratives? This final chapter draws out the implications of the account of privileging rules and associated discourse

hierarchies for literacy pedagogy in English and then proposes some principles for the development of a visible pedagogy which encompasses the different intertextualities possible within school English and which offers some hope of reducing inter-group inequalities when it comes to junior secondary schooling.

1.7 A note on the limitations of this research

This thesis proposes a model of discourse 'rules' for English, focussing in particular on its specialized practices. It developed initially out of a consideration of case study material collected in one English classroom over a period of three years and sustained analyses of the textual data described above, combined with study of the theoretical literature which is relevant to this field. The model has not been trialled in its present form by teachers in a variety of classroom settings. This is an obvious limitation on the scope of the thesis. The framework should be tested and evaluated by teachers who have had some exposure to 'the functional language model' as well as those who have not. Furthermore, the reactions of trialling teachers should be incorporated in any final assessment of the model's overall usefulness. In addition to this, more work is needed on the actual practices of the other two domains (the 'Everyday' and the 'Applied') in order to test the distinctions made here. Finally, the current study draws on only one genre - the classic realist narrative - in its written mode. This should be complemented by analyses of other genres, other modes and other media if we are to adequately characterize the usefulness of such a model of discourse practices for a range of pedagogic practices and knowledge bases.

CHAPTER 2

THEORETICAL FOUNDATIONS

2.1 Introduction: Three broad areas of study informing this research

This chapter outlines the theoretical foundations of the present research. There are three broad areas of study informing the contextual model presented in chapter three: systemic functional (SF) theory, Bernstein's code theory, and critical discourse analysis (CDA). They provide important perspectives on study of 'relations between' contexts and texts and, as such, provide the basis for development of a model of intertextuality adequate to the 'de-regulated' English curriculum of the late 1990's and to exploration of its specialized literacy practices.

Although these three bodies of work make (somewhat) different assumptions about the relation between language and its social environment and the kinds of emphasis which should be given to linguistics within this relation, they nevertheless offer important (and, in many cases, complementary) perspectives on the constitution of the context-text couple. They are all broadly 'social semiotic' in approach, in that they interpret language as a crucial meaning resource for negotiating the diverse demands of social and cultural life. In fact, in their exploration of the mutual determination of language and social function, they have a common theoretical project.

Halliday's enunciation of this project in his book, *Language as Social Semiotic*, for example, has been taken as a 'given' by Gunther Kress and Norman Fairclough (e.g. Kress 1989a and 1995 and Fairclough 1992a) and is certainly recoverable in Basil Bernstein's many years of research into the social basis of educational failure:

Language is as it is because of the functions it has evolved to serve in people's lives; it is to be expected that linguistic structures could be understood in functional terms. But in order to understand them in this way we have to proceed from the outside inwards, interpreting language by reference to its place in the social process.

[Halliday, 1978: 4]

In their concern with the relation between 'the inside' and 'the outside' these theorists interpret language in terms of its 'place' within the social process. However, each approach is generated from within a different disciplinary location and set of problematics. This means that the 'place' of language or of 'social processes' varies in each case. What is salient, or newsworthy within one discipline, for one theorist, tends to be taken as 'given' or non-salient within another. For those working within SFL, 'social context' is considered primarily from a linguistic viewpoint, while for others, such as Bernstein, Kress and Fairclough, language practices are considered from the point of view of their social determination. In a parallel way, while Bernstein's theory takes language seriously, his theorization of different patterns of language use is sociologically-based, and, while Hallidayan linguistics attempts to provide an adequate construal of the 'outside', it tends to represent the social in terms of its consequences for language primarily without consideration of its non-discursive dimensions.

The discursive/non-discursive opposition is not really useful without further elucidation. Further questions about its reference need to be asked: Does it refer to the relation between linguistic and non-linguistic semiotic systems (e.g. language and image, language and music, language and proxemics, and so on) ? Or, does it refer to the relation between language and the material conditions in which it is used ? Or, does it refer to the relation between language and symbolic orders of abstraction ? In this last opposition, we are concerned with the relation between 'text' and what is 'meta to', or 'above' the text. Because this study deals primarily with students' intertextualities (the relations they construe 'between' texts and the orders of meaning they have access to as a result), the discursive/non-discursive opposition is explored from this point of view. The term 'extra-linguistic' has a primarily abstract significance. However, this is not to suggest that the other aspects of the relation between discursive and non-discursive phenomena do not need attention within secondary literacy practices.

Differences of emphasis and agenda in these three bodies of theory also create differences of 'valeur' such that what is valorized in one tends to be downplayed in another. For example, the linguistic focus of educational applications of SFL has been construed as 'narrow' or 'socially reproductive' by many of those calling for 'discourse critique' in school literacy programs (see, for example, Threadgold, 1989 and 1993a and b, Gee, 1992, Luke, 1993 and 1996). This may or may not be a fair

criticism of 'genre-based' approaches to school literacy. And it remains to be seen whether theorists of critical literacy pedagogies are able to develop models of language adequate to their own proposals.

In short, while many assumptions are shared within these broadly social semiotic fields, it remains true nevertheless that theorists tend to work most successfully within the limits of their discipline and problematics. Hence, accounts of the 'social' are less well differentiated by linguists and more adequate accounts of the 'social' tend to work with 'primitive' models of language. That is why the dialogue between Basil Bernstein (Bernstein, ed, 1973, Gerot et al, eds, 1988), Michael Halliday (1978, 1988) and Ruqaiya Hasan (1973, 1988b) has been so productive for educational linguistics and why that which is developing between 'critical theory' and SFL is important for pushing 'the functional language model' towards a greater engagement with critical discourse analysis (see Lemke, 1990, 1995, Cranny Francis and Martin, 1991 and 1995, Cranny-Francis et al, 1991, Thibault, 1989b and 1991).

What Jim Martin calls a 'transdisciplinary' dialogue, characterized by 'intruding disciplinary expertise' rather than 'complementary expertise' (Martin, 1993b) has been a feature of 'genre-based' research and interventions in Australia. Within this dialogue between educators and linguists, teachers have sought to 'do' the work of linguists and linguists have tried to involve themselves in the classroom, with some interesting results for both linguistic theory and pedagogic practice (see Callaghan et al, 1993 for a review of the implementation and transformation of 'the functional language model' in disadvantaged schools). The ongoing effectiveness of a transdisciplinary dialogue, however, depends on the development of an adequate account of both the social and the linguistic and their mutual intrication in the diverse intertextualities brought by Australian students to their experience of schooling.

Such a dialogue cannot assume that the categories or resources developed in one theoretical site to deal with a particular problematic are commensurate with those developed in other sites. The categories simply cannot be transported 'ready made' from one discipline to another without thoroughgoing elucidation of differences of 'valeur' or emphasis. The term 'context', for example, is utilized differently by Bernstein (who derives his description of it from a sociological analysis of classification and framing values) and by Halliday (for whom it is an extra-linguistic category for defining the 'situation type' of any utterance)

and by Bob Hodge and Gunther Kress (for whom it includes meanings 'assigned' and 'struggled over' by both 'receivers' and 'producers'). While the focus for Bernstein is on 'relations between' contexts, for Halliday on 'relations within' contexts, for CDA theorists it is on 'relations behind and beneath' contexts.

And the protean category of 'discourse' has a different *valeur* within SFL and CDA. Within mainstream SFL 'discourse' is usually taken to mean 'stretches of spoken or written language', whereas within the Foucauldian approach favoured in CDA, it refers to different 'ways of structuring' knowledge and other social practices (see Fairclough, 1992a: 3-6, Lemke, 1995: 6-9 and Gee, 1990: xv-xxi for useful discussions and different uses of the notion of 'discourse'). Even the category of 'genre' means different things to theorists like Kress working within CDA and Hasan and Martin working within SFL (see Reid, ed, 1987, Kress 1993a and Kress and Threadgold 1988 for important reviews of these differences). Within SFL itself there are explicit differences in the use of the term 'genre' in the approaches adopted by Hasan (Hasan in Halliday and Hasan, 1985 and Hasan, 1995) and Martin (Martin, 1985b, 1992a, 1993b and in press, c). In short, it is not possible (or desirable) to move seamlessly from one approach to another in the development of a theoretically adequate model of intertextuality.

Nor is it useful to treat each of the theories as if they had nothing in common. Points of contact and commonality of interest are too important to gloss over if we want to draw on one perspective as an important complement to or corrective of another. An 'interdisciplinary dialogue' between these different 'social theories of discourse' (Lemke, 1995) should proceed, in the first instance, by an outline of the different approaches to intertextuality taken within each body of work in the terms in which each 'model' is laid out. In effect, this requires an effort to understand each theory in the way that it 'understands itself'. This kind of dialogue is thus 'evolutionary', rather than 'revolutionary' in its agenda for change. It aims to extend the work of each theorist in the direction of the others - and, as with the present study, to make each more useful for literacy pedagogy in English.

There are four issues underpinning this review of social semiotic theories associated with SFL, with Bernstein and with CDA. Firstly, if they are to take account of the mutually conditioning effect of social and textual practices, then teachers need a framework which will enable them to reflect on and intervene in these in their classrooms. The

contextual model developed first by Halliday and extended by Martin and others systematically inter-relates 'context and text' and offers opportunities for teachers to explicate the language requirements of different contexts. Systematizing the relation between language and context has made it possible for educators to make informed predictions about which meanings are likely to be 'at stake' in which situations and to plan for learning on the basis of this. Recent extensions of SFL within literacy education, particularly those associated with the 'genre school', have added a 'neo-rhetorical' flavour to the model and pushed it in the direction of even greater explicitness. The following review of the development of contextual models in SFL foregrounds those aspects of it which have contributed to systematicity and to explicitness. These attributes make it useful both for interpreting the texts produced in and for classrooms and for intervening so as to enable students to negotiate (often otherwise context-impervious) learning situations.

Secondly, systematizing the context-text connection is crucial in humanities-style subjects which, in a very real sense, are primarily textual, are primarily intertextual. In negotiating the literacy demands of school English students cannot rely in the same way on those non-linguistic modes of knowledge-construction which are available in other disciplines. Physical operations like the experimental procedures of science, symbolic operations like those featured in mathematics and drafting operations such as those featured in Technics and Design or computing studies are relatively rare in English. The challenge of English is, to a large extent, the challenge of context-creation. This is especially important in post-traditional English classrooms, where, as Halliday puts it, teachers have to "actively construct the context for their work instead of merely taking it for granted" (Halliday 1991a).¹

The discipline of school English may be overwhelmingly linguistic in the sense that it is 'through language' that students have to learn 'about language' (Halliday, 1991a). But, as noted in chapter one,

¹ Halliday acknowledged the special challenge faced by English teachers in his review of early applications of context variation in classroom settings: "The problem faced by the secondary teachers was, that for them there was no context. There was no culturally recognized activity of learning about language... This meant that, while creating their text, they had to be creating the context for it at the same time" (Halliday, 1991a). *Language in Use* (Doughty et al, 1971) is the language programme developed as a result of this research and is based on the model of variation in language propounded in the early 1970's by Halliday and his British colleagues.

neither 'grammar' (as resource) nor 'grammatics' (as the study of this resource) feature in any significant way in the present NSW English curriculum (see Halliday, 1996, for a useful discussion of the relationship between 'grammar' and 'grammatics'). The current study assumes that students can only benefit from a metadiscourse by which they can reflect on and intervene in their own language use and that this is especially important in a discipline which is constituted of language, of discourses. The review of the model of context privileged in SFL considers especially those theoretical developments which occurred during contemplation of texts which appear to constitute their own situation and in which 'situation' needs to be represented in abstract terms. Earlier Firthian models of the context-text relation proved inadequate to the task of elucidating the context of 'constitutive' texts. Recent research on genre has extended the usefulness of SFL for literacy education in this respect.

Thirdly, there is the need to develop a contextual model which encompasses both students' diverse experiences of the 'social' in their everyday lives and the heterogeneous practices of school English. We can develop such a model only if we 'proceed from the outside inwards' as Halliday asserts and attempt to interpret language by reference to 'its place in the social process' (Halliday, 1978: 4). Students' orientation to the meanings privileged within the school will be developed firstly in home and community settings. With respect to English, the meaning-making practices which they learn at home will affect their ability to read not only the texts they encounter but also the institution(s) which give these texts particular kinds of salience.

Contextualization is not a transparent matter for those students who do not know the 'rules' which implicitly govern reading and writing practices of school English. And they often need more help with its tacit than they do with its manifest con[textual] and [inter]textual practices. Bernstein's code theory is relevant here. It offers a way of encompassing not only the different practices of school English but also those brought by students to school from the wider community. Code theory challenges the assumption of an easy 'fit' between contextual and linguistic variables and invites us to consider the connection between students' literacy (including their interpretive) practices and the invidious positioning they experience as a result of social class location.

Fourthly, as Jay Lemke and others have pointed out, intertextual relations are 'made' rather than 'found' and made differently in some communities than in others (Lemke 1985). Thus only some texts

will be relevant 'con-texts' for the interpretation of other texts. In other words, only some texts will be seen to 'go with' other texts and the ways in which they 'go together' will be a matter of the particular social provenance they are given (Lemke, 1985). Lemke (1985, 1995), Thibault (1991) and Fairclough (1988b and 1992) give greater weight to social than they do to textual factors in their models of intertextuality. What is relevant to interpretation is a matter of which 'functional criteria' are 'in play', (Thibault, 1991) or which 'orders of discourse' have pre-eminence (Fairclough, 1992b: 104) rather than which features 'emanate' from texts.

The approach to intertextuality emphasized within more critical approaches to language is important for the present study which attempts to inter-relate (compare and contrast) the 'functional criteria' of different discourse formations in English. Discourse formations include reading and writing formations. The criteria underpinning, say, 'growth' models of intertextuality will differ from those relevant to 'cultural heritage' models, and from those of more 'critical social' models. Furthermore, such criteria affect even intratextual meanings. Even text-semantic relations such as coherence depend on a significant input from reader or listener. As Norman Fairclough has stressed: "interpretation is an active process in which the meanings arrived at depend upon the resources deployed and the social position of the interpreter" (Fairclough, 1992a: 29 my emphasis). CDA theorists foreground the interpretive as well as the productive dimensions of intertextuality, reminding us that we need to incorporate in any account the relations within and between texts construed by different social subjects.

In sum, systematizing the context-text relation requires not only that we view the field of English as one 'made of' text (i.e. as both 'inter' and 'intra' textual) but that we view it as profoundly intricately with particular institutions and with different approaches to 'privilege' both within the student population and within the heterogeneous discipline of school English itself. What is 'above the text' is always a matter of which institution, which discourse formation 'we are in' and whose 'orders of relevance' hold sway at the time (see Halliday, 1978: 137 for a discussion of this notion). We thus need to develop different criteria to account for different 'intertextualities' (orientations to meaning and to relations between texts) in school English. But such criteria will always be 'value-weighted' in the sense that different literacy practices have differential value within these institutions and participation in them always carries a linguistic 'cost'.

2.2 The functional language model

The metalanguage of the functional language model is widely circulated in the 'pedagogic discourse' surrounding literacy education at the present time. That 'texts are systematically related to their contexts' has become something of a commonplace within English curriculum. Terms like **register** and **dialect** are commonly invoked in curriculum documents informing teaching practice in English. In *English 7-10*, for example, it is taken as axiomatic that "the quality of students' language is demonstrated by their ability to use the register appropriate to a particular situation" (Board of Secondary Education, 1987:7). Contextual definitions of literacy have become the rule rather than the exception in recent years. In the national *Statement on English*, for example, literacy is now defined as the "ability to read and use written information and to write appropriately in a range of contexts" (Curriculum Corporation, 1994: 3).

Nevertheless it is important to probe the application and effectiveness of notions such as 'appropriateness' and to enquire into the ideological function they serve within the politics of curriculum development, especially given the socially diverse and heteroglossic nature of the context from which school populations are drawn and the potential for governments to equate 'appropriateness' with 'normative standards' (see Fairclough, 1992c for an important discussion of this issue). And for the same reasons it is just as important to problematize the commonsense coupling of 'context' and 'text' in current literacy curriculum. Most Australian curriculum documents about literacy emphasize the importance of teaching students to use 'language appropriate to different social situations' (Curriculum Corporation, 1994: 3). But they assume that the relation between language and social context is self-evident and that there is general agreement amongst educators about the aims and the 'content' of teaching students 'appropriate' language behaviour.

Within the functional language model it is not only **register** which has entered the common parlance of literacy curriculum in Australia. The category of **genre** has also had an impact on literacy curriculum and on 'recontextualizations' of the model in literacy

education.² Current popularizations of the terminology of SFL within literacy curriculum makes a critical review of its theoretical antecedents and its curriculum recontextualizations a pressing matter.

2.2.1 Register theory

Register has been a crucial category within SFL for mediating the relationship between texts and their social environment. For Halliday, it has also been a useful heuristic (or 'fiction' as he explains it in Halliday 1985c) for understanding intertextuality.

... every text is in some sense like other texts; and for any given text there will be some that it resembles more closely. There are classes of texts and this is what gives us the general notion of register. The feeling that we have as speakers of language that this text is like that one is simply a recognition that they belong in some respect to the same register.

[Halliday in Halliday and Hasan, 1985: 42]

Register theory was initially developed as part of the 'institutional linguistics' practised in the post-war years by J. R. Firth and some of his students, like Michael Halliday, who were keen to differentiate the social origins of language variation (Halliday, McIntosh and Stevens, 1964: 75). While the term **dialect** was a useful category for characterizing variation determined by social hierarchy or regional location, that of register enabled them to describe language variation which resulted from the diversity of social processes (see Halliday, 1978:35

² Some of the 'recontextualizations' of these theoretical models in curriculum development take unintended directions. In some resource materials produced recently for Aboriginal schools in the Northern Territory, for example, the writers have attempted to map simplified versions of Labovian narrative structure - developed within the research of Rothery (1990 and 1994), Plum (1988) and Martin (1984b) onto Aboriginal dreaming stories. Thus Aboriginal children are now being taught that the stories they hear around the campfire have an 'Orientation', followed by a 'Complication' which leads to a 'Crisis' and, finally a 'Resolution' (see Northern Territory Department of Education 1993). This is a misappropriation of an important starting point within genre theory that "different cultures value and use different genres differently" (Macken et al, 1989b:12), as well as using different genres. Nevertheless, it is an inevitable consequence of what Bernstein calls 'secondary recontextualization', in which a text produced in one (e.g. theoretical) field is transformed into something else in the process of its use in another (e.g. curriculum) (Bernstein, 1990: 190-192).

for a summary of the contrasts between dialect as 'variation according to user' and register as 'variation according to use').

In early days, although the category of register was developed to account for the functions (in the sense of 'uses') of language in different situations, it was treated as a lexicogrammatical rather than as a semantic phenomenon. Thus while dialectal differences were identified primarily on phonological grounds, registers were distinguished on the basis of the lexicogrammatical features of (usually) restricted contexts. As Halliday glossed these differences: "Dialects, in the usual sense of that term, are different ways of saying the same thing. ... Registers are ways of saying different things" (Halliday, 1978:185). The following is a typical example: "Often it is the collocation of two or more lexical items that is specific to one register. 'Kick' is presumably neutral, but 'free kick' is from the language of football" (Halliday, McIntosh & Stevens, 1964: 88).

The exploration of the grammatical properties of registers was extremely limited in scope. Thus:

Purely lexical distinctions between the different registers are less striking, yet there can be considerable variation in grammar also. Extreme cases are newspaper headlines and church services, but many other registers such as sports commentaries and popular songs exhibit specific grammatical characteristics. Sometimes, for example, in the language of advertising, it is the combination of grammatical *and* lexical features that is distinctive; e.g. 'Pioneers in self-drive car hire'.

[Halliday, McIntosh & Stevens, 1964: 88]

Furthermore, these same differences of emphasis and focus have persisted up to the present time in studies of register and social dialect variation across sociolinguistics more generally. Studies of dialectal variation are still likely to focus on phonological 'differences between users' while those of register variation focus on lexicogrammatical 'differences between uses' of language. (Finegan and Biber, 1994).

Register theory had its antecedents in the anthropological work of Malinowski and others and was thus primarily ethnographic in focus. Firth, and later Halliday, drew on the terms **context of situation** and **context of culture** which Malinowski coined as an aid in his translation for 'cultural outsiders' of the speech of one tribe of Trobriand Islanders. His working model of context was, quite predictably, biased towards the material and observable circumstances of the people he was studying. The model was neither general nor abstract enough for Firth,

who wanted a "more general and theoretical abstraction, with no trace of realism" (Firth, 1957, reprinted in Palmer, ed: 1968: 154). In spite of Firth's aim, however, early schematic representations of context tended to focus on the 'real' circumstances surrounding people's interactions with one another. Consequently, registers tended to be seen as 'embedded' in particular situations (e.g. Gregory, 1967 and Gregory and Carroll, 1978: 73).

Defining the relevant parameters of 'context of situation' was a matter of pressing importance, and it is not surprising that early models of this produced within the 'scale and category' grammar associated with Firth were inconsistent with each other. For Michael Halliday, Angus McIntosh and Peter Strevens, there were three variables which affected the register of a text: the **field** of discourse (what is going on), the **mode** of discourse (primarily, whether spoken or written) and **style** (the relations among the participants). For them 'the formal properties of any given language event [are] those associated with the intersection of the appropriate field, mode and style' (Halliday, McIntosh & Strevens, 1964: 93).

For Jean Ure and Jeffrey Ellis, on the other hand, whose interests lay in foreign language teaching, there were four crucial variables defining the context: variations in the **material conditions** (time, space available and the acoustic and visual conditions); the **personal and social relations** between the speaker/writer and the addressees; the **type of subject matter** and the **social functions** of the language event' (Ure and Ellis, 1977).

Others, like Ruqaiya Hasan, differed again. In her early work on code, register and dialect, Hasan identified five factors correlating with varieties of register: (1) **Subject-matter** of discourse, (2) **Situation type** for discourse, (3) **Participant roles** within discourse, (4) **Mode** of discourse and (5) **Medium** of discourse. She preferred to avoid the use of **tenor** in her model, arguing that it referred to the 'tonal quality' of texts - which was itself 'the product of the inter-action of the five factors listed above' (Hasan: 1973: 281).

Michael Gregory, on the other hand, took up the triune model of context of situation proposed by Halliday et al (1964), but distinguished between context and situation and proposed that the term **tenor** replace style, which already had a long history in literary theory. He further proposed that tenor be split between **personal tenor** and **functional tenor** (Gregory, 1967). For Gregory, (as for Martin, later), the latter term captured the rhetorical dimension of any act of

communication, for example the 'didactic' element in lecturing or the 'expository' element in scientific writing.

Table 2.1 reveals proportionalities and differences in these early models of the variables of context of situation.

Halliday et al (1964)	Ure and Ellis (1977)	Hasan (1973)	Gregory (1987)
Field of discourse	Kind of subject matter	Subject Matter	Field
Mode of discourse	Medium & Material Circumstances	Medium Mode	Mode
Tenor of discourse	Social & Personal Relations	Participant Roles	Personal Tenor
	Social Function of Language Event	Situation Type	Functional Tenor

Table 2.1: Early models of contextual variables

The rhetorical aspect of the contextual models developed at this time proved quite difficult to categorize. Halliday made it part of mode in some works (e.g. 1978) and part of field in others (e.g. Halliday, McIntosh and Stevens, 1964). Martin argued that **functional tenor** correlated closely with 'social function' for Ure and Ellis (1977) and 'situation type' for Hasan (1973). He saw functional tenor as the 'wild card' in the theory and claimed that, because it related to the 'rhetorical purpose' of a text, it should not be reduced to a single contextual variable. Instead, he proposed that it be pushed to a higher level of abstraction - at the level of 'context of culture' (Martin, 1984a, 1992a). It was this move which led Martin to argue that this rhetorical dimension of text (its overall purpose or telos) could be captured at the level of **genre** at another plane in his model of context which he based on Hjelmslev's 'connotative semiotics' theory. The matter of genre is considered in greater detail in the next section.

Early theories of 'text in context' were limited in ways typical of the linguistics of the time, which was preoccupied with formal (and usually localized) features of language variation. And, until Halliday's emerging extension of the theory, there were no intrinsic linguistic reasons for preferring one model of context over another. Thus models of the social situation could just as feasibly posit three, four or five variables as relevant to the language features of any spoken or written text produced 'within' it. Furthermore, the relation between context of

situation and register was deemed to be an 'associative' one in which certain linguistic features were correlated with particular situation types.

Parallel with early studies of language varieties and their social 'uses', Halliday observed that the linguistic system itself seemed to be organized around a small number of functional components. Halliday posited a systematic connection between extra-linguistic and intra-linguistic functionality as early as 1973.

... the concept of the social function of language is central to the interpretation of language as a system. The internal organization of language is not accidental; it embodies the functions that language has evolved to serve in the life of social man . [The] sets of options which are recognizable empirically in the grammar, correspond to the few highly generalized realms of meaning that are essential to the social functioning of language - and hence are intrinsic to language as a system. Because language serves a generalized 'ideational' function, we are able to use it for all the specific purposes and types of context which involve the communication of experience. Because it serves a generalized 'interpersonal' function, we are able to use it for all the specific forms of personal expression and social interaction. And a prerequisite to its effective operation under these headings is what we have referred to as the 'textual' function, whereby language becomes text, is related to itself and to its contexts of use. Without the textual component of meaning, we should be unable to make any use of language at all.

[Halliday, 1973: 43-44; emphasis added]

According to Halliday, these generalized functions of language as a whole (what he calls **metafunctions**) constrain the organization of the lexicogrammar itself. Thus the patterns of wording within a text have the same polyphonic structure as the patterns of meaning across it. With respect to the lexicogrammar, he observed that three types of meaning are 'mapped onto' each clause with little mutual determination, so that the interpersonal structure of a clause is not affected by its ideational or textual structures. He explained this further in an interview with Herman Parrett in 1974:

Take for instance the structure of the clause. There is one set of options in *transitivity* representing the type of process you are talking about, the participant roles in this process and so on. This is a tightly organized set of systems, each one interlocking with all the others. And there is another set of options, those of mood, relating to the speaker's assignment of speech roles to himself and to the hearer, and so on; these systems are again tightly organized internally. But there is little mutual constraint between transitivity and mood. What you select in transitivity hardly affects what you select in mood, or vice versa. Now what are these components? Fundamentally, they are the components of the language system which correspond to the abstract

functions of language - to what I have called metafunctions, areas of meaning potential which are inherently involved in all uses of language. These are what I am referring to as ideational, interpersonal and textual; generalized functions which have, as it were become built into language, so that they form the basis of the organization of the entire language system.

[Halliday, 1974, reprinted in Halliday, 1978: 46]

In a history-making move, Halliday then went on to posit a connection between the components of the context of situation and the language produced in this. His 'context-metafunction hookup' thesis (hereafter CMH) was very important for later developments of register theory and for contextual models within language education (see Martin, 1991 and Matthiessen 1992a, for detailed reviews of the CMH thesis and its implications for contextual modelling). Halliday increasingly focussed on the situation type rather than the situation, foregrounding its abstract/semiotic rather than its material/circumstantial components. Each context of situation was seen to consist of an ongoing 'social activity' (its **field**), the particular role relationships involved (its **tenor**), and the symbolic or rhetorical channel (its **mode**). And the texts produced were seen to be a result (an output) of these contextual 'determinants'.

With the CMH thesis, however, Halliday was able to show a linguistically principled correlation between the situation, the text and the semantic system, such that: "by and large, it is the ideational component of the system that is activated by the choice of field, the interpersonal by the tenor, and the textual by the mode" (Halliday, 1972, reprinted in Halliday, 1978: 63). The same polyphony of meanings thus came to distinguish situation, semantics and lexicogrammar so that the three variables of each situation type could be 'hooked up' at both the semantic (text wide) and the lexicogrammatical (clause wide) strata. In this way, Halliday connected 'extrinsic' and 'intrinsic' functionality.

Halliday's attentiveness to the meanings 'at risk' in particular situation types marked a move away from the earlier focus in register studies on discrete features of lexis or grammar within a text towards a consideration of 'configurations of meanings dispersed throughout the text as a whole. Hasan had foreshadowed this in her 1973 study of the relationship between the categories of code, register and social dialect. In this essay, she suggested that:

registers may be better characterized by reference to some high-level semantic components, whose realization would not be a function of

individual items of any size or level but rather of a combination of such items throughout the text.

[Hasan, 1973: 286]

The distinction which she made here between the study of 'localized semantic components' and the wider 'textual semantic components' is important for the present study which discerns a need for a 'bigger canvas' view of semantic relations when it comes to the study of written texts especially. The increasingly inclusive nature of register studies meant that 'larger' units of meaning could be incorporated and that distinctions could be made between local and global structures of meaning in text.

In postulating a systematic and determining relationship between contextual and linguistic variables, Halliday thus moved register theory out of its weak claim about the 'co-occurrence of' or 'correlation between' particular linguistic and extra-linguistic variables into a stronger claim "that the contextual variables function act as CONTROL upon the range of meanings from which selection may be appropriately and relevantly made" (Hasan, 1977: 230, capitals as in original). Metaphors of causality and hence of a directional relationship between context and language dominated earlier construals of register. In the book which he co-wrote with Ruquaiya Hasan, *Language, context and text: aspects of language in a social-semiotic perspective*, Halliday presents his model, reproduced in figure 2.1:


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

Figure 2.1: Halliday's model of the relation between context and text (from Halliday and Hasan, 1985: 26)

Thus, instead of a largely ad hoc construct for studying the lexico-grammatical features of texts produced in often restricted registers, Halliday's model could now be used to interpret and evaluate both the semantic and lexicogrammatical features of all texts that play a functional role in any socially recognized situation type. The CMH thesis has thus enabled linguists to systematically inter-relate extrinsic (contextual) and intrinsic (textual) functionality. It permits the prediction of language patterns on the basis of 'appropriate' contextual information and contextual patterns on the basis of relevant linguistic information.

Nevertheless, the development which lent the model its systematicity and its 'predictive' power is the same one which creates problems for the contextual specification of many written or spoken texts. In the case of narratives, for example, it is difficult to view 'situation' as a 'control' on the register of a text which projects its own 'situation'. The notion of situation as 'extra-linguistic' is problematized by texts which appear to constitute their own situation. Unlike service encounters which are 'embedded' in pragmatic contexts of use, literary genres create a more complex relation with their social-semiotic environment'.

Hasan herself acknowledged this difficulty for the study of verbal art if the 'situation' is modelled as 'extra-linguistic' (see Hasan, 1977). In her study of the structure of the nursery tale, she proposed 'three distinct orders of context' for literary genres: the 'context of creation', which is a reflection of the artistic conventions of the author's community, the 'context of the 'audience's contact with the text' and, finally, the "reconstituted context which is specific to that one text - what it is about, in what relations the characters and events are placed vis a vis each other, how the theses hang together and the strategies through which the text achieves a generally recognizable generic shape" (Hasan, 1984: 100). Creating a place for authors, for possible worlds within text and for readers and their potentially diverse interpretations of a text's meaning requires multiple levels of contextualization.

Halliday's solution to the problem of representing 'what is above' the literary text was simpler than that of Hasan. In his analysis of a fable by James Thurber called *The Lover and his Lass*, he developed a two-tier semiotic organization, conflating the context of production with the context of reception and distinguishing this 'social world in which the text is narrated' from the 'world' projected within the narrative text.

In a fictional text, the field of discourse is on two levels: the social act of narration, and the social acts that form the content of the narration. ... The tenor is also on two levels, since two distinct sets of role relationships are embodied in the text: one between the narrator and his readership, which is embodied in the narrative, one among the participants in the narrative, which is embodied in the dialogue.

[Halliday, 1978: 146]

In this study, Halliday thus argues for two orders of context: 'first order' contextual categories, which are not defined with reference to language; and 'second order' contextual categories which are defined with reference to language. Thus, in Halliday's schema, narrating a story is characterized as a 'first order' field and the 'possible world' within the story itself is a 'second order' field. And, in a proportional way, while the relationship between narrator and reader is seen to be an artefact of 'first order' tenor, those relationships which are established within the world of the text (between the characters themselves) are dealt with as 'second order' tenor.³

With respect to the mode dimension of the literary context, Halliday construes the text as 'self-sufficient', as "the only form of social action by which the 'situation' is defined. According to the logic of this distinction, 'genre' becomes an aspect of the mode, "because it depends for its existence on the prior phenomenon of text" (Halliday, 1978: 145). There clearly are grounds for differentiating the social activity of narration and the story which is narrated.⁴ But social activities and social

3 Conflating the 'implied author' with the 'narrator' is itself problematic, however, as many theorists of narrative have pointed out (Bal, 1985, Fowler, 1986, Reid, 1992, Simpson, 1993). The postulation of a two-level model of tenor is overly simplistic according to Ian Reid, who takes issue with Halliday's conflation of author with narrator and reader with narratee in his study of Thurber's fable *The Lover and his Lass*. He argues that such a model fails to take into account the recursive complexities of relations between writers and readers in even simple narratives: "... Suppose for instance that a reader sees in the explicit terminal moral a meta-application, a reflexively ironic comment on the humorous narratorial tone itself and on the generic limitations of fables; surely such an interpretation cannot be located analytically at the same 'level' as a straight acceptance of the moral by the narratee?" (Reid, 1992: 11).

4 Literary theorists such as Emile Benveniste and Roman Jakobson, for example, have utilized terms such as 'discours' vs 'histoire' or 'enunciation' vs 'enonce' to distinguish the different orders of relations at stake in literary semiosis. See a discussion of the implications of this for reading in Belsey, 1980, ch. 3 and for narratology more generally, in Toolan, 1988 or Stephens 1992. The matter of how we

relations are multifaceted and shifting phenomena, even in a relatively 'simple' text such as this. Contextual specification needs to account for the multiple and interlocking positions and voices of actual author, implied author and narrator. Otherwise, first order tenor amounts to little more than a reification of the 'social relations' dimension of context. This matter is taken up in greater detail in section 2.4.

In his study of the context of literary texts, Halliday was, in effect, forced to rework the notion of the 'extralinguistic' - to foreground the semiotic rather than its material dimensions of context of situation:

If the 'context of situation' is seen as the essential link between the social system (the 'context of culture', to use another of Malinowski's terms) and the text, then it is more than an abstract representation of the relevant material environment; it is a constellation of social meanings, and in the case of a literary text these are likely to involve many orders of cultural values, both the value systems themselves and the many specific subsystems that exist as metaphors for them.

[Halliday, 1978: 147, my emphasis]

In semioticizing the contextual model in this way, Halliday and his colleagues have increasingly emphasized the symbolic nature of the relationship between text to situation, in which language becomes a 'metaphor for social reality at the same time as social reality is a metaphor for language" (Martin, 1992:494); or, as Guenter Plum describes it, linguists 'grammaticalize context' and 'contextualize grammar' (Plum, 1988). Crucial to this move has been the notion of **realization**, which draws attention to the symbolic relationship between levels of abstraction in stratified models of language. In this perspective, more abstract contextual meanings are expressed, or realized in less abstract patterns of linguistic meaning. Early representations of this relation were directional in stressing the determination of 'lower' by higher order factors:

The meaning potential of language, which is realized in the lexicogrammatical system, itself realizes meanings of a higher order; not only the semiotic of the particular social context, its organization as field, tenor and mode, but also that of the total set of social contexts that constitutes the social system.

[Halliday, 1978: 123-124]

distinguish different orders of semiosis for literary interpretation is considered later in the chapter.

More recently, Halliday, Martin and others have drawn on Jay Lemke's notion of **metaredundancy** to characterize this relationship between strata as dialectical rather than causal or uni-directional. The notion of metaredundancy is important for the proposed model of intertextuality for English, so I will consider it briefly here.

Lemke maintains that earlier models of context were 'naive' in that they were 'too top-down'. As he saw it, they tended to describe social actions as determining texts, "when we know that language events and texts co-determine social action reciprocally and dialectically" (Lemke: 1989b: 5). In order to model their mutual determination, Lemke drew on and extended the notion of **redundancy**, first developed by Gregory Bateson (Bateson, 1972) to describe contextual meaning:

Social semiotics says that an event (or identifiable feature) A is meaningful insofar as its co-occurrence with other events (or features), B, *in a given context*, C is statistically predictable. Another way of saying this is that, in context C, A and B go together more often (or less often) than mere chance would predict. Moreover, since A and B are paradigmatic selections, the same may be true of other combinations of alternatives to A and to B, and usually is. This is equivalent to saying that in context C there is a pattern of co-occurrences: not every possible combination of selections is equally likely or equally frequent. The pattern of co-occurrences of the various selections of each sort, then, is what *defines* (or constructs) the context C. The net logic of all this is that *contexts* are now seen to be simply higher-order features (or events), defined in their turn by patterns of co-occurrence with - the patterns of co-occurrence among - the A and B options.

[Lemke, 1989b: 8, original emphasis]

Lemke substituted the information theory term 'redundancy' for 'co-occurrence' and specifies the relation between strata as a 'hierarchy of redundancies of redundancies' or 'metaredundancies'. **Metaredundancy** has provided theoretical means of formalizing the notion of **realization**, as Halliday and Martin argue:

Realization is most effectively interpreted as a chain of metaredundancy - a redundancy on one level is redundant with part of a redundancy on another level, which is in turn redundant with part of a redundancy on another level and so on.

[Halliday and Martin, 1993: 41]

This notion of different orders of redundancy is important to the current research because we need to articulate in higher order semiotic terms the different orientations to con[textual] meaning which some groups of students display in their literacy practices and to relate these to those more and less privileged within school English. From the point of view of intertextual relations, the notion of metaredundancy implies that what is 'above the text' will vary according to students' orientations to meaning. On this basis we can tell a lot about tacit models of context just by reading students' texts. The interpretations which students make of a narrative, for example, can be seen to correspond with different orientations to contextual significance. The linguistic choices they make in producing these interpretations metaredund with (symbolize) their different contextual orientations. And these correspond (more or less) with the contextual orientations of their teacher/examiners (which are realized in their assignment of grades and comments to these offerings). The metaredundancy formalism offers a means of modelling the context students implicitly construct in their own writing and, then, probing their assessors' evaluations of these for corroborating evidence of which construals are institutionally ratified. This is especially important in disciplines such as English in which context is mediated linguistically.

The category of register provides one kind of answer to the "basic questions of intertextuality: which texts go together and how", as Lemke (1985:276) has argued. Register is, however, a protean notion which serves a variety of analytic and descriptive purposes within different applications of SFL. It can be seen as an 'interface' between social and linguistic levels of meaning (as in its early, more Firthian representations), as a typology of situational contexts (as in *English 7-10* and similar documents), as a restriction on the total meaning potential of a language (as in Matthiessen, 1993b) and, as a semiotic system in its own right between genre and language (as in Martin's 1992a connotative semiotic model, which has greatly influenced literacy interventions in Australia). Its full potential for literacy education has yet to be recognized or utilized. In most cases the term is simply invoked as if everyone shared the same assumptions about the kind, degree and dimensions of language variation 'according to context'.⁵ English teachers need more

5 A possible exception to this is the *Write it Right* Project associated with the Disadvantaged Schools Program in Metropolitan East region in Sydney. It has attempted to build understandings about *register variation* into curriculum materials relevant to workplace and school-based literacy. A useful introduction to

than ad hoc representations of variation if they are to accommodate the contextual relations presupposed by literary and other constitutive registers and to assist their students to make the 'right' sensible guesses about which meanings are likely to be exchanged in any situation type.

In sum, register variation has itself been subjected to various treatments within Hallidayan linguistics. Earlier interpretations of register focussed particularly on localized (often indexical) features of lexis and grammar, construed the extra-linguistic in primarily material terms and modelled the relation between context and language in associative terms. Thus a correlation was posited between discrete aspects of a text's vocabulary or syntax and particular contexts of situation. Later interpretations of register variation, following the path opened up by Halliday's CMH thesis, moved towards a focus on semantic features 'dispersed' throughout a text - on "configurations of meanings 'at risk' in certain situation types". Increasingly, context of situation was interpreted in semiotic rather than material terms, not least because of the problems posed for earlier representations of narrative texts, which constitute their 'own' context of situation. Constitutive texts create problems for deterministic (causal) models of the context-text relation. It is difficult to maintain that 'context determines text', when the text itself appears to be agentive in the creation of its own situation.

Later models of the context-text relation have thus moved away from causal, one-way representations towards realizational ones which suggest that text 'realizes' context just as context 'activates' text (Hasan, 1995). The realizational perspective has been facilitated by Lemke's notion of contextual meanings as 'metaredunding' with linguistic meanings. In this construal it is possible to make text or context point of departure for analyses of register and to build 'change' (albeit of a probabilistic kind) into the analytical model. Metaredundancy has been crucial to recent extensions of models of language variation (with respect to both register and genre) within SFL (Lemke, 1995, Halliday, 1987, 1991b, 1992a, Martin, 1992a, Matthiessen, 1993b, Hasan, 1995).

The developments within the theory which have been discussed in this section are summarized in table 2.2:

	EARLY REGISTER THEORY	LATER REGISTER THEORY
SOCIAL CONTEXT	Context is 'extra-linguistic' and material.	Context is 'extra-linguistic' and semiotic.
TEXT	Characterized in terms of discrete lexico-grammatical features. No specification of contextual orders for 'constitutive' texts.	Characterized in terms of 'configurations of meanings'. Specification of first and second order contexts for 'constitutive' texts.
RELATION	An associative relation.	A deterministic relation; later dialectical, via notion of realization.

Table 2. 2: Context and text relations in early and later register theory

2.2.2 Genre theory

Later construals of register variation offered educators a linguistically principled basis for interrelating texts and their social contexts. Nevertheless on a number of counts, register theory has proved itself inadequate to the challenges facing the current study. Some of the difficulties with Halliday's model of context were foreshadowed earlier. Some of these Halliday and Hasan attempted to resolve by extending the model in new directions (as in Halliday's postulation of first and second order registers in the case of 'constitutive' texts). Others, such as the influence of social class on the interpretation of context by different social agents, they attempted to resolve using the sociological theories of Bernstein (see, for example, Hasan 1988b and 1989, Hasan and Cloran, 1990, Halliday, 1988 and 1991b).

But in spite of its other uses, register has not been a generative category within education. Although it has enabled educators to make systematic predictions about the linguistic demands of particular contexts, it has not exceeded its parameter-setting function. As Halliday intimates in his own definition of it, register is a category of 'recognition': "The feeling we have as speakers of language that this text is like that one is simply a recognition that they belong in some respect to the same register" (Halliday and Hasan, 1985: 42). Register has not contributed in a significant way to the development of protocols for production of texts. It has remained a synoptic category for characterizing the constraints of a writing situation rather than the possible staging of a text type.

This limitation on the usefulness of register theory emerged as linguists attempted to account for the actual generation and unfolding structure of texts. Guenter Plum (1988) and Eija Ventola (1987 and 1989), for example, experienced problems modelling generic structure within Hasan's appropriation of Halliday's contextual model. Global models of text structure, especially those which attempt to capture either the constraints or unexpected innovations on the generation of text, are not easily generated within register theory (although see Hasan, 1995 for a defence of its usefulness as it stands). As Martin and others like Eija Ventola have argued, synoptic representations of the system (as in system networks) need to be complemented by more dynamic representations (such as flowcharts) if moments of choice, failure to communicate, strategies of repair, recursion and so on - which characterize the process of text production - are to be captured (Martin, 1985a and 1993b, Ventola 1987 and 1989, O'Donnell, 1990).

Martin and his colleagues did not pursue the path which Halliday and Hasan and others took in accounting for different orders of semiosis in the case of registers which appear to 'project' their own situation.⁶ Perhaps as a result of their educational interests, they sought a more holistic and dynamic approach to contextual modelling. Martin argued that in order to account for the overall structure of a text, functional linguists needed to distinguish between genre and register as 'connotative semiotics' in their own right. In an early representation of this for education, Martin explains this move in the following way:

In our work on children's' writing we felt that a clearer relation between register choices and metafunctional components would help us clarify the linguistic reflection of the stages a child goes through in learning to write in different registers. And also we felt a need to give some more explicit account of the distinctive beginning-middle-end (or schematic) structures which characterise childrens' writing in different genres. So we took the step of recognising a third semiotic system, which we called genre, underlying both register and language. Like register it is a parasite - without register and language it could not survive.

⁶ Frances Christie, however, although she utilizes Martin's connotative semiotics model in her study of 'curriculum genres' also draws on Halliday's distinction between first and second order registers in differentiating between the social activity of teaching for example (which she terms a pedagogic register) and the topic of a lesson (which is a content register). See Christie 1991 and Christie in Christie and Martin, eds, in press for a detailed treatment of this distinction.

In a sense this takes us back to Malinowski, who argued that contexts both of situation and of culture were important if we are to fully interpret the meaning of a text. Our level of genre corresponds to context of culture in this sense, our register to his context of situation. ... For us, a genre is a staged, goal-oriented, purposeful activity in which speakers engage as members of a culture. Examples of a genre are staged activities such as making a dentist appointment, buying vegetables, telling a story, writing an essay, applying for a job, writing a letter to the editor, inviting someone to dinner and so on. Virtually everything you do involves your participating in one or another genre. Culture seen in these terms can be defined as a set of generically interpretable activities.

[Martin, 1984a: 24 - 25]

Unlike Halliday and Hasan, who maintained context as a singular plane, Martin stratified the context plane so that it became a janus-faced construct including genre and register, which he saw as realized in language. Later, he came to add another layer to his model which accommodated ideology as an overarching contextual determinant. He explains the relation of the contextual planes to language as follows:

In summary, social context is realized by language: at the level of social context, ideology is realized by genre, which is in turn realized by register. In Hjelmslev's terms, ideology, genre and register are connotative semiotics, because they make use of another denotative system (i.e., language) as their expression form (i.e., phonology or graphology).

[Martin in Halliday and Martin, 1993: 37]

Martin's 'connotative semiotics' model of language in relation to context is outlined using the representational resource of concentric circles in figure 2. 2.

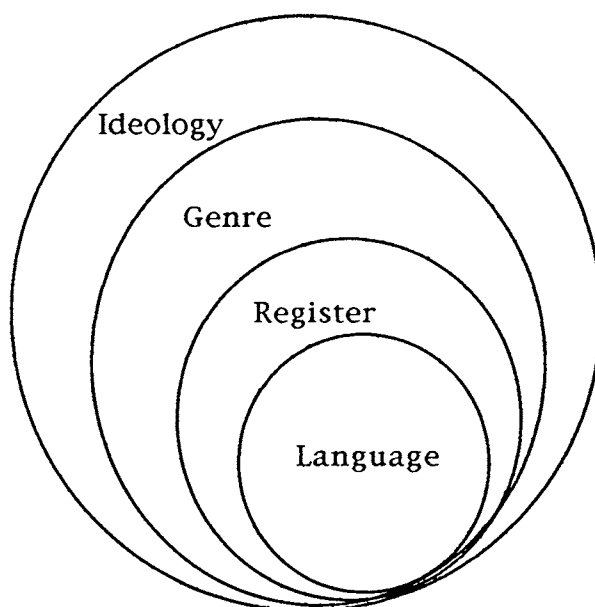


Figure 2. 2: The 'connotative semiotics' model of text in context

Genre, for Martin is the contextual level responsible for integrating meanings from field, tenor and mode variables in terms of the text's overall goal or purpose. Martin maintains that notions such as 'purpose' do not correlate with any one metafunctional component in language and need to be set up as superordinate to - rather than alongside or incorporated in - field, mode and tenor: "The register variables field, tenor and mode can be interpreted as working together to achieve a text's goals, where goals are defined in terms of systems of social processes at the level of genre" (Martin, 1992a: 502).

Martin's holistic and rhetorical orientation to texts is akin to that of Mikhail Bakhtin in some important respects. In *The Problem of Speech Genres* (1986), for example, Bakhtin emphasizes that all utterances reflect the specific conditions and goals of the human activities and that the resources which speakers draw on are "inseparably linked to the whole of the utterance and are equally determined by the specific nature of their particular sphere of communication (Bakhtin, 1986: 60; also see Martin 1993b and Halliday and Martin, 1993: 35-36 for a discussion of the relevance of this 'Bakhtin intertext' for his theory of genre). This teleological, means-end perspective is related to what Bakhtin viewed as one of the constitutive features of the utterance, the *finalization* of the utterance:

We learn to cast our speech in generic forms and when hearing others' speech, we guess its genre from the very first words; we

predict a certain length and a certain compositional structure; we foresee the end; that is, from the very beginning we have a sense of the speech whole, which is only later differentiated during the speech process.

[Bakhtin, 1986: 78-79]

In fact, the emphasis on the unfolding and finalization of text structure has been very important in educational applications of 'the functional language model' in literacy education - particularly with respect to writing. And while Bakhtin separated the notion of 'speech plan' from 'the compositional and generic forms chosen to realize this', Martin's neo-rhetorical extension of the model has enabled educators to make explicit links between notions such as 'social purpose' and text structure. The model is generative in that they can be explicit about the linguistic patterning required in each genre.

In early applications of the model, the notion of 'social purpose' or 'social function' floated free of considerations of field, tenor and mode. While for Martin genre is 'trans-metafunctional', for Bakhtin the goals of the utterance were always linked to "three essential aspects of the utterance - its 'thematic content, style, and compositional structure'" (Bakhtin, 1986: 60). Thus telos itself, for Bakhtin was metafunctionally diverse rather than 'trans-metafunctional': purposefulness inflects every aspect of a text's meaning, rather than floating above it as some kind of transcendent function. In more recent work on interpersonal and textual modes of meaning, Martin explores the possibility of a metafunctionally differentiated model of genre (Martin, 1992b and 1995a). The implications of this projection of the metafunctional interpretation of the clause and of register onto the level of genre have yet to be taken up in educational extensions of the functional language model. As will be seen, it is important to the model of intertextuality proposed in this study.

Genre theory is functional rather than formal: Martin and his colleagues are often at pains to stress that genres are culturally (even ideologically) conditioned processes of meaning-making (e.g. see Martin, 1986b and 1992a; Christie, ed, 1990). But in taking seriously Halliday's semioticization of the context-text relation, these systemicists, in effect, model the social as if it were linguistic. While Halliday and Hasan have maintained the distinction between the discursive (registerial) and the non-discursive (contextual) in much of their work (see, for example, Halliday and Hasan, 1985), Martin and his colleagues have abandoned the

distinction, preferring to construe the social (or, rather, those aspects of the social which are non-discursive) in discursive terms. This means in effect, as Martin expressed it more recently, "reconstruing social context in linguistic terms, as a semiotic system contextualizing language (as a connotative semiotic, following Hjelmslev)" (Martin, 1993b: 142).

Semiotizing social context is inevitable, however, if we are to be able to relate texts which are 'embedded' in their situation, in which language is 'ancillary' to social processes, to texts which 'constitute' their own situation, in which language metaphorically embodies its own social process. Genre theory has interpreted the relation between text and context as symbiotic or mutually engendering. Maintaining a view of context as always 'extra-linguistic' forces one to develop alternative analytical mechanisms when it comes to accounting for texts which constitute their own situation. What is 'extra' in the case of 'language in action' (ancillary) texts varies considerably from what is 'extra' in the case of 'language in reflection' (constitutive) texts.

Halliday attempted to resolve the problem posed for his model of context by constitutive texts by positing a two-level organization within the same contextual stratum (first and second order contexts). Martin has resolved it by separating out the rhetorical dimension of a text/social process (its genre) from its metafunctional (or register) dimensions. In the case of a discussion about a game of football, for example, (drawn from Halliday, 1978: 144), what Halliday represents as first order - 'the discussion' - Martin positions as generic. And what Halliday calls second order field - the game which is the subject of the discussion - Martin deals with at the level of field. The contrast between the different theorizations of two orders of context for Halliday (1978) and Martin (1992a) is illustrated in table 2. 3.

	FIRST ORDER	SECOND ORDER
Halliday (1978)	Field: social action Tenor: social roles Mode: -	Subject matter Speech function roles Medium, rhetorical genre
Martin (1992a)	Genre	Register Field: subject matter Tenor: social roles Mode: medium, semiotic distance

Table 2. 3: Two orders of context for 'constitutive' texts

Other theorists of language varieties, such as Gregory (1988) and Hasan (1984) have also been forced to develop additional semiotic layers for contextualizing texts whose mode is 'constitutive'. While Hasan, following Halliday, works from the premise that generic structure 'can be brought within the general framework of the concept of register' (Halliday, 1978: 134), other linguists argue that this model only works convincingly for texts in which language plays an ancillary role in the realization of the contextual meanings (e.g. Plum, 1988).⁷ In the case of nursery tales, for example, Hasan has had to predict text structure on the basis of the 'array of existing conventions' rather than on the basis of contextual variables (Hasan, 1984: 78). Martin argues that these 'conventions' are relevant for all text types, whether their mode is ancillary or constitutive (Martin, 1992a, 572).

This suggests that the relevant context for a text which realizes its context linguistically is **intertextual** - other texts which are like (and unlike) it in some ways. Martin's genre theory represents a crucial 'way in' to the study of intertextual relations for texts which 'constitute' their own context of situation, at least, from the point of view of their producer. Like register theory, genre theory within SFL is biased towards the producer rather than the reader in its contextual modelling. Furthermore, it enables us to analyze 'ancillary' texts (such as those which accompany and enable material operations like games, domestic tasks and service encounters) within the same analytical framework as 'constitutive' texts (such as those like narratives, gossip, administrative proposals which 'project' their own context for an ideal reader).

Stratifying the context plane is also important if we are to be able to account for texts both from the point of view of different modes of meaning (field, tenor mode dimensions) and from the point of view of their global structure (genre dimensions). The 'connotative semiotics' model adds to the previous models in that it presents a janus-faced model - facilitating both analytical and productive perspectives on the

⁷ Others, outside linguistics, have also problematized the usefulness of the Hallidayan models of context for the study of fictions. Ian Reid, for example, points out that it tends to impose 'arbitrary circumferences' on what it inspects and argues that the model needs the corrective of a 'theory of framing' (Reid, 1992: 8). And Ian Hunter has remarked on the problem of viewing context as "a homogeneous, extrinsic domain into which texts are inserted" (Hunter, 1982: 80). This matter is more fully taken up in 2. 4.

context-text couple. While the category of register brings out the criteria relevant to a synoptic overview of 'meanings at risk' in any context (an analytical perspective), that of genre highlights the criteria relevant to the generation of a text type in keeping with this (a dynamic production perspective). Table 2.4 summarizes the relationship between later register theory and genre theory.

	LATER REGISTER THEORY	GENRE THEORY
CONTEXT	Non-stratified: field, tenor & mode are extra-linguistic variables.	Semiotically stratified: genre and register (field, tenor & mode) are linguistic variables.
TEXT	Characterized in terms of 'meanings at risk'; Use of first & second order contexts for 'constitutive' texts.	Characterized in terms of 'meanings at risk'; Use of genre & register to capture first and second order contexts for 'constitutive' texts.
RELATION	A deterministic relation; later dialectical, via notion of realization.	A symbiotic relation: dialectical, via notion of realization.

Table 2. 4: Context and text relations in later register and genre theory

Drawing on genre theory, educators have been able to semioticize their understandings of the context-text relation, not only to turn it into meanings, but into text types, so to speak. The educational benefits have been three-fold, in this respect. Firstly, genre theory has increased the explicitness of the contextual model, enabling teachers to specify the literacy requirements of particular learning situations in terms of particular genres which students need to read and write. Secondly, it has made SFL more generative, enabling them to outline the production protocols of particular situation types, through modelling the schematic stages of a range of prototypical genres, for example. And, thirdly, it has encouraged a more global orientation to text in general through the revelation of predictable part-whole structures for different written genres relevant to education (See Macken et al, 1989a for transcripts of interviews about the uses of this approach in the classroom).

Making conscious links between the social function or purpose of different genres and their global patterning has given teachers and their students 'a handle on' the different text types that they need to

read and write and a 'rhetoric' for producing them. Furthermore, generating different genres has been made easier simply because each of their elements or stages are given functionally distinct labels, thus moving students out of the vacuous 'introduction, body and conclusion' schemas which have prevailed in schools for years (see Macken et al, 1989 b, c, d for examples of the range of beginning, middle end structures of different genres). Many of those who worked with me stressed that this gives them 'something to shoot for' when working with their students on a new or unfamiliar genre. So, when their students are asked to write a recount, for example, those with a knowledge of genre know that this means that they are to write a text which is event-focussed but not a narrative, not an exemplum, not a news story and so on. 'Genre-based' intertextuality has enhanced students' awareness of text types, their different social functions and their prototypical elements of structure.

But conflating the extrinsic and the intrinsic functions of language - removing the distinction between the extra-linguistic and the linguistic - has also had some unintended consequences for literacy education. ⁸ I turn to these now.

Critiques of 'genre' have been mounted from both inside and outside SFL. Some of these bear directly on this matter. Paul Thibault, within SFL, for example, takes issue with Martin's model of genre as a 'staged, goal-oriented social process', maintaining that it conflates language with goals and introduces a "reified model of causality which is based on language and not on the interrelation of language and social practice" (Thibault, 1989a: 343). He argues that the model "reduces the relations between language and social practice to a language-based teleology of speakers' goals or purposes [and] fails to relate genre to still wider social semiotic processes" (Thibault, 1989a: 343-347). In a similar vein, and within a generally positive view of the neo-rhetorical impetus of genre-based pedagogies, Ian Hunter cautions against a 'radical over-extension of the concept of genre' - and production of a model "which

⁸ Martin acknowledges that his interpretation of register was originally based on 'a misunderstanding' on his part of Halliday's model. Given that it has appeared in so many publications since then, his response has been to 'extend Halliday's notion' rather than attempt to 'undo the misinterpretation' in his current work. (see Martin, 1992a:589). From the point of view of this study and for genre-based approaches to intertextuality, however, it has been a productive 'misreading'.

envisages all forms of language as the product of a single general relation between 'texts' and 'social contexts'" (Hunter, 1995: 6).

Other theorists are worried by the trend within curriculum applications towards reductive categorizations of genres. This point is taken up by Ian Reid in his book *Narrative Exchanges* in which he argues that the categorical approach to writing "essentializes and dehistoricizes genre, failing to recognise how the shape of a narrative text (of any other kind) varies according to its placement within a particular discursive formation" (Reid, 1992: 189). And in her review of Reid's book about *The Place of Genre in Learning: Current Debates*, Terry Threadgold (1988) questions the value of language as 'goal directed human activity' and of schema-based models of narrative. She maintains that identifying social processes with rhetorical purposes and rhetorical purposes with particular text types tends to reproduce narrow and consensual models of the social and reified models of textual processes.

This point would be well taken by those who see genres as portable text schemas which can be applied across any cultural or curriculum context. If texts 'make meaning' and genres are identified in terms of 'their own purpose or goal', it is not hard to imagine how educators could be encouraged to see all narratives as making the same kind of meanings - and hence to look for the 'Orientation', the 'Complication' and the 'Resolution' in Aboriginal Dreaming texts (see footnote 2 of this chapter).

The tendency to reify and de-historicize 'genre' can be seen as an artefact of the foreclosure of the relation between the social and the linguistic. Semioticizing context in the way in which Martin and his colleagues have done has made a place for language in theories of the context-text couple. But identifying context in terms of its 'systems of genres' also means that it is difficult to go 'outside' the text or 'beyond' the text in representations of the social. What is realized or manifested within one prototype of the genre comes to define its potential across all contexts - especially given the reductive recontextualizations to which genre theory has been subject in curriculum development. In its current formulations within education, systemic approaches to genre take the classifications of literary texts, of fields of knowledge and of tenors of communication as 'given' (see Kress, 1995 for a useful discussion of this point). This can obscure the extent to which particular genres are themselves both productive of and constrained by ideologically conditioned forms of knowledge and behaviour. It can also make it

impossible to model the relation between different social subjectivities and their control of discursive resources, or lack of it.⁹ A space must be made for those meanings which are not realized (un-voiced) or which cannot be accessed by linguistic means. This is especially important within cross-cultural or bi-lingual education settings.

Related to the issue of social subjectivity in contextual models is the place of readers and their interpretive practices. This is important not least because 'constitutive' texts - texts which appear to 'create' their own situation - are often read in such different ways by different readers. Halliday himself has admitted that SFL like other kinds of linguistics has largely left readers and audiences out of the picture and remains 'speaker-centred' (Thibault, 1988:). Others, such as Roger Fowler, argue that the tendency to privilege the 'source of texts' greatly limits the usefulness of register (and by implication genre) theory and simply leaves the reader untheorized (Fowler, 1988:485). This matter will be dealt with in section 2. 4.

And then there is the matter of the representation of the tacit 'rules' of contextualization - knowledge of which symbolic orders are evoked by a context. Knowledge of genre and register is not going to be enough for English examinees faced with the invitation to 'write in any form you like' in Reference Tests. Armed with a wide knowledge of written genres and registers, students may be tempted to display their control of non-narrative genres like advertisements or expositions and to be penalized as a result. The 'rules' which govern contextualization of the Reference Test cannot be accounted for within theories which only deal with what is 'realized'. This implicitly privileges the producer of the text, and amounts, within education, to the production of a 'pedagocentric' model of context - one which cannot acknowledge what is taken for granted, or unseen. Educational applications of SFL have yet to take account of the invisible, the unvoiced, within the context-text relation.

9 For example, while I was working as a teacher-linguist in a remote-area Northern Territory school for Aboriginal children, staff meetings always involved both Aboriginal and non-Aboriginal teachers. Most of the time the Aboriginal teachers sat and listened and said nothing during these 'whole staff' meetings. Their silence, their body language was meaningful and it certainly affected the discourse which was realized verbally in the talk of the non-Aboriginal teachers. But how do we build the discursive and the non-discursive (read, material) aspects of this situation into the picture in its totality and draw on it usefully in cross-cultural contexts, if the model only accommodates meanings which are linguistically realized ?

In sum, matters of diverse social subjectivities, assymetries of power and knowledge between teachers and students and tacit contextualization practices have not yet been given adequate treatment within either register or genre theory within SF models of context-text relations. Martin has acknowledged the failure of these models to come to terms with the 'heterogeneity in the speech community' and the fact that 'meaning-making is unevenly distributed according to discourses of ethnicity, gender, race and generation' (Martin, 1992a:576). Accounting for this heteroglossia takes him, as it took Halliday and Hasan before him, to Bernstein's theory of codes.

2.3 Bernstein's theory of codes

Bernstein's code theory has been enormously influential in the development of the theory of context-text relations within SF. It has provided a sociological basis for its links between socialization practices in home and school, orientations to meaning in different groups of learners and the relation of these to the social division of labour. It is important to the present study because it accounts for different interpretive and production practices in students and the differential value they attract in formal education, most particularly in its evaluation 'message system'.

Bernstein was able to show that school failure is related less to cognitive or linguistic deficits than it is to different orientations to meaning and that such differences could be explained as a factor of the division of labour acting through different patterns of socialization. This analysis is important to the present study because we need to be able to understand the relative failure and success of students' different interpretations of examination questions and their examiners' evaluations of these. Given the open-ended nature of the progressive curriculum of junior secondary English, it could be expected that teacher/examiners would welcome personalist responses to open-ended questions. In fact, of course, they tend to downgrade such responses and to reward only a narrow range of text types. How is it that some students are able to read the hidden requirements of these questions and produce acceptable text types while others, who are otherwise literate, produce unacceptable ones ?

Bernstein's theory suggests that the principles by which students interpret the tacit requirements of the Reference Test are social rather than simply linguistic in origin. Differences in 'orientation' to

meanings are not a matter of how intelligent students are or of which language varieties they have been exposed to. Rather, they are an artefact of the interactive practices into which they have been socialized. And for Bernstein, the most formative influence upon socialization is class structure, which "influences work and educational roles and brings families into a special relationship with each other and deeply penetrates the structure of life experiences within the family" (Bernstein, 1971: 175).

Bernstein observed that middle-class students communicated in ways which made them more likely to succeed in school than their working-class counterparts. He proposed that the forms of communicative practices which the two groups spontaneously moved towards were a function, primarily, of their social class and that these relations 'generate, distribute, reproduce and legitimate distinctive forms of communication, which transmit dominating and dominated codes' which, in turn, 'position them differentially in the process of their acquisition' (Bernstein, 1982: 304). The general hypothesis underlying the effect of the social division of labour on coding orientation is as follows:

The simpler the social division of labour and the more specific and local the relation between an agent and its material base, the more direct the relation between meanings and a specific material base, and the greater the probability of a restricted coding orientation. The more complex the social division of labour, the less specific and local the relation between an agent and its material base, the more indirect the relation between meanings and a specific material base and the greater the probability of an elaborate coding orientation.

[Bernstein, 1990: 20]

The typical speech forms of working-class and middle-class children, Bernstein referred to as 'restricted' and 'elaborated codes' respectively. In the early years of his research, he proposed that restricted code tended towards 'particularistic, local and context-dependent meanings', while elaborated code favoured 'universalistic, less local, more context-independent meanings'. Elaborated code was associated with personal family types, which are predominantly found in the new middle class. In personal family types roles are blurred and social control is achieved through complex forms of interpersonal communication. Restricted code, on the other hand, he linked to positional family types, which are found in both the old middle class and the lower working class. Here roles are highly bounded and segregated and control is based on 'ascribed' rather than 'achieved' status.

Drawing on Halliday's model Bernstein distinguished four 'crucial socializing contexts' in the family: the 'regulative', which positioned the child in the moral system, the 'instructional', which gave access to specific competences for managing objects and persons, the 'interpersonal' and the 'imaginative'. He proposed "that a code was restricted or elaborated to the extent that the meanings in these four contexts were context-dependent or context-independent" (Bernstein, 1990: 97).¹⁰ In later years Bernstein moved away from linguistic definitions of codes in what he calls "a continuous attempt to obtain a more general and more delicate formulation of the generation of the speech forms - that is, social relations - and the *description of the indicators* of the speech forms" (Bernstein, 1990: 95, italics as in original). His most recent definition of code is that it is "a regulative principle, tacitly acquired, which selects and integrates relevant meanings, forms of realizations and evoking contexts" (Bernstein, 1990: 101).

But how are social class differences - the distribution of power and principles of control - transformed into rules of legitimate communication? For Bernstein, this occurs through the acquisition of classification and framing values. These concepts enable him to translate power relations into structural relations and procedures of control into principles of communication (Bernstein 1971, 1977 and 1982).

Classification relates to the strength of boundaries between a position or category and is a principle for defining the social division of labour. Strong classification (+C) indicates positions/categories which are strongly insulated from each other, whereas weak classification (-C) refers to positions/categories where insulation is much reduced and as a consequence each position/category is less specialized. "Thus the distribution of power maintains itself essentially through the maintenance of the appropriate degree of insulation between the categories of the social division of labour" (Bernstein, 1990: 99).

¹⁰ Research into the social basis of interactional practices favours a formalism like the system network because it enables us to translate social relations and their specific practices into a set of contrasting semantic choices along with their linguistic realizations. In this respect, Bernstein regards Hasan's linguistic research into the social class basis of mother-child interaction (Hasan, 1988) as an important exploration of the theory, one 'whose results are as predicted by the code theory'. Furthermore, the system network is a useful instrument for testing the theory because it "condenses in itself the sociological, semantic and linguistic levels" (Bernstein, 1990: 98).

Framing relates to the principles of control, which can vary independently (within limits) of the classificatory principles of the social division of labour. Bernstein uses the concept of framing to refer to the location of control over the rules of communication. "Thus strong framing (+F) locates control with the transmitter, whereas weak framing (-F) locates control more with the acquirer" (Bernstein, 1990: 100). Weak classification and weak framing predominate within invisible pedagogies like that of progressivism and its associated 'personal growth' models of literacy. Strong classification and strong framing, however, predominate in visible pedagogies, notably within conservative 'grammar school' models of literacy.

Code is a principle for distinguishing between rather than within contexts and, in this respect, Bernstein operates with a far more abstract notion of contextualization than that utilized within SF models. The unit for analysis for him is not that of an abstracted utterance or a single context, but relationships between contexts.

Code is a regulator of the relationships *between* contexts and, through that relationship, a regulator of the relationships *within* contexts. What counts as a context depends not upon relationships *within*, but *relationships between* contexts. The latter relationships, *between*, create boundary markers whereby specific contexts are distinguished by their specialized meanings and realisations. Thus if code is the regulator of the relationships *between* contexts *and* through that, the regulator of the relationships *within* contexts, then code must generate principles for *distinguishing* between contexts and principles for the *creation and production* of the specialised relationships within a context. We have previously called these principles, respectively, ground rules and performance rules. However, in order to avoid confusion and irrelevant associations, the names of these two sets of rules will here be changed to *recognition rules* and *realisation rules*. Recognition rules create the means of distinguishing between and so *recognising* the speciality which constitute a context and *realisation* rules regulate the creation and production of specialised relationships internal to that context.

[Bernstein, 1982: 306, original emphasis]

The regulative principle which learners acquire tacitly through the interaction practices in which they participate across crucial socializing contexts enables them to 'select and integrate relevant meanings, forms of realizations and evoking contexts' (Bernstein, 1982: 306).

Bernstein operationalized his model of classification and framing through the concepts of 'recognition rules' and 'realization rules' respectively. These 'rules' referred to the principles by which social

subjects distinguished 'between' (recognized) contexts and by which they realized the behavioural (including the linguistic) requirements 'within' these. Recognition and realization rules are thus the means by which social subjects internalize classification and framing values.

Classification and framing are theoretical concepts which attempt to specify the nature of the rules transmitters and acquirers are expected to learn if they are to produce what count as legitimate meanings and the legitimate form of their realization in relevant contexts. We do not have classification and framing in our heads but tacit rules for the recognition and realization of contextually specific meanings and practices.

[Bernstein, 1990: 127]

Bernstein also acknowledged that the concept of code "is inseparable from a concept of legitimate and illegitimate communications, and [that] it presupposes a hierarchy in forms of communication and in their demarcation and criteria" (Bernstein, 1990: 102). The notion of **hierarchy** is crucial to the present study and is implicated in Bernstein's model of '**recognition and realization rules**'. Furthermore, only some hierarchies are ratified and rewarded within formal education, particularly in its evaluative practices. This explains the asymmetries in some groups of students' interpretive practices and the differential values they are accorded within formal examinations.

Bernstein's code theory was tested in several empirical studies. In one of these, he and his colleagues examined the connection between children's 'sorting principles' and their relation to a specific material base. Two groups of middle-class and lower working-class children were invited to sort pictures of different kinds of food, similar to that given in primary school lunches and to give reasons for their grouping of the pictures. While the working-class children gave principles which had a direct relation to the local contexts of their everyday lives (e.g. 'It's what we have for breakfast', 'It's what Mum Makes'), the middle-class children gave principles for their sorting which had an indirect relation to a specific material base (eg. 'They're vegetables', 'They've got butter in them'). Bernstein proposed that the crucial difference between the two groups of children lay in "the relation of the grouping principle selected to a material base; in one case the relation is direct and specific and in the other the relation is more indirect and less specific" (Bernstein, 1990: 103).

While the middle-class children were able to change the principle by which they grouped the pictures, the working-class children continued to use the same principles when asked to sort the pictures differently. This was not the result of any cognitive difficulty, however, as one-third of the working-class children had changed their principle of classification by the end of the experiment. What appeared to be happening was that, while the middle-class children had access to two grouping principles, the working-class children had access to only one and that the former children held priority rules with respect to these principles, such that "the principle which had a relatively direct relation to a specific material base was given second (i.e. lower) priority" (Bernstein, 1990: 103).

Bernstein argued that the two groups of children produced different readings of the classification and framing values of the experimental context and that different recognition and realization rules underlay these readings:

The surface value of the interaction in the experimental context is essentially, - C ('Group pictures in any way you like') - F ('Talk about them as you wish'). However, we argue that the middle-class children ignored the surface rule and produced its opposite, + C + F^{ie}. These children selected a strongly classified recognition rule which marked the context specialized. That is, the experimental context is marked off (+ C) from other external contexts (e.g. play-group, domestic). The recognition rules marked the context as (1) a sub-context of a specialized context - school - and (2) the sub-context as specialized: adult instructional, evaluative, therefore elaborated orientation.

The framing value selected is also strong (+ F^{ie}) in that it excludes the realizations of meanings/practices in other contexts (e.g. play-group, domestic). The strong framing leads to the selection of the realization rules, (1) select interactional practice and text in accordance with recognition rules; and (2) create a specialized text, exhaustive taxonomic principle, no narrative. Thus a - C - F coding rule is transformed in the case of the middle-class children in to its opposite + C + F^{ie} as a consequence of the children's underlying code, elaborated. In the case of the lower working-class children the coding rule - C - F is taken as *the* rule and the children, from their point of view, select a non-specialized recognition rule which in turn regulates their selection of a non-specializing realization rule. By non-specialized we are referring to the selection of a rule of everyday practice.

The difference in the children is not a difference in cognitive facility/power but a difference in recognition and realization rules used by the children to read their context, select their interactional practice and create their texts.

[Bernstein, 1990: 104]

I have quoted Bernstein's account of one of his crucial studies at length because it bears strongly on the explanation advanced in chapter three for different readings made by students of Reference Test questions in English. In its emphasis on 'relationships between contexts' and on differences in the rules by which these relationships are recognized and meanings about them realized, Bernstein's code theory is important for a study of the different kinds of intertextuality (orientation to meaning) which students bring to their study of school English and their examiners' responses to these.

If we define intertextuality so as to include 'orders of relevance', then it is possible to show that there are (at least) two 'intertextualities' in contention in examination English - those tacitly recognized by successful students and those applied by unsuccessful students. Leaving aside problems with literacy per se, many students fail because they fail to apply the 'right' recognition rules to the literary response task in the Reference Test, for instance. They fail to distinguish between this task and the everyday ones of classroom English. Instead they conflate the two contexts, assuming that the same orders of relevance apply in both cases. Successful students, on the other hand, do distinguish between the context of this task and those of classroom contexts. They recognize that it is 'specialized' meanings that are relevant here, and that these have pre-eminence over the more 'personalist' meanings of the classroom. Thus what is 'above' the text in these situations is a function of which intertextuality is 'in play'. And students' contextualization practices give us vital information about the extent to which their intertextuality is akin to elaborated code.

Bernstein's approach to these practices and the rules which underpin these makes it clear that failure to produce a successful text in examination English is not, in the first instance, a linguistic failure. As Hasan expresses it, this kind of failure:

has very little to do with errors in operations on the form of language; if anything, it is drawing attention to the fact that the student is not able to see the rationale for the organization of meanings, he [sic] is not able to grasp *the principles* along which the facts are arranged in a *hierarchy of relevance*.

[Hasan, 1985a: 30, my emphasis]

In order to span the 'semantic distance' of some groups from the specialized registers of formal education, Hasan argues that educators must be sensitized to the differences in their "criteria for creating relevance ... in various domains" (Hasan 1985a: 31).

In short, different forms of social relationships determine which criteria or orders of relevance have priority for which groups of students. Notions of what is 'appropriate' or salient are socially constrained and for Bernstein, a function of social class differences. Students who control elaborated code appear to operate with two (or more) criteria of relevance in their orientation to meaning with different weightings attached to these criteria. So when they are asked to comment on a literary text in examination situations, these students know which criteria to apply to their reading of and response to the task. It could be said that there are (at least) two chains of intertextual relations available to them in this situation (a traditional literary criticism chain and a personal response chain) and that the traditional literary criticism has priority, pre-eminence.

Bernstein's approach to contextualization takes us far beyond a model of the way in which 'contextual variables' act as 'controls' on the semantics of these students' texts (on a literal reading of an assessment task such as 'Why do you think the story ends in this way?' or 'What is the story really about?' there can be no controlling variables). A knowledge of functional varieties such as genre or register or dialect will not help in elucidating the social basis of these orienting principles. Furthermore, there is nothing intrinsically more or less valuable in the language used by top or bottom range students, which would give us a key to their abilities. As Bernstein has emphasized, coding orientation is not connected with control of particular language varieties:

What is at stake is not the issue of the intrinsic nature of different varieties of language but different modalities of privileged meanings, practices and social relations which act selectively upon shared linguistic resources. A language variety cannot be defined with respect to meanings, practices and social relations. Codes are not varieties. Educational failure (official pedagogic failure) is a complex function of the official transmission system of the school and the local acquisition process of the family/peer/group/ community.

[Bernstein, 1990: 114]

Bernstein's code theory offers a convincing social theory for interpreting students' different orientations to meaning in school

contexts. But, as Hasan has acknowledged, while the code-correlating factors are derived from a coherent theory of social structure and cultural transmission, "underlying the register-correlating factors, there is no such theoretical coherence" (Hasan, 1973: 285). Or, rather, it is more appropriate to say that the notion has linguistic rather than social-theoretical coherence.

This is not to say that we cannot give such coherence to our model of language varieties, however. In fact, this study proposes to integrate the SF model of language varieties with code theory via the notion of 'privileging rules'. We can build into our understanding of language variation, the notion of orders of relevance so that a register or genre can be modelled in terms of higher and lower orders of relevance as well as in terms of its typical linguistic features. Orders of relevance are particularly important when it comes to tacit contextualization practices - the understandings which precede production of texts of particular varieties.

In fact, codes and varieties do operate at different levels of abstraction. But as Halliday has suggested, they can be inter-related:

The code is actualized in language through register, the clustering of semantic features according to situation type. (Bernstein in fact uses the term 'variant', e.g. 'elaborated variant', to refer to those characteristics of a register which derive from the choice of code.) But the codes themselves are types of social semiotic, symbolic orders of meaning generated by the social system.

[Halliday, 1978: 68]

Furthermore, it may turn out that there are parallels along other dimensions. Elaborated code is typically required in situations where shared identifications, interests and experiences cannot be assumed, and where explicitness is necessary. Halliday himself has pointed to striking similarities between the features of written language and Bernstein's early attempts to characterize elaborated code (Halliday, 1988: 3). More recently, work by Helen Leckie-Tarry (1995) and by Edward Finegan and Douglas Biber (1994) proposes an even stronger connection between coding orientation and access to and familiarity with written registers. This research does implicate the notion of register in linguistic explorations of code theory.

In fact, language has a particular importance for Bernstein. He views the text as a 'transformation of the specialized interactional

practice', and argues that it is "the form of the social relationship made visible, palpable, material, (and that) it should be possible to recover the original specialized interactional practice from an analysis of its text(s) in context" (Bernstein, 1990: 17). This view of text is germane to the current study. Texts are presumed to embody particular readings of the communication requirements of particular social contexts - to make visible that which is invisible from the point of view of inter-subject (class) and intra-subject (class) relations. Lessons can be drawn from students' texts about the rewards and penalties of particular interactional practices. Table 2. 5 summarizes the differences between the 'genre-based' approach to context-text relations and that suggested within Bernstein's code theory.

	GENRE THEORY	CODE THEORY
CONTEXT	Semiotically stratified: genre and register (field, tenor & mode) are linguistic variables.	Socially stratified: social class regulates access to and control of semiotic codes.
TEXT	Characterized in terms of 'meanings at risk'. use of genre and register to capture first and second order contexts.	Characterized in terms of privileged/privileging orders. Text is 'the form of the social relationship made visible, palpable, material'.
RELATION	A symbiotic relation: dialectical via the notion of realization.	Related through 'recognition' and 'realization rules'.

Table 2. 5: Context and text relations in genre theory and code theory

To sum up the review so far, register theory, as it has developed within SFL, provides the foundations for a linguistically principled model of intertextuality. Via the CMH thesis, Halliday has systematized the mutual intrication of language with its social environment, developing a tri-partite model of both context of situation and register ('meanings at risk'). It is thus possible to predict a great deal about language on the basis of contextual information and about context on the basis of linguistic information. Furthermore, neither the contextual nor the linguistic variables are 'all of a piece' within SFL. They are differentiated, within language according to metafunctions: ideational (comprising experiential and logical sub-parts), interpersonal and textual; and, within context, according to the parallel dimensions of field, tenor and mode respectively.

The tri-partite modelling of the context-text relation is foundational for the current study. Intertexts can now be specified along some or all of these dimensions and inter-related on the basis of both contextual and textual patterning. Being able to make either context or text point of departure in any study of intertextuality enables us to relate discursive disciplines like English, in which knowledge is built up primarily through language and behavioural regimes like reading and writing, to the more multi-modal disciplines like science or mathematics, in which knowledge is built up both through language as well as other non-discursive semiotic systems and through additional behavioural regimes like scientific experiments.

Genre theory has added a further contextual layer to the SF model- one which focusses on the global structures of text types and their culturally constrained co-ordination of register variables. It offers educators a holistic model of the context-text relation - one in which the schematic structure of particular text types are functionally related to their 'social purposes'. Inter-relating text function with text structure has greatly increased the explicitness and the rhetorical usefulness of the model, at least from the point of view of the generation of text types. Furthermore, even though genre theory tends to treat social context in semiotic terms, thus conflating extrinsic and intrinsic functionality, the concept of realization suggests that each system (social and linguistic) 'redounds with' the other. According to the realizational perspective, as it is formalized in Lemke's notion of metaredundancy, we can assume that "language construes, is construed by and (over time) reconstrues and is reconstrued by social context" (Halliday and Martin, 1993: 24). The context-text relation is thus mutually engendering. As Halliday acknowledges, the notion of metaredundancy makes sense of language as 'connotative semiotic' (Halliday, 1991b). It is an important notion for the present study, because it enables us to analyze students' tacit contextualization practices (what they assume is 'above' the literary text) by examining the written responses they produce.

Bernstein's code theory, however, reintroduces the distinction between the contextual and the linguistic at a higher level of abstraction, relating the interpretive practices of social agents to the social division of labour. His theory probes not only learners' socialization into different orders of relevance but the consequences of this for their experience of schooling. Furthermore, his explanation for the relative difficulties of some groups of learners with the elaborated code of formal

education take us well beyond 'intra-individual' explanations based on assumptions of linguistic or cognitive 'deficit'. Instead it focusses on inter-group disadvantage as a result of social class location. Bernstein views codes as regulated by social class, which distributes privileging principles of communication unequally through 'primary socialization agencies' like the family. Furthermore, social class indirectly affects the classification and framing of the elaborated code as it is transmitted by 'secondary socialization agencies' like the school, which perpetuates the inequality arising from primary socialization.

Bernstein's theory suggests that a model of intertextuality which is adequate to students' experience of school English must be linked to facts of their divergent social locations, particularly those related to social class. These affect the **recognition** and **realization rules** which students apply to school learning situations. With respect to this study, code theory offers a persuasive explanation for the different readings which students make of open-ended questions in examination English - an explanation which takes into account their different intertextualities arising from different starting points within a socially stratified society.

But how do we build these insights into a pedagogically useful model of intertextuality? How do we 'semiotinize' Bernstein's code theory so as to integrate it with SF models of context-text variation? The starting point for development of intertextual criteria must be one which accounts for both the heterogeneous practices of the discipline (including its different models of literacy and pedagogic practices) and those of its students. Hence varieties can no longer be considered as linguistic 'given', singular, 'flat'. The model of language varieties needs to reflect the asymmetries of different recognition and realization rules and to embody Bernstein's insight into the hierarchical nature of all codes. The notion of **privilege** is thus central to the constitution of models of literacy, and of language varieties themselves.

Some meanings will have 'higher', some 'lower' order salience in some cultural contexts. Thus what is 'above' the text will vary according to which hierarchy is tacitly 'in play' at the time. Within the 'personal growth' model, for example, which privileges 'technologies of the self', students will be encouraged to contextualize a literary work in terms of subjectivity, of 'the personal search'. Within the 'cultural heritage' model, by contrast, which privileges technologies of 'literary creation' (in its more traditional guise), students will be encouraged to contextualize the work as cultural artefact. Thus the intertextual criteria

will vary according to which higher order 'universe' is invoked in the textual practices of both teacher and taught. In sum, intertextuality is conditioned by different orders of relevance, different semiotic hierarchies and these affect construal of language varieties, both in their analytical (registerial) and their productive (generic) aspects. In 'semioticizing' Bernstein, we need to relate any intertextual criteria we develop to both the analyzer-perspective made available within register theory and the producer-perspective of genre theory. A register-perspective enables us to recognize the meanings 'at risk' in a given context and a genre-perspective to generate a text of the appropriate type.

But Bernstein's code theory reminds us that the meanings 'at risk' in any situation type will be a function of whose coding orientation has pre-eminence. If we want to encompass and educate students whose coding orientation differs from that of our own, we need to move away from the largely producer-centred models of language variation towards ones which incorporate the often divergent reading practices of students. This brings us to the reader-centred approaches associated with 'critical discourse analysis' (or CDA).

CDA does not operate with singular, individualist conceptions of 'the reader' however, but focusses on the interpretive interests and practices of readers, their communities and the discourse formations which give rise to particular reading practices. In the next section of the chapter I turn my attention to theories of intertextuality which enable us to 'build on' Bernstein's notion of coding orientation and to construct functional criteria for exploring different orders of relevance in students' literacy practices. Lemke's metafunctionally sensitive model of intertextuality has contributed much to the present study in this respect, most particularly in the light it throws on the interpersonal dimensions of intertextuality (Lemke, 1985, 1988, 1989a, 1990, 1995).

It should also be noted that the theorists drawn on in the next section are not necessarily part of a homogeneous community or school of thought. Some, like Kress, Fairclough, Lemke and Thibault do see their work as contributing directly to the development of 'critical' perspectives on semiotic systems. Others, like Bakhtin, have been seminal within the field of study of intertextuality without being part of the contemporary 'critical' community. And, still others, like Reid in his studies of narrative intertextuality, have contributed to the present study, without necessarily considering themselves part of CDA.

2.4 Context theory in critical discourse analysis (CDA)

The notion of intertextuality is crucial to the enterprise of CDA. It alerts us to the salience of 'other texts' in our contextualization practices. It views the meaning of each particular text or stretch of text as arising in the relations between sayings, writings and social viewpoints rather than simply within texts, within individual speakers or writers.

Approaches to intertextual relations within CDA depart significantly from those which are implicit within SFL. Furthermore, they give prominence to three factors which have been relatively neglected within 'the functional language model' to date. These factors include consideration of readers' interpretive practices, of writers' histories, or discourse formations, and changes in these, and the influence of asymmetries of power and knowledge upon the intertextualities of different social subjects. I will deal with each factor briefly, before suggesting ways in which 'the functional language model' needs to be redesigned so as to better account for them.

Within Bakhtin's approach to intertextuality, which has been formative for much of CDA, every utterance (or text) is viewed as 'dialogic' in its response to and anticipation of other utterances (other texts).

Any concrete utterance is a link in the chain of speech communication of a particular sphere. The very boundaries of the utterance are determined by a change of speaking subjects. Utterances are not indifferent to one another, and are not self-sufficient; they are aware of and mutually reflect one another. These mutual reflections determine their character.

Every utterance must be regarded primarily as a response to preceding utterances of the given sphere (we understand the word 'response' here in the broadest sense). Each utterance refutes, affirms, supplements, and relies on the others, presupposes them to be known, and somehow takes them into account. After all, as regards a given question, in a given matter, and so forth, the utterance occupies a particular definite position in a given sphere of communication. It is impossible to determine its position without correlating it with other positions.

[Bakhtin, 1953/1986: 90-91]

Bakhtin's incipient model of intertextuality has been foundational for social semiotic work within CDA generally and within

critical applications of SFL particularly.¹¹ But in its emphasis on links between texts, on the mutual responsiveness of utterances to each other, Bakhtin's approach to intertextuality differs significantly from that of mainstream SFL. His preoccupation with facts of diachrony in language and with what Saussure called 'parole' and his eschewal of attempts to systematize these paradigmatically puts him at odds with the interests of many systemic linguists, for whom concepts of synchrony, and of system ('langue') are paramount. Of course, the notion of instantiation, which relates process, or text, to system, offers a basis for reconciliation of the dichotomy foregrounded in Bakhtin's approach to intertextuality.

In order to show how the largely Bakhtinian approaches of CDA differ from those of mainstream SFL, it is necessary to explore the links between synoptic and categorical models of language choice (embodied in the system network) and the SF tendency to view intertextual relations as 'static'. The system network represents systems of choice as stable, a phylogenetic record 'outside time'. Modelled as networks of choices, intertextuality appears 'timeless' - a bias which becomes evident in Halliday's own definition of this. The intertextual system, he maintains "is a network of semiotic relationships within which a given text, or a given act of meaning, is positioned and displays its proportionalities - shared features, resonances, dissonances, polysemies and the like" (Halliday, 1992b: 33). For Halliday, register is the concrete manifestation of intertextuality - a "more or less stable concatenation of semantic motifs which may at any one time (and typically will in society as we know it) embody tensions, contradictions and conflicting voices" (Halliday, 1992b: 35).

Within 'the functional language model', it is through networks that the potential of different genres has been most commonly represented (see, for example, the genre paradigms and networks in Martin, 1985b, 1986a, 1991). An example of a genre 'network' for narrative is presented in chapter four (section 4.1). But whether through networks of choices (as in Martin) or concatenations of motifs (as in Halliday), SF **typologies** foreground the stable, the unchanging, the synoptic in their representations of intertextual relations. Such representations foreground

11 Bakhtin did not actually use the term 'intertextuality' in his exploration of 'dialogism' in language. The term was, in fact, coined by Julia Kristeva in her attempts to draw on and popularize Bakhtin's work (Kristeva, 1980). It has become part of the common parlance of social semiotics.

discrete differences between registers and genres and as such, make it very difficult to show points of similarity between language varieties. Thus what is important within a Bakhtinian approach - a dialogism across text types (continuities in difference, blends, hybrids) - is excluded simply because they cannot be highlighted within the categorical typology of the system network.

More recently, some systemicists are beginning to utilize another representational resource - the topology - in their attempts to model continuities across linguistic phenomena (see, for example, Martin and Matthiessen, 1991). The **topology** was introduced to SFL by Lemke.

A topology, in mathematical terms, is a set of criteria for establishing degrees of nearness or proximity among 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).

[Lemke, n.d.]

In SFL the resources of the grammar are generally represented typologically. The system network developed for process types in the system of transitivity, for example, distinguishes between Material (action-type) processes, Mental (sensing-type) processes and Behavioural (involuntary physical) processes. But, from a topological perspective, the boundaries between these processes are fuzzy. Behaving is somewhere between acting and sensing and in some instances it is very difficult to decide categorically for one category or another (see the front cover of Halliday's second edition of *Introduction to Functional Grammar* for a graphic representation of a topological perspective). The strongly classified genre networks of much of initial genre-based curriculum, however, often present problems for teachers whose sense of their discipline is very weakly classified (see Macken et al, 1989a). English teachers, for example, are far more comfortable with Martin's more recent topological models of genre than they were with earlier typologies (see Martin, in press, c and d).

Topologies are better adapted to represent the dimension of change in *valeur* in language than typologies. In fact, Halliday, Matthiessen and Martin do introduce 'the arrow of time' into their accounts of genesis and change in language but these have yet to be related explicitly to intertextuality. As a result of this, and because the system network is useful for modelling choice outside 'the arrow of time', accounts of intertextuality within mainstream SFL are agnate to accounts of 'interclausality'.

[A] model of this kind automatically relates clauses to each other as it analyses them. For example, if we analyse a clause such as 'They've won!' as Subject ^ Finite ^ Predicator we are saying quite explicitly that the clause is [affirmative] not [interrogative] and that it is [major] not [minor]. In systemic theory, any structural analysis thus carries with it a theory of intertextuality - in this case a theory of interclausality: the structural analysis tells us at the same time both what something is and what it is not.

[Martin, 1991: 105-106, my emphasis]

It remains to be seen whether the potential of a system can be represented through other mechanisms than the system network. The problem of relating system to instance in any systematic way has also not been solved within theorists of CDA. Bakhtin's notion of the speech genre and its relation to change and variation more generally still leaves many questions unanswered, according to Hasan (1992). The representational resource of the topology offers one useful starting point in the dialogue between different approaches to intertextuality - between the need to systematize choice (as potential) and to model the history of choices in the production of text (as instance).

Certainly it is the 'change' dimension of intertextuality rather than the 'timeless' dimension which is foregrounded in CDA. For Fairclough, for example, intertextuality has to do with social processes of production, distribution and consumption of texts. He defines the relation of intertextuality to each of these processes as follows:

Intertextuality is basically the property texts have of being full of snatches of other texts, which may be explicitly demarcated or merged in, and which the text may assimilate, contradict, ironically echo, and so forth. In terms of production, an intertextual perspective stresses the historicity of texts: how they always constitute additions to existing 'chains of speech communication' (Bakhtin, 1986: 94) consisting of prior texts to which they respond. In terms of distribution, an intertextual perspective is helpful in exploring relatively stable networks which texts move along, undergoing

predictable transformations as they shift from one text type to another (for instance, political speeches are often transformed into news reports). And in terms of consumption, an intertextual perspective is helpful in stressing that it is not just 'the text', not indeed just the texts that intertextually constitute it, that shape interpretation, but also those other texts which interpreters variably bring to the interpretation process.

[Fairclough, 1992a: 84-85]

Theorists of CDA give priority to historical and social contingencies in the production of texts rather than to 'the system' which underlies these. In the terminology of SF theory, they thus privilege 'process' over 'system'. Like Bakhtin, their interests lie in the utterance rather than in the system. Some, like Kress, even disavow the usefulness of the fiction of one fixed linguistic system at all (Kress, 1995:117).

Bakhtin too dismissed the value of attention to 'language as system' when it comes to studies of the utterance as a unit of speech communion. He opposed what he called 'individual subjectivism' to 'abstract objectivism', arguing that these dichotomous approaches to language resulted from binaries forced on linguistics by Saussure himself: the oppositions between synchrony/diachrony, langue/parole, social/individual (see, for example, Bakhtin/Voloshinov, reprinted in Morris, 1994: 26-35). Focussing on stable, closed language systems amounted, in his view, to falling into the trap of 'abstract objectivism'. Bakhtin was, in fact, opposed to any strict formalization in language study, a point made by Michael Holquist in his introduction to *The Dialogic Imagination* (1981:xvii). A thorough treatment of the relationship between Bakhtinian and Saussurian approaches to language can be found in Holquist, 1990: 43-49.

These struggles impacted on his approach to dialogue in language. Unlike systemicists, who tend to identify interpersonal meaning with particular linguistic options such as that of mood within the clause, Bakhtin saw the whole utterance - whether spoken or written - as addressive, as 'dialogic'.

An essential (constitutive) marker of the utterance is its quality of being directed to someone, its addressivity. As distinct from the signifying units of a language - words and sentences - that are impersonal, belonging to nobody and addressed to nobody, the utterance has both an author ... and an addressee. This addressee can be an immediate participant - an interlocutor in an everyday dialogue, a differentiated collective of specialists in some particular area of cultural communication, a more or less differentiated public ethnic

group, a superior, someone who is lower, higher, familiar, foreign and so forth. And it can be an indefinite, un-concretized other (with various kinds of monological utterances of an emotional type).

[Bakhtin, 1953/1986: 95]

Theorists who take a broadly critical discourse perspective, find Bakhtin's conception of dialogism in language and its links with social heteroglossia in general more capacious and productive than that offered within mainstream SFL (see, for example, Lemke, 1989a, 1990 and 1992, Kress, 1989a and 1995, Fairclough, 1992a and b, Cranny-Francis 1990 and Threadgold, 1989). And, from within a more literary theoretical framework, Ian Reid argues that "Bakhtin conceives of dialogue in an ampler sense than Halliday; for him the very nature of signification written as well as spoken, is dialogic in the sense that "every textual utterance situates itself in a mutually responsive relation to other utterances whether preceding it or not" (Reid, 1992: 11).

While it emphasizes the mutually responsive relation of text producers and text 'consumers', however, CDA distinguishes between interpretive and the productive practices. This distinction is an important one. It assumes, for one thing, that readers do more than simply 'reconstruct' the meanings produced by writers/speakers. Readers have a more crucial role to play within the theoretical paradigm associated with CDA than they do within SFL. Thus, even while he acknowledges 'the active participation of 'the reader' in the reading process, Halliday nevertheless assumes that "the reader reconstitutes the text rather than sharing in its construction" (Halliday, 1990a:6). CDA perspectives do not assume that meaning is 'there', enshrined in the text, to be assimilated and reproduced by a singular reader.

Furthermore, like Bernstein, CDA theorists foreground differences in the interpretive practices applied by different kinds of readers. Fairclough, for example, points to the importance of 'members' resources' for contextual interpretation (Fairclough 1988b: 11). Reid and his colleagues utilize Culler's notion of 'framing' (MacLachlan and Reid, 1988), in their approach to interpretive practices, arguing that this term draws attention to 'the priority of acts of framing' in the determination of the context(s) for any cultural object or event:

When teachers of literature used to talk about giving students 'the' context before tackling a text of a particular period, perhaps remote in time and place to their own, they were implying that the context of its

production was a single, clearly locatable and stable field, innocent of any act of interpretation. Given the textual nature of the field, ... acts of interpretation are shaped, among other things, by the ideology of the interpreter, who carries around as part of his or her extratextual baggage what Norman Fairclough calls 'a mental map of the social order'.

[MacLachlan and Reid, 1994: 8]

In his approach to intertextuality, John Frow focusses on 'regimes of reading' rather than on the subjectivity of the individual interpreter. He argues that we need to see any particular construction of a set of intertextual relations as "limited and relative - not to a reading subject but to the interpretive grid (the regime of reading) through which both the subject position and the textual relations are constituted" (Frow, 1986: 155). And, in his study of the social emergence of literature, Ian Hunter proposes that we conceive of meaning "not as something to be recovered from its origin in an author's experience but rather as the shifting result of the activation of certain rules and practices of reading" (Hunter, 1982: 82).

Metaphors of 'resources', 'frames', 'grids' and 'rules' move contextualization within CDA away from either producer-centred or (solely) reader-centred accounts towards a framework incorporating historically contingent rules for particular reading practices. This is a far cry from the individualist models of 'reader response' which have dominated school English, particularly within its 'personal growth' variants over recent years (see Gilbert 1987 for a deconstructive critique of these models).

Thus contextual relevance is as much a matter of interpretive practices applied to a text as it is of the producer's management of these 'from within' the text. Furthermore, consideration of 'interpretive practices' is especially important when it comes to study of discourse-level meanings. The present study reveals that interpretations of 'larger' stretches of text are crucial to control of specialized literacy practices in English. They are also much more open to a range of (textually constrained) interpretations. Kress pointed to the role of interpretation at these levels in one of his early introductions to discourse analysis:

At the larger level, that of discourse-relevance, where the question is about the gist or the upshot of a discourse, 'what it's really about' the hearer's role becomes much more crucial. Of course a story which

is about John will be taken to 'be about' John. But in the course of the unfolding text, things will be predicated of John; and these predications may become, in the hearer(s) (re)construction of the meaning of the text, what the text is 'really about'. The discourse then is not about John, but about a whole proposition of which John is a part. The hearer's construction of this larger-level conceptual structure has a retrospective effect on the constituent parts of the text: for what she or he assumes the whole discourse to be about will affect, retrospectively, what she or he feels individual parts of the text are about.

[Kress, 1983: 5]

SFL has yet to adequately account for the role of interpretive practices in the construal of what is 'above' the text. In fact these simply cannot be explored within current approaches to the writer-reader relation generally and to interpersonal meaning particularly. This may be because systemicists continue to operate within what Lemke terms a 'naive', consensual approach to social relations. In this approach, texts are viewed simply as:

the products of authors or speakers, who address themselves in an immediate context of situation (face-to-face dialogue or the contexts of production and interpretation of written texts) to other participants, all within the context of a shared context of culture. Linguistic resources are then seen as having a primarily communicative function, in the sense of the exchange of messages or meanings. In this picture the interpersonal resources of language are primarily interactional in nature: they help to establish the social relations between participants in the dialogue. Mood and delicate characterizations of speech acts tell us who is doing what to whom, and some allowance is made for the tenor of intimacy or social distance, and the negotiation of power relationships between interlocutors. In this highly atomized, individual-centred view, individual speakers and their relations to one another are central, and social relations are built up through the linguistic interactions of speakers.

[Lemke, 1992: 85-86]

There is neither time nor space to discuss the full implications of current limitations of SFL for understanding and modelling the dialogism of text production and text interpretation. However, there are two respects in which it is inadequate to the tasks of this study. Firstly, there is the matter of the construal of what Halliday (1978, 1985c) calls the 'active function' of language (a contextual perspective on tenor relations). And, secondly, there is the matter of linguistic analysis of interpersonal meaning in written texts (a textual perspective on tenor relations).

Extrinsic models of language function, such as those developed by Karl Buhler, James Britton and Desmond Morris, have greatly influenced Halliday in his construal of language as 'action' and as 'reflection' and, by implication, his analyses of the interpersonal and the ideational metafunctions respectively (Halliday, 1978, 1981, 1985c). But whereas Buhler distinguished between the 'expressive (first-person)' function and the 'conative (second-person)' function of language, Halliday maintains that "The distinction between first and second person language is not a systematic one [and that] the two are simply different angles on the same interpersonality" (Halliday, 1981a: 34). Hence, while theorists like Buhler, Britton and Morris separate the 'expressive' and the 'conative' in their studies of the interpersonal functions of language, Halliday (like Malinowski) conflates these under the general heading of the 'active' function of language (see Halliday, 1985c: 17).

Halliday may be correct in his assumption that the 'expressive' and the 'conative' are simply two different aspects of the same interpersonality. But many theorists within CDA draw attention to the influence of patterns of **social subjectivity** as well as of **social interaction** in their studies of social practices (Henriques et al, 1984, Macdonell, 1986, Kress, 1985, Fairclough 1988b, 1992a and 1995 and Lemke, 1995). Within SFL, however, partly as a result of its narrow social-interaction focus, discussions of 'tenor' have focussed only on the allocation and exchange of 'speech roles' when it comes to both spoken and written language.

The analytical categories developed to highlight the interactive function of spoken language are then applied without modification to written language, which appears monologic by comparison. Tenor theory is reduced to a model encompassing two types of exchange (giving or demanding) of two types of commodity (information or goods or services). Written texts are thus considered only from the point of view of either the 'exchange' (as in shifts between declarative to interrogative mood for example) or of the 'intrusion' of the speaker into the speech event (as in choices for modality, for example). In short, analyses of interpersonal meaning deal only with clause-level reactances of small (often inconsequential) changes in social interaction at the level of context of situation (see, for example, Halliday 1984, Halliday and Hasan, 1985, Martin, 1991, Matthiessen, 1993, a and b).

It is not surprising that interpersonal analyses of even literary texts have been largely pursued in terms of localized changes in

speech function and modality, both of which are shown to best advantage in dramatic texts. See, for example, Matthiessen's 1993a analysis of patterns of choice for mood in sections of Pinter's play *The Birthday Party* or Halliday's 1981a analysis of patterns of modality and modulation in J. B. Priestley's *An Inspector Calls*. Such treatments cover only explicit realizations of speech function and the patterns they make overall, or patterns of modality throughout the text, leaving untouched syndromes of more implicit interpersonal meanings, which have higher-level implications for identity or subjectivity and which call for a particular kind of responsiveness in (ideal) readers. The work of David Butt (1988, 1991) on 'implicate patterns' of meaning in poetry and their consequences for interpersonal meaning represents a notable exception to this trend. It has yet to be turned to advantage in literacy education in English. Recent work on appraisal within Sydney-based applications of SFL represents an important advance into the territory of reader-positioning in written language. This will be dealt with in greater detail in chapters three (3.5.2) and four (4.8.3).

It may be necessary, as Fairclough does within CDA, to distinguish between the social relations (Buhler's 'conative') and social identity (Buhler's expressive) aspects of interpersonal meaning (Fairclough, 1992a: 64). Or, as Lemke does, between the 'interactive' and the 'value-orienting' (axiological) dimensions of 'Orientational' meaning (Lemke, 1990: 197). This is an open question. However, focussing on interactive aspects of addressee-addressor relations and analyzing localized patterns of interpersonal meaning, like mood and modality, greatly limits the usefulness of SF theory when it comes to questions of how a written text as a whole positions its reader so as to take up particular value positions, how it naturalizes particular discourses or how a speaker/writer can reproduce, (or perhaps even challenge) particular social discourses while engaging in seemingly innocuous 'exchanges'. Focussing on the structure of the 'exchange' while ignoring 'what' is being exchanged seems to me to miss vital dimensions of the dialogism of written texts.

Theorists of CDA foreground the heterogeneity and struggle at the heart of social relations, rather than the consensual. Like Bakhtin, they focus on the diversity of languages, and on differences between the utterances of people from different times, places and social positions. The notion of 'heteroglossia' is crucial to this enterprise. With reference to this, Bakhtin maintained that:

at any given moment of its historical existence, language is heteroglot from top to bottom: it represents the co-existence of socio-ideological contradictions between the present and the past, between differing epochs of the past, between different schools, circles, and so forth, all given in a bodily form. These 'languages' of heteroglossia intersect each other in a variety of ways, forming new socially typifying 'languages'.

..... all languages of heteroglossia, whatever the principle underlying them and making each unique, are specific points of view on the world, forms for conceptualizing the world in words, specific world views, each characterized by its own objects, meanings and values. As such they all may be juxtaposed to one another, mutually supplement one another, contradict one another and be interrelated dialogically.

[Bakhtin, 1935/1981: 291-292]

The fact that the social environment is inescapably heteroglossic - full of different and potentially contending languages, voices, interpretive viewpoints - has import for our view of reading practices in general. In fact, heteroglossia is as much a part of the structure of literary texts - finding its fullest expression in the novel according to (Bakhtin, 1935/1981) - as it is of social structure. The implications for models of writer-reader relations are profound. In fact, they challenge the overly simple model of first and second order tenor put forward by Halliday in relation to *The Lover and his Lass* (Halliday, 1978: 144-148). Narratives become literary texts mediating a plurality of reading positions - positions which are themselves negotiated differently by readers. Ian Reid critiques the application of Halliday's 'conversational model' to literary interpretation along the following lines:

Although the emphasis on conversational 'dialogue' may not be intended to refer to situations that literally involve no more than two interlocutors, its effect is nevertheless to establish a *dual relationship* as normative. And yet when framed as fictional, narrative exchanges do not confine themselves to two parties, writer and reader. Refracted through intermediary figures of the narration, literary fictions may permit and often encourage a *plurality of positions* so that the ostensible 'message' directed to a narratee is distinguishable from the fuller one understood by an implied reader, which is further modifiable by an actual reader's interpretive framing.

[Reid, 1992: 10 italics in original]

Bringing the 'interpretive framings' of 'actual readers' into the picture considerably 'complexifies' the SF approach to intertextuality,

which is, as Halliday acknowledges, important to the context-text relation: "Part of the environment for any text is the set of previous texts, texts that are taken for granted among those taking part" (Halliday 1985c: 47). But which texts are 'taken for granted among those taking part' is not a matter which can be decided by fiat.

It is important to note that the link between code and orders of relevance is somewhat different (broader) for theorists of CDA than it is for Bernstein, with his predominantly class-based analysis of code. Factors of generation, gender, ethnicity and ability influence perceptions of relevance as well as social class. Fairclough maintains that the Bernstein/Halliday approach to code is too monolithic, too 'top down' - that it does not adequately account for differences between situations (as a result of factors such as gender) and for the capacity of social agents to resist and transform situations and to 'establish their own codes' (Fairclough, 1988a: 124-125).

Thus the positioning of a social agent vis-à-vis a particular text is more than a factor of class location for CDA theorists. For Kress, it is a combination of a complex of historical, social and linguistic factors:

Text is formed in the interaction of linguistic agents who have a particular positioning in the complex of social structure. That positioning is a factor both of the linguistic and social history of a particular language user and of his or her positioning at a given time in the structure of a complex constitution. That is, in Western technological capitalist societies, social structure is a web of overlapping and cross-cutting structural factors, such as class, ethnicity, gender structures, structurings of public and private institutions, professions and work, particular valuations of age, and generation-dependent values. ...

Language users as linguistic and as social agents are thus formed in the experience of texts that are themselves products of the meanings of the social and linguistic processes and structures of particular social positionings. It is unlikely, perhaps theoretically impossible, that any two language users will share the same positionings and hence the same coding orientation.

[Kress, 1995:118-119]

Factors such as social class are only part of the picture. Meaning relations are affected by a range of textual and social practices in the life of any community. As Lemke has pointed out, it is these practices which construct relations between texts.

This framework for analysis of intertextuality does not presume that texts dictate to us their relationship, or that there *are* existing

relationships objectively there to be found out. Relations of meaning are *made* in human communities, and made differently in different communities. Of all the possible meaning relations within and between texts and social events, only some are foregrounded by the particular meaning-making practices of a community.

[Lemke, 1985: 286, italics as in original]

In other words, which texts are 'taken for granted' is a matter of 'who is taking part' and which meaning relations are being foregrounded.

These meaning relations are part of what Fairclough calls 'constitutive intertextuality', and which he distinguishes from 'manifest intertextuality' (Fairclough, 1992a 101-136). Manifest intertextuality refers to the tendency of one text to draw overtly on other texts, through citation or allusion and is closely aligned with Halliday's view of intertextual history as "the temporarily prior set of acts of meaning to which a given act of meaning makes allusion" (Halliday, 1992b: 34). Manifest intertextuality, however, is a very self-conscious and local form of intertextuality. Constitutive intertextuality is much more comprehensive, and incorporates different 'orders of discourse'. As such, it is useful for capturing the interpretive practices of readers as well as the productive practices of writers.

In order to more fully discuss this dimension of intertextuality, it is necessary to deal with the notion of discourse itself. Within CDA, 'discourse' refers to 'language in use' but encompasses more than the notion of register. Some theorists, like James Gee, use the term 'Discourse with a capital D' to cover the specific integration of sayings-doings-valuing-thinkings of particular social groups and their 'forms of life' (Gee, 1990: xvii). Others, like Fairclough, are more modest, using the term to designate 'language use', albeit considered from the point of view of social practices (Fairclough, 1992a: 4). Certainly all theorists who work within a broadly CDA agenda stress the links between language and social institutions in their use of 'discourse' (see, for example, Kress, 1989a: 450 and Thibault, 1991:120). The term carries connotations about the social institutions in which texts are re-produced and thus of asymmetries of power and knowledge. 'Discourse' thus includes more abstract social factors which are typically excluded from accounts of register variation.

Fairclough's notion of 'constitutive intertextuality' or 'interdiscursivity' is similar to Lemke's concept of the 'discourse formation', which designates "the persistent habits of speaking and

acting, characteristic of some social group, through which it constructs its worldview: its beliefs, opinions and values" (Lemke, 1995: 24). If the resources of grammar reveal the potential available - what can be meant in a language - discourse formations reveal the patterns of use of different groups - what is meant in a community. It facilitates links between orientations to meaning and the social positions (including the histories) of different members of the community.

We cannot make meaning outside the system of discourses of our community, not as speakers and writers, not as listeners and readers. Every text requires that we bring to it a knowledge of other texts (and its intertexts) to create or interpret it, and members of different social groups (whether defined by gender, age, social class, religion, political affiliation, occupation, etc) will in general bring different intertexts to bear, will speak with different voices and listen with different discourse dispositions.

[Lemke, 1995: 38]

The notions of the 'discourse formation' and of 'constitutive intertextuality' are more inclusive and abstract than SF models of language varieties. They represent a fuller articulation of the 'sketch' offered by Halliday of the broader 'context of culture' (Halliday, 1978, 1991a) or by Martin of culture as a 'system of genres' (1984a and b, 1986a or 1993b). Nevertheless, it is the SF approach to semantics which underlies Lemke's elaboration of the components of intertextuality.

Lemke argues that text semantics is intertextual as well as intratextual and that we can draw on Halliday's theory of metafunctions to explore 'relations between' as well as 'relations within' texts. He generalizes from Halliday's typology of ideational, interpersonal and textual meaning to represent the semiotic resources of the culture:

We construct with the semantic resources of language (and in more general contexts with the resources of other semiotic systems as well) three simultaneous kinds of meaning:

- *Presentational*: the construction of how things are in the natural and social worlds by their explicit description as participants, processes, relations and circumstances standing in particular semantic relations to one another across meaningful stretches of text, and from text to text;
- *Orientalional* : the construction of our orientational stance toward present and potential addressees and audiences, and toward the presentational content of our discourse, in respect of social relations and evaluations from a particular viewpoint, across meaningful stretches of text and from text to text;

- *Organizational* : the construction of relations between elements of the discourse itself, so that it is interpretable as having a structure (constituent, whole-part relations), texture (continuities and similarities, with differences within these), and informational organization and relative prominence across meaningful stretches of text and from text to text.

[Lemke, 1995: 41]

These three kinds of semiotic resources relate to the semantic resources of ideational, interpersonal and textual meaning respectively. The criteria underpinning SF models of language variation can thus be drawn upon to depict more abstract intertextual relations. Furthermore, the relations between texts, while they will differ according to which discourse formation is 'in play', will always have representational (ideational), dialogic (interpersonal), and organizational (textual) dimensions.

It is this which enables us to move in a predictive way from components of a particular intertextuality (considered as a particular orientation to orders of relevance/discourse) to the semantic features of a particular text and their realization in patterns of wording. And, in a corresponding way, the patterns of wording of a text will tell us a great deal about the writer's orientation to meaning and to privileged orders of discourse, at the level of intertextuality. This preserves the systematicity and explicitness possible within the SF approach to context-text relations and allows us to explore different discourse formations along predictable lines. We can compare and contrast strategies of representation, dialogism and semiotic organization across texts and relate these to semantic and lexicogrammatical patterns within the text.

Different criteria can be specified for both interpretive and productive practices. A text can be seen to instantiate a particular discourse formation (system of meanings) and to realize (a set of) contextual values and a reader can be said to view it as instantiating one kind of discourse system and to apply a particular discourse formation (model of context) to her or his reading of it. Both dimensions of the context-text relation (i.e. instantiation and realization) are important.

Such a representation resists a proliferation of readings. Interpretive practices will be constrained by discourse formations which will, themselves, be connected to particular institutions. With respect to English, for example, there are four 'discourse formations' evoked in the school English of contemporary Australia. This means that there are four broad contextual orientations to literacy which are likely to occur within the discipline and within students themselves. It may even be possible to

link these to coding orientations (but this is not germane to the present discussion).

Such an approach is necessary if one is to avoid the trap of assuming that meanings 'emanate from' texts themselves, or that the relevant intertexts of any text are decided on the basis of the text itself, without regard to orders of relevance given within the discourse formation of readers. As Thibault describes it:

Intertextuality is not adequately defined in terms of a positivistic recovery of antecedent source texts. ... Intertextual meaning relations are not necessarily or simply constituted by shared meaning relations between, say, two or more specific texts. The problem is more adequately theorized as Lemke points out, in terms of the level of abstraction at which two or more texts are construed as belonging to the same intertextual set. Instead of a positivistic search for antecedent texts and explicit links between one text and another, we can talk about the ways in which specific textual productions can be construed as belonging to the same more abstract or higher-order class of meaning relations according to some functional criteria.

[Thibault, 1991: 134-135]

Thibault's 'functional criteria' can be differentiated along metafunctional lines (as Lemke has done) and specified on the basis of identifiable discourse formations. Some discourse formations will include those privileged within examination English. Others will be limited to those privileged in classroom English, possibly as variants of 'personal growth'. Thus texts which are salient intertexts for one group of students (or one individual within the group) will differ from those which are salient for another and these can be described in terms of criteria which highlight different orders of relevance for readers and texts.

2.5 Conclusion

CDA offers a richer (albeit less systematic) account of the context-text relation than is currently available within the 'view from linguistics' offered by SFL. Via the notion of 'dialogism', this body of work enables us to explore the meaning relations (intertexts) which a given text (as a whole) takes as given, and the kinds of responsiveness it calls for. Via Bakhtin's notion of 'heteroglossia', it enables us to foreground the centrifugal heterogeneity within what Halliday calls the 'context of culture' and thus to account for the diverse literacy models and practices possible within English. And via the notion of 'discourse

formation', it enables us to build into the picture factors such as the history of social subjects and the interpretive practices 'in play' in any act of contextualization.

It is important for education, however, that we are able to articulate the meaning relations that are 'at stake' in any discourse formation. It is also important, if we are to extend the usefulness of 'the functional language model' that we connect the insights made available within Bernstein's code theory and CDA with understandings about language variation within SFL. In effect, this means integrating categories such as genre and register with the notion of 'discourse formation' and metafunctions with the model of intertextual relations. Table 2.6 summarizes the major points of contrast between context-text relations in later register theory, genre theory, code theory and CDA.

	LATER REGISTER THEORY	GENRE THEORY	CODE THEORY	CDA THEORY
SOCIAL CONTEXT	Non-stratified: field, tenor & mode are extra-linguistic variables.	Semiotically stratified: genre & register are semiotic variables.	Socially stratified: social class regulates access to codes.	Socially stratified & heteroglossic; class, gender, ethnicity and generation regulate access to codes.
TEXT	Characterized in terms of 'meanings at risk'.	Characterized in terms of 'meanings at risk'.	'The form of the social relationship made visible, palpable, material'.	Traces of the production processes & cues for interpretation
RELATION	A deterministic relation; later, dialectical, via notion of realization.	A symbiotic relation: dialectical via notion of realization.	Related through recognition & realization rules.	Related through intertextuality & dialogism.

TABLE 2. 6 : Context-text relations in register, genre, code and critical theory

CDA has alerted us to the importance of the reader's interpretive practices in any account of context-text relations. It has broadened understandings about the dynamic and contingent nature of the criteria by which we relate texts. It challenges us to view intertextuality as a function of discourse formations and thus, with

respect to literacy pedagogy, to articulate 'functional criteria' for inter-relating texts which are sensitive to students' different formations as well as to orders of relevance imposed by the school.

But this still leaves the problem of the relationship between reading practices and the meanings 'in' the text. What is the place of the text within this construal ? Does it constrain, set the agenda, 'position' the reader ? If it does limit or constrain the readings that can plausibly be made of it, how does it do so ? How do we link a theory of the 'constraints' to a theory of divergent readings ?

Assuming that intertextual relations are 'made' rather than 'found' does not imply that they can be made independently of texts. While the 'functional criteria' adopted for purposes of text interpretation and text production will be influenced by the 'literacy model' adopted by the reader and thus affected by extra-textual institutional factors, the texts themselves will constrain and direct readers' interpretations to some extent. This is not to say that the text determines wholly the reading(s) that can legitimately be made of it. Rather, the process is, as Catherine Belsey maintains (reformulating Heath), "a 'circulation' between social formation, reader and text" (Belsey, 1980: 69). In short, intertextual relations are 'evoked' by texts themselves just as they are imposed by social institutions and their associated discourse formations.

'Intratextuality' requires a text-semantics perspective and this has been much less well-developed in educational applications of SFL. Yet a concern with how students process texts is important not least because students are always being required in English to engage with unfamiliar written texts and to respond to these. The difficulties are seldom addressed, particularly in examination reading situations. But which orientations to text are going to be productive for students in such situations ? What can 'the functional language model' offer in this respect ? Can we develop 'intermediate' units of analysis by which to model the developing 'rapport' between the 'implied author' and his/her 'ideal reader' as a text unfolds ? Can we model such relations in 'dialogic' terms ? Are the relations by which we make meaning within texts similar to those we make between texts ?

Within the metadiscourse proposed in the current study, both genre and register are important categories for representing analysis and production of language varieties. It is assumed that, in keeping with Bernstein's notion of 'recognition' and 'realization rules', **register** is a **recognition category** and characterizes the 'meanings at risk' within a

given discourse formation and **genre is a realization category** and characterizes the text type produced within this formation. Register has always been a metafunctionally differentiated construct. It is proposed in the current study that **genre also be modelled as a polyphonic construct** - in a parallel way to Halliday's representation of register as a 'configuration of ideational, interpersonal and textual meanings' (Halliday, 1978, 1985/89). Genre can be modelled as a 'finalized' construct along lines proposed by Bakhtin (1935/1981: 60) - one which gives students a 'handle on' the overall structure of any text they are asked to read or write (Martin, 1993b, in press d). But exploring written genres in interpersonal, logical and textual terms as well as in the experiential terms privileged in much of the work of the 'genre school' requires an expansion of the text rhetoric currently available for literacy education.

What are the possible benefits of development of a metafunctionally diverse 'genre rhetoric' for English? Firstly, it would enable students to analyze the **dialogism** of narratives - how they position their ideal readers to accept particular viewpoints and value systems (its interpersonal dimension). Secondly, it would enable them to explore the **periodicity** of such texts - how they 'shunt' between one 'world' and another and give particular patterns of salience to each one (its textual dimension). And thirdly, it would enable them to probe the 'logogenesis' (or development) of such texts - how they move the reader from part to part in an iterative series of phases so that the reader is able to build up a sense of their unfolding significance (its logical dimension).

But the development of a polyfunctional genre rhetoric requires at least a partial renovation of systemic models of written text as 'thing like' (Halliday, 1985b, 1987, 1990a and Hammond 1990), as requiring a 'synoptic' perspective on the part of the reader (Halliday, 1985b), and as 'flat' or 'neutral' in tenor (Christie, ed, 1984b). Focussing on the contribution to **global meaning** of the interpersonal, textual and logical modes requires a dynamic model of text processing, one which views a written text as 'process' as well as 'product'. The work of theorists of 'point of view' (Fowler, 1986; Toolan, 1988, Simpson, 1993, Stephens, 1992) is important in this respect. Their contribution will be considered in the following chapter.

Consideration of neglected areas of text-semantics has implications for linguistic analysis. For example, a processual perspective on how written text positions its (ideal) reader within a specialized reading regime calls for the development of an analytical unit which is

intermediate between the text as a whole and the clause patterns by which its meanings are realized and which enables us to model the 'intratextual dialogue' set up by the text. Some of the work of systemicists who have endeavoured to develop a unit of analysis of this kind is reviewed here. The work of Maryanne Eiler (1979), Michael Gregory and Karen Malcolm (Gregory and Malcolm, 1981, Gregory, 1988), Christian Matthiessen and Sandra Thompson (Matthiessen and Thompson, 1989), Jay Lemke (Lemke, 1988, 1989b, n.d.) and Carmel Cloran (1995) is significant in this respect. We need to draw on an intermediate unit such as the 'phase' if we are to model the dialogism of written text effectively. This issue is developed in chapter four.

Finally, it is suggested that a rhetoric based on 'text semantics' needs to be made relevant to both intertextual and intratextual relations. The relations with other texts which a given text 'evokes' can be explored in similar terms to those established within the text. Lemke argues that,

Text semantics is as much an intertextual as it is an intratextual phenomenon. The ideational, interpersonal and textual meaning made within a text (to use Halliday's terms) depends as much on how that text is read in relation to other texts as on the construction of meaning relations within the text.

[Lemke, 1989:40]

The application of Bernstein's notion of 'privilege' and of a 'hierarchy of communication' to SF models of context enables us to model the semantic requirements of different contexts in terms of 'discourse hierarchies' and to argue that these hierarchies affect construal of both a text's 'intertexts' and its 'intratext'. Different models of literacy are seen to evoke different 'orders of relevance' with intertextual and intratextual consequences. Furthermore, as chapter three will argue, this is as true of specialized as it is of other models of literacy (especially those associated with 'critical social' models). The semantic demands of these hierarchies need to be 'spelled out' for students especially those whose learning experiences in home or neighbourhood settings have not oriented them to the requisite 'orders of relevance'.

CHAPTER 3

[CON]TEXTUAL PRACTICES IN JUNIOR SECONDARY ENGLISH

3.1 Introduction to chapter organization

This chapter attempts to map the diverse literacy practices in which junior secondary English students engage, to account for the differential value accorded some practices over others and to develop a model of intertextuality which simultaneously encompasses heterogeneity and enunciates privilege in the discourse practices of English. What is valued, or privileged, in one situation type differs from what is valued, or privileged, in another. In this chapter, it is assumed that what examiners privilege gives us insight into specialized literacy practices in English.

The title of the chapter - "Con[textual] practices in junior secondary English" highlights the mutual intrication of contextual and textual practices when it comes to English. The texts which students encounter and produce in the course of learning English are the means by which they build up expectations about the contextual requirements of the discipline. And if we define intertextuality so as to include readers' orientations to meaning as well as writers' articulation of meanings, then what students bring to texts is as important as what they find there. If intertextuality includes interpretive as well as productive processes, then this implicates our explorations of 'the context' of any literary work and 'the context' of any (set of) responses to this. In the present study, students' intertextualities are seen to be intimately bound up with their contextualization practices.

What makes the notion of contextualization theoretically and pedagogically complex is the ambivalence of the discipline about which contextualization practices it values - about its own 'speciality'. This ambivalence becomes prominent when we consider the split between contextual practices encouraged in classroom English and those which hold sway in examination English. Students who apply contextualization practices they have learned in classrooms to examination response tasks are often the casualties of this ambivalence.

Disambiguating this matter, distinguishing the 'speciality' of English is the task of the present chapter, which is organized into two main parts.

Part one demarcates the extensive territory of English - exploring this in terms of 'contextual domains'. Section 3.2 extends the contextual theories outlined in chapter two to regions of meaning-making within junior secondary schooling in general and then to the discipline of English in particular. Section 3.3 enunciates the semiotic dimensions of these four domains using **context of situation, genre and register**. The meaning-potential (or registers) of each domain and the text-types (or genres) through which this potential is actualized is exemplified via case study material - a series of spoken and written texts collected in one classroom during the course of this research. Each domain or 'macro-context' is analyzed as a collection of relatively stable situation types which present students with identifiable learning challenges - which have a knowledge/content dimension, an identity/role-set dimension and a semiotic orientation dimension. The metafunctional description of the semantics and lexicogrammar is thus extended to the description of the domains - and their associated potentials and text types.

Part two explores the implications of Bernstein's theory of coding orientation for the representation of learning contexts in English. It attempts to map the least visible territory of English - those covert literacy practices which come into play in examination situations and which highlight the instability of the discipline's view of itself. These practices reveal a serious disjunction between the 'personalist' bias of the school curriculum (which appears to encourage a 'restricted coding orientation' in students) and the 'specialized' bias of the Reference Test (which appears to reward only an 'elaborated coding orientation' without actually asking for it). Only students who are able to transform superficially open-ended examination tasks into demands for displays of specialized competence can hope to be successful. They have access - a 'key' - to privileged orders of relevance in different contexts.

Section 3.4 attempts to relate Bernstein's notion of 'rule' and of 'privilege' via the composite category 'privileging rule' to the literacy practices of each domain drawing on the semiotic categories outlined earlier. In short, it attempts to 'semiotinize' Bernstein. If intertextuality encompasses different orientations to relevance, then relevance itself can now be linked to different 'privileging rules'. These 'rules' affect students' recognition of which register is 'at risk' in a given context and which genre they need to produce as a consequence. The functional

criteria can be turned into registerial and generic requirements, with some meanings made pre-eminent and others auxiliary. The dominant (higher order meanings) and auxiliary (lower order meanings) can also be explored metafunctionally. But which orders have pre-eminence will be a function of which 'rules are in play' - the kinds of semiosis required.

Section 3.5 focuses on the rhetorical 'tools' necessary for articulating specialized requirements. These tools are fashioned from grammatical resources articulated in SFL which have a more broadly semiotic application and which have proved especially useful in the course of analyses of both narrative and responses to narrative.

Section 3.6 concludes the chapter by exploring some of the implications of this representation of intertextuality for pedagogic practices in English.

3.2 Contextual domains of learning in junior secondary English

In this part of the chapter I propose a model of the 'cultural domains' which students 'inhabit' in their in-school and out-of-school learning and which are evoked in school English. This model is heuristic in purpose: it attempts to situate the four models of literacy in English outlined by Christie et al (1991) within four broad regions of learning - contextual domains which students 'inhabit' before, during and after schooling. A big-picture approach is necessary if we are to link the intertextualities brought by students to their study of English with those English appears to call for. Each domain can be construed as a 'site' in which one particular set of interests predominates while always being in contention with those of other domains.

One basic 'cut' is proposed initially - between the learning which goes on everyday in the lives of each and every member of a community and that which is packaged as formal curriculum and offered to students in institutionally-punctuated periods of schooling from Kindergarten through to year 6 in primary school and from year 7 through to year 10 in the junior secondary school. Learning that is based on the 'Everyday' domain is counterposed to that which is based on 'Theoretical' instruction in the first instance. The very existence of school education in its present form (legally mandatory for all young citizens between the ages of five and fifteen) is an institutionalization of the distinction between informal learning at home or in the community and formal learning at school.

The distinction made here between everyday and theoretical learning relates to those made by Bernstein (1971, 1975, 1982 and 1990) between everyday or 'commonsense' learning and specialized or 'uncommonsense' learning. This distinction has been taken up by Halliday (1988) and extended by Martin and Rothery (1991) between the use of 'familiar everyday spoken genres' and 'institutionalised written genres' within education. There are a number of dimensions along which the distinction holds: the 'commonsense' understandings relevant to the routines and challenges of everyday life are packaged differently from those 'uncommonsense' understandings which are privileged within the routines of schooling. Commonsense is typically non-technical, mediated in situation types marked for intimacy, or at least for social solidarity, and via spoken interaction, while 'uncommonsense' is typically technical, mediated in situation-types marked for greater social distance and via the language of 'the written style' (Halliday, 1988:11).

It is assumed here that theoretical learning cannot be pursued without initiation into abstraction, technicality and formality in written semiosis. And while this should not be taken to encompass all that goes on in junior secondary schooling, it assumes that students' capacity to engage with the 'key learning areas' of the secondary curriculum depends on their induction into systematically-organized bodies of knowledge.

A second, but less significant, cut for purposes of this research is made between the Everyday and the Theoretical domains of learning, which I call the 'Applied'. The distinction between theoretical and applied learning is institutionalized in the division between the TAFE system (with its manual/trades emphasis) and the University system (with its mental/professional emphasis). And it reflects the tacit distinction made between the 'academic' and the 'applied' subjects within school education, which has, to some extent, been maintained in the recent reorganization of junior secondary subjects into 'key learning areas' in the NSW curriculum. Subjects like 'agriculture', 'computer awareness', 'computing studies', 'design and technology' and 'home science' are now grouped under the same key learning area called 'Technological and Applied Studies', whereas Mathematics, Science and English are taken as distinct areas of study in their own right, and are called 'theoretical' by virtue of their contrast with the other applied subjects. The three relevant cultural domains now become:

Everyday Applied Theoretical

One final cut is needed - between these others and what I call the 'Reflexive' domain - a site in which the strong boundaries and distinctions between 'knower' and 'known' which are preserved in the 'Theoretical' tend to dissolve. Problematizing the relation between the linguistic and the social is an important task within a social semiotic approach to language. It is a concern which is addressed in the work of theorists like Kress (1989a, 1991, 1995), Threadgold (1988, 1989, 1993a), Fairclough (1988b, 1992a & c, 1995), Thibault (1989a, 1991) and Lemke (1989a, 1990, 1995), who make social practices the starting point in their application of the resources of SFL. An interest in 'critical' literacy practices (which predominate in this domain) is also foregrounded in the work of Allan Luke (1992, 1993 and 1996), Pam Gilbert (1987 and 1990), Peter Freebody (1991 and 1992), James Gee (1990 and 1992) amongst others.

There are thus four crucial domains which impact on students' learning in junior secondary schooling. These are as follows:

1	2	3	4
Everyday	Applied	Theoretical	Reflexive

Section 3.2.1 explores the kinds of semiosis (meaning-making) which characterize each domain, considering the resources which young learners develop in these and the kinds of orientation to literacy which they encourage in students. Section 3.2.2 then considers which 'domains' are evoked in English and how teachers' pedagogic practices interact with and influence the semiotic orientations which their students bring to these. It will be seen that these practices can either entrench students in orientations which lead to failure in English or can open them up to the semiotic possibilities of learning in each domain.

3.2.1 Four contextual domains for learning

We can relate the heterogeneous practices of school learning to the learning practices of the wider community and assume that the practices of the latter are evoked in those of the former. Certainly students bring the assumptions and aptitudes they have built up in wider family and community relations to bear on their experience of classroom learning. But teachers' pedagogic practices also tend to orient their

students in the direction of practices relevant to one domain or the other at various points in the sequences of school learning. The relation is a dialectical one: the kinds of learning that go on in school are as much an effect of students' as they are of teachers' orientations to the meaning requirements of a subject. In short, the practices of the Everyday, the Applied, the Theoretical and the Reflexive domains influence school learning via the mediating practices of learners as well as teachers. ¹As Bernstein's research shows, the orientations to learning which students build up in the home greatly influences their chances of success, especially in subjects like school English which are characterized by 'weak grammar' (see Bernstein, 1996: 172-175). ² In this section, I focus on learners' practices.

The term *Everyday* is self explanatory. It is the world of the home and the community into which children are born and which provides them with their primary formation. In the day-to-day communication around the home and community, much can be taken for granted. Language is a part of reality and people coordinate material and social practices largely through spoken dialogue. In the roles and relationships typical of life in family and community settings, 'the self' is constructed as a member of a particular cultural group. In small communities, social closeness is assumed, or, at least, familiarity with the values and role expectations of members of the group. What is learned is enmeshed with the world views and value systems of those who share the local environment and is therefore both specific and, from the school's point of view, often inscrutable. People learn as they were

1 A related model has been proposed for adult literacy learning by Rob McCormack (1991). McCormack suggests that there are four types of literacy which are important within the field of adult basic education: 'humanist literacy', important for the exploration of 'technologies of the self'; 'technical literacy', necessary for the practical procedures of the workplace; 'epistemic literacy' used in the production, distribution and application of modern knowledges; and 'public literacy', used to debate and negotiate social and political differences in public domains. These correspond loosely to the literacy practices related in the present study to the Everyday, the Applied, the Theoretical and the Reflexive domains. However, the two frameworks were developed independently.

2 Each domain is presented here as distinctive and strongly bounded. This is a useful heuristic for highlighting differences in the kinds of learning that are likely to occur in the lives of citizens in many post-industrial societies like Australia. In reality, the situation is likely to be much messier. A degree of idealization is inevitable in the use of such a depiction.

taught, through the wisdom and experience of those who went before them, through observation and a good dose of trial and error. The favoured pedagogies of this domain are participatory ones. But kinds of participation vary too. The domain of the Everyday is not homogeneous. In a socially and ethnically-stratified society like Australia, learners' starting points vis a vis schooling are diverse and open-ended. They may learn in a language other than English and develop different expectations of what life offers them depending on their gender, ethnic origin, generation, social class and, perhaps, even their religion.

In the second **Applied** domain, people gain control of specific forms of expertise, whether these are associated with particular trades or leisure activities. The activities are typically 'hands on', learned through a pedagogy of apprenticeship in most cases. The average fitness, ceramics or film appreciation class, for example, is accessible to most members of the community, who can 'learn by doing' without having to immerse themselves in the specialized knowledge on which the 'experts' in these fields depend. Technicality is 'enabling' in this region of meaning-making: there are observable connections between the language used (whether spoken or written) and the processes onto which it is 'mapped'. In the terms outlined in the previous chapter, the language is typically 'ancillary to' the social processes it facilitates. Generally speaking, apprenticeship is the favoured pedagogy here: the 'apprentice' is guided by a 'master' into a particular level of expertise in a particular skill.

In the domain of **Theoretical** learning, however, people train in and devote themselves to an 'esoteric' form of knowledge, usually over a significant period of time. And, while esoteric learning is not the preserve of western industrialized societies, young people rarely gain access to dominant forms of knowledge, power or meaning-making without formal, school education. School learning initiates students into forms of knowledge that counter those built up in the everyday world. Although they do overlap at some points, children can no longer rely on the classifications and tacit understandings they developed as a result of learning at home or in the community.

Furthermore, students have to build up this esoteric knowledge largely on the basis of language - in a process which Halliday calls 'learning through language' (Halliday 1991a). And so, from a linguistic point of view, texts themselves often constitute the field of study when it comes to learning in this domain - particularly within humanities-type subjects. Language is no longer a taken-for-granted part

of a 'sensuous reality' - learned by mapping its meanings onto more or less familiar and immediate contexts of use. To a significant extent, language is the reality - and written texts are the means by which students construe knowledge, enact social roles and otherwise mark themselves as incumbent members of a discipline. Humanities-type subjects make particular demands on learners in this respect. The relevant intertexts of English and History, for example, cannot be identified with textbooks or even canonical understandings. The intertextuality of these subjects is more implicit, constituted by a dense network of semantic relations and orientations - with 'ways of reading' rather than with particular texts.

Within the Theoretical domain, the 'self' is constructed as objective and interpersonal relationships are marked by increasing social distance. This is to say that the texts produced by these incumbent members of the discipline typically project a 'neutral' tenor, marked by social distance. And the pedagogy reflects this. It is marked by a formation of 'discourse initiation', which is associated, in the natural sciences at any rate, with the assimilation of taxonomies, logical sequences, technical terminology and the reproduction of these in formal assessment situations. The discourse initiation practices of the human sciences - although just as specialized - are characterized by more tacit and 'inward' regimens, as will be seen. And, predictably enough, as Bernstein observed, the 'specialized' literacy practices which are privileged in these situations are also those which 'privilege' those who can control them.

The term **Reflexive** draws from linguistics itself. As a technical term in linguistics, the 'reflexive' indicates that there are two pronominal references to the same subject. In the sentence 'He saw her' there are two participants; whereas in the sentence 'She saw herself' there is only one participant. In the semantics of the 'reflexive', the fact that the same participant is acting on him or herself provides a useful parallel for meaning-making practices here. In this domain, the learner begins to reflect on and question the grounds and assumptions on which specialized knowledge rests. The neat distinction between the knower and the known disappear. S/he begins to realize that in a socially diverse world, every subject has a vested interest in maintaining a particular view of the object of scrutiny.

In the final analysis, there is a strong relationship between who I am, in the social order of things, and what I 'see and know'. Thus all forms of knowledge are enmeshed with the value systems of the knowers. Knowledge is no longer fixed or monolithic in this domain

and students are forced to come to terms with its socially contingent nature - even if only at a rudimentary level. The 'self' is constructed as mediating varied perspectives on knowledge. And the language through which knowledge is explored reflects these contradictions.

In the Reflexive domain students learn to construct texts that deal with controversial and competing points of view on issues. This demands not only a knowledge of the meanings of the discipline but also an ability to negotiate a path through competing discourses on these meanings. The written and spoken texts for negotiating social contingency and cultural diversity are learned again explicitly through conscious design - although the pedagogical strategies for developing them will be characterized by openness, by discussion and by greater variation in modes and media of communication (eg. the use of videos, newspapers, and radio programs). It will be more a pedagogy of discourse 'appropriation' and dialectic - encouraging learners to move between competing perspectives and to learn to critique and synthesize these views for a range of purposes. The pedagogy will tend to problematize the 'self-representations' of different fields of study and re-construct these in the light of other discourses. The Reflexive domain is an important site for the development of critical literacy practices.

3. 2. 2 Applying the contextual domains to junior secondary English

It is now possible to take the four models of literacy which Christie et al (1991) identified in their research as current within English curriculum and to map these onto each of the domains. The meaning-making practices which typify each domain are exemplified through texts collected from one English classroom in the course of this research. Example texts 1 to 4 are excerpts from spoken or written texts produced during a unit of work on situation comedies (sit coms) by a year 10 class.

The '**growth**' model of English (Christie et al 1991, vol 1: 23) sits very comfortably with the practices of the Everyday. In the practices of the English classroom, it prioritizes the 'here and now of you and me' - focussing on matters of immediate interest and 'relevance' to the student. The journal is its archetypal text type. And, within the literacy practices of this domain, even literary interpretation tends to be re-cast in personal terms, most often through the ubiquitous 'imaginative recreation' exercises. The empathic relation between teacher and student which is a hallmark of the 'growth' model and the writing 'conference'

mimics the intersubjective relations and shared experience of close-knit family and community life. The commonsense of classroom learning is assumed to be shared between teacher and students.

Example text 1 is an excerpt from a discussion held early in the 'sit com' unit between four students in which they exchange views about the sex lives of older people based on reactions to one of the characters in *The Golden Girls* :

Example text 1

Student 1: Blanche is sexy I reckon.

Student 2: No, she's a dog. What's someone her age doing being into sex so much anyway ! When you're past it you're past it. My parents hardly ever do it nowadays. No one cares about sex at that age.

Student 3: Yes they do. My grandparents still do it. Why not anyway ?

Interactions which epitomize 'growth' models of English typically contain strong expressions of individual reaction and so does this text. The girls make strong claims about the sex life of 'the aged' on the basis of personal observations and assumptions drawn from this. The literacy tasks they are given and which they produce in this domain are likewise characterized by immediacy and personal expressiveness.

The 'skills' model of literacy - with its focus on 'decipherment' and acquisition of the mechanical aspects of writing - can be mapped onto the Applied domain (Christie et al, 1991, vol 1: 21). In this domain it is the physical technology of reading and writing which is the object of pedagogic attention. This technology ranges from the learning of sound-symbol correspondence in infants school to more complex skills such as layout and design in junior secondary school. The language used tends to be ancillary to experience and serves an overtly enabling function within any pedagogy. Ancillary texts, which construe learning as a variant of an 'applied' skill, are crucial to the initiation of students into the language demands of school English, particularly those from non-English speaking backgrounds.

Example text 2 presents an excerpt from a whole-class interaction, in which the teacher introduces his students to some of the 'hard words' in the model essay he has prepared for his students:

Example text 2

Teacher: OK. Any hard words in that paragraph ?
Which one Heidi ?

Heidi: 'Status quo' Sir.

Teacher: Sonya ?

Sonya: The position things are in ?

Teacher: Yeah, it's the way of the world; how society operates .. um ..the normal way of things before its gets complicated. Girls, let me give you a very interesting example. So, suddenly, if Irene was to organize all her friends like Connie etcetera, etcetera to go and storm the principal's office, kill a principal and install herself as principal of the school and threaten everyone with death if they don't obey, that would change the 'status quo' in the school ... change the normal way the school operates. OK ?

In building up a new terminology, this teacher shunts between the familiar (or at least the imaginable in the case of this excerpt) and the unfamiliar. In this way, abstract meanings like 'status quo' are related to experiences which learners could conceivably have in their everyday world. The pedagogy here is one of pointing, of 'isolates', of moving from the sensuous, the singular to the invisible, the significance of a singular term such as 'status quo'. There is thus an iconic relation between the semiotic term (verbiage) and its significance (image), analogous to the relation between the technical term and its referent in physical technologies.

Many English teachers assume (it seems to me), that classroom work on 'skills' exhausts their responsibilities when it comes to explicitly initiating their students into new areas of knowledge (new genres, new media, literary study). Identifying and glossing the 'hard words', however, is only the beginning of this process. Assisting students to integrate these into their interpretation and production of 'hard texts' presents teachers with a far more demanding pedagogic task.

Furthermore, despite the importance of learning particular skills when it comes to literacy in English, this aspect of students'

learning tends to assume an over-inflated importance in political debates about the contribution of schooled literacy to student's post-school fates. In fact, wherever public discussions focus on 'literacy standards', in which stakeholders of different types argue about areas of 'surface competence' like spelling, punctuation and vocabulary, it is the 'skills' model of literacy which is in play. Its materialist emphasis makes it an easy target for political polemic. There is increasing evidence of a preoccupation with skill-level credentialling in adult education and in calls for 'competency-based' training and assessment, as the Finn and Mayer Reports on post-compulsory education demonstrate (Finn et al, 1991 and Mayer et al, 1992). A focus on 'attainment targets', 'outcomes' and 'key competencies' is an inevitable outcome of the privileging of the 'skills' model in debates about literacy standards.

The 'cultural heritage' model of English is not as easy to map onto the Theoretical domain as the other models identified by Christie and her colleagues. Most English teachers I know would reject the use of the term 'theory' to describe the speciality of their subject anyway. It potentially crowds the 'space' of the English classroom and forecloses tendencies to 'personalist' emphases when it comes to introducing students to the 'great works'. They are suspicious of attempts to introduce theoretical (semiotic/linguistic) terminology in anything other than an ad hoc way into the classroom. And, as Rothery (mimeo), Butt et al (1989), Cranny-Francis (1990b) and others have noted, teachers find it extremely difficult to characterize learning goals for English in textual terms.

It is possible to see a connection between an avoidance of literary or linguistic theory and the continued dominance of variants of 'Leavisitism' and New Criticism within English. The adherents of approaches inspired by F. R. Leavis or American New Criticism are pre-occupied with the meanings 'within texts' - with intratextuality. And, while New Criticism is a little more 'open to terminology' than Leavisite criticism, both approaches neglect matters of intertextuality - relations 'between texts'. There is certainly no place for 'theory' in the type of contact between reader and text envisaged by F. R. Leavis. In fact, as Catherine Belsey observes:

... Leavis deplored theory: the task of the critic, he argued, is to develop an ever finer response to the concrete experience that is given in the text, and not to tangle with abstract theoretical issues, for fear of blunting the edge of this response.

The literature which Leavis included in 'the great tradition' was regarded as transformative of the reader's sensibility - an encounter through which s/he experienced a heightened form of the 'real'. Novelists like Henry James or D. H. Lawrence were distinguished, according to Leavis, "by a vital capacity for experience, a kind of reverent openness before life and a marked moral intensity" (Leavis, 1962: 17). Belsey links this attitude to the literary discourse she calls 'expressive realism', the belief that literature "reflects the reality of experience as it is perceived by one (especially gifted) individual, who expresses it in a discourse which enables other individuals to recognize it as true" (Belsey, 1980: 7). Focussing on the need to 'recognize' the truth embodied in a literary work can have unintended consequences for students' reading practices however. It can lead them into futile imaginings about the author's 'intentions' or to explorations of its personal implications.

American New Critics, who came to pre-eminence in the 1940's and 1950's, rejected as irrelevant to 'the work in itself' a subjective preoccupation with intentions and effects. They asserted that the study of literature (they tended to focus more on poetry than other literary forms) could be every bit as 'objective' as the study of biology or physics and that a close reading of the 'words on the page' was enough to release the meanings of the text. As Terry Eagleton puts it:

The New Critics broke boldly with the Great Man theory of literature, insisting that the author's intentions in writing, even if they could be recovered, were of no relevance to the interpretation of his or her text. Neither were the emotional responses of particular readers to be confused with the poem's meaning: the poem meant what it meant, regardless of the poet's intentions or the subjective feelings the reader derived from it.

[Eagleton, 1983: 48]

Many literary theorists have questioned the assumptions underpinning New Criticism: especially its assumption that meaning is 'single', timeless and universal (Belsey, 1980, 1982, Cranny-Francis 1990b, Culler, 1988, Eagleton, 1983). But its legacy, along with vestiges of 'Leavisitism', is still apparent in the English syllabuses for both junior and senior years. Students' reading of 'the great tradition' is viewed either as a 'conversation with the wise' (in a Leavisite approach) or as an engagement with the 'words on the page' (in New-Critical type

approaches) rather than with the (inter)textual principles on which such texts are constructed or read.

The dominance of 'personalist' approaches to literary study also persists into the senior years and is an unmistakable feature of the still extant English syllabus for years 11 and 12. The Board-approved documents eschew the usefulness of 'any sophisticated concept of 'literary criticism' when it comes to literature, calling instead for 'further experience of' and still closer 'attention to [the] detail' of the text (Board of Senior School Studies, 1982: 2). In these syllabus documents, as in *English 7-10*, no 'critical information' about an author's use of particular 'styles', 'genres' or 'techniques' is 'acceptable as a substitute for personal response' (Board of Senior School Studies, 1982: 5). As a result of this, both Leavisite and New-Critical approaches to literature are cultivated through invisible pedagogies in which certain kinds of 'response' are taken as normative but without the criteria on which they are based or the rhetoric through which they are produced being made available for students.³

The 'cultural heritage' model of literacy is recontextualized within progressivism so that it becomes like the 'growth model' of English. Reading the canonical texts of the cultural heritage is viewed as an occasion for an individual response by an 'ideal reader'. The reader's experience of 'the words on the page' is seen to be unmediated, unaffected by, social factors like gender, class, ethnicity or even by textual factors like familiarity with the genre in which the text is written. A fuller discussion of Leavisite and New-Critical approaches is undertaken in chapters four and five.

Genre-based approaches to texts - both canonical and non-canonical - strike at the heart of such models and associated pedagogies of the 'self' because they focus on the rhetorical means by which writers achieve their influence on readers. Moving from a concern with personal reactions to a text into a concern with the textual strategies which produce these reactions is not a simple matter, however. Texts need to be seen as

³ The dominance of Leavisite and New Criticism in English curriculum is no longer assured however. As I write, there is a fundamental review of the Higher School Certificate syllabus for English being undertaken by a committee established by the NSW Board of Studies. This promises at least some challenge to the assumption that English can be studied without serious engagement with language as 'system' or with literary uses of this.

social and textual 'constructs' which can be de-constructed (and re-constructed) and which can be explicitly taught.

Example text 3 represents a 'genre-based' reading of the 'cultural heritage' model, in that it extends the notion of 'heritage' to cover texts of popular culture as well as those of the literary canon and in that it reproduces new understandings gained by one student about the 'generic' features of such texts. It was written at a point when the class had been asked to apply the generic criteria it had learned about earlier in relation to an Australian 'sit com', *Mother and Child*, and to an American 'sit com', *The Golden Girls*. Example text 3 contains the first two paragraphs of the student's essay:

Example text 3

Essay Task: How far can we consider The Golden Girls to be a successful American sit com ?

The television show The Golden Girls is indeed a successful sit com because it employs the basic elements which are common to all sit coms. Its plot is plausible, it uses the technique of inversion, sets of contrasting characters, recurring gags and both its filming and it's [sic] structure can be described as naturalist. Furthermore, the setting, the accents used and the allusions used in the show make it uniquely American.

All sit coms employ a similar set of elements; a formula which has been very successful in the past. This could be one reason to explain the proliferation of these genre [sic] of television shows. One of the basic elements is the plausibility of their situation. The Golden Girls is indeed very plausible, since parents often do become the responsibility of their children. The daughter, who is played in the show by Bea Arthur, bears the burden of taking care of her forgetful but cunning mother, played by Estelle Getty. Part of the show's success depends on this realistic plot device.

Filippa

Most of the 'theoretical' work of this class of mainly non-English speaking background students centred on mainstream literacy practices. In the three years in which I visited them (from year 8 to year 10), they were introduced to quite strongly classified understandings about the structure of genres such as the traditional narrative, the situation comedy and the soap opera. Much of students' early work on these genres was 'reproductive' in that they drew heavily on models introduced by their teacher, Bill Simon, and were not expected to

innovate substantially on these in their own essays. Their teacher was interested less in their individual responses to these texts (at least when they were 'in' the 'Theoretical' domain) than on their control of the meaning-potential deployed in the genres. The present framework, which is partly based on the practices of teachers like Bill rather than on the familiar wisdoms of the syllabus, therefore, identifies the Theoretical domain with introduction to both canonical and non-canonical texts of a diverse 'cultural heritage', but foregrounds semiosis (meaning-making practices) rather than the sensibility of the 'meaner'.

The '**critical social**' model of literacy can be conflated with the practices of the Reflexive domain. It recognizes that 'experience, knowledge, information and values are constructed in various textual or discursive practices' and that these should be made available 'in explicit ways' (Christie et al, vol 1, 1991: 23). This perspective renders categories like genre, register and others from within 'critical discourse analysis' as useful but socially and historically contingent 'tools' for examining and producing a range of texts and practices. Where subjectivity comes into play in this domain, however, it is interpreted as 'social subjectivity', constrained by vectors of race, gender, class, language and so on rather than as personal subjectivity emanating from an individual sensibility.

In the course of their class work, Bill's class also examined issues such as 'ageism' and the way in which 'sit coms' like *Mother and Son* and *The Golden Girls* tended to reinforce stereotypical views of old people. The students researched the current situation for legal redress in the case of ageist discrimination, they discussed the issue of age limits on voting, driving and drinking rights for the young, and they investigated the generic qualities of the 'feature article' prior to the production of their own article on age-related discrimination. Example text 4 was produced by one of the students, Sonya, on the topic of ageism near the end of the unit on situation comedies. It demonstrates the ability of some students to enter and appropriate the Reflexive domain for their own literacy practices. This excerpt contains the first half of her feature article.

Example text 4

WHAT'S AGE GOT TO DO WITH IT ?

In these so-called 'modern' times, it seems everyone is trying to bring about a stop to every sort of discrimination. Racism is regarded as the worst form of cruelty, while the 'new age sensitive man' is trying to

abolish sexism. But most people don't realise that a new unknown form of discrimination occurs everyday - ageism.

To find the definition of ageism, I ventured towards my friendly dictionary and was somehow not surprised to discover that even in my trusty 7th edition of the Oxford dictionary, ageism was nowhere to be found... But ageism, just like it sounds, is basically discrimination on the basis of age. How many times have your parents said to you: "No, you can't do that - you're too young." Well, that is a minor case of ageism !

Other forms of ageism arise in the workplace, by government laws and even in the media. For example, many young people, such as yourself, are fortunate enough to have part-time work. Many employers prefer to hire younger workers, in order to save money, and this could be regarded as a more serious case of ageism against more 'expensive' employees. Cathy is 15 and works at a local supermarket. Her opinion:

"It's really obvious what employers do. Even though the 18 and 19 year old workers are a lot more experienced, I find that the younger workers like myself are always hired to work longer hours and days like public holidays (when double time is paid.)"

So, is there anything these younger employees can do about it ? Is there an anti-ageism discrimination agency ? No, unfortunately not. But ageism is not just discrimination against the young. Older members of the community (who incidentally, young people are told to respect), are treated in the worst cases of ageism, particularly by the media. Top rating situation comedies such as "The Golden Girls" and "Mother and Son" earn their incomes through the use of this discrimination against the elderly. I'm sure everyone has seen an episode of "The Golden Girls" and while many regard the humour as very clever, not many consider the image of the elderly it portrays. In this show, old people are portrayed as either eccentric (Rose), cheap and desperate (Blanche), lonely (Dorothy) or just plain cruel. Also, the Australian show "Mother and Son" uses the same concept of humour arising from the actions of the elderly, to boost ratings. Maggie, played by Ruth Cracknell, is the protagonist who is rather old and seems to be living in the past, due to her lack of memory. She is portrayed as innocently devious (because her lack of logic prevents her from realising what she is doing is cruel !) particularly to her son, whom the audience is made to feel sorry for, because she is such a 'burden.' Perhaps her character's semi-madness is humiliating and insulting to other elderly.

Sonya

The language of this text places it within the literacy practices of the Reflexive domain. Sonya has produced a magazine feature which integrates all she had learned about age discrimination in society at large

and in some media representations of old people. The text shows that she can negotiate multiple roles and voices in her enactment of this task and now views the sit com as a value-laden construct. In short she can 'read' the stereotype behind the portrayal of old people and imagine other ways of portraying them. Sonya is challenging the meanings of dominant discourses by drawing on her new understanding of how a genre works and how it can 'work' against particular interests. She is entering the territory of critical social literacy.

Figure 3.1 presents a synoptic (and somewhat idealized) picture of the four domains from the point of view of the typical behaviour of participants in each and indicates the relative position vis-a-vis each domain of the four models of literacy.

	Everyday	Applied	Theoretical	Reflexive
	A pedagogy of participation	A pedagogy of apprenticeship	A pedagogy of discourse initiation	A pedagogy of discourse appropriation
	1	2	3	4
1	Working with the contents of tacit knowledge, based on personal and communal experience	Using a specific skill or 'know how' based on acquired expertise	Assimilating and reproducing the contents of specialized knowledge, based on educational learning	Questioning the taken-for-granted understandings of specialized knowledge, based on alternative perspectives
2	Playing out the roles and relationships of family, kin and community networks	Taking up an apprenticeship role relevant to a particular practice	Becoming an incumbent member of a discipline	Challenging and reconstituting roles in a world of social diversity
3	Interacting with others, primarily through spoken language	Using spoken and written language to enable experience or activity	Producing and interpreting epistemic texts	Re-construing meanings through different media
	'personal growth literacy'	'skills literacy'	'cultural heritage literacy'	'critical social literacy'

Figure 3.1: A view of the meanings and practices privileged within four domains

The different construals which each domain gives to learning across subjects (for example, between applied and theoretical subjects of the junior secondary curriculum or between the technical emphasis of the TAFE system and the academic emphasis of the university system) are also relevant to kinds of emphasis within learning of particular subjects. There is a very real 'applied' aspect to learning Mathematics, Science and English. For example, an emphasis on the experiential, on working it out 'for yourself', on the testing of theoretical principles against new material, is a hallmark of the 'applied' perspective in most disciplines. And, as I observed on many occasions in English classrooms, many teachers introduce unfamiliar vocabulary on the basis of what they imagine is familiar in students' experience. It is a pedagogic commonplace that the 'given' is the ground for the 'new'.

An argument which can also be pursued here is that there is a sequential logic to the ordering of the learning across these domains in a visible pedagogy, especially in situations where students are engaging with new material. With respect to English, for example, strategies like text analysis take on a very 'material' and 'technological' emphasis in early stages of work on a new genre or other aspect of semiosis. Students need to be introduced to features like text format, layout, generic stages, word meanings and so on before they are expected to produce a text in a new genre independently. This 'pedagogic sequence' buried in the left-to-right ordering of the domains is by no means an automatic one of course. However, it can be assumed that students can only appropriate and critique discourses into which they have first been initiated, and which they have first understood in their 'own terms'.

But if we examine the pedagogic sequences and foci of a range of classroom practices in the light of these domains and their associated literacy practices, it is possible to highlight some of the 'gaps' and the disjunctions in English teaching. If it is true that work in English involves the rehearsal of the commonsense meanings typical of the 'Everyday' through 'personal growth' pedagogies and, perhaps, a smattering of work on skills relevant to the 'applied', then it is possible to infer that students will not be able to rely on their classroom learning experiences in building up expectancies about the literacy requirements of the Theoretical or the Reflexive domains.

The problem for many students whose home backgrounds do not orient them to the meaning-making practices of these domains is that they are unlikely to learn them with a steady diet of 'personal

growth' or 'skills' models of literacy. In searching for activities which they expect will be of immediate relevance and interest to their junior secondary students, their teachers encourage them to explore the 'discipline' in commonsense and personalist terms (for the Everyday domain) or in terms of 'language skills' and 'practitioner expertise' (for the Applied domain), thus encouraging either a participatory or technological orientation to language in their students.

There is nothing wrong with this if teachers are able to be 'up front' about the expectations and limits of such orientations or if they function as part of a reading and writing formation which leads beyond these, beyond the strictly local. But many of these students (and their parents) do not want to be stranded in commonsense and personalist understandings of text or textual practices. They want access to both specialized and critical literacy practices and to make their own decisions about how they deploy them. Many of the non-English speaking background students, for example, in English classes I visited in the course of this research, and who need a lot of 'language-enrichment work' to enable them to read and write the texts of the Theoretical and Reflexive domains, were treated as incapable of, not interested in, outside the reach of, these forms of semiosis. In effect, their teachers, in a regime of benevolent inertia, lock such learners out of higher education.

The preceding sections of this chapter have attempted to show how orientations and practices of four domains are given selective degrees of emphasis in school English. It has been argued that the orientations which students bring to school learning are often further entrenched as a result of the curricula and pedagogies they experience in their classrooms and that those whose home and community orientations do not predispose them to successful engagement with the meaning-making practices of the Theoretical and the Reflexive domains are the very ones who are most disadvantaged by invisible pedagogies.

In the following sections, I attempt to systematize the semiotic representation of these regions - drawing on register and genre to characterize the different intertextualities they favour.

3.3 Semiotizing the contextual domains

Intertextualities are manifold and heterogeneous both in English and in the broader community. But how do we develop linguistically and socially principled accounts of these different

orientations to meaning in English ? The SF model is a useful starting point because it offers a rich, metafunctionally differentiated portrayal of both the contextual and the linguistic.

As noted in chapter two, the crucial contextual category for Halliday is **context of situation**, which comprises the variables **field**, **tenor** and **mode**. As Halliday represents these, **field** refers to 'what is happening, to the nature of the social action that is taking place: what it is that the participants are engaged in, in which the language figures as some essential component'; **tenor** refers to 'who is taking part, to the nature of the participants, including permanent and temporary relationships of one kind or another, both the types of speech role that they are taking on in the dialogue and the whole cluster of socially significant relationships in which they are involved; and **mode** refers to 'what part the language is playing, what it is that the participants are expecting the language to do for them in that situation: the symbolic organisation of the text, the status it has, and its function in the context, including the channel (is it spoken or written or some combination of the two ?) and also the rhetorical mode, what is being achieved by the text in terms of such categories as persuasive, expository, didactic and the like' (Halliday, 1985c: 12). In popularizations of this model, the contextual variables are described along the following lines: the field has to do with what is going on, the tenor with who is taking part and the mode with how language is being used (see, for example, Macken et al, 1989a:14). It will also be remembered that what Halliday calls 'rhetorical mode', Martin deals with as part of genre.

These same contextual variables provide the basis for systematizing description of the contextual domains. Each domain thus encompasses groupings of fields (social activities), tenors (social relationships) and modes (semiotic functions). And each domain can be described in terms of the situation types which constitute it. This corresponds to Halliday's concept of the **context of culture** as the 'potential' lying behind the numerous instances (contexts of situation) that make it up (Halliday, 1991a). Cultural domains can thus be seen simply as clusterings of 'agnate' situation types. Within this perspective, the same contextual 'variables' can be utilized to describe both generalized cultural domains and specific situation types.

However, construing context in abstract institutional terms challenges the commonplace representations of these 'variables' within many curriculum recontextualizations of the model. For example, the

construct field is popularly used as a synonym for 'subject matter' or 'topic' in curriculum materials and pedagogic practices - especially for texts which 'constitute their own situation' (see, for example, the definition of field in the glossary of Cope and Kalantzis, eds, 1993:250).

But the designation of a field should also be sensitive to differences of institutional location, coding orientation, discourse formation. 'What is going on' has far more to do with the social place from which one considers an event or topic than it has to do with the intrinsic qualities of the event/topic under consideration. Furthermore, as James Benson and William Greaves argue, "The same subject or topic may occur in different fields. ... The same event may give rise to similar topics, but the fields of the texts in which these topics are expressed will be determined not by the event but by the semiotic systems of the individuals discussing the event" (Benson and Greaves, 1981: 51). Such semiotic systems are a function of class location, gender, age, ethnicity and so on. In the present model all learning has a knowledge/content dimension but how we construe this 'knowledge' or 'content' is a function, primarily, of which cultural domain we 'occupy' at the time.

The issues raised in the previous chapter about social subjectivity and reading position also problematize the popularizations of tenor within education. With respect to written language, tenor is typically associated with what Halliday referred to as 'the types of speech role that [participants] are taking on in the dialogue' rather than 'the whole cluster of socially significant relationships in which they are involved' (Halliday, 1985c:12). In classroom recontextualizations, tenor is simply used as a synonym for 'writer's role'. In line with this, the tenor of a scientific text is typically glossed as 'authoritative' (see Christie et al, 1990, Teachers book: 9) or as 'neutral' - certainly in texts without much authorial 'intrusiveness' (see Macken et al, 1989 c: 88).

The current study aims to extend the term **tenor** so that it includes matters of 'social identity' as well as 'social relations' - so that it incorporates both the feelings, values and dispositions instantiated by the text's 'implied author' and the responsiveness which the text anticipates in its 'ideal reader'. This implicates tenor in a consideration of reader positioning - the ways in which a text 'naturalizes' particular values and it involves more than just a summative statement of the writer's role ('authoritative' or 'entertaining') vis-à-vis the reader. In short, the category now incorporates an axiological (value-orienting) meaning as well as the interactive meaning associated with exchange structure.

A consideration of what Bakhtin called the 'internal dialogism' of a text (Bakhtin, 1935/1981: 297-284) takes us beyond a study of interpersonal meaning based on analysis of exchange structures, which assume that spoken interaction is normative, even for study of written language. The dialogism of written text cannot be reduced to analyses of patterns of mood, modality, or the insertion of attitudinal epithets - analyses which assume that interpersonal meaning 'intrudes' on an otherwise neutral writer-reader rapport. Interpersonal meaning is commonly glossed by Halliday as 'the intruder function' (see, for example, Halliday, 1978: 48). However, the latent persuasiveness of a text is missed in analyses which take into account only overt expressions of 'attitude' by the writer or different patterns of mood in a text. In fact, as Bakhtin argues, linguistics has ignored those aspects of dialogue which are most important when it comes to style in written language:

Dialogue is studied merely as a compositional form in the structuring of speech, but the internal dialogism of the word (which occurs in a monologic utterance as well as in a rejoinder), the dialogism that penetrates its entire structure, all its semantic and expressive layers, is almost entirely ignored. But, it is precisely this internal dialogism of the word, which does not assume any external compositional forms of dialogue, that cannot be isolated as an independent act, separate from the word's ability to form a concept of its object - it is precisely this internal dialogism that has such enormous power to shape style.

[Bakhtin, 1935/1981: 279]

A conception of tenor which faces towards the 'internal dialogism' of a work also takes us beyond isolated, micro-level analyses of grammatical reflexes of a writer's 'intrusiveness'. It demands that we account linguistically for the ways in which the text (as a whole) positions its (ideal) reader so as to accept certain values (solidarity, empathy, ethical endorsement etc). And it necessitates study of what Kress calls 'larger' discourse-units of text. Mapping these larger areas of text is a development task. It requires extension of some grammatical categories, such as Token and Value, already part of the metalanguage of SFL; application of new categories such as appraisal, still in development within SFL; and development of others, such as Metarelations and Progressions, which are unique to the present work.

The other matter to do with writer-reader relations which was raised in the previous chapter cannot be accounted for within the category of tenor. As a category of 'production', tenor cannot be made to

include the category of 'reception', which is bound up with readers' social subjectivities. Martin has engaged with some of the contextual implications of diverse social subjectivities by proposing an additional contextual layer of ideology. It is this layer, he contends which makes room in the model for consideration of the uneven distribution of meaning potential in the culture and for analysis of the implications of divergent social subjectivities for reading position (Martin, 1996).

While some of the meaning potential relevant to any reading will be shared by all readers (all members of a culture), other aspects of it will diverge and cannot be seen as 'overlapping'. Martin has explored the divergence between what he terms a 'compliant modernist reading position' and a 'resistant feminist reading position' in relation to a narrative called *The Weapon*, one of those analyzed in chapter four of this study. These diverging subjectivities and their ramifications for reading position are imaged in the following manner:

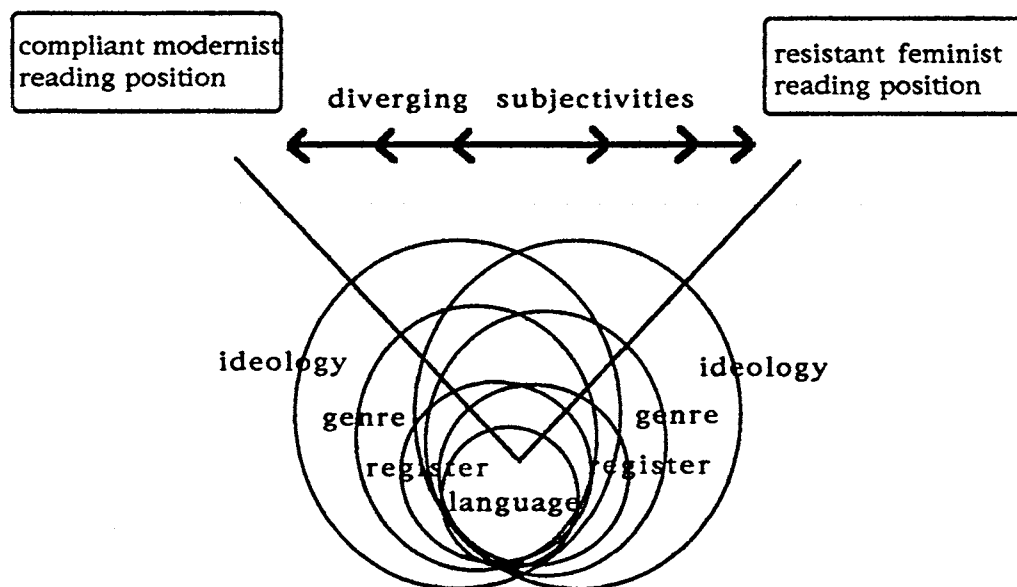


Figure 3. 2: Martin's approach to modelling divergent subjectivity, meaning potential and social context (Martin, 1996).

This representation shows how 'meaning potential at risk' varies according to social location and social subjectivity. Simply put, what is relevant to one social subject within one reading practice will vary (to some extent) from that which is relevant to another social subject within a different reading practice. Once we admit readers, and by implication, their potentially divergent 'meaning potentials' into our representation

of context, which meanings are 'at risk' in a text can no longer be decided by fiat. A reader's social positioning will influence which meanings s/he takes up in processing a text.

But such factors as these also affect our construal of tenor and have implications for literacy education. Thus, while **tenor** is necessarily producer-oriented when it comes to written text, we can build the reader and his or her reading positions into the picture by highlighting different construals of the tenor of a written text according to social subjectivity. In this study, social subjectivity has four possible locations: it is related to the 'identity' and 'role set' dimensions of the Everyday, the Applied, the Theoretical or the Reflexive domains. Readers will thus foreground different aspects of a text's tenor depending on which 'social subjectivity' is 'in the air' at the time of their reading. And teachers need to be aware of which dimensions of the writer-reader relation they need to attend to in any situation.

With respect to **mode**, the 'functional language model' needs to be enlarged to incorporate more than the oppositions 'spoken vs written channel of communication'.⁴ It is these which are recycled in many curriculum representations of the model (see, for example, Christie et al, 1990: 9 or Northern Territory Department of Education, 1993: 96). However, according to Halliday, this dimension also involves the semiotic expectations of readers/listeners - 'what the participants are expecting the language to do for them' (Halliday, 1985: 12). This construal links mode to relevance and, we are back once more to Bernstein's notion of coding orientation. From the institutional point of view, the mode 'variable' can be coupled with students' orientation to semiosis. And semiotic orientation can be construed four ways, on the basis of its association with the meaning-making practices of the Everyday, the Applied, the Theoretical or the Reflexive.

With respect to cultural domains, therefore, context has an institutional rather than a situational focus. But this new comprehensiveness has implications for educational applications of field,

⁴ The term 'mode' represents a limitation on the kinds of semiosis which are considered in the present study. As a linguist, Halliday and others have focussed primarily on language. The discipline of English is now more and more concerned with the interpretation and use of other, visual and mixed media. A useful introduction to this is *Reading Images* by Gunther Kress and Theo van Leeuwen, 1990/1996.

tenor and mode. They are not dissociated variables which 'float free' in social-semiotic space but mutually-permeable (Hasan, 1995) dimensions of social semiosis which are institutionally regulated and differentially valued on the basis of which cultural domain is taken as 'given'.

The meaning-making practices of each domain or macro-context can now be cross-classified, along three dimensions, as Halliday did for context of situation. From the point of view of **field** (the **knowledge/content dimension** of learning), learners will be concerned with the 'construction of activities and things' in any activity. From the point of view of **tenor**, (the **identity/role set dimension**), they will be dealing with 'constructions of self and others' - with the pedagogic identities conferred in any activity; and, from the point of view of **mode**, learners will be involved with 'constructions of semiosis' whether via spoken or written language within verbal media or via multi-media, as video or television learning programs. In this framework, every context and every text can thus be analyzed along three dimensions, although the reading we make of field, tenor and mode will vary according to which cultural domain 'we are in' at the time.

The **kinds of 'knowledge/content'** which are favoured in each domain will vary according to the typical 'constructions of activities and things' which occur in it. The fields of the Everyday domain, for example, are ones in which **commonsense knowledge** is shared and in which all members of a community participate, while the fields common to the Applied domain are ones in which **practical knowledge** (or 'know-how') is built up and in which learning is 'hands on', even where it involves the learning of specialized lexis. The fields of the Theoretical domain, by contrast, are ones in which **meta-knowledge** is foregrounded - the ability to hover 'above' the intricacies and complexities of 'content' to discern the generic and the abstract in learning situations. The kinds of abstraction and technicality in this domain also differ depending on which discipline is in focus. In English, for example, the technicality is 'about language', whereas in Geography the technicality typically refers to non-discursive features of the physical environment. Finally, the fields of the Reflexive domain are ones in which **discursive knowledge** becomes important - the ability to relativize knowledge-construction on the basis of appeal to alternative discourses (knowledges). For example, while, in the Theoretical study of English, the meta-terminology will focus on the texts that are studied, in the Reflexive, it will be about the ways in which these texts are studied (with regimes of reading). This 'meta-meta-

knowledge' can be catastrophic for the 'settled assumptions' underpinning the reproduction of knowledge in the disciplines.

In a parallel way, the **kinds of identities and role sets** which learners can take up can be seen to vary according to the 'constructions of self and others' which are possible in each domain. While the tenors of the Everyday domain emanate from the **personal and communal roles** valued in everyday interaction, and which assume solidarity in the face of often contradictory social relation, those of the Applied issue from **practitioner roles** relevant to task-specific interactions. Within the Theoretical domain, the tenors typically relate to the **expert roles** played out in professional and semi-professional interactions. Such tenors are characterized by impersonality and social distance, often in the face of considerable pressure towards solidarity between expert and non-expert. And, finally, the tenors of the Reflexive domain are characterized by the contingencies of a complex social environment in which interaction is characterized by **diversified roles**, agendas and strictures. Inter-racial communication (between, say Aboriginal and non-Aboriginal educators exploring the possibilities of bilingual education for Aboriginal children) is an example of one situation type in which tenor is fraught, if only because interactants negotiate with different (often competing) communication protocols.

Orientations to semiosis reflect the co-patterning of choices for field and tenor in each 'bundle' of situation-types. The modes of the Everyday domain come out of a **participatory orientation** to meaning-making and are best exemplified in face-to-face conversations (which are constitutive of their own situation, at least for social insiders) and 'language in action' texts, such as occur in domestic interactions or team sports (and which are 'ancillary' to a material or kinesic situation). The primary medium of communication in this domain is spoken. The modes of the Applied domain issue from a **technological orientation** to language and can be spoken or written. This orientation sees language in utilitarian terms, as 'enabling', in the sense that it enables learners to bridge between the 'material' and the 'non-material' aspects of a situation - semiotically-speaking, between image and verbiage. Learning the terminology relevant to any trade, hobby, area of expertise is founded on a technological orientation to semiosis. Ancillary texts are emblematic of this orientation.

The semiosis of the Theoretical domain, however, depends on control of written language, and issues from an **epistemic orientation**

- which has to do with esoteric knowledge and its purveyance (see McCormack 1991 for a similar use of the term 'epistemic'). In this orientation, students 'learn through' language, depend on language primarily, in fact, in accessing the meaning-potential of mainstream academic practices. All of the secondary school disciplines depend on the adoption of an epistemic orientation to language. Within English, however, the epistemic orientation has a particular kind of focus when it comes to literary study. It also involves a **holistic** orientation - one that focusses on the global rather than simply the local meanings of texts. As the following chapters will demonstrate, a holistic orientation is crucial to specialized literacy practices in English.

And finally, the modes and media of the Reflexive domain reflect a **social semiotic orientation** to language - one in which meanings are interwoven with the social from the outset of any investigation. Such an orientation is epitomized by deconstructive practices - by analyses which seek out the 'gaps', the 'silences' and the 'contradictions' at the heart of even the seamless narrative or the analytical exposition. It is also epitomized by the production of critical and subversive texts in a variety of genres and media.

Each cultural domain can be seen as an aggregation of situation types which have systematically inter-related values for field, tenor and mode. Such values are semiotic abstractions rather than empirical indicators relevant to the material situational setting of a textual practice and they lend a particular and contingent valeur to any situational instance. This model takes us far from local specifications of 'subject matter', 'audience', and 'channel of communication' when it comes to identifying the field, tenor and mode of a writing activity. It proposes that each writing activity is generated out of assumptions and goals relevant to one primary domain and that these assumptions will constrain and direct the treatment of subject matter, the kind of relation established with its ideal reader and the orientation to semiosis presupposed. Teachers need to be aware of which domain they (and their students) are working in at any one time if they are to adequately contextualize their pedagogic interventions in students' learning. The model certainly calls for multiple (at least four-way) construals of context-text relations in junior secondary English.

Students' orientation to meanings will vary according to which domain they think they are 'in' at the time. For example, if students interpret a question such as 'What do you think of the story?' as

a variant of an everyday context (calling for a commonsense reading of the field, a personalist tenor, and a discourse mode akin to that used in face-to-face conversation), they are 'in' the Everyday domain. If they interpret the question as a demand for a display of their skills in identifying the literary qualities of the text (calling for a practical reading of the field, a practitioner tenor, and a discourse mode which stays 'close' to experience/mimesis), then they are 'in' the Applied domain. If they interpret it as a variant of specialized discourse (calling for a demonstration of meta-knowledge of the field of literature, an 'expert' tenor and a discourse mode which is epistemic and or holistic in its orientation to written text), then they are 'in' the Theoretical domain. And, finally, if they interpret it as a text emanating out of/reproducing a particular social discourse (offering an opportunity for an exploration of the ideology enshrined in the text's construal of its field, for a resistant tenor and a discourse mode that reflects this social semiotic orientation to the literary), then they are 'in' the Reflexive domain. In short, which contextual values are relevant (which experiential, interpersonal and textual values are evoked by a text or a task) is a matter of which contextual domain a student 'inhabits', semiotically speaking, at the time.

Of course, there is nothing universal about the values of each situation type, or each domain more generally. These are culturally specific and historically contingent. They are relevant to learning formations which currently operate in mainstream Australian society and are evoked by different learning formations within schooling. Other models are possible and do, in fact, operate with varying degrees of governmental support within (on the margins of) this society. Some remote Aboriginal communities, for example, coordinate and staff their own bilingual education programs at a remove from the direct influence of mainstream models of schooling (cf. Harris, 1990). But even within mainstream school contexts, the vacuity of pre-service and inservice support for teachers when it comes to language education represents a problematic 'absence' when it comes to ability to prepare students for engagement with the semiotic demands of learning in the Theoretical domain (see Christie et al, 1991 for discussion of these 'gaps').

A more principled approach to 'core' curriculum than is currently on offer in *English 7-10* can easily be envisaged on the basis of this model, certainly when it comes to the Theoretical domain. The model enables us to scrutinize both the continuities and the disjunctions between contextual values within learning sequences in a subject and

across different subjects. The fact that few English teachers even interpret their discipline as requiring 'theoretical' understandings, says a great deal about the disjunction between the 'speciality' of English and that of subjects like mathematics or science or even art. This model inter-relates the 'specialized literacy practices' of English and other academic subjects across the curriculum. It assumes that English offers students a 'space' in which they can assimilate, rehearse, apply and problematize the forms of knowledge, the roles and identity sets, and the different types of semiosis associated with the Everyday, the Applied, the Theoretical and the Reflexive domains. It also assumes that, over the course of a unit of work, students will ideally occupy each domain to some (differing) extent in each subject. Finally, the model implies that gaining control of the literacy practices associated with each domain cannot be left to chance if all students are going to be able to learn them.

Figure 3. 3 articulates the contextual 'pressures' of the four domains of learning across the junior secondary curriculum in terms of field, tenor and mode values. These contextual 'pressures' are deemed to constrain and direct literacy practices in English and in other subjects like art, science, mathematics across the junior secondary curriculum. This level of generality reflects its origins: the model was initially developed in order to map the commonalities of various junior secondary subjects, focussing in particular on science and English.

Along the three dimensions of the figure, the arrows between the domains image learning as a negotiation or dialectic between the meanings of two adjacent contexts. This image suggests that students build up the registers of Applied learning contexts on the basis of the prior learning they have done in the Everyday domain. Those whose home learning formations have not oriented them to the specialized registers of the Theoretical domain need induction into these through explicit (skills-type) apprenticeship. And critical registers are learned through challenge of the meanings and understandings established in the Theoretical domain. School learning is represented as a bridging or shunting between (at least) two readings of a context.

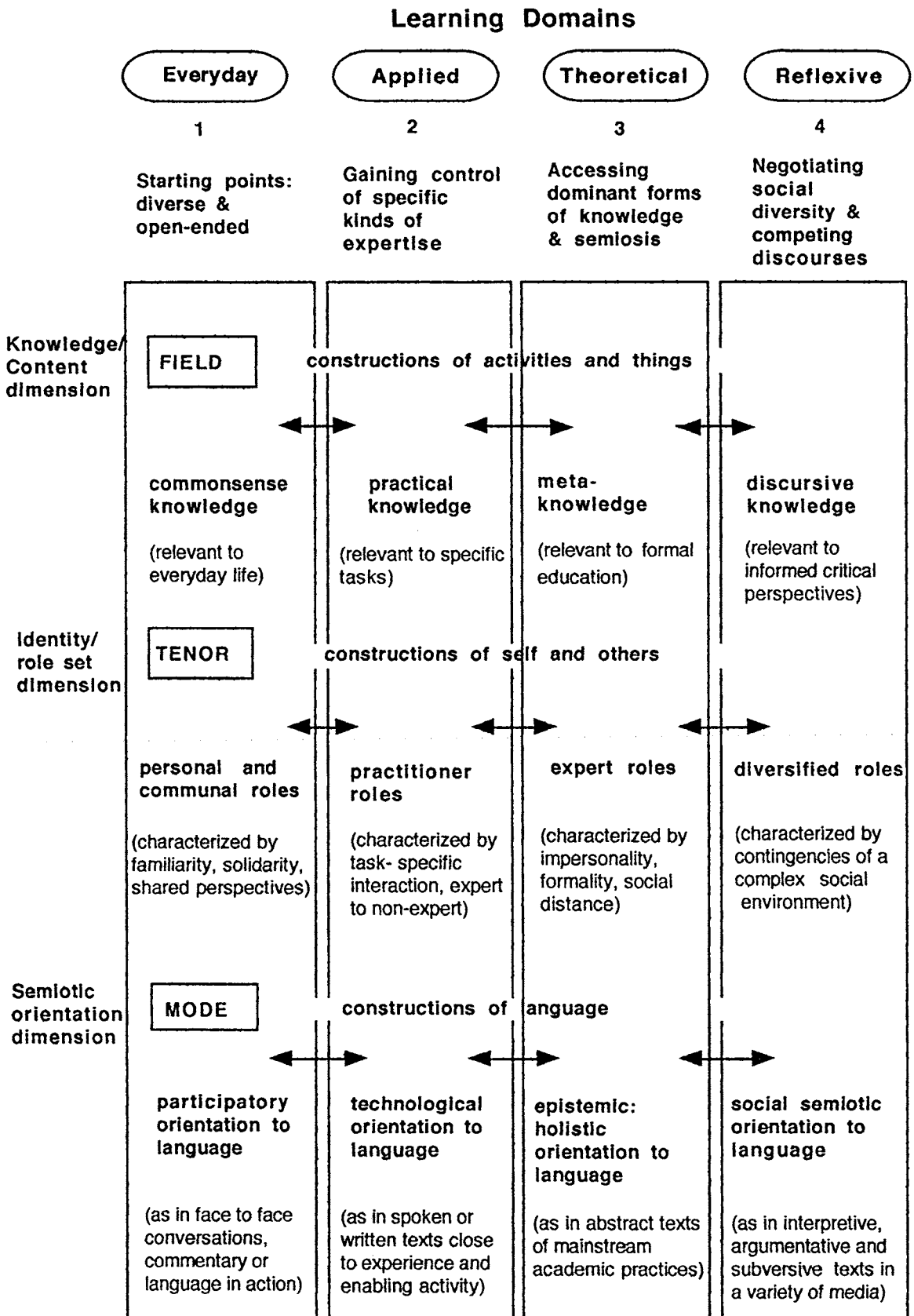


Figure 3.3: Articulating the contextual pressures of the four domains

It will be obvious from this figure that there is a proportionality for field, tenor and mode values in each domain. Furthermore, while Halliday has suggested that there is a strong association between field and mode (Halliday 1988: 12), figure 3. 3 'bonds' all three contextual variables. Each domain is defined (situationally-speaking) by clusterings of related fields, tenors and modes, which, although they can vary independently of one another, tend to be mutually predictive. The presence of a situation type in which 'practical knowledge' is on display is strongly predictive of 'practitioner roles' and a technological orientation to language' on the part of the participants. The same 'bonding' pattern occurs with the contextual dimensions of other domains.

In her own exegesis of the SF model, Hasan maintains that the contextual parameters are 'permeable' - in a configurative rather than a combinatorial relationship with one another:

The choice of a certain social relation is a predictor of the range of choices at risk so far as social activities are concerned; the combination of social relation and social process is a good predictor of the range of options available in the part that language can be made to play.

[Hasan, 1995: 233]

It is predictable within the 'social semiotic model' of context, moreover, that contextual values for a given region of meaning-making would be in a mutually-expectant relation. In fact, the mutual interpenetration of such values can be exemplified by a brief scrutiny of Example texts 1 to 4, which were earlier used to emblemize meaning-making practices in each of the contextual domains.

Commonsense knowledge is typically shared and reinforced in the interactions between immediate kin and peers and issues from a participatory orientation to communication. Example text 1 (p. 110), embodies the interweaving of one dimension of meaning-making with the others. The classifications pronounced with great certainty by the young interlocutors about the sexual habits of old people originate in localized fields of experience and are full of the 'strong claims' and metaphors of the subjective (e.g. "No she's a dog. ... My parents hardly ever do it nowadays. No one cares about sex at that age"). The mood shifts (from declarative to rhetorical question and back) reflect the 'to and fro' nature of turn taking in face-to-face conversation and construe the tenor

in personalist/communal terms. And then, the use of exophoric reference ('my parents') and ellipsis ('Yes they do' and 'Why not anyway?") depict the mode as spoken, typical of conversation amongst peers who share assumptions about the human referents of the conversation. In short, the co-patterning of choices for lexicogrammatical meaning in Example text 1 mark it as a variant of Everyday situation types, related to others like schoolyard chats or domestic disagreements between siblings.

Practical knowledge is generally communicated in the semi-formal interactions in which a qualified and experienced 'practitioner' shares his or her skills through a 'technological' and enabling orientation to language. The semiosis of Example text 2 (p. 111), for instance, distinguishes between the 'knowledge' which is the goal of the interaction and that held by the learners. In this excerpt about the 'hard words' in a teacher's model essay, definitions or glosses are offered by the teacher for each 'hard word' singled out by students. The referents and their classifications are not shared in this field. They are bifurcated, in that the definitions offered by the teacher have automatic pre-eminence over those offered by students like Sonya. Furthermore, the mood choices reflect this inequality of access to tenor options. The teacher probes interrogatively for information (eg. 'OK. Any hard words in that paragraph?' or 'Sonya ?') and students supply it in shortened declaratives (eg. 'Status quo Sir") or tentative polar interrogatives (eg. 'The position things are in ?') and, in the last segment of the excerpt, the teacher presents an imaginary scenario to explain the meaning of 'status quo' - almost all of this in the declarative mood. Finally, the enabling function of the language in this situation is reflected in the high degree of ellipsis ('Which one Heidi ?', 'Status quo Sir') in the early part of the exchange and also the exophoric reference to the names of various class members or school executives ('Sonya ?', 'Irene', 'Connie' and 'the principal'). The mode, although spoken, is bridging in function, moving students from one domain of semiosis to the next. The co-patterning of lexicogrammatical choices in Example text 2 together create or evoke meaning-making practices of the Applied domain.

Meta-knowledge, however, is typically purveyed through expert roles, and mediated via written language - or, at least, via language modelled in the 'written style'. The classifications of Example text 3 (p. 115), are based not on localized experience or even on those made available by the teacher. They are based on study of the generic features of

the 'sit com' specifically and on semiotic knowledge of the discipline of English more generally. Rather than focussing on the controversial aspects of the characters in *The Golden Girls*, as in Example text 1, the student concentrates in her essay on the generic features of the genre which gives them particular kinds of character. The field of Filippa's text is technical, semiotically speaking (eg. "Its plot is plausible. It uses the technique of inversion, sets of contrasting characters, recurring gags and both its filming and its structure can be described as naturalist"). The corresponding choices for mood (all declarative) project the tenor of the expert and those for theme (typically to do with some aspect of the 'sit com') and cohesion (use of endophoric rather than exophoric reference) reinforce this picture, creating a text which is 'self-contextualizing' in terms of mode. All the lexicogrammatical choices of the text construe it as a variant of the Theoretical domain.

Discursive knowledge, however, is not a stable phenomenon, especially when it comes to the Reflexive domain. The classifications presented in Example text 4 (p. 116), constitute the field as one which is subject to competing discourses. The classifications and regulations surrounding ageism are seen to be socially 'fraught', a result of the writer's inclusion of a number of different voices and views within the text. There is the subjectively situated voice of the student-reporter in search of information (eg. "I ventured towards my friendly dictionary.."); there is the voice of Cathy, a local supermarket employee (eg. "I find that younger workers like myself are always hired to work longer hours .."); and then there is informed voice of the media critic (eg. "I'm sure everyone has seen an episode of *The Golden Girls*, and while many regard the humour as very clever, not many consider the image of the elderly it portrays"). But it is not just the presence of different voices and points of view on 'ageism' that marks this as a successful piece of critical literacy. Sonya inter-relates these voices subordinating them to the authorial tenor of her own voice - giving them coherence within the text as a whole. The discourse mode integrates the different views within the written genre of the feature article, written for a youth magazine. The co-patterning of lexicogrammatical choices throughout the text make it a variant of the Reflexive domain.

During the course of work on the 'sit com', the students of this class were expanding their awareness of the semiotic potential of a ubiquitous genre of popular culture. Whereas in early stages of their work on the genre, they tended to focus only on local and idiosyncratic

items of interest and explored this in commonsense terms (What is my experience of the sex lives of older people ?), as a result of their oral and written work on its structure, they learned more about its generic construction and how to display this knowledge in essays, how to exploit it in the scripting and production of their own 'sit com' and, finally how the 'sit com' can pander to and reinforce stereotypical views about older citizens. Faced with an episode of *The Golden Girls*, therefore, by the end of this unit of work, they had been introduced to a number of (sometimes contradictory) [con]textual practices with respect to this genre. Many of these students now share a meaning potential with their teacher: they can enjoy the 'sit com' as a text of pleasure, can analyze its deployment of the possibilities of the genre, and, finally, they can deconstruct it as a naturalizing discourse. Viewing position, like reading position, can alter contextual practices. The texts produced by these illustrate the principle that what is relevant to textual interpretation depends on which con[textual] assumptions are applied.

Given that contextual variables (field, tenor and mode) are mutually expectant or bonded (without being mutually determinant) within each domain, how do we theorize the relation between text and contexts in this situation ? It has become a 'given' within educational applications of SFL that 'context' is realized in the co-patterning of the semantic and lexicogrammatical choices of a text and that we construe the context on the basis of these. But if the context can be construed in a number of ways and if only part of the meaning potential of a text can be deemed to be shared by readers from different reading positions, then what does this mean for the representation of **realization** in educational linguistics ?

The notion of **metaredundancy**, which was introduced in the previous chapter, has enabled SF linguists to formalize the role of **realization** in the stratified model of context in text (see, for example, Halliday 1987, 1992a, Halliday and Martin, 1993, Martin in press b and c, Lemke 1995). According to this notion, the values at one stratum (context of situation, discourse semantics, lexicogrammar, graphology/phonology) are seen to have a high probability of co-occurrence and, taken together, to 'metaredund' with values at other strata. Thus choices for wording redound with (symbolize) choices for meaning and, taken together, these choices metaredund with (symbolize at a higher level of abstraction) contextual values. It is not suggested that redundancies emanate from inherent properties of semiosis at any stratum. Rather, what is suggested

is that higher order semiosis in one contextual domain puts particular values at 'lower' strata 'at risk', or in a mutually-expectant relation. Students are faced with a contextual dilemma when they are asked to 'respond' to a literary work in the Reference Test. And simply adducing a 'context of situation' (as is regularly done in curriculum recontextualizations of SFL) will not assist here, if only because the context is not 'all of a piece' for all students. What is 'meta' to a literary text - what symbolic meanings it realizes - will be a function of coding orientation and levels of enculturation into different orders of symbolic abstraction. The metaredundancy notion, however, suggests that different 'models' of 'the context' of a narrative will be realized in students' own responses to this. A narrative can be read (and contextualized) in a variety of ways: as embodied abstraction, as 'message', as a 'cue' for reader's personal reflections, even as inscrutable mystery. And we should incorporate this (constrained) diversity into our representations of students' contextual practices.

Furthermore, the probabilistic nature of metaredundancy makes it a useful developmental tool. Gaining control of the forms of semiosis privileged in one domain is not an 'all or nothing' phenomenon, but rather a matter of degrees, or approximation, of 'more or less' over time. The notion makes it possible to interpret the 'reach' of students' texts - which domains and attendant practices seem to be 'in play' in students' reading and writing and, depending on the goals of the learning activity, which domains and practices they need to move towards. **Metaredundancy** is a way of formalizing something which many teachers do intuitively when they make judgements about where students 'are at' on the basis of strengths or inadequacies in their writing and is especially relevant to formative assessment contexts. The texts students produce give their assessors vital information about their apprehension of the relevant parameters of the learning context and 'directions' about what needs to be done as a result.

From the point of view of the contextual model, the 'valeur' of a situation type can therefore be identified on the basis of coordinated selections for field, tenor and mode values which metaredund with co-patterned selections for ideational, interpersonal and textual meaning at the level of semantics and for particular choices for wording at the level of lexicogrammar. The graphology itself (the material arrangements of words on the page) 'realizes the realization of' semantics in lexicogrammar and all three together realize the 'context of situation'.

Of course, because context may be different things to different people, the pattern of metaredundancies will vary according to which 'domain of meaning-making' is evoked for the student when she or he answers a question about a text. As Lemke has observed, "According to different codes of construal, there are always alternative ways to interpret what the 'present context' is, and there are different patterns of redundancies between contexts and the actions deemed appropriate or meaningful in those contexts" (Lemke, 1992: 83). In effect, there are potentially four readings of 'the situation' available to students in an open-ended response task and hence four possible registers 'at risk'.

One implication for the contextual model is the need to preserve the distinction between situation type and register, at least as far as contextualization practices at the level of institution are concerned. When it comes to modelling different social subjectivities and variable reading positions in students, this distinction enables us to highlight what appear to be different construals of the one task. What appears to the teacher to be a transparent situation (requiring a specialized literary interpretation, for example) may be open to a range of construals and consequently of registers on the part of students. Of course, while register and context of situation are (analytically) distinct, they are empirically tightly and inseparably interwoven. Furthermore, as noted in the previous chapter, the distinction between the extra-linguistic 'situation' and the intra-linguistic register tends to disappear in the case of constitutive texts. From the point of view of institutional location, social subjectivity and orientation to semiosis, however, different construals of situation lead to different textual practices and hence different registers.

The situation types which typify each domain also evoke their own text types. If the category of register characterizes the salient meaning potential for each aggregation of situation-types, that of **genre** captures the deployment of that potential in particular text types. As mentioned in the previous chapter, a register is assigned on the basis of a reader's recognition of 'meanings at risk', while genre comes into play when she or he produces a given text type on the basis of this interpretive act. Genre is a category crucial to an epistemic/holistic orientation to meaning because it lays out the part-whole structures of the required texts in rhetorical terms.

Figure 3.4 represents a 'generic' perspective on the literacy practices of each domain.

	Everyday 1	Applied 2	Theoretical 3	Reflexive 4
A	Personal Recount [eg. 'My first love']	Application of generic stages [eg. Applying the four stages of the romance genre to some texts]	Narrative [e.g. Romance called 'Pride, Progress and Passion']	Deconstruction [eg. An essay on the dubious messages of the film 'Pretty Woman']
B	Journal Entry [eg. My favourite 'kid pic']	Identification Task [eg. 'Examples of the generic characteristics of the 'kid pic']	Analytical Essay [eg. The generic characteristics of the 'kid pic']	A Parodic Script [eg. A script which 'spoofs' the classist and childist discourses of 'Pretty in Pink']
C	Anecdote [eg. 'What happened on 'The Golden Girls' or 'Mother and Son' last night']	Character Profile [eg. 'The characters in 'The Golden Girls' and their relationship to one another']	Film Treatment eg. My treatment for one episode of 'The Golden Girls'	Feature Article [eg. "A feature article on ageism in the community"]
D	Classification Exercise [eg. Grouping a list of television programs according to personal criteria]	Vocabulary Extension [eg. Class discussion of 'hard words' in teacher's model essay]	Film Script [eg. A class script for a new sit com]	Critical Review [eg. A review of the strengths & the weaknesses of the sit com]
E	Individual Response [My reaction to the story 'Click']	Multiple choice Questions [eg. Comprehension Questions on 'Click']	Interpretation [eg. 'Why does the story end this way?']	Critical Response [eg. 'How does 'Click' naturalize particular value positions?']

Figure 3. 4: Typical text types used in four learning domains in English

The genres or text types in each domain are 'agnate' in that they construct related meanings. Personal recounts, journal entries, anecdotes etc are text types of the Everyday domain which stay close to immediate experience and to the affective 'self'. Literacy exercises such as those ranged down column 2 - the 'application of generic stages' to unknown texts, identification tasks, character profiles and vocabulary extension - are text types which facilitate control of new discourses. The genres of the Applied domain build up and apply new understandings, mapping them

onto learner's commonsense and enabling them to bridge from the meaning relevant to the Everyday into those of the Theoretical.

Narratives, analytical essays, film treatments and interpretive texts, however, are genres which re-configure experience and depend on a new (specialized) model of the writer/self. Production and control of the genres of the Theoretical domain in column 3 are essential to entry to the semiotic discipline of English. Within the Reflexive domain, however, text types like deconstructions, parodic scripts, feature articles and critical reviews are at a metaphoric 'distance' from the Everyday domain; they relativize the assumptions and values which the texts of a specialized literacy take as 'given' and tend to subvert (for example through 'spoofing') the discourses naturalized within genres such as the romance narrative.

Rows A and B in figure 3. 5 feature text types taken from a unit of work on the 'romance genre' which students in the case study group read or wrote in year 9. Their placement along the horizontal axis indicates something of students' 'generic development' as they moved away from personal response text types, through a number of 'skills-based' writing exercises into the production of fictive and analytical texts based on knowledge of the possibilities and limits of the genre. The final writing tasks involved the production of more critical texts and were produced only after students were able to recognize and analyze the features of the romance genre in filmic and written narratives.

Rows C and D relate to the unit of work on the 'sit com' which the case study group engaged in during year 10. Example texts 1, 2, 3 and 4 were drawn from this unit of work. And, finally, the texts instanced in row E are drawn from the corpus which is the basis for chapters four and five of this study. The individual response to the narrative *CLICK* is a text type which emblemizes an 'Everyday' reading of a question like 'What do you think of the story' (and a perfect example of this can be found in Response Text 9 dealt with in chapter five). Multiple choice comprehension questions construe reading as an applied task - one of inferring meanings or supplying synonyms for parts of a narrative such as *CLICK*. The literary interpretation is a crucial text type of the 'Theoretical' domain and this is dealt with in greater detail in chapter five also. And finally, the critical response is a text type which is based on a resistant reading of *CLICK* and problematizes the values which it attempts to naturalize. This genre is given detailed treatment in chapter six.

Thus, while figure 3.3 represents learning as a development in register - in the ability to handle the meaning requirements of situation types which are themselves increasingly abstract and complex, figure 3.4 presents a generic perspective on learning - as an ability to interpret and produce text types which encompass this increasing level of complexity (abstraction, technicality and semiotic distance). The categories of register and genre enable us to highlight different, though complementary, aspects of these 'intertextualities'.

Intertextuality can now be considered from two angles: that of **register** - which configurations of **ideational**, **interpersonal** and **textual** meanings are likely to be foregrounded (probabilistically speaking) in the literacy practices of a given domain, and that of **genre** - which text types typify the literacy practices of a given domain. Both categories are important, the first (i.e. register) because it enables teachers to construe and de-construe the potential which is relevant to any learning situation and the semiotic challenge this presents for students, and the second (ie. genre) because it offers teachers a holistic and rhetorical 'handle' on the text types which students are required to read and write in the course of learning a discipline like English (or any other subject, for that matter).

The model assumes that intertextualities vary according to learners' starting points and according to degrees of initiation into the semiotic demands of different domains. Learning itself has been modelled in terms of an interface - a shunting - between meaning potential salient in one domain and that salient in another. A buried pedagogic sequence has been postulated for introducing students to unfamiliar material - a movement from left to right-hand columns along the horizontal axes of the figures. The model also assumes that a visible pedagogy will be a feature of a curriculum which aims to initiate learners into the literacy demands of the Theoretical and the Reflexive domains.

3.4 Introduction to the discourse rules for reading contexts in English

The problem for many students of the discipline of English is that much of their classroom work ill prepares them for the demands of the examination room. And the Reference Test is only a harbinger of what is to come in the senior years and in the Higher School Certificate. There is little point in 'laying out' the semiotic demands of the different contextual domains if the modus operandi of the average English teacher is such as to flatten the distinction between these, conflating the Everyday

with the Theoretical, reading the 'cultural heritage' model of English as a variant of the 'personal growth' model, and so on. The tendency to an 'implicit grammar' would not be so problematic if the practices called for in classroom English matched those rewarded in examination English.

In fact, the ambiguity at the heart of current practices in English in junior secondary high school confounds the neat organization of literacy practices into strongly bounded domains suggested in figures 3.1, 3.3 and 3.5. In Bernstein's terminology, the discipline of English appears to be weakly classified and weakly framed - at least as far as its overt practices are concerned (Bernstein, 1975, 1990). Just how do students learn to discern the covert requirements of examination English within this current regime? Given that the context of the literacy tasks they face needs to be assigned on the basis of 'language alone', how do they learn which registers and genres are required in such tasks? Only some students appear to be equipped with the 'appropriate' orientations to different sites and the ability to negotiate their shifting, but invisible requirements. In the following section, I apply Bernstein's 'recognition' and 'realization rules' to this problem and re-construe the practices of each domain in the light of them.

3. 4. 1 Bernstein's recognition and realization rules applied to English

Successful students of English perform in ways very like the children in the early experiments which Bernstein and his colleagues performed to 'test' his code theory (Bernstein, 1971, 1982, 1990). Like the middle-class children in these experiments, who ignored the surface rule of their assessment situation ('Group the pictures any way you like'), and marked the context as 'specialized', one requiring an elaborated orientation to meaning, successful English students transform open questions like 'What do you think of the story?' or 'Why do you think the story ends this way?' into a demand for a display of competence in traditional literary criticism. Both the middle-class children in Bernstein's experiment and the successful English students of the Reference Test group (described in chapter 5), downplay the surface rule of the task (weak classification, or -C and weak framing, or -F) and produce its opposite (strong classification, or +C and strong framing or +F). As Bernstein explains it, these students appear to have different 'coding orientations' which lead them to produce readings of the

classification and framing values of the context which differ from those produced by 'unsuccessful' students.

As noted in the previous chapter, Bernstein operationalized the notion of classification and framing via the concepts of 'recognition rules' and 'realization rules' respectively. His insights into the contextual practices of the two groups of children, and his more general code theory offer a useful interpretive framework for exploring the different principles which different groups of students apply to their reading of Reference Test questions. This is important for the present research because there is not a transparent relationship between the examination question in English and its literacy requirements, and assumptions about which contextualization practices are 'at stake' are not shared.

The 'A' grade students appear to have at least two readings of the context of the task available to them and can discern which reading is likely to be privileged in this situation type. They recognize that this is a variant of a 'specialized context' and produce a text which realizes the requirements of such a context (i.e. privilege traditional literary criticism over the 'personal response'). The middle or 'C' grade students recognize the context as 'specialized' but realize this less adroitly in a text which only approximates that produced by the top students. And, like Bernstein's lower-working class children, the bottom or 'E' grade students take the local and personalist emphasis of the question ('What do you think') seriously, construe the context as a variant of the 'everyday' and realize this reading via their production of an individual response - one which their examiners consistently penalize. The linguistic patterns of students' response texts will be examined in chapter five.

Bernstein's code theory offers a powerful explanation for the ability of some students to interpret the 'hidden curriculum' of English. But the concepts of 'rule' and of 'privilege' need to be further 'semioticized' if they are to be usefully related to the present contextual model. In this study, register refers to the meaning potential (or sub-potential) which learners recognize as salient in any context of situation; and genre refers to the instantiation of that potential (or sub-potential) in text. Students therefore instantiate recognition rules by operationalizing realization rules: they recognize which register or set of related registers is 'in play' in any situation (Is it a variant of the potential privileged in the Everyday, Applied, Theoretical or Reflexive domains ?) and they

demonstrate this in the genre they produce (an individual response, a piece of literary criticism, a critical response or some other text type).⁵

As Bernstein has consistently pointed out, the notion of code implies hierarchy (Bernstein, 1982, 1990, 1996). And the discourse hierarchies which emerge are a function of which meanings are privileged and privileging.

Relevant meanings, relevant to codes, are privileged and privileging referential relations. Privileged in the sense that such meanings within a context have priority, and privileging in the sense that such meanings confer differential power upon speakers.

[Bernstein, 1990: 102]

Orders of relevance can now be defined in terms of discourse hierarchies which affect the construal of both register and genre. A cautionary note is required here. The attempt to integrate the current approach to register and genre with Bernstein's code theory is not something which either he or those who have drawn on his research would necessarily accept (see, for example, Hasan, 1973). Bernstein has claimed that what is at stake is not the issue of the 'intrinsic nature' of different varieties of language but "different modalities of privileged meanings, practices and social relations, which act selectively upon shared linguistic resources." (Bernstein, 1990: 114).

However, although Bernstein distinguishes between code and language varieties, it is possible to show, as Finegan and Biber have done, that the linguistic features of register variation parallel those of social variation and that access to the registers of 'literate language activities' is indeed a function of one's social group location. As they interpret these parallels, both "Higher-ranked groups and more literate registers show a greater preference for forms of elaboration" (Finegan and Biber, 1994: 340). Furthermore, if higher-ranked groups [do] have more access to stereotypically literate language activities than lower-ranked groups, then familiarity with and experience of a particular register (or

⁵ Bernstein, of course, does not identify realization rules with the production of particular genres; this is an extension proposed here with respect to literacy practices in particular. For Bernstein, realization rules affect both discursive features such as the production of legitimate texts and non-discursive features, such as the dress, position, and posture of interactants (see, for example, Bernstein, 1990: 370).

group of registers) can indeed be connected to social class location. In this construal, register variation is prior to and subsumes dialectal variation. It is closely related to social class location and, by implication, to code.

The attempt to tie the semantic orientation of a listener or reader to orders of relevance influenced by factors like social class is a consequence of the current model, which argues that intertextualities are both socially and textually conditioned. In this respect it is important that our portrayal of the semantic characteristics of a register or genre is sensitive to the influence of social variables like power and control. Halliday's application of Bernstein's insights to his own model of context lends support to the link made here between language varieties and code.

Different social groups often tend to have different conceptions of the meanings that are appropriate to given contexts of situation - in other words, they have what Bernstein (1971) referred to as different coding orientations.

[Halliday in Halliday and Hasan, 1985/1989: 41]

Halliday incorporates Bernstein's theory of differences in coding orientation into his own model by 'bifurcating' register in contexts of situation marked by relationships of inequality (see Halliday in Thibault, 1988: 620). He recommends building 'both strands' of the tenor of such relationships - that of the dominant interlocutor and that of the dominated interlocutor(s) - into the total picture of the context. The approach adopted here, however, is to model such inequalities in different 'pictures' - in order to bring out the distinctive hierarchies of relevance which appear to operate in each domain. Furthermore, it is assumed that such hierarchies influence not only isolated contextual variables such as tenor (as Halliday suggests in his interview with Thibault) but all dimensions of the context-text couple.

If coding orientation affects our conception of which meanings are appropriate to a given situation, then coding can indeed re-construe register - certainly when it comes to modelling linguistic expectancies (the interpretive aspect of intertextuality). Once a text has been produced, then this constrains the readings that can plausibly be made of it, certainly if the reader is to take account of its actual patterns of wording. But in that space of 'the yet-to-be realized', before a text of a particular type is produced, register is a semantic potential and 'relevance' a function of coding orientation.

Situation types which are weakly classified and weakly framed lend themselves even more to a variety of interpretations. And the reading which one student makes of a task will affect his or her construal of its field, its tenor and its mode values. In this respect, Hasan's view of the contextual values as 'mutually permeable' is very important for heuristic and theoretical reasons. Heuristically, it enables us to model the proportionalities in students' literacy practices - to link their construal of field to that of tenor, and both of these to mode values. Theoretically it enables us to show how a habitual orientation to one kind of [con]textual practice (interpreting every literacy task in commonsense, personalist, participatory terms, for example) can effectively quarantine students in one domain, if teachers are not able to open them up to new domains and new literacy practices.

There are also pedagogic consequences of this representation. Simply isolating one contextual variable and expecting students to be able to interpret it in the same terms as the teacher will not ensure that they will be able to apply the appropriate criteria to any task. Identifying a field as 'technical' or a tenor as 'impersonal' or a mode as 'written', for example, is not enough to guarantee the 'right' kind of interpretation or textual production from students. This is especially true if the assumptions which learners bring to any task are mutually interwoven meaning configurations and practices. The 'configurative' model increases the pedagogic challenge for teachers but offers them a tri-partite depiction of its nature and three pedagogic starting points.

In sum, following Bernstein, we can now argue that what is 'relevant' in a context is a function of coding orientation. Different orders of relevance can be specified using the notion of 'privileging rules' based on Bernstein's concept of 'privileged and privileging referential relations'. These rules can be semiotized through the positing of different discourse hierarchies for each domain which learners instantiate through their reading and writing practices. **Some meanings will have higher, some lower order significance in these different hierarchies.** Furthermore, they will affect all dimensions of meaning-making: so every literacy practice will have a knowledge/content (or field) dimension, an identity/role set (or tenor) dimension and a semiotic orientation (or mode) dimension. Taken together, these dimensions provide the relevant contextual parameters for thinking about which rules students are applying to their learning of a subject - which higher order meanings they have access to. Once we know which 'rules' are

being applied in which contexts, we can do something about moving our students in a direction of long-term benefit.

How do we image the notion of privileging rules? Bernstein draws on the metaphor of 'embedding', in which what is given priority is seen to enclose or embed secondary meanings.⁶ But the present study adapts a related formalism to different ends. The meanings which are made higher-order, superordinate, privileged in any context are put on top of the line — , here, rather than under it, as Bernstein has done. Thus, using a simple example: where in 'personal growth' orientations to semiosis, the discourse hierarchies would privilege the personal over the literary in a response task, and be represented as:

	—————
	literary,
the discourse hierarchies operating within a hard-edged 'cultural heritage' orientation would privilege the literary over the personal and thus be represented as:	literary
	—————
	personalist.

Those students who have access to the right 'recognition' and 'realization rules' know which reading of any response task is likely to be privileged in which situation type. They can distinguish the discourse hierarchies relevant to the Applied domain from those which operate in the Theoretical domain, and both of these from those which are privileged within the Reflexive domain. They know never to attempt a critical piece in examination contexts, and so on. Those students without access to the 'right recognition and realization rules' as a result of coding orientation and who experience a steady regimen of 'personal

⁶ For example, in his discussion of invisible and visible pedagogies, he uses what appears to be mathematical formalism to express the notion of privilege to show that an invisible pedagogy (IP) is often 'embedded in a visible pedagogy' (VP):

IP
———
VP

Here ____ indicates embedded. The specific specialized skills and attributes of a visible pedagogy are beneath the surface of an invisible pedagogy, or surface at special occasions.

growth' or a combination of 'personal growth' and 'skills' curricula and invisible pedagogies in the classroom will tend to interpret every context as a variant of either the Everyday or the Applied domain. As a consequence, they will seldom gain access to the 'rules' underlying specialized or critical literacy practices and their examination performances will only reinforce an impression of inadequacy. Unfortunately, their performances will typically be read as a reflection on the cognitive and/or linguistic deficiency of the student rather than the pedagogic inadequacy of their teacher(s).

Those students who can recognize the specialized requirements of the examination room but are unable to produce the desired form of semiosis represent a 'middle ground' here. If students apply inappropriate recognition rules in their contextualization practices, they will necessarily produce inappropriate realization rules. However, it is possible, as Bernstein has pointed out, to apply the appropriate recognition rule (to discern which meanings are relevant) but to inadequately 'realize' these in the production of a 'legitimate' text. As Bernstein expresses this:

... we may have the recognition rule which enables us to distinguish the speciality of the context but we may still be unable to produce legitimate communication. Many children of the marginal classes may indeed have a recognition rule, that is, they can recognize the power relations in which they are involved, and their position in them, but they may not possess the *realizationrule*. If they do not possess the realization rule, they cannot then speak the expected legitimate text.

[Bernstein, 1996:32, emphasis as in original]

The orientation of middle, or C range students places them on the cusp of the Applied and the Theoretical domains when it comes to specialized literacy practices. They know what is expected but are without the rhetorical means of producing the desired response (see chapter five for discussion of the literacy practices of students in this range).

The **discourse hierarchies** which embody these different privileging rules can now be semiotized so that figure 3.3 needs to be re-configured. Figure 3.5 images the impact of discourse hierarchies on different orders of relevance within 'personalist', 'skills', 'specialized' and critical' literacy practices. Discussion of its 'content' follows in section 3.4.2.

Everyday 1	Applied 2	Theoretical 3	Reflexive 4
[commonsense knowledge]	[practical knowledge]	[meta-knowledge]	[discursive knowledge]
salient experience	generalized content	abstract thesis	ideology
-----	-----	-----	-----
communal contingencies	salient experience	generalized content	abstract thesis
[personal & communal roles]	[practitioner roles]	[expert roles]	[diversified roles]
personal reactions	text voices	axiology	heteroglossia
-----	-----	-----	-----
communal contingencies	personal reactions	text voices	axiology
[participatory orientation]	[technological orientation]	[epistemic/holistic orientation]	[social semiotic orientation]
local: extrinsic	global: extrinsic & intrinsic	global: intrinsic	logonomic: extrinsic
-----	-----	-----	-----
communal contingencies	local structures	local structures	global: intrinsic
personalist literacy practices	'skills' literacy practices	specialized literacy practices	critical literacy practices

Figure 3.5 : The discourse hierarchies relevant to literacy practices in English in four domains of learning

3.4.2 The components of the discourse hierarchies of each domain

Along the top horizontal axis, the discourse hierarchies construe orders of salience to do with forms of knowledge and 'experience'. In the **Everyday** domain, what is experientially 'salient' cannot be decided by fiat; what is prominent for one individual is a factor, initially, of the experiences which his or her communal life makes available. **Salient experience** gives significance to some aspects of this.

Furthermore, what is non-salient, or lower order in significance is also non-specifiable and can only be decided on a case-by-case (communally contingent) basis. Terminological vagueness is unavoidable if we construct a semiotic space which accommodates the notion of students' starting points as 'diverse and open-ended'. What is important, with respect to school literacy, however, is that orders of relevance within communal/personal settings are unlikely to 'match' those of the school, unless students come from middle-class backgrounds which rehearse them for these orders of experience.

Experience and knowledge which is relevant to the **Applied** domain is practical and, in the case of English, as in other subject areas, **generalization** predominates as a way of giving coherence to 'salient experience' here. In English, however, it is those facets of semiosis which are 'generic', in the sense of 'common', which are focal in the Applied domain. Students learn to generalize across a range of instances - to explore, for example, the generic features of the 'sit com' or other genres, the application of the 'romance formula' for narratives across different media, the layout and sequences of the 'shooting script', and so on.

Experience and knowledge relevant to the **Theoretical** domain, however, integrate but go beyond those of other domains. Here, in the construction of 'meta-knowledge', relevant to any of the humanities-type disciplines, texts do not have content so much as use content in the development of an **abstract thesis**, or theme. The terms are not new within SFL. David Butt, for example, (following Hasan, 1985b) proposes that "The thesis, (or theme) is the unifying meaning when the design principle is glossed as an idea or complex of ideas ... it expresses the deepest level of meaning in the literary text" (Butt, 1991). A focus on the 'ideas' informing a literary or non-literary work takes us away from the semantic territory of generalization and into abstraction. Generalization now becomes a lower order skill here - only one of the means of 'getting at' the symbolic/abstract significance of a text. It is symbolic abstraction which each student must learn to discern and 'appreciate'.

Such abstractions do not float free of semiosis however; they cannot be detached like the moral tags terminating a fable or parable. In fact, in the reading practices valued within Leavisite or New-Critical paradigms, a text's abstract thesis is rarely stated explicitly so much as embodied in its unfolding semiosis. The experience it constructs for the reader alerts them to symbolic orders of meaning, so that the text, as it were, points beyond itself. Its higher order meanings cannot always be

identified with those articulated in the the evaluations of one or more character. In fact, we cannot rely on a single voice when it comes to discerning the abstract significance of a text. It is 'the design of the whole' which the reader must attend to here.

The form of the text is as important as the experience this mediates. And as Hunter has argued, the indissoluble unity of form and content is as much an effect of aesthetic reading practices as it is of the works themselves (Hunter, 1982). As chapter five will outline, 'A' range students recognize the necessary bonding of 'form and content' in literary works and 'appreciate' it by reproducing this in their own responses. Thus, when it comes to narrative interpretation, students have to do far more than retell the salient particulars of the storyline; they also have to discern the higher order meanings which the story hints at. Some would say that they need to read the 'narrative' in the 'story' (see Cranny-Francis, 1996 on this point). Thus, in this domain, the 'abstract thesis' of a literary work, or non-literary work for that matter, (it is not a matter of the canon here), is privileged over its generalized 'content'; its higher order meanings 'transcend' lower-order particulars such as storyline.

With respect to the **Reflexive** domain, experience and knowledge is seen to be mediated by discourses which purvey **ideology** - particular ways of seeing which facilitate and favour the views of one group or subject-position over others. Thus, within this domain, no text can be free of the constraints and designs of particular discourses operating through the representations of a 'thesis'. The 'taken-for-granted' assumptions of any textual representation are subject to scrutiny and perhaps re-writing and this applies to both mainstream discourses and counter-discourses from the margins of society. An ideological reading seeks to deconstruct the 'interests' behind any communication and perhaps to relativize these in the recuperation of other interests which are repressed or not taken up in the text (see Kress, 1993b for a discussion of the notion of 'interest' in textual production). When 'ideology' is privileged over 'abstract thesis' in any practice, nothing is 'sacred', nothing can be taken on face value and nothing is 'value free'.

Along the middle horizontal axis, the discourse hierarchies are to do with the enactment and construction of models of identity and social relations. As I argued in the last chapter, these dimensions of literary communication have not been adequately addressed within SFL. In a more broadly dialogic interpretation, written texts can be seen as constitutive of the writer-reader relation. In this producer-oriented

construal of intertextuality, we can posit a 'virtual' dialogue between reader and writer, which the text establishes and maintains. The text creates in its own semiosis the way in which it wants to be read. In short, it posits an 'ideal' reading position for its reader and a set of discourses by which it becomes most intelligible. These discourses have a value-orienting (or axiological) function which is crucial to the present account.

The term 'axiology' is drawn from Bakhtin (1981) and informs the work of Thibault (1989b and 1991) and Lemke (1988, 1989a, 1992 and 1995) on the interpersonal dimensions of intertextuality.

The axiological dimension of discourse meaning is concerned with the articulation of value judgements and systems of attitudes both in relation to its own discourse voice as well as others in the system of social heteroglossia of the social formation. Every voice, whether implicitly or explicitly, constructs an evaluative stance towards other voices. The axiological dimension of discourse meaning, which Bakhtin identifies as an essential component of all heteroglossic relations, can be related, in part, to Halliday's interpersonal semantics.

[Thibault, 1989b: 192]

The term axiology 'gets at' the emotional and ethical coerciveness of narrative in particular. A more detailed exploration of the linguistic resources relevant to this is undertaken in section 3.5.2. The notion of 'voice' is also applied to the interpersonal hierarchies displayed in figure 3.5. However, as chapter four will demonstrate, these voices are linked to particular characters and their functions rather than to abstract institutions. Voices are typically embodied in narrative.

Different models of literacy privilege different voices. The 'growth' model gives priority to the voice of the student as s/he reacts to the meanings encoded in the text. The text is an opportunity for subjective reflection here. Thus, in the literacy practices of the **Everyday** as represented in figure 3.5., **personal reactions** are privileged over 'communal contingencies'. It is here that the 'personal voice' has pre-eminence. Again, what is non-salient, (lower order) remains indeterminate and so is presented as non-specifiable.

In the **Applied** domain students move away from a personalist bias into consideration of the views expressed by different **text voices**. Linguistically speaking, they privilege the 'third person' over the 'first person' pronoun in their reading. When it comes to interpreting

narratives, for example, they focus on the views and reactions of 'text participants' rather than on their own views and reactions.

In the **Theoretical** domain, on the other hand, students learn not only to identify the views and reactions of particular characters (i.e. 'text voices'), but to put one view and one voice up against another, and to inter-relate these in a construal of the overarching axiology of the text as a whole. In this domain, readers dialogue with the 'implied author' of a text - the one who animates and gives particular kinds of salience to one text voice over others. Here students are less attentive to particular voices and values inscribed within the text than they are to the axiology being played out across the text. They learn to become the 'ideal readers' of any text - identifying and ratifying the axiology which it makes available to such readers.

Of course, the amount of 'play' in the relation between 'implied author' (Booth, 1961) and ideal (compliant) reader will be partly a matter of the genre in which the text is cast or on which it innovates. Some texts (such as the romance narrative, for example) presume a pre-ordained subjectivity on the part of their compliant readers (see, for example, discussion of the romance genre by Cranny Francis 1990 and Gilbert and Rowe, 1989). In such cases, the reader is heavily coerced into evaluative solidarity with the discourses and axiologies which the texts (seek to) naturalize. Other texts, such as those which Belsey (1980) calls 'interrogative' texts openly frustrate passivity in the reader or too easy an 'identification' with the characters and their predicaments in narrative texts. In such cases, there will be much greater reciprocity and openness in the 'dialogue' between author and reader. The texts of the corpus used in the present study, however, are like the 'classic realist' narratives described by Belsey, characterized by 'illusionism', 'closure' and a 'hierarchy of discourses' (Belsey, 1980: 70). As will be argued in chapter four, they invite a sensitive and compliant reading of the necessarily conservative axiologies which they embody.

In the **Reflexive** domain, however, students learn to identify and to problematize the axiologies privileged within such texts and to submit them to the counter-discourses available within the 'heteroglossia' (or 'many voices') of a socially and axiologically heterogeneous world (Bakhtin, 1981 and Todorov, 1980). The notion of **heteroglossia** is useful for conceptualizing the tenors of critical literacy practices. However it problematizes the idea that there can be one unified tenor in a literary text, especially in the literary form we call the novel.

all languages of heteroglossia, whatever the principle underlying them and making each unique, are specific points of view on the world, forms for conceptualizing the world in words, specific world views, each characterized by its own objects, meanings and values. As such they all may be juxtaposed to one another, mutually supplement one another, contradict one another and be interrelated dialogically. As such they encounter one another and co-exist in the consciousness of real people - first and foremost, in the creative consciousness of people who write novels. As such, these languages live a real life, they struggle and evolve in an environment of social heteroglossia. Therefore they are all able to enter into the unitary plane of the novel, which can unite in itself parodic stylizations of generic languages, various forms of stylizations and illustrations of professional and period-bound languages, the languages of particular generations, of social dialects and others (as occurs, for example, in the English comic novel). They may all be drawn in by the novelist for the orchestration of his themes and for the refracted (indirect) expression of his intentions and values.

[Bakhtin, 1981: 291-292]

The reading formation privileged in the Reflexive domain invites students to focus on the 'many voices' which are celebrated in a text (as, for example, in the modernist and post-modernist literary works they will study in the senior years) or which hover around the margins of a text or those which are 'suppressed' in a text. Students who operate in this domain come to see all texts as naturalizing particular values. But, in the process of recognizing the axiological function of texts, they also learn to become 'resistant readers' (Kress, 1985).

In figure 3.5., heteroglossia is now privileged over the overarching axiology of a text. Students move 'outside' the text but not in the same way that they do within the 'personalist' reading practices of the Everyday. While the reader's subjectivity is necessarily discursively influenced by the text, she or he can draw on alternative discourses (feminist, political, eco-social, religious etc) to position him or her self differently vis a vis the text's axiology. There is more 'contention' and resistance to the dialogism between writer and reader in this domain. A resistant reading engages with the semiosis of any text in the terms which it makes available but re-contextualizes this semiosis in the light of alternative discourse positions, other voices. This makes the resistant reading of the Reflexive domain more empowering for students than the tactical readings available only within discourses of the Everyday.

Along the bottom horizontal axis, the discourse hierarchies construe orders of salience to do with 'orientations to semiosis (or

meaning-making)'. These hierarchies are concerned with the 'scope' and 'basis' of students' orientations. With respect to the former, students can take either a local or a global orientation to semiosis. In a local orientation, they focus on only one part of a text and tend not to relate this to other parts of the text. Readers with a local orientation to written language very often 'split off' from the text in any act of interpretation, revealing an inability or unwillingness to consider its overall structures. A local orientation also affects writing practices in that the writer tends to 'lurch' from one part of the text to the next, without a clear sense of the telos (or goal directedness) of the production. This tendency is obvious in much of students' early writing of unfamiliar genres.

In a global orientation, however, students consider the text as a 'construct' - one whose parts are not only interrelated but motivated in design. A focus on global patterns of meaning is especially important within the epistemic-holistic orientation of specialized literacy practices in English. Genre theory has been important in the encouragement of a global orientation in students because of its focus on the part-whole rhetorical structures of prototypical genres.

The other facet of orientation considered here has to do with its 'basis'. If an interpretation is based on factors outside the text, this is deemed to be 'extrinsic'. But if it is based on factors within a text, this is treated as 'intrinsic'. It can be assumed, given the Leavisite and New-Critical emphasis on 'close reading' of the 'words on the page'(on the text alone) as the basis of interpretation, that examination English rewards an 'intrinsic' orientation to literary study. The basis of any interpretation must be found within the text and evaluation of its meanings construed in terms of the voices it privileges. There is little room here for consideration of subjective reactions or imputed authorial intentions. Meanings such as 'She realizes ... ' or 'He sees/feels/believes ... ' predominate, rather than 'I think/see/feel/believe ... '.

In the **Everyday** domain, within a 'participatory' orientation to semiosis, what is privileged will be a combination of **local scope** and an **extrinsic basis of appeal**. The student will tend to respond to a limited part of the literary text, using it as a springboard for personal responsiveness and imaginings (outside the text). Within the technological orientation of the **Applied** domain, students will tend to **combine** aspects of both an **intrinsic** and an **extrinsic basis** with a focus on the **global** patterning of texts, certainly within the data obtained and analyzed in the course of this research. For example, they will write: "I think the story ends this way

because ..." , thereby linking interpretation of the narrative as a whole to the personal voice of the student.

Within the 'epistemic: holistic' orientation privileged in the **Theoretical** domain, we find a combination of **global scope** and an **intrinsic basis of appeal** in which the patterned structure(s) of a text gives coherence to its local structures. In this orientation, each part of a text is interpreted not on its own but in its relation to its other parts. Sometimes the kind of relation one part may have to another is made clear in a literary text, as, for example, in evaluations, which point up the significance of preceding sections of a narrative. But the relation between one part of the text and another is more often left implicit - discernible only to the 'sensitive' reader who reads one part (or parts) as against another (or others) and draws inferences about their higher order import on the basis of this. This is dealt with in chapter four. The category of genre is essential to both the Applied and the Theoretical orientations to literature. It alerts us to the notion of text as 'motivated construct'. Students need assistance with reading texts from the point of view of the motivatedness behind their lexicogrammatical choices and the structuring of these choices. This is important whether students interpret these more locally (with interests in vocabulary, particular text patterns, and so on) or globally (with interests in the inter-relation of the parts).

Finally, in the **Reflexive** domain, the typical orientation is both **logonomic** and **extrinsic** - relating aspects of a text's semiosis to the 'rules' underlying its production and reception. The term 'logonomic' is taken from the work of Hodge and Kress, who write:

A logonomic system is a set of rules prescribing the conditions for production and reception of meanings; which specify who can claim to initiate (produce, communicate) or know (receive, understand) meanings about what topics under what circumstances and with what modalities (how, when, why)... The logonomic rules are specifically taught and policed by concrete social agents (parents, teachers, employers) coercing concrete individuals in specific situations by processes which are, in principle, open to study and analysis.

[Hodge and Kress, 1988:4]

Logonomic rules govern interpretive and productive practices - ensuring, for example, that students adopt Leavisite or New-Criticism type approaches to literary interpretation in English examinations, even in curriculum contexts which have oriented them to the production of personalist approaches. In this study, a 'logonomic'

orientation to semiosis is seen to subsume a global orientation and is a feature of a critical orientation to literacy. A logonomic orientation would enable students to identify and perhaps challenge the 'recognition and realization rules' embedded in 'growth' model practices in English.

A 'logonomic' orientation is also inescapably **extrinsic** because it returns a literary work to the social world where the regimes of reading and writing enforced in schools are seen to be culturally contingent and therefore subject to reversal, or, more commonly, to challenge. Furthermore, whereas the 'extrinsic' orientation practised in the 'Everyday' domain is 'local' and 'personalist' (and therefore, idiosyncratic), the 'extrinsic' orientation practised in this domain is 'logonomic' and socially attuned. It could be said that while the tactical reading common to the practices of the Everyday privileges the 'outside text' of the alienated individual, the resistant reading of the Reflexive privileges the 'outside text' of the (potentially) estranged social subject.

The discourse hierarchies outlined above represent the application of the notion of 'privileging rule' to the three dimensions of meaning making in four domains. Privilege is seen to give different kinds of pre-eminence to construals of experience and knowledge (the ideational dimension), to voicings of axiology (the interpersonal dimension) and to orientations to semiosis, including considerations of scope and basis of appeal (the textual dimension). Furthermore, the orders of relevance vertically arrayed in each column 'redound with' (symbolically re-construe) each other so that there is a high degree of mutual expectancy among the hierarchies of each domain. Each set of hierarchies can be interpreted as meaning-potential 'at risk' in a particular domain (its 'appropriate' register) and as a deployment of this potential (the production of particular genres).

The degree of freedom which students have in any situation type depends on the strength of the classification and framing values surrounding it. The literacy practices of the Theoretical domain are strongly classified and, hence, the functional criteria (ie. discourse hierarchies) relevant to contextualization practices are applied even in situation types which lend themselves to more than one reading. They are also strongly framed with students' textual productions evaluated along pre-ordained lines, even in situation types which appear to give students a degree of discretionary control. Privileging rules are strongly enforced within specialized literacy practices.

In the situation types of other domains, however, students have more 'freedom' than they do in the Theoretical. In fact, it is difficult to predict which kinds of meanings will become salient (and hence higher-order) in the Everyday domain. Here, [con]textual practices are less strongly classified and framed, and, consequently, even though they will privilege commonsense, personal and communal roles and participatory orientations to semiosis, these will vary according to students' starting points and teachers' pedagogic practices. Strictly speaking, it is not possible to fully disambiguate higher from lower order meanings in an implicit curriculum which tends to rehearse the commonplaces of the Everyday while covertly looking for 'something more'.

With respect to the Reflexive domain, classification and framing values are weakened, certainly compared with those affecting the Theoretical domain. In the situation types associated with the Reflexive domain, as in those of the Everyday, it is not easy to predict the 'content' of the new hierarchies. In this research, which is concerned with the kind of critical literacy which is possible within school learning, however, the hierarchies presented for the Reflexive domain are built upon those of the Theoretical. It is assumed, within the school context, that oppositional codes are built upon elaborated code (so that what is higher-order in specialized literacy practices becomes lower-order in critical literacy practices). But this is only one possibility, as Bernstein himself maintains:

It is equally important to point out that oppositional restricted and elaborated codes may be generated both in school and at work and that oppositional elaborated codes arise out of agencies of defence, challenge, opposition (trade unions, political parties, and counter-hegemonic sites).

[Bernstein, 1990: 111]

A critical literacy may well be generated in sites other than schools, and in ways other than those modelled here, in terms of hierarchies. In fact, Bernstein's point problematizes the current representation of the domains as strongly bounded and discrete areas of meaning-making.

The imaging of the practices of the Theoretical (and to a lesser extent the Applied domain) is not really apposite to the practices of either the Everyday or the Reflexive domains. It suggests that they are strongly insulated from one another and rigidly enforced. This is not so. It is not suggested, for example, that discussions about technology or

technicality or feminism or racism will not occur in the interactions of the Everyday or that the interactions common to the Reflexive domain do not touch on matters considered 'personal'. Nor is it suggested, vis-à-vis figure 3.5, that particular genres are fixed and limited to one domain. Particular text types are strongly associated with the literacy practices of particular domains. But, these associations can themselves be challenged (or parodied) in the more weakly classified and weakly framed practices of the Everyday or the Reflexive.

What appears to happen is that each domain 'reads' the practices of the other domains in terms which are familiar to it. Thus, from the point of view of the 'knowledge/content' (field) dimension, what is called 'technicality' within the specialized practices of the Theoretical domain becomes 'jargon' within those of the Everyday and 'technicist discourse' within the critical practices of the Reflexive domain. In fact, each domain appears to reconstitute or re-configure the practices privileged in other domains engendering them as 'secondary motifs' in their own discourse (Halliday, 1992a). In this way, any discourse is potential 'grist to the mill' of each domain although glossed in the ways distinctive of each domain. The discourse formations to which each domain (each institution) gives rise are not discrete and they seldom 'mind their own business'. As Kress formulates it:

Discourses tend towards exhaustiveness and inclusiveness; that is, they attempt to account not only for an area of immediate concern to an institution, but attempt to account for increasingly wider areas of concern. ... A discourse colonises the social world imperialistically, from the point of view of one institution.

[Kress, 1985: 7]

It should not be assumed, of course, that construing the knowledge/roles/orientations of one domain from the point of view of another implies control of or ability to use these successfully. The failure of many students to gain access to discourses and practices of the Theoretical and the Reflexive domains on the basis of their application of Everyday or Applied discourses to examination English is evidence enough of this. Nevertheless, the mutual intrication of the discourses of each domain reveals an inadequacy in the strongly bounded, mutually insulated representation inherent in figures 3.1, 3.3 and 3.5. Strong classification is appropriate only to the practices of the Theoretical, and to a lesser extent, of the Applied domain. Furthermore, the strength of the

classification affecting a discipline can, in fact, be masked if we consider only one of its message systems, (say, the curriculum of English) and not others (say, the evaluation of students in state-wide examinations). The current representation of the four domains and their discourse hierarchies is heuristically useful however, subject to the above caveat. It enables us to display the semiotic proportionalities vertically and to highlight contrasts between the practices of each domain horizontally.

The following section deals with some of the linguistic 'tools' or resources which are useful for initiating students into the demands of specialized literacy. It focusses on the rhetorical requirements of the Theoretical domain.

3.5 Linguistic resources for managing specialized literacy practices

English is a speciality which is inescapably bound up with literary interpretation. But its specialized intertextuality is less concerned with the 'literary qualities' of the texts themselves (canonical or otherwise) than with 'ways of reading' these texts. A specialized reading involves the application of the 'privileging rules' specified in section 3.4.1. But what are the linguistic reflexes of these rules and how do we model them? A further step is required if we want to move students towards greater control over the literacy practices of this domain. This is the step towards specification of a 'rhetoric' for specialized literacy practices. A brief overview of the linguistic resources is given here with fuller explication of the metalanguage in the following chapters.

Development of a linguistically-principled 'rhetoric' for interpretation of literary texts involves a model which 'uses grammar as its underlying logic' (Halliday, 1996). Some of the resources of the lexicogrammar appear especially suited to articulating the crucial features of a Leavisite and/or New-Critical interpretation of a text. Grammatical functions such as Token and Value within the experiential metafunction, or Theme and New within the textual metafunction can be used to fashion 'design tools' for interpretation of texts (see Butt, 1990 for one interpretation of the 'design' possibilities of SFL). This is possible because of the 'natural' relationship between the semantics and the grammar.

A text is a semantic unit, not a lexicogrammatical one. But meanings are realized through wordings; and without a theory of wordings - that is, a grammar - there is no way of making explicit one's interpretation of the meaning of a text. ... In order to provide insights

into the meaning and effectiveness of a text, a discourse grammar needs to be functional and semantic in its orientation, with the grammatical categories explained as the realization of semantic patterns. Otherwise it will face inwards rather than outwards, characterizing the text in explicit formal terms but providing no basis on which to relate it to the non-linguistic universe of its situational and cultural environment.

[Halliday, 1985a/1994: xvii]

In fact, the 'fit' between the semantics of the clause (a lexicogrammatical semantics) and of the text (a text semantics) is not automatic. The text is not only (typically) larger than the clause but a unit of a different level of abstraction. As Halliday explains this:

The relations between the parts of a text are not such that we can set up structures whose exponents will be clause-like entities. The elements of structure are more abstract; they are functional entities relating to the context of situation of the text, to its generic properties in terms of field, tenor and mode. It is not easy to explain the text if we treat the text as if it were a macrosentence, just as it was not easy to explain the nature of a sentence when a sentence was treated as if it were a macrophoneme.

[Halliday, 1981a: 32]

Because the relationship between the clause and the text is a metaphorical one, we can draw on features and functions of clause-level grammar to explore the features and functions of 'larger units' within the text. Because the grammar 'faces outwards', we can model these larger, more abstract units so that they resonate with those explored at the lexicogrammatical stratum. This enterprise was foreshadowed by Halliday himself (1981a, 1982) in his exploration of the different types of structure (or modes of meaning) associated with the three metafunctions. In his discussion of text semantics and clause grammar, he showed that a text is indeed like a clause in some important respects and that the notion of metafunctions is crucial to the polyphony of both text and clause.

Since the functions that we have called ideational, interpersonal and textual are components of the semantic system, and since a text is a semantic unit, it follows that these components will be present in the text just as they are in the lexicogrammatical entities, the wordings by which the text is realized. In this sense then, a clause is bound to be like a text: it originates in the same meaning potential. ... The problem to be solved is how features from these semantic components are represented, on the one hand in clauses and on the other hand in texts, and with what kind of systematic relationship between the two

....

[Halliday, 1981a: 38]

A **text-semantic perspective** is crucial to the design of a rhetoric for interpreting literary semiosis. And here, we need to draw particularly on linguistic resources which enable us to model 'meta' awareness on the part of readers. As shown in figure 3.6, higher-order awareness in the Theoretical domain is reflected in the ability to identify the thesis or theme of a literary work, to recognize its axiology and to attend to its overarching generic structure. I will deal with the grammatical resources which are relevant to each of these 'tasks' briefly in turn.

3.5.1 Token and Value in the construction of symbolic abstraction

The experiential dimension of literary interpretation is less concerned with concrete events and more with their abstract significance. Identifying the symbolic abstraction embodied in a narrative, for example, involves viewing the text on two levels: the lower order significance of the story-line (what happens) and the higher order significance of the narrative's thesis or theme (the significance of what happens). The event sequence of a story-line is like the **Token** and the symbolic abstraction of the text's thesis is like the **Value** in a relational identifying clause.

As Halliday explains the linguistic relation between Token and Value: "In any identifying clause, one element will be the Value (meaning, referent, function, status, role) and the other will be the Token (sign, name, form, holder, occupant)" (Halliday, 1985a: 115). The Token-Value relation is crucial to definition in the technical and other sciences. As part of a more general linguistic resource called elaboration, it 'translates' commonsense meanings into the uncommonsense meanings of technical and semi-technical discourses (see Halliday and Martin, 1993: 222-224). And the Token-Value relation is also crucial to semiotics. As Matthiessen has pointed out: "The intensive identifying or Token-Value clause is the foundation upon which the traditional notion of the sign rests" (Matthiessen, 1991:71). Sentences such as "Sound (Token) is a compression wave that can be heard" (Value), are as common in science as sentences such as "CLICK (Token) is about a young girl who has run away from reality and all its unhappiness and death (Value)" are in English. Both relate a specific phenomenon (such as 'sound', or 'this

text') to a higher order value system (such as 'types of compression waves' or narrative values).

As chapter four will demonstrate, the Token-Value relation represents an experiential 'slant' on the connection between the event structure of a narrative and the symbolic abstraction it 'realizes'. Moving from one (lower order Token) to the other (higher order Value) is important if students are going to be able to discern the thesis addressed by the text as a whole. Of course, the nexus between the two - Token and Value - can never really be broken, or, at least, not within a Leavisite or New-Critical reading of the narrative. The 'realizational' relation inherent within elaboration is crucial in this respect: the one (Token) is embodied in the other (Value).

3. 5. 2 Projection and Appraisal in the construction of axiology

There are two lexicogrammatical resources which are crucial to the construal of a text's axiology. Firstly, there is **mediation**, which deals with the different patterns of voicing in texts - the sources of different evaluative positions in the text. Secondly, there is **appraisal**, which captures the actual value-orientation of the different voices - their emotional, moral and ethical 'content'.

The mediation-aspect of a text's axiology is related to the notion of projection in the lexicogrammar. Projection is the general relation underlying the traditional notions of direct and indirect speech. Although projection, along with expansion, is treated as a logico-semantic relation, and, hence as part of the logical metafunction in Halliday's (1985a/1994) grammar, it is included here as a vital resource in the enactment of interpersonal meaning in the narrative. As Lemke has argued, Mood is of minor importance when it comes to the construction of axiology in texts (see Lemke, 1992). Alternations of Subject and Finite represent only localized shifts of speech function in a literary text, as when a character moves from an imperative to a question to a declarative statement in the course of a text-internal exchange. However, a 'change of speaking subjects' - identified by Bakhtin (1953/1986) as a constitutive feature of the utterance - is crucial to the unfolding dialogism of a narrative. And projection is crucial to the mediation of this dialogism.

In **projection** a secondary clause is projected through a primary clause, which instates it as either a **locution** or as an **idea**. The primary and secondary clause can be combined on an equal footing in a

type of interdependency, which Halliday calls **parataxis** (associated with the traditional notion of direct speech). Or they can be combined unequally in a relation of **hypotaxis** (associated with indirect speech), in which one element depends on a dominant element (Halliday, 1985a/1994, chapter 7). The model of projection enables us to track shifts between what one character says and thinks and what another character says and between the values and feelings they express in this process. All these patterns of voicing are important for the unfolding interaction between the implied author of a narrative and its ideal reader.

The concept of the **implied author** is important because it allows us to distinguish between the actual writer of a text (a human being) and the virtual writer (a semiotic construct) of the text - which is an image construed through the process of reading the text itself. Umberto Eco distinguishes in a related way between the 'model reader/author' and the 'empirical reader/author'. The former doublet is necessary to exploration of writer-reader relations. For Eco, the desired relation is always manifested in the unfolding design of the whole:

The model author ... is a voice that speaks to us affectionately (or imperiously, or slyly), that wants us beside it. This voice is manifested as a narrative strategy, as a set of instructions which is given to us step by step and which we have to follow when we decide to act as the model reader.

[Eco, 1994: 15]

The concept of the 'ideal reader' serves a similar function to his 'model reader'. It enables us to distinguish between the actual (or empirical) reader whose identity cannot be recovered, or even imagined really, and the virtual reader of the text - one who processes the text in a way which comes close to that intended by the author. In the case of these texts, and the reading formation in which they are read (examination English), the ideal reader is also a 'compliant' reader, one who submits to the conditioning effects of the text's axiology.

Appraisal represents the second and complementary resource for characterization of the unfolding axiology of a text. It captures those semantic resources used to negotiate emotions, judgements and valuations, alongside resources for amplifying and engaging with these evaluations. There are three systems which have been foregrounded in early work on appraisal. As Martin describes these:

AFFECT is the resource deployed for construing emotional responses (happiness, sadness, fear, loathing etc.); JUDGEMENT is deployed for construing moral evaluations of behaviour (ethical, deceptive, brave etc.); and APPRECIATION construes the 'aesthetic' quality of semiotic text/processes and natural phenomena (remarkable, desirable, harmonious, elegant, innovative etc.).

[Martin, in press d, capitals as in original]

As will be seen in the chapters following, it is appraisal which contributes most to the present account of reader positioning in narrative, although the present study focusses on larger discourse-level patterns rather than on the lexical patterns which have pre-occupied analysts in early research on appraisal. Furthermore, appraisal is expanded to include implicit as well as explicit features of evaluation. It is suggested that implicit (or covert) appraisal is more coercive of the reader than explicit (or overt) appraisal because it is less accessible to scrutiny and, hence to resistance. Of course, as Martin and others working on this resource have become aware, analysis of Halliday's interpersonal semantics needs considerable renovation if we are to be able to take adequate account of resources which throw light on subjectivity as well as those which throw light on intersubjective roles. Furthermore, as the present study demonstrates, appraisal needs to accommodate overt inscriptions of value and more covert evocations of value as occur over the course of a seemingly 'experiential' (interpersonal-free) sequence of a narrative.

The values explored by the text are always embodied in the ideas and locutions of particular characters in narratives. Of course, the 'apparatus' of mediation will vary from genre to genre. The kind of voicing which predominates in the news story is not the same as that of the narrative and both of these differ from that employed in the literary response (as chapter five will show). But it is the interplay of appraisal and mediation which is crucial to a text's axiology.

3. 5. 3 Progressions and Metarelations in the global patterns of a text

The textual dimension of literary interpretation is concerned with the local and global patterning intrinsic to a text. **Progression** is a term developed in the current study to refer to semantic links between one segment, or 'phase' of a developing text and its preceding phase. A reader processes a text by moving from one phase and one progression to another. Progressions make one or more kinds of connections with the

previous phase and help the reader to decide 'where s/he is' in the world of the text and how this can be valued as the text unfolds. **Metarelation** is a term developed here to refer to semantic links across the phases of a text. Unlike Progressions, Metarelations are not contiguous but are phases which are 'semantically alike' in a specifiable way. Metarelations are global patterns of semiosis which give coherence to the lower order features of a narrative's event structure and its pattern of voicing. Metarelations are the key to interpretation of the narrative's higher order meanings - and hence to specialized reading practices in English. A more detailed treatment of these is provided in chapter four and five. It suffices here to point to those grammatical resources which they draw on.

There are two general resources here: those traditionally associated with the textual metafunction, **Theme** and **New**; and, once again, the resources of **expansion** and **projection**. Taken together, the textual and logical metafunctions represent the 'dynamic' aspect of the grammar: they enable the speaker/writer to move a discourse forward through 'semantic space' (Matthiessen, 1992).

The Theme is the element which serves as point of departure for the message - what the message is concerned with. The New is part of the information structure of the clause, and is what the listener is invited to attend to as new, or unexpected or important. As chapter four will demonstrate, Theme is the local context for the message but the pattern of Themes throughout a text constitutes its overall 'method of development' (see Fries, 1981/1983 for discussion of this). The New realizes the local significance (or newsworthiness) of the message. But the pattern of News throughout a text communicates what Fries calls the 'point' of the overall text, perhaps because the News contain most of its evaluative material (Fries, 1985, 1992). The thematic progressions and the complementary pattern of News reveals a great deal about the texture and periodicity of a text - the rhythm of speaker and listener-oriented messages. Changes in the pattern of Theme and New in a text typically create a new phase and a different Progression in the emerging text.

Expansion and projection are the chief lexicogrammatical resources underlying the description of Progressions and Metarelations - Progressions more directly and Metarelations less directly, more metaphorically. Both expansion and projection are recursive, enabling the production of clause complexes (as well as complexes at other ranks). Expansion is most clearly related to the experiential development of a text - the elaboration, extension or enhancement of experience. Projection, as

noted above, is most clearly related to the interpersonal development of written texts - the verbal projection of locutions or the mental projection of ideas. A detailed description of these is contained in chapter four.

Taken together, the lexicogrammatical resources of Token/Value, projection of locutions and ideas, appraisal, Theme/New and expansion underpin the rhetoric developed in the following chapters. They are an ensemble of text semantic strategies for interpretation of narrative within the Theoretical domain. They are not intended to be generalizable across all forms of literary semiosis.

3.6 Conclusion: The implications for models of intertextuality

The current framework assumes that codes control readers' recognition of and writer's realization of communication requirements of school English. Recognition and realization rules provide two perspectives on students' contextual expectancies: they facilitate an analytical perspective on which register is 'at risk' (expected) in a given context and they facilitate a productive perspective on which genre will 'realize' these expectancies. Register and genre are thus regarded as socially contingent constructs, subject to the privileging rules most often applied in a particular cultural domain. What is salient in any textual interpretation or production is (at least partly) a matter of which domain (institution) is evoked at the time. Furthermore, what is salient for the producer of a text is not necessarily commensurate with that of its interpreter(s). Salience is a shifting phenomenon, subject to (potentially) different contextualization practices at every point.

Prior to any act of interpretation or production students build up expectancies about which register (or combination of registers) they are 'in' and, as a consequence, which genre (or set of agnate genres) they will need to draw on in the formulation of a response. In this sense, genre and register are more than simply 'varieties'. The current formulation takes into account the lexicogrammatical patterns of given varieties as well as the 'yet to be realized' meanings of readers' contextual expectancies.

The implications for intertextuality are clear. Intertextual relations can be discerned within texts if particular interpretive practices are adopted by a reader. Focussing on interpretive practices as well as linguistic patterns makes the current model of intertextuality a more reader-centred construct than has formerly been adopted within SFL. We

can assume with Jonathan Culler that "context is not given but produced; [that] what belongs to a context is determined by interpretive strategies" (Culler, 1988: ix).

However, an emphasis on the active and agentive role of the reader in contextualization does not imply the adoption of 'reader response' models which focus on "individual readers [who] make personal meaning from texts" (Gilbert, 1987:235). The current approach to intertextuality gives pre-eminence to social factors rather than to textual constraints in that it assumes that rules of interpretation are socially contingent. Thus what is 'above the text' is a matter of reading position, of what is valorized by particular discourse formations and their institutional provenance. Finally, whether we give greater agency to the reader or to the text in a consideration of discourse formations, we need to consider both in the current framework. As Roger Fowler formulates this 'dialogism':

Texts construct 'reading positions' for readers, that is, they suggest what ideological formations it is appropriate for readers to bring to texts. But the reader, remember, is discursively equipped prior to the encounter with the text, and reconstructs the text as a system of meanings which may be more or less congruent with the ideology which informs the text. In modern literary theory, this discursive activity of the reader is known as 'productive consumption'.

[Fowler, 1987: 486]

Thus even within a stable reading regime, such as that introduced within 'New Criticism', a literary text is liable to produce a number of different and sustainable readings. The possibilities are not unlimited or unconstrained, of course. As Culler puts it, "a literary work can have a range of meanings, but not just any meaning" (Culler, 1980: 52). And as most CDA theorists acknowledge, the text 'sets the agenda' (Kress, 1993b), it 'limits the possible readings' that can plausibly be made of it (Gilbert, 1987) and it certainly 'positions its readers' (Luke et al, 1991). Of course, we need to keep in mind that 'plausibility' is itself socially contingent:

It is in the reader's unnoticed but crucial self-positioning through the deployment of her or his sense-making procedures that the central work of school reading is done. The student's sense-making 'frames' can be brought into alignment with those of the text without her or him being fully aware of having participated in that procedure.

[Luke, Freebody and Gilbert, 1991: 146]

The function of implicit meanings in the alignment of reader and text/author is crucial to the current study. In fact, in the narratives which inform the model of intertextuality proposed in this study, it is 'implicit' meanings which are the key to higher orders of significance - as these are instantiated within Leavisite/New Critical approaches to interpretation.

In sum, from the point of view of the 'dialogue' between writer and reader, the text constrains and opens up a range of possibilities for interpretation and the reader engages with these possibilities in different ways depending on the reading practices s/he employs in the course of this. Intertextual criteria need to be developed which are sensitive to both the semiotic characteristics of texts and the functional requirements of different literacy practices. Bernstein's twin concepts of 'recognition rules' and 'realization rules' are useful in this regard because they foreground the interpretive procedures which different groups apply to the same task and they provide a 'way in' to the development of functional criteria by which all groups may be enabled to see which discursive orders are privileged in which situation type and how they may be enabled to produce a successful response to it.

Relating models of intertextuality to different literacy practices is crucial if we are to disambiguate the curriculum of junior secondary English - articulating the different practices which are relevant to both classroom and examination room, for example. If it is true that 'relations' between texts are 'made' as well as 'found' and that, rather than simply emanating from texts, they are construed on the basis of particular interpretive principles, then students need to be taught which principles and which relations are relevant in which domain. When they are given a literary text such as a poem or a short story and asked 'What do you think of this text?' or 'What is this text about?' students need to know whether they are being asked to give a personal/affective response to the 'story', an enunciation of its 'message', or an interpretative essay which mimics the poetics of the literary text itself.

Such an approach to intertextuality has far reaching implications for pedagogic practices in English, in which 'individualist' notions of reading persist even in the face of evidence that teachers' own reading practices contradict those they call for in the classroom. Many teachers would have to acknowledge that they read their students' texts in different ways on different occasions. As Pam Gilbert expresses this:

We (i.e. teachers) too, know reading practices which allow us to read texts so that they become literary texts - but we also know texts so that they become student texts. We know how to grade texts, how to rank order them, how to assess the language competence. It is the **READING PRACTICES** adopted in the reading of a text which designate its function - not the text itself, and certainly not the writer of the text. Texts become what they become because of the way they function in discourse.

[Gilbert, 1987: 245, capitals as in original]

The model of context developed here incorporates the diverse (often diverging) approaches of students to the meaning making requirements of given situation types. But while it attempts to accommodate heterogeneity in students' social subjectivity, this is not a considered a dissipative, relativistic and endlessly proliferating phenomenon. It is assumed that all learners have social semiotic backgrounds that are at once distinctive and generic. They are criss-crossed by vectors of race, gender, mother tongue, age and class that are culturally and socially regulated, and hence, predictable, to some extent. Learners' orientations to meanings can therefore be located somewhere within one (or more) of the Everyday, the Applied, the Theoretical and the Reflexive domains.

The following two chapters are concerned with the semantic requirements of specialized literacy practices in English as these are applied to one genre, - the 'psychological narrative'. It thus narrows the focus of the current model by considering intertextual relations evoked by the texts themselves (the intertextuality of the producers of narrative) and those called for within Leavisite and New-Critical examination practices (the intertextualities displayed by different readers of narrative and the fates of these readings).

CHAPTER 4

SPECIALIZED LITERACY PRACTICES: READING NARRATIVE

4.1 Introduction

It is widely assumed by teachers that 'you can't prepare students' for the N.S.W. Reference Test (or 'Moderator', as it is sometimes called). Of course, most inform their students about the format they can expect: Part A involves reading of one or more passages followed by multiple-choice comprehension questions and a short essay-type question about one of the passages; Part B requires a literary interpretation; and, finally, Part C asks for a piece of 'creative writing'. However, when it comes to outlining the characteristics of the literary texts which students can expect to encounter in this exam and the kinds of responses to these which their examiners will value, teachers often claim they are 'in the dark'. The irony is that it is English teachers who set and mark the Reference Test exam year after year. And it is their assessment practices which provide evidence of the disjunction between the classification and framing values of the official curriculum and evaluation of students' learning of it.

This chapter challenges the assumption that the Reference Test is idiosyncratic and unpredictable by applying the functional criteria outlined for the discourse hierarchies of the Theoretical domain to one genre which students often encounter in this test. The criteria which characterize specialized reading practices in general in this domain can be specified somewhat differently for different genres. Here, we focus on the short story - a relatively common choice for comprehension exercises and literary criticism in examination English.

There are five stories which constitute the corpus for analysis of the specialized reading requirements of junior secondary English. Appendix 1.1 features the texts as students encountered them in the examination along with accompanying response tasks. Appendix 1.2 presents the texts numbered sentence by sentence for ease of reference. Four of the narratives are taken from previous Reference Test papers - *CLICK* in 1986, *Friend for a Lifetime* in 1987, *The Block* in 1988 and *Feet* in 1990. Short stories have not featured in the tests given between 1991

and 1994 - perhaps a reflection of a move away from canonical literary texts in more recent years.¹ The fifth text - *The Weapon* - was given as a formal assessment task to students in a school designated 'disadvantaged' in Sydney's inner west. It provoked markedly divergent readings from students, their teachers and academics - including systemicists (Martin, 1996) and social semioticians (Cranny-Francis, 1996). A consideration of these readings highlights some challenges for SF models of intertextuality when it comes to explorations of reading position.

The narratives selected here represent only part of the written material which students regularly face in the Reference Test. But they do provide an important 'window' on the 'speciality' of English. Furthermore, as mentioned in the introductory chapter, narrative is at the 'heart' of English - as ubiquitous within school English as it is within the culture more generally (Barthes 1977, Reid 1982, Kress, 1989b) and central to both aesthetic and axiological considerations in English. Furthermore as Hunter and others have pointed out (Hunter 1988, Beavis 1994, Mellor and Patterson 1994), the 'literary character' in a work of fiction is an ideal site for the exploration and inculcation of 'aesthetico-ethical character' in the student.

It is assumed that the 'ideal reading' of narratives such as these depends on the deployment of recognition and realization rules of specialized literacy practices and that this reading is an effect of both textual and contextual exigencies. In this chapter I deal with the pressures 'from within' the narratives to apply particular 'privileging rules' to their interpretation. These texts announce themselves as 'literary'. They produce "by textual means their own narrative situation" (Chambers, 1984: 22). And it is this 'textual situation' which I attend to in this chapter. The next chapter deals with different 'contextual situations' adduced by students in their responses to one of these narratives.

Section 4.2 briefly reviews the Labovian model of narrative which has influenced educational applications of SFL in Australia and Section 4.3 explores some of the problems which the texts of this corpus

¹ In the 1995 Reference Test in English, students were once again given a short story to write about. Entitled *Red-back Spider*, by Peter Skryznecki, the story is an internal first-person narrative which explores inter-racial relations in the post-war years from the point of view of a young boy. The narrative came too late in this research to be included amongst the corpus or analyzed in detail. Nevertheless, although it is more highly mediated for point of view, this text does bear out the findings of the present chapter about the criteria underlying a specialized reading of the narrative.

pose for this model. Section 4.4 presents a view of what I call the 'psychological narrative' based on common features of the genre and the kinds of intertextual relations it evokes. Section 4.5 characterizes the higher and lower order meaning components for this genre. Then, sections 4.6 - 4.8 present analyses and argumentation about how the ideal reader discerns 'what the narrative is really about' (the experiential component); 'how s/he responds to the characters and their voices and actions' (the interpersonal component); and, finally, how the text itself facilitates these interpretations (the textual component). Section 4.9 rounds off the discussion, synthesizing these different components.

4.2 Models of narrative within educational linguistics

The model of narrative popularized in educational applications of SFL in Australia is Labovian in origin. Martin and Rothery were attracted to the functional and holistic perspective taken by William Labov and his colleagues in their linguistic analysis of oral narratives of 'personal experience' which they elicited from working class black Americans. Labov and Waletzky aimed to analyze the simplest and most fundamental structures of these narratives which they called 'elements' and which they elaborated in functional terms (Labov and Waletzky 1967). Like them, Martin and Rothery took 'sequence of events' to be a defining characteristic of the narrative and utilized the same terminology to delineate the 'stages' of the narratives they collected from 'process writing' classrooms in the early 1980's. In an early summary of the work, Martin presented the following account of narratives:

What are Narratives ? They resemble Recounts but with a crucial difference - in a Narrative something goes wrong. The normal sequence of events is broken; a problem is introduced which characters must overcome. This crisis divides simple narratives into two main parts: the set of events leading up to the problem or Complication, and the set of events getting things back on track again or Resolution. In more sophisticated narratives, solutions lead on to new problems which in turn have to be overcome.

[Martin, 1984b: 38-39]

While a temporally unfolding sequence of events was taken to be the basis on which narratives were related, later work foregrounded the 'Evaluation stage' as a vital component of the narrative. Labov and Waletzky had foreshadowed this in their own research when they

emphasized the way in which evaluations 'transformed' the significance of the event sequence of a narrative (Labov and Waletzky 1967: 41). For Labov: "Evaluation consists of all the means used to establish and sustain the point, the contextual significance and tellability, or reportability, of a story" (Labov, 1972: 156).

Plum's concurrent research into oral narratives greatly strengthened the insights which Rothery and Martin had developed about the function and structure of written narratives (Plum 1988). Plum extended the typology of narrative genres - including anecdote and exemplum as agnate text types - to oral discourse. And although he utilized the same particulate (part-whole) model of generic structure as Martin and Rothery in relating agnate narratives, he also foregrounded the role of interpersonal meaning in genres like the recount, attempting to account for the prosodic (sprawling as opposed to particulate) nature of their realization. Rothery, too, increasingly emphasized the importance of the 'Evaluation stage' which she maintains gives significance to the events 'through the narrator's reactions to them' (Rothery 1994).

Early educational implementations of this model stressed the differences between narrative genres. It aimed to 'raise teachers' consciousness' about the category of genre and to introduce them to a wider range of text types including 'observations', 'narratives' and 'recounts' (Martin, 1984b). Early typologies were understandably based on the strongly classified system network, which foregrounds categorical distinctions between story genres. The following typology of agnate story genres, taken from Macken, et al 1989b, is representational of this trend within curriculum recontextualizations of SFL research into narrative:

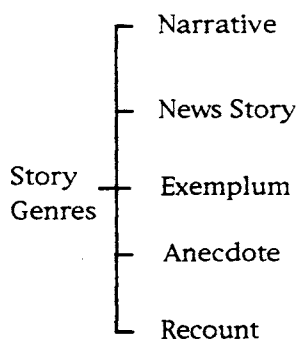


Figure 4. 1 : A typology of story genres (from Macken et al, 1989b: 13)

Each genre was distinguished on the basis of differences in elements of structure and their prototypical sequential order. The recount, for

example, was deemed to embody a different sequence of elements from the anecdote and the exemplum. Curriculum materials provided teachers with detailed break-downs of the constitutive elements of structure in each genre and their sequential order. In Macken et al, 1989d, for example, teachers learned that narratives have the following stages:

1. An **Orientation**: this is the stage where the narrator gives information about the situation of the characters: where they live, the time they live in and what they want. This information helps to orient the readers - to point them in a direction which the writer wants the events of the narrative to go. ...

2. A **Complication**: this is the stage where something unexpected happens or events go wrong for one of the main characters. Somehow the problem has to be resolved by at least one of the characters. There can be more than one complicating event in a narrative. ... Sometimes the narrative has a 'Crisis' where events reach a point of an emergency situation or climax. The main characters have to act to save the situation or else disaster will follow.

3. Finally there is a **Resolution**: this is the stage where the earlier complication is resolved for better or worse. A skillful narrator will resolve the complicating events or the crisis in a way that is believable or at least satisfying to the reader. Usually one of the main characters solves the problems introduced in the early part of the narrative and life returns to more or less normal.

4. Some narratives have a **Re-orientation** or a **Coda** which return the listener/reader to the present and provide a kind of thematic summation of the events - rather like the moral at the end of a fable.

The structure of narrative in general is:

[Orientation ^ Complication(s) ^ Resolution (Re-orientation or Coda)]

The notation ^ means 'is followed by' and round brackets indicate that the stage is optional.

[Macken et al 1989d: 20]

In these curriculum materials, the Evaluation was introduced later, as an additional stage in 'more sophisticated narratives',

... where the writer actually stops recounting the events to make a comment about what has happened or what is likely to happen next. It can be a comment by the author or by one of the characters. The **Evaluation** stage occurs after the Orientation stage and before the Complication stage of the narrative"

[Macken et al, 1989d: 38]

The understanding current at the time was that evaluations should be introduced later in work on narrative. The narrative was one

of a number of related story genres with an identifiable set of 'particulate' elements which can be specified in functional terms, sequentially ordered and segmented into 'stages'. Such was the 'intertextual content' of curriculum representations of story genres.

It is important to be aware of the educational climate into which such notions were introduced. In the early and mid 1980's the usefulness of explicit knowledge about language was constantly downplayed or even denied (cf. Rothery, 1989, Christie in Christie, ed 1990, Gilbert in Christie, ed 1990). The growth model of literacy and literacy regimes such as 'process writing' exercised a 'hegemony' in Australian curriculum. And in an atmosphere in which teachers were cautioned to 'bite their tongues' rather than tell students anything when reading their writing (Martin 1986b), only a very simple metalanguage about different kinds of writing could have been introduced. Martin acknowledges as much in his summary of different ways of modelling context within educational linguistics:

By focusing on overall staging and global construals of meaning across a text, this analysis drew educators' attention to the very narrow range of writing undertaken in process writing classrooms. ... Generic structure proved relatively easy to bring to teachers' consciousness and quite straightforward for their students to learn - including the technical terminology for different genres and their staging.

[Martin 1993b:144]

As noted earlier, genre-based approaches to literacy have enabled educators to make conscious links between the social 'purpose' of a genre and its overall staging structure. It is a 'rhetoric' which orients students to the global structure of texts and, at the same time, enables them to break these down into their functional elements (stages) so that it is clear what it is that their texts need to include. Categorical typologies such as that reproduced in figure 4.1, therefore, have a useful pedagogic value in classrooms where students are to be introduced to genres for the first time.

The programs and materials introduced to teachers and their students over the last ten years, were fashioned mainly on the basis of research into texts written by primary school students. The narratives which year 10 students encounter in the Reference Test, however, problematize current formulations of the narrative genre within education. In section 4.3, I discuss some of the issues raised for genre-

based models of intertextuality by these narratives. Following this, I present an argument for their renovation along lines proposed in chapters two and three.

4.3 The narrative texts and their problems

The narratives of the present corpus pose significant problems for Labovian models narrative. Each narrative is discussed in terms of the issues it raises for narrative intertextuality.

4.3.1 Narrative Text 1: *CLICK*

In the 1986 Reference Test, students were asked to explain why they thought the story ended with the sentence: "CLICK. The television switch sounded through the room like a padlock snapping open". The question assumes that, in a specialized reading, students will discern a symbolic link between the final image and the preceding text. The 'ideal reader' will interpret the narrative as a whole and Jenny's actions in particular in the light of the final padlock image. But the significance of this metaphor is transferred rather than literal. Awareness of the events of the story is not helpful (on its own) for interpreting the significance of the padlock 'snapping open'.

CLICK is only superficially about Jenny's discovery of an accident victim and her subsequent decision to turn off the television. In fact, readers who attempt to explain Jenny's turning off the television (the 'Resolution') as a reaction to the upset of the road accident (the 'Complication') will miss the broader significance of the oppositions which the text sets up between the 'real world', symbolized by the road accident victim and the 'fantasy world' symbolized by Jenny's attachment to television. It is the impact of the accident victim on Jenny's consciousness that is crucial to an interpretation of the ending of the narrative. And the final image cannot be 'decoded' unless readers have attended to the disturbance which this brings to Jenny's inner world and understood the implications of her final act for her new consciousness.

4.3.2 Narrative Text 2: *Friend for a Lifetime*

In the Part C of the 1987 examination, students were asked to adopt the persona and likely tenor of a literary 'judge' in their evaluation

of the story by Kelly Stephens. Following this exam, the Board of Studies produced a set of specimen responses plus grades and examiners' comments (along similar lines to the *CLICK* corpus). These responses are not the subject of this thesis, but it is relevant to point out that the 'super scripts' in the 'A+' range all integrate their literary appraisal of the narrative with the pseudo-tenor of a judge. Assessment tasks like this, which attempt to create a 'real-life' context for an essay of literary criticism, make life difficult for examinees. In the case of this task, there is a potential conflict between the likely response of a 'real' judge to one rather dull story amongst many others and the fullsome response required in a 'literary' interpretation of one narrative. Managing this hybrid tenor in such a way as to evoke one (the judge who ranks) in the service of the other (the student who appraises aesthetically) is a very difficult interpersonal task.

With respect to narrative structure, especially for students with a knowledge of canonical sequences of stages, *Friend for a Lifetime* presents another puzzle. The text is organized around the memories of an old woman, Lorna, of her lifetime friendship with Allison and the narrative takes the form, initially, of a series of flashbacks to happier times. Nothing really 'happens' until the final phone call to her friend Allison. The narrative is practically over before the reader is introduced to the 'Complication' - news of Allison's death. Reliance on an idealized sequence of narrative stages in any interpretation of structure will not take students very far in appraising the value of the story. In fact, if we consider event sequences as criterial to narrative, *Friend for a Lifetime* is almost entirely uneventful. Most of the text concerns itself with the reflections of an old woman about past memories and her desire to escape her present enfeeblement.

Furthermore, the precise nature of Lorna's response to the news about Allison is not 'spelled out' but implied by her final words, 'If Allison could do it so could she'. Readers can only discern the 'implicature' of such a sentence if they have understood the significance of the life-long parallels between Lorna and Allison outlined earlier in the narrative. What is at issue here is the interaction between Lorna's mind set and her final act of self-negation when she hears of Allison's death. In order to understand her response to this news - willing herself to death - readers need to attend to the oscillation between two 'realities' for the protagonist - the pain of her present circumstances and her overwhelming attachment to the past.

The enigma of the final moments can be solved if students have learned to interpret the salience of meaning-relations established earlier in the text - its parallels, oppositions, and changes in these - in this case, superficial rather than deep psychological changes in Lorna's overall mind set. Of course, the protagonist's 'evaluations' are crucial to the reader's understanding of Lorna's subjectivity. But it is the interrelation of implicit meanings with the more explicit evaluative reflections of the protagonist which is important here. Focussing on an unfolding event sequence can only distract students from the text-wide salience of such relations and their implications for interpretation.

It is also interesting to note that, in the corpus of responses to this story, published by the Board, students who overemphasized the ersatz role of 'literary judge' in their response failed to achieve higher than a 'C' or a 'D' grade, while those who downplayed this in the interests of producing a polished piece of traditional literary criticism attracted 'A' or 'A+' grades (Board of Secondary Education, 1989).

4.3.3 Narrative Text 3: *The Block*

In the Part C of the 1988 examination, students were given a slightly truncated version of *The Block* (one or two paragraphs at the end were left out of the examination narrative). They were then asked to write a letter from the point of view of the protagonist, Gavin, ('You are Gavin') explaining why 'you acted as you did'. This question is typical of the 'imaginative recreation' exercises celebrated in *English 7-10*. But unlike those attached to narrative texts 1 and 2, this task asks students not so much to understand what happens in the narrative or to appraise its value as literature as to 'get inside' the protagonist's psyche and then to re-create it in another form. However, this kind of exercise is rarely as easy as it appears. In this case, the task presents examinees with two challenges: firstly, it requires an empathic understanding of Gavin's motives and, secondly, the profile depends on their attentiveness to the appraisal which the 'implied author' covertly makes of his behaviour. These two orders of appraisal are not commensurate. The reader has to negotiate both the explicit evaluations which the protagonist, Gavin, offers of his own behaviour and that which the text makes available implicitly via other 'voices' and via contradictory relations between what Gavin says about himself and what the reader observes of his behaviour.

We have no evidence about what examiners valued or disvalued in students' responses to *The Block*. But we can infer from the narrative itself some of the factors which students needed to consider in constructing a 'psychological profile' for Gavin. What happens is mediated for the reader largely via Gavin's reflections. He is the only character who offers an 'internal' perspective on events. Furthermore, there is no overtly negative appraisal of Gavin's behaviour (murder of Michael) offered in the text at all. In fact, the only external injunctive voice is that of Gavin's mother - whose failure of empathy for her son makes her an unlikely carrier or embodiment of authorial appraisal. Nevertheless, her voice does offer one critique of Gavin's behaviour and the contradictions between his evaluations of himself and the evidence of events offers another. When Gavin suggests that he might have ended up a delinquent if not for the block and in the next section of the text tells us how he smashed the windows of a car dumping bricks in the block - we observe the behaviour typical of a delinquent. Such contradictions relativize the protagonist's evaluations of himself and put at risk the empathy created elsewhere. Readers' ability to identify with and also appraise the protagonist's motives and behaviour depends on their negotiation of these different orders of appraisal in the narrative and their recreation of them in their explanatory letter 'as Gavin'.

Finally, we can safely assume that the ideal reader's evaluation of what happens will diverge from Gavin's. The narrative opens up a space which, textually speaking, distances the reader from Gavin's point of view. But the divergence of values must also be an effect of the contradictions between Gavin's rationale of his defence of 'the Block' and the social and legal sanctions which follow a homicide. This murder is not condonable and the text offers an implicit judgement of this in the vividness of its imaging (e.g. Gavin cowering in his room and the bike dying 'slow and hard' like a 'choking animal') at the end of the narrative. Any model of narrative which might assist students in their interpretation of such a text must engage with the two orders of appraisal which operate in this text and with the implicit critique which the one (authorial) makes of the other (characterological).

4.3.4 Narrative Text 4: *Feet*

In Part B of the 1991 Reference Test, students were asked to read quite a long short story, called *Feet* and then to 'write a letter' to the

author Jan Mark, telling her what they thought of her story. Given the open-ended nature of such a task, it is important to note that examinees were also invited to consider factors such as its 'storyline', the 'characters', 'humour' and 'the way language is used' in their 'letter'. The same ambiguity marks this, as it does the other test narratives. Students can express a personal reaction to the text, they can comment on isolated linguistic features such as its idiosyncratic use of additive conjunctions or they can focus on the 'craftedness' of the narrative.

Like *The Block, Feet* is a first-person narrative which narrates an important experience in the life of a now older narrator/protagonist. And, like other narratives in the corpus, event sequence is less important than what the protagonist makes of it. But what may be lost on Jane is not lost on the ideal reader. Students who have learned to apply certain interpretive procedures to their reading know that they should not treat *Feet* as a rather mundane text about an embarrassing moment in the life of a young tennis umpire. They observe the repetition of the 'feet' motif; they make connections across the text between Carson's 'pyrrhic victory' and Jane's and they read Collier's defeat and a moral victory of a higher order for the protagonist. The redundancies across the narrative are enunciated by Jane but their broader significance left implicit. It is left to the reader to interpret this aspect of 'feet'.

The 'theme' or 'thesis' of a literary work can only be accessed by readers with an orientation to the global meanings of the text and to the motivatedness of all choices throughout it. Within a specialized literary formation, this narrative has to be read as 'about more' than just a tennis match or the failure of a teenage fantasy about a romantic hero. Jane's calling of foot faults on Collier is an expression of her attempt to wrest some self respect from the insults he throws at her. The events of the tennis match and Jane's struggle for integrity in the face of his abusive behaviour can be viewed as textual 'token' to psycho-cultural 'value'. Any act of literary appreciation which leaves the thematic significance of the text out of the picture is bound to be judged inadequate as a 'personal response'. Or, from another point of view, a response which engages with the story at the level of what Hasan (Hasan 1985b) calls the level of 'symbolic articulation', is bound to be rewarded. It is the literary craftedness of the narrative which students are expected to 'discover' in this otherwise inconsequential text.

4.3.5 Narrative Text 5: *The Weapon*

The final text in this corpus also presents the reader with two levels of meaning. In this text, however, only the higher order meanings of the narrative enables the reader to read the 'motivation' behind its event sequences. And it is this level of interpretation which was entirely beyond the reach of those students to whom it was given. The year 9 class was asked 'Why did Niemand give a loaded revolver to Harry?'

With respect to *The Weapon* there are two points of view presented about Doctor Graham's scientific work. The first one we learn about is that of Graham's - whose voice is aligned with that of the narrator through the technique of free indirect discourse. Free indirect discourse projects a viewpoint without linking this to a specific source: linguistically speaking, the view is indirectly projected by an indeterminate source (Is it author or character?). This indeterminacy conditions the reader to empathy for a character without appearing to do so. For example, we learn early in the narrative that Graham is involved in a very 'important project' and that his work is 'creative'. He later tells the stranger, Niemand, that he is only 'advancing science' in his research.

Niemand, on the other hand, is presented first, via Graham's internal reaction, as 'nondescript' - an 'obviously harmless' stranger, then, as a 'crackpot', and, finally, as a 'madman'. Who are we to believe? The reader is initially invited to 'side with' Graham because it is through his 'eyes' that we see what happens (free indirect discourse again). We are conditioned to appreciate, with Graham, the creative solitude of his thinking, the tenderness of his feelings for his mentally-arrested son, Harry, and so on. And we have no internal access to the motivations behind Niemand's strange behaviour. We can only glean these from his words and his actions. Harry's subjectivity is similarly treated but unproblematic because non-threatening at any stage.

However, while Graham's subjectivity is privileged in the first instance, it is profoundly relativized by Niemand's verbal challenge and his final action - leaving a loaded revolver with Harry. In the final moments of the narrative, Graham reflects on, but nevertheless fails to read the deeper significance of, Niemand's action of leaving the gun with his 'idiot' son. The import of his action is transparent to the ideal reader, however, who has come to see Graham's work on the weapon as equivalent to Niemand's gift of the gun to his disabled son. The disabled son is an analogue for the humanity which isn't ready for a weapon of

great destruction. Thus the cultural and moral 'message' of the text is implied in the relation between story (as token) and narrative (as value).

Many of the year nine students who read *The Weapon*, claimed that Niemand gave the gun to Harry in order to put him out of his misery. Their explanation related more to extra-textual factors based on their own experience of or feelings about intellectual disability than they did to textual factors. The legitimacy of their reading is not at issue here (see Cranny-Francis 1996, and Martin 1996, for an extended discussion of the different readings produced of this text). What is at issue is that, in making such a reading, these year 9 students left most of the text unexplained.

A highly valued reading in a 'specialized context' must engage with the symbolic relations established within a text between what happens in the story and its narrative significance. Narrative and story are not equivalent in this sense. The specialized reader needs to see all the 'bits' of the story as motivated by the higher order cultural narrative. In this sense, narrative is less a genre than a cultural mode which can be exploited in different ways (see Kress 1989b for a discussion of this issue). In *The Weapon* the narrative is construed on the basis of competing points of view and their symbolic implications. Niemand and Graham view Graham's work on 'the weapon' in very different ways, both of which are important to interpretation of Niemand's final action. There are two mutually implicated orders of significance in this narrative. Students need to learn (and be taught) how to read and inter-relate them.

4.3.6 Summary

All the texts just presented problematize current representations of the generic structure of narratives in literacy education and hence the usefulness of the metalanguage for secondary English teachers. The issues they raise for 'genre' can be summarized as follows.

Firstly, there is the matter of two orders of discourse in specialized interpretations of narrative - a distinction which the narratives themselves seem to invite. How can students learn to discern the difference between the abstract 'problematic' (or thesis) of the narrative and the 'complication' of its more concrete event sequence(s) within current Labovian models of narrative structure ?

Distinguishing between these two orders is also relevant to an account of reader positioning. The narratives of this corpus are

axiological - value forming - without being overtly moralistic. And while readers are always invited to identify to some extent with the protagonist and thus to accept his or her evaluations of what happens, their solidarity with the protagonist is typically threatened by other voices within the narrative. The reader always knows or sees more than the characters inhabiting the 'possible world' of the narrative, including the protagonist. Sometimes the value position which readers are invited to take on in their reading will converge with that of the protagonist, as it does in *CLICK* and *Feet*. At other times, it will diverge, as it does in *The Weapon* and *The Block*. But the axiology which the text as a whole makes available will always relativize the specific evaluations of the characters, even if it later ratifies these.

Representing the dialogism of the narrative in this way enables us to move beyond an uncritical translation of generic categories from the spoken to the written mode. The oral narratives of personal experience which Labov and his colleagues studied are not apt prototypes for the written psychological narratives of this corpus. The relationship of 'narrator' to 'listener' is mediated very differently in the two modes. As Reid argues: "Written stories are markedly mediated by the intervention of a surrogate communicative relationship; for, whereas speaker and narrator are held to be practically identical in a normal oral narrative situation, an act of writing requires an author to delegate the narratorial role to a simulated 'voice' on the page" (Reid, 1992: 190). Although the narrator is typically assigned a privileged place within the tissue of voices contained within the text, his or her voice is nevertheless always subject to authorial designs and imperatives.

Secondly, with respect to the construal of these interpretive hierarchies, it is implicit meanings which are most important for specialized literary interpretation. As mentioned earlier, the significance of the protagonist's final reflections, acts or comments can only be inferred by a reader who discerns their 'implicature'. In fact, inferring the nature of the problematic addressed by the narrative as well as its overarching axiology is a matter of construing the invisible on the basis of the visible - the implicit through the explicit meanings of the narrative. In this context, explicit inscriptions of attitude or reaction such as we observe in a protagonist's evaluation are only part of the picture when it comes to characterizing the text's axiology.

Furthermore, connotative patterns of meaning are rarely realized discretely in a distinct stage. The 'ensembles' of meaning - on

which interpretation of a text's problematic and axiology depend - are better captured relationally. Relating one character's words to his or her actions, one character's judgement to another's, a particular motif to the rest of the text, and so on depends on an ability to read relationally, to view the text in terms of 'co-patternings of meanings' (Thibault, 1991), and of global interdependencies. The relation between those meanings which David Butt calls 'implicate' is a symbolic one. Such 'implicate' patterns of meaning have yet to be adequately characterized in linguistics. As Butt argues, "Text patterns are essentially latent patterns. It is not that they do not exist but rather that the representational resources have not made them visible (or explicate)" (Butt, 1990: 39). They have certainly not yet been adequately addressed within genre-based approaches to narrative structure although they are central to the construction of both symbolic and axiological meanings.

Thirdly, current approaches to 'genre' do not either distinguish or inter-relate synoptic and dynamic models of text structure. Educational applications of genre conflate the two - so that the macro-structure of a text has become identified with its syntagmatic ordering of schematic stages. But, as the texts of this corpus demonstrate, most narratives do not instantiate simple canonical schemas such as [Orientation ^ {Complication • Evaluation} ^ Resolution] as depicted in curriculum introductions to narrative.

If we represent narratives in terms of a discourse hierarchy we no longer need to collapse synoptic and dynamic perspectives within the same model. While sequential order is relevant to the step by step unfolding of the story and the evaluations of its characters, and hence to lower order, processual, meanings of a text, it is far from useful when it comes to a consideration of the symbolic relations established between non-contiguous segments - to the higher meanings of a text. As will be argued later in this chapter, students need to learn how to process text syntagmatically (or dynamically) but also to interpret its significance paradigmatically (or synoptically). To anticipate the argument a little, the syntagms of a narrative are processed temporally, but its paradigms interpreted abstractly. Hence, it is better, for both analytical and pedagogical reasons, to separate the dynamic from the synoptic in representations of genre. Conflating the two can only entrench the tendency to essentialize and reify generic awareness - a tendency observed by Thibault (1989a), Reid (1992) and Threadgold (1989).

A model of intertextuality adequate to these texts and to the reading formation valued in the Reference Test has to equip students to attend to such features as the prosodies of literary motifs in *Feet*, the interweaving of 'evaluative' and 'referential' meanings in *CLICK*, the two levels of significance in *The Weapon*, the contradictory relations between the protagonist's actions and his evaluations of them in *The Block* and the implicature of the final moment in *Friend for a Lifetime*. Accounting for features like these requires an extension of the functional language model when it comes to narrative. The remainder of this chapter attempts to incorporate the insights of earlier Labovian-style approaches to narrative within a renovated framework for preparing students to read and interpret such texts. I turn now to a brief discussion of the psychological narrative and its intertextual relations.

4.4 The psychological narrative and its intertextual relations

I call these stories **psychological narratives** because they deal with the impact of external 'reality' upon individual consciousness, and the struggle of a main character to deal with the challenge which this 'reality' presents for his or her status quo. All five texts demonstrate what Belsey calls 'the victory of character over action'. In her book *Critical Practice*, Belsey argues that "Classic realism tends to offer as the 'obvious' basis of its intelligibility the assumption that character, unified and coherent, is the source of action. Subjectivity is a major - perhaps the major - theme of classic realism" (Belsey: 1980: 73).

Readers who are attuned to the psychological orientation of such narratives expect to find a highly mediated construal of experience. In these texts, there is always one primary participant - called the protagonist here, for ease of reference - whose consciousness focalizes the significance of events for the reader. **Focalization** is a term which refers to the 'viewpoint from which things are seen, felt, understood, assessed' (Toolan, 1988: 68). Following the work of Mieke Bal (1985) and Michael Toolan (1988), we can assume a basic contrast between external and internal focalization. As described by Toolan,

External focalization occurs where the focalization is from an orientation outside the story (what this seems to mean is that the orientation is not associable with that of any character within the text).
... Internal focalization occurs inside the represented events or, perhaps better, inside the setting of the events, and almost always

involves a character-focalizer, though some unpersonified position or stance could be adopted.

[Toolan, 1988: 69]

Internal focalization is a feature of all five narratives of this corpus, whether of third person narratives like *CLICK* or of the more overtly 'confessional' first person narratives like *The Block* or *Feet*. The focalizers in each narrative are as follows:

	PERSON	FOCALIZER
<i>The Weapon</i>	third person	Doctor Graham
<i>Friend for a Lifetime</i>	"	Lorna
<i>CLICK</i>	"	Jenny
<i>The Block</i>	first person	Gavin
<i>Feet</i>	"	Jane

In the first person narratives, we need to distinguish between the 'second-order narrator' (telling the story as s/he looks back in time) and the protagonist who is involved in the sequence of events. There is thus a potential distance between the evaluations of the younger protagonist and the older narrator. In the third person narratives, the narratorial voice is fused with that of the 'omniscient' author, referred to here as the 'first-order narrator'. First-order narrator and protagonist are always distinguished in third person narratives, although the technique of free indirect discourse 'muddies' the waters often enough.

Not all that happens in these narratives is focalized internally, however. The actions and reactions of other characters and their voices, are mediated through **external focalization**: we see them as if from a point outside their consciousness, in the way we see others in life. Internal focalization is reserved in these narratives for the protagonist. Thus, while the texts move between internal and external focalization, it is internal focalization which is crucial to the exploration of the protagonist's subjectivity and solicitation of an empathic response in the reader. Both first and third-person narratives exploit the potential for inwardness which is a hallmark of narratives of 'internal' point of view (see Cohn 1978, Fowler 1986, Toolan 1988, Simpson 1990).

In psychological narratives, what actually happens is less important than what the protagonist thinks/feels/believes about it. In *CLICK*, for example, it is not the tragic death of the road accident victim

that is made salient in the narrative but its impact on Jenny and its implications for her attitude to television soaps or, more abstractly, for her ability to adjust to the reality of 'death and unhappy endings'. And it is Jane's feelings of self-consciousness and humiliation at Collier's rejection that are foregrounded rather than the honour and excitement of being chosen to umpire the final in *Feet*. Furthermore, even where the value systems of reader and protagonist diverge, the subjectivity of the protagonist is a major focus of interest. In *The Weapon*, for example, where Graham's viewpoint is relativized as a result of Niemand's ethical challenge, the events continue to be mediated via Graham's viewpoint.

'Character' is so important in this genre, that actions which are both legally penalized and morally repugnant can seem understandable, given what we know of the protagonist's subjectivity and experience. The reader who is attentive to internal focalization, will not condone Lorna's 'suicide' in *Friend for a Lifetime* or Gavin's murder of Michael in *The Block*, but s/he will understand and empathize. Subjectivity may be put at risk in such narratives, but it is the ground on which the instructiveness of the genre flourishes.

Nevertheless, even from the point of view of the potential of narrative itself, these texts have a 'narrow' intertextual range. They embody what Catherine Belsey calls the three attributes of the 'classic realist text': 'illusionism', 'closure' and 'a hierarchy of discourses' (Belsey, 1980:70). These attributes relate to the dimensions of 'field', 'mode' and 'tenor' respectively. And if we consider the intertextual relations evoked by the narratives along each of these dimensions, it is possible to show just how limited and constrained these texts are.

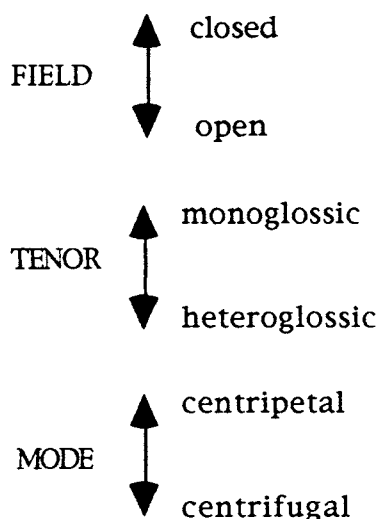
Considered from the point of view of **field**, these are typical 'illusionist' narratives which present material which is discursively familiar to many adolescent readers, with hectoring authority figures (like mothers) imposing alien agendas on them and pressuring them into unwanted forms of adjustment to reality. But readers are invited to focus less on the events of the story line than on the 'problematic' they embody. It is this problematic which the characters play out and allude to and which the reader is supposed to 'tease out' and learn from. As long as one is familiar with the 'rules' of the game, it is a relatively simple matter to construe the higher order problematic 'at work' in the event sequences and interventions of individual characters. There is none of the ambiguity, contradictoriness and indeterminacy of the postmodern

narrative in these texts (McHale, 1987). The higher order 'field' of such mimetic ('true to life') narratives is therefore **closed** rather than **open**.

Considered from the point of view of **tenor**, the narratives are **monoglossic**: they subordinate all the voices projected within the text to a single authorial axiology, one which is presumed to be shared by the ideal/compliant reader (at least by the end of their reading of it). The relation 'shared by' author and reader thus subsumes those of the characters and voices 'contained within' the narrative. There is no sign in *CLICK, Friend for a Lifetime, The Block or Feet* of the unsubdued **heteroglossia** ('many voicedness') of narratives by Rabelais, Sterne or Dostoevsky, for example.

And finally, from the point of view of **mode**, the narratives of this corpus display a strong tendency to centralization (Bakhtin, 1981: 270-271, would call this a '**centripetal** unity'). The fact that they are 'constitutive' of their own situation does not distinguish the texts here. It is what Belsey calls their 'tendency to closure' which is crucial (Belsey, 1980, 1985). The highly directed telos of the genre underlies every lexicogrammatical choice so that any potential waywardness in the narrative is well-controlled. Other narratives, such as those written by Bakhtin's favourite author, Dostoevsky, by contrast, reveal a tendency to structural dissipation, in which, as Bakhtin has argued "the characters' discourse is never entirely subsumed and remains free and open (as does the discourse of the author himself)" (Bakhtin, 1981: 349). Such narratives display '**centrifugal** dispersal' - in which there is a valorizing of the meanings associated with the 'margins rather than those of the 'centre'.

Not so, the narratives of this corpus. They tend to cluster at one (top) end of the following intertextual continua as follows:



The intertextuality as it appears to be projected by the texts themselves, therefore, is restricted in range: the abstract problematic is singular - 'true to life', its voices highly disciplined by the axiological stance they must, in the end, embody, and by textual patterns dominated by centralization and closure. In short, in Bernstein's terminology, the intertextuality evoked by the texts themselves is strongly classified (bounded firmly and unambiguously) and strongly framed (constraining the discretionary power of the reader to resist the reading position established by the narratives themselves).

In such a strongly regulated genre, little is left to chance. There is a high degree of redundancy in lexicogrammatical selections: choices in one part are picked up in and underscored by equivalent choices in another part, connotative meanings are underscored by denotative meanings, the explicit evaluations of the protagonist are reinforced by implicit patterns of appraisal elsewhere, and so on. Furthermore the tendentiousness of the text is manifested across a number of micro-environments so that the abstract problematic underlying the continuous choices for wording gives each part of the narrative an identifiable salience. The reader who is conditioned to this genre learns to see the events of the story as the 'surfaces' on which particular psycho-cultural problematics and values are worked out.

The reader whose intertextuality encompasses awareness of such features is unlikely to read the psychological narrative in the same way as s/he might read narratives of personal experience such as Labov and Waletzky studied. The 'ideal reader' (hereafter, for ease of reference, termed 'the reader') is always a compliant reader who is attentive to the features of the genre discussed above - its pre-occupation with subjectivity, its focus on closure and its hierarchy of discourses.

4.5 The discourse hierarchies underlying the psychological narrative

The psychological narrative can also be read as an instantiation of the discourse hierarchies articulated earlier. Moreover this genre has a polyphonic structure. It is no longer feasible to analyze it in experiential terms - modelling it in particulate terms. Each instance of the genre also makes interpersonal and textual meanings which influence its overall structure, albeit in different ways from those of experiential meaning. It is now possible to outline the precise

components of the genre's hierarchies of meaning. From the point of view of the general **experiential hierarchy** presented in figure 3.5:

abstract thesis

generalized content

can be specified for the psychological narrative as: problematic

event structure

The problematic is an abstract formulation of the theme or message of the text - and gives salience to the event sequences of the story. It is the invisible principle guiding and ordering the semantic choices made by the writer - from the point of view of experiential meaning.

A proportional hierarchy can be outlined for **interpersonal meaning**. In classic realist narratives of this kind, the dialogism between writer and reader is concerned with the exploration and ratification of certain values - like empathic understanding and ethical evaluation - both of which are crucial to the aesthetico-ethical dimension of English as a discipline. The reader's axiology - encompassing aspects of both empathy and adjudication - 'transcends' that of the protagonist by the end of the narrative. And even in cases where the two converge, the hierarchy is maintained. The interpersonal hierarchy:

axiology

text voices

can be specified for the psychological narrative as: text axiology

protagonist's evaluation.

Finally, a proportional hierarchy is proposed for **textual meaning**. With respect to the 'enabling' dimension of this semiosis, the reader assumes a global orientation to the narrative on the basis of which s/he assigns particular kinds of salience to the local patterns of meaning in successive segments of the text. Schematic approaches to narrative structure capture one (experiential) aspect of this global patterning. But the textual and interpersonal dimensions of a narrative's organization requires a different type of structure. These are explored in section 4.8 of this chapter.

What of the textual dimension of this hierarchy ? The way in which a text builds up its own 'instantial potential' is treated as 'logogenesis' in recent work on 'genesis theory' in SFL (see, for example, Halliday, 1992b, Matthiessen, 1993a). But **logogenesis** (or text development) only captures one aspect of the process. Within a specialized discourse formation in English, synopsis (a look-back perspective on text structure) always dominates logogenesis (the on-line, contingent perspective on a genre as it unfolds). In this discourse hierarchy, the global semantic interdependencies of a narrative are constructed through, yet nevertheless subordinate its local and serial interdependencies. In fact, as will be seen, **synopsis** incorporates not only a 'look back' but a 'look over' perspective. The former enables a reader to recapitulate a sequence of events or conversations; the latter enables him or her to draw inferences and make conclusions about these events or conversations, or about the connotative patterning over these. Global interdependencies are crucial to both kinds of synopsis.

However, both local and global interdependencies are 'transgrammatical' in that they are semantically related meaning complexes. The serial interdependencies are construed through logogenesis as the reader processes each segment of the text. These interdependencies are like the univariate structures of the logical metafunction (expansion and projection) in that they are recursive and unbounded. But they differ from these in that they are not grammatical dependencies. These semantic links between contiguous segments of text in a narrative are referred to as **Progressions** in this study. However, some segments of the narrative, although non-contiguous, can be semantically 'chunked together' because they appear to be alike or unlike in a specifiable way. These abstract complexes of meaning are referred to as **Metarelations** here. Both Progressions and Metarelations are examples, albeit at different levels of abstraction, of covariate relations and differ substantially from the multivariate structures which have dominated Labovian models of narrative. This distinction is taken up in greater detail in section 4.8.

The proportional textual hierarchy for specialized literacy practices in English, as identified in figure 3.5:

global: intrinsic

local: structures

can be rewritten for the psychological narrative as: Metarelations

Progressions.

The 'telos', or goal-directedness, of this genre encompasses all three dimensions of its meanings and the hierarchies are a metafunctionally differentiated representation of its macro-structure. The psychological narrative is a site for the exploration of an abstract and axiologically loaded problematic which can be discerned through attention to its pattern of global interdependencies. Whether or not this telos corresponds with any authorial 'intent' or even with the 'social purpose' of the genre is not at issue here. The point is to characterize the genre in such a way as to bring out those dimensions of its structure which are important to the interpretive practices rewarded in examinations. This representation of telos is richer than earlier ones within 'genre-based' curriculum. The purpose of the narrative is not simply 'entertainment'. We need to 'get at' its aesthetico-ethical function as well. The notion of telos advanced here assumes that the goal-directedness of the relatively 'closed' narratives of this corpus is metafunctionally distributed.

Finally, there is a relationship of **redundancy** (mutual expectancy) between these hierarchies such that, taken together, they define the context 'projected' by the request for a response to the examination narrative. What the 'A' students privilege in their reading will be the text's problematic, its guiding axiology and they will draw on their implicit knowledge of Metarelations in order to do so.

But, what is more interesting still is the fact that successful interpretations of these narratives do not simply 'kick off the traces' when it comes to their lower order meanings. Rather than simply naming 'the message' of the narrative, identifying its problematic, its axiology, its macro-structure, the 'A' students appear to re-visit the narrative's lower order meanings in terms of its higher order meanings. As chapter five will demonstrate in detail, these students 'do again' within their response what the narrative does through a different kind of poetics. They mimic within the poetics of their own response the poetics of the narrative. For example, they will selectively re-tell parts of the narrative (its event structure) from the point of view of its overarching problematic; they will re-enact as well as ratify its axiology by presenting the protagonist and his or her views in the same implicit way as the

narrative has done; and they will discern the global patterning of the narrative in some of its crucial local segments. In short, while they preserve the hierarchies of intertextual relations in the narrative, the 'A' students interpret lower order in terms of higher order semiosis.

Some aspects of SFL appear especially suited to the representation of the semiosis of particular discourse hierarchies. Grammatical functions such as 'sayer/locution' are crucial to the management of different 'voices' in the narrative, whereas 'Token/Value' is useful for construing different orders of abstraction, as in the event structure/problematic couple. 'Theme/New' is relevant to the construction of both 'focalization' and 'appraisal' while the logico-semantic systems of expansion and projection (which were developed by Halliday 1985a/1994 to model relations between clauses) can be utilized to model transitions between 'larger' units such as the sentence and the 'phase'. Each term relevant to the analyses will be explained more fully as it is introduced in the relevant section.

SFL is a rich resource for the development of 'design principles' for the representation of discourse. We can draw on it to describe not only grammatical patterns in a text but 'syndromes' of patterns which have implications for text-semantics. The foundations for such work have already been laid by Halliday (1981a and b and 1982), by Hasan (1971, 1985b, 1988a), by Butt (1988, 1990, and 1991), Lemke (1990, and 1992) and increasingly by Martin in his modelling of genre itself (see, for example, Martin, 1992b, 1996 and in press a). I now turn to a more detailed working out of these hierarchies, beginning with the experiential, moving onto the interpersonal and finishing with the textual dimensions of its semiosis.

4.6 What the narrative is 'about': an experiential perspective

There are three major things that need to be established at some point in the development of the psychological narrative: the **Habitus** of the protagonist, the **Challenge** which impacts on this and the return to some form of **Metastability**, in which the protagonist's habitus is either confirmed or overturned. These are the three overarching functions of the event structure of this kind of narrative. They are the experiential realization of its higher order discourse (hence the capital letters). The relation of each to the lower order Labovian stages of orientation, complication and resolution is explained briefly in turn.

4. 6. 1 Establishing a Habitus

The 'habitus' is a term taken from the work of Pierre Bourdieu to refer to the "systems of durable dispositions which ground individuals (and social systems) in certain, habitual ways of being and doing" (Bourdieu 1977: 72). As J. B. Thompson succinctly puts it: "the habitus is reflected in the whole way one carries oneself in the world, the way that one walks, speaks and eats" (Thompson, 1984: 53). The term seems particularly appropriate to narratives like these because it enables us to represent the preoccupations of the protagonist in both psychological (inner) and behavioural terms (outer). It is intimately linked to embodiment and is therefore suitable for reflection on 'character' in all its implications. Its more theoretical application also allows us to link the habitual responses of fictional characters such as the protagonist in a narrative to arguments about the interpellation of ideology in readers. Hasan (1984) uses a similar term, 'habitude', to describe the disposition of the main character in the nursery tale but Habitus is preferred here because it is a theoretical category which can usefully be applied to readers' textual practices as well as to literary characters and their behaviours.

The Habitus is established initially via the orientation stage of the narrative - which provides the reader with information about the immediate circumstances of the protagonist but also indirectly about the compulsion which 'drives' him or her - typically via a dominant fear or a desire. A habitus of insecurity or fear predominates in four of the texts of this corpus. In *CLICK*, Jenny responds to the pain of her domestic circumstances by retreating to the comforts of a celluloid world; in *Friend for a Lifetime*, Lorna responds to the discomfort of old age and isolation by resorting to memories of a less painful past; in *The Weapon*, Graham develops a habitus of rationalization and denial in the face of the dilemmas of his domestic and working life; and in *The Block*, Gavin escapes from the difficulties of his home life, finding refuge at the block. Only one of the narratives, *Feet*, inscribes a habitus of desire. Jane's attraction to Collier is a habitus of longing and, as such, is more active than those of other protagonists, who seek to protect what they have rather than to find what they don't.

The relevance of the Habitus has to be established early in the narrative if the reader is to understand the protagonist's reaction to

the events that follow. The orientation stage provokes awareness in the reader of the protagonist's Habitus. It is Jenny's compulsive attachment to television which helps us to understand her reaction to her loneliness and makes her confrontation with the road accident victim all the more shocking. It is Gavin's love for the block that enables the reader to empathize with his fury at the invasion of the Williamses, and so on.

However, the Habitus is not an alternative term for the orientation stage. It indicates the primary semantic function of the orientation stage in the psychological narrative for readers who are interpreting its significance as 'verbal art'. The Habitus may become apparent first in the orientational segments of the narrative, but it is vivified in the protagonist's reaction to the complication and either entrenched or overturned in the course of the resolution. The same applies to the other higher order terms, Challenge and Metastability. They cannot be linked to a syntagmatic ordering principle or to a constituency-type analysis of the genre. The Habitus, the Challenge and the Metastability are abstract semantic complexes rather than ranking constituents of discourse - and thus, can be identified only very loosely with particular stages of the narrative. In this respect, therefore, it is representationally unwise to position the Habitus over the orientation, the Challenge over the complication and the Metastability over the resolution. However, if we consider the orientation to be text-initial, and ignore possible difficulties with its realization as was noted for *Friend for a Lifetime*, it is possible to bring out differences in abstraction between the orientation and the Habitus in the following three narratives:

TEXT	ORIENTATION	HABITUS
CLICK	Jenny continues watching television even when her mother tries to talk to her.	Jenny tries to avoid her loneliness through the vicarious intimacy of television soaps.
Friend for a Lifetime	Lorna looks at her address book and recalls a lifetime of friends and acquaintances.	Lorna tries to escape the pain of her present enfeeblement by reliving the past.
The Weapon	Dr Graham sits alone and thinks about his work and his disabled son and the impact on his life.	Graham has a habit of rationalizing about his work and his son's disability.

Table 4.1: The relation between Habitus and orientation in three narratives.

4. 6. 2 Inserting a Challenge

Something always happens to destabilize the protagonist's Habitus. Labov called this something the 'complication' in his research (Labov 1972). The complication comes from the 'outside in', impacting on the protagonist's immediate situation directly and on his or her Habitus indirectly. This disturbing event could be a road accident, as in *CLICK*, a rejection, as in *Feet*, an ethical challenge, as in *The Weapon*, or the death of a friend, as in *Friend for a Lifetime*.

The **Challenge**, however, is not a construction of the complication alone but of the interaction between what Labov called the 'evaluative' and the 'referential' meanings of the text. The frisson between the evaluative (conscious) and the referential (material) is part of a broader phenomenon, which Halliday argues underlies all meaning-making processes: "Material processes are experienced as 'out there'; conscious processes are experienced as 'in here' (Halliday 1992a: 20). The Challenge is an effect of the contradiction between the material (in the outer world) and the psychological (in the inner world) and is construed by the reader out of the dialectic between the 'referential' and the 'evaluative' functions in narrative.

Of course, the protagonist's perception of the Challenge will often vary from that of other characters. It is limited by the subjectivity of the protagonist and his or her capacities for change. In this sense, the Challenge facing the protagonist needs to be distinguished from the problematic addressed by the narrative as a whole. In fact, the Challenge also needs to be analytically separated from the complication and what Martin calls the 'disruption' (see Martin 1996).

The **problematic**, as mentioned earlier, is equivalent to the literary 'theme' or 'thesis' of the narrative. It is a product of the interaction between all the higher order categories. The **complication**, however, is the event or news which provokes the Challenge - the road accident in *CLICK*, the news of Allison's death in *Friend for a Lifetime*, the news about the imminent loss of the block in *The Block*, and so on. A **disruption**, however, is a localized disturbance in the flow of events at the level of 'field' - a potential challenge which the narrative does not make 'emic' or salient (Martin, 1996). An example of a 'disruption' can be found in *CLICK*, where Jenny's mother first tries to rouse her attention and fails. It tells us something about Jenny's attachment to television but does not drive the action forward in any significant way.

There is an increasing level of abstraction and contextual 'range' from the disruption up to the problematic. The problematic is text-wide in significance; the Challenge is construed through the interplay between the complication and the evaluation stages of the narrative; and disruptions can be relegated to localized segments of the unfolding narrative. The relation between the Challenge and the complication is exemplified in table 4. 2:

TEXT	COMPLICATION	CHALLENGE
CLICK	Jenny discovers the road accident victim.	Can Jenny continue to watch television soapies compulsively in the face of their phony unreality ?
Friend for a Lifetime	Lorna hears about Allison's death.	Can Lorna continue to endure the illusion of solidarity with Allison when her friend is dead and she is alive ?
The Weapon	A stranger disrupts Graham's evening and challenges the ethics of his work on 'the ultimate' weapon.	Can Graham get rid of the 'crackpot' who thinks that his work is 'more likely than that of any other man to end the human race's chances of survival' ?

Table 4. 2: The relation between the Challenge and the complication in three of the narratives.

4. 6. 3 Returning to a metastable order

The stability to which the narrative returns its event sequence transcends that represented by the resolution of the complication. When Gavin rids himself of the intruder, when Lorna decides to follow Allison even to death, when Graham gets rid of the stranger, the complication (as the protagonist sees it) is resolved and the Challenge dealt with in some way. But the higher order stability which the narrative invokes is not co-extensive with the resolution.

The term **Metastability** is taken from Lemke (1995) who sees social and biological systems as 'dynamic open systems' which maintain stability through a constant exchange with their environment. Such systems are metastable because they evolve and can incorporate challenges from the environment. Just as the protagonist needs to

resolve the tension produced in his or her Habitus by the complication, so also the reader needs to resolve the dialectic between the oppositions set up by the narrative. The complication presents a threat to the security or desires of the protagonist but this is not, finally, a serious threat to the status quo of the culture to which s/he belongs. As Belsey notes: "Classic realism recognizes the precariousness of the ego and offers the reader the sense of danger and excitement which results from that recognition. But the movement of classic realist narrative towards closure ensures the reinstatement of order, sometimes a new order, sometimes the old order restored, but always intelligible, because always familiar" (Belsey, 1980: 75). Of course, it is a big step from the relatively micro metastable world dramatized in these narratives to the macro eco-social worlds envisaged in Lemke's description. Nevertheless, narrative is a powerful stabilizing (and potentially de-stabilizing) mechanism in the social order.

It is the **Metastability** which enables us to interpret the final state of the protagonist's Habitus. If the protagonist experiences a 'change of heart', then his or her Habitus is (temporarily at least) overturned. In the case of *CLICK* and *Feet*, the resolution of the complication parallels the restoration of the metastable social order for the reader. Jenny and Jane move away from their respective fantasies and embrace reality, however reluctantly. And it is no accident, ideologically speaking, that their behaviour is morally sanctioned. In both cases, the protagonist's Habitus is an apt carrier for the reader's habitus. The reader shares vicariously in the struggle and breakthrough of the protagonist to new awareness of and adaptation to reality.

If the protagonist does not experience a 'change of heart', however, then his or her Habitus is entrenched as a result. In the case of *The Block*, *The Weapon* and *Friend for a Lifetime*, the protagonists' resolution of the complication does not parallel the restoration of order for the reader. Gavin, Graham and Lorna fail to interpret the implications of events and resist the opportunity to move in a positive direction. Gavin succumbs to murder, Graham to rationalization and Lorna to suicide. Their methods of resolving the complication are morally reprehensible and consequently, these protagonists are unsuitable carriers for the reader's habitus. The ideological message is covert but all the more powerful as a result: readers, like protagonists must adjust to 'what is' and behave in morally sanctioned ways.

In the **Metastability**, the reader recognizes the 'problematic' of the narrative and the higher order significance of the 'twist' at the end.

This finalized insight is implicated either by a projection of some kind (idea or quote) or a figurative trope. The relation between the resolution and the Metastability is exemplified in table 4.3 :

TEXT	RESOLUTION	METASTABILITY
CLICK	The accident victim is removed and Jenny returns to her room and turns off the television.	"CLICK. The television switch sounded through the room like a padlock snapping open."
Friend for a Lifetime	Lorna decides to stop living.	"If Allison could do it, so could she."
The Weapon	Graham ejects the stranger but discovers he has left a loaded gun with his son Harry.	"Only a madman would leave a loaded gun with an idiot."

Table 4. 3: The relation between the Metastability and the resolution in three of the narratives.

Keeping in mind the earlier caveat about the representational problems of identifying higher order functions with lower order event sequences, we can highlight the experiential hierarchy for the psychological narrative as follows:

	STAGE1	STAGE2	STAGE3
Problematic	Habitus	Challenge	Metastability
Event Structure	orientation	complication	resolution

The relation between problematic and event structure can be represented as one of **Token to Value**. This grammatical motif orders elements of structure as a move from concrete to abstract. Within an intensive identifying relational clause, for example, as Halliday puts it "one element will be the Value (meaning, referent, function, status, role) and the other will be the Token (sign, name, form, holder, occupant)" (Halliday: 1985a: 115). Thus when Niemand says "Doctor Graham, you are the man whose scientific work is more likely than that of any other man to end the human race's chance for survival" (*The Weapon*: 29) he is construing Graham as Token for the Value of human destructiveness.

But the identifying relational clause is just one grammatical

means of realizing the general relationship of 'y = x'. This relationship of **elaboration** (typically represented as an equals sign, or =, in Halliday 1985a/1994) can be realized across a variety of grammatical environments (see Halliday and Martin 1993: 149-152 for an application of this insight to scientific discourse). There is the general phenomenon of apposition, in which one clause elaborates on another; e.g. "And to how many men is given a child, who will always be a child, (=) who will not grow up to leave him ?" (*The Weapon*, 9). But the same motif can be replayed at other ranks, as in the following elaborating nominal group: "Dr. James Graham, (=) key scientist of a very important project, sat in his favourite chair, thinking" (*The Weapon*, 2). Or an immediate experience can be elaborated so as to bring out its psychological significance, as in the following sequence of processes from *CLICK*: "For a second, Jenny wanted to switch the channel, (=) to escape the girl's face. (=) She wanted to turn off its realness" (*CLICK*: 79-80). The category of Token/Value highlights the move in abstraction from the concrete event structure of the story line to the problematic of the narrative, which can be couched as an existential question. The proportionalities (expressed in terms of mathematical ratios) are displayed in table 4.4:

TEXT	EVENT SEQUENCE : TOKEN	PROBLEMATIC : VALUE
CLICK	Jenny watches television compulsively until this is interrupted by her discovery of the accident victim. Her discomfort makes her turn off the television.	Can the protagonist escape the 'real world of death and unhappy endings' through the 'fantasy world of television ?
Friend for a Lifetime	Lorna lives alone with her memories, especially those of her lifetime friend, Allison. She decides to ring her friend, only to find that she has recently died. Lorna is upset and decides to follow her friend.	Can the protagonist avoid the pain and isolation of old age by retreat into a world of memories ?
The Weapon	Dr. Graham is challenged by a stranger on the ethics of his work on the weapon. Graham rids himself of Niemand only to find that he has left a loaded gun with his disabled son Harry.	Can the protagonist continue to escape the ethical consequences of his life and his work ?

Table 4. 4: The relation between the event sequence (as token) and the problematic (as value) in three of the narratives.

It is a matter of interest that the lower order categories - because event-focussed - are subject to phasing, disruption and other temporal (and spatial) forms of delay. For example, the Challenge can be deferred, defeated, re-asserted etc, but it must come sooner or later, because it is the higher order function of the complication. The resolution may or may not result in the protagonist's reconciliation with the norms of the socio-cultural order. The important harmony is the higher-order harmony which is given by the culture and is typically reinforced by the closure inherent in the notion of Metastability.

An experiential representation of the intertextual relations of the genre makes it necessary to distinguish the ideological function of the narrative from the event structure by which this is constituted. This depiction also solves some of the problems posed by phenomena such as recursion (eg. more than one complication), deferral (eg. a complication delayed until the end of the narrative) and non-canonical event sequences, (eg. a narrative which starts with its complication, as in most detective stories) for modelling of narrative structure. These features affect the syntagmatic structure of its temporal unfolding and can be dealt with separately from analysis of the narrative and its problematic.

In sum, the event structure of the story is in the service of the problematic of the narrative. Features of schematic structure (the stages of the narrative) are lower order syntagmatic categories while the Habitus, Challenge and the Metastability are higher order paradigmatic abstractions which (in spite of its representation in the above figure) are not linked to sequence in any absolute way.

4.7 How we respond to 'what happens': an interpersonal perspective

I turn now to the interpersonal hierarchy of the psychological narrative and its syndromes of meaning. Along this dimension, we focus on the axiological function of the genre - its design on its potential readers. As Bakhtin reminds us, secondary written genres such as this are every bit as 'dialogical' as the primary speech genres of everyday life. Like the rejoinder in spoken conversation, the literary work: "is oriented towards the response of the other (others), toward his active responsive understanding, which can assume various forms: educational influence on the readers, persuasion of them, critical influence on followers and successors and so on. " (Bakhtin, 1986: 75 my

italics). All the texts of this corpus are oriented towards the 'active responsive understanding' of their readers - inviting them to take an evaluative position on the characters and events as they unfold.

However, as the discourse hierarchy makes clear, the reader's responsive understanding cannot be identified with the evaluations made by characters 'inhabiting' the world of the narrative. The 'addressivity' of the narrative ensures that many voices may be heard in the course of reading such texts, but the enunciative status of these voices is not assured. In fact, the evaluative position constructed for the reader by the implied author (i.e. the axiology of the text) cannot really be identified with a voice at all. As Seymour Chatman has remarked:

Unlike the narrator, the 'implied author' can *tell* us nothing. He, or better, *it* has no voice, no direct means of communicating. It instructs us silently, through the design of the whole, with all the voices, by all the means it has chosen to let us learn.

[Chatman, 1978: 151 author's italics]

As Toolan expresses this notion, the 'implied author' (like the 'implied reader') is 'a position not a role' in narrative discourse (Toolan, 1988: 78).

For purposes of analysis in this research, I assume that 'implied author' and 'implied reader' are "no more - and no less - than necessary fictions, guaranteeing the consistency of a specific reading without guaranteeing its validity in any absolute sense" (Suleiman and Crossman, eds 1980: 11). In specialized reading formations, however, we can assume that the dialogism between 'implied author' and 'implied/ideal reader' is mediated by the text and that the responsive understanding of the reader is not left to chance. It is the text which mediates the significance of the voices and their evaluations and its semantic patterning creates an identifiable space from which the reader can appraise the evaluations of the different characters and their voices.

With respect to the interpersonal function of this genre, then, we need to consider the whole text as dialogic, not just those 'conversational' parts of it marked by shifts of speech function and turn-taking. Bakhtin argued that linguistics has failed to account satisfactorily for the 'internal dialogism' of all discourse:

Dialogue is studied merely as a compositional form in the structuring of speech, but the internal dialogism of the word (which occurs in a monologic utterance as well as in a rejoinder), the dialogism that penetrates its entire structure, all its semantic and expressive layers, is

almost entirely ignored. But it is precisely this internal dialogism of the word, which does not assume any external compositional forms of dialogue, that cannot be isolated as an independent act, separate from the word's ability to form a concept of its object - it is precisely this internal dialogism that has such enormous power to shape style

[Bakhtin, 1935/1981: 179]

The 'internal dialogism' of the psychological narrative is tendentious. It solicits an active response to the values which the text evokes and inscribes. All the 'voices' and their evaluations are subordinated to this higher order axiology, even if some of the voices converge and others diverge from it. Therefore, given the hierarchy:

protagonist's evaluation,

we need to reconsider the function of the Labovian construct, the evaluation. The evaluation serves a crucial but limited function when it comes to the text's axiology. Furthermore, we are not dealing here with an axiology akin to the sermon or the moral lesson. The psychological narrative is far more subtle than this: agnate to the 'modulated declarative' rather than to the 'imperative', grammatically speaking. It invites empathy as the ground on which ethics goes to work. Judgement is always implicit, certainly in these texts.

Section 4.7.1 builds on the Labovian representation of evaluation and extends this in the direction of a fuller account of the 'interpersonality' of the narrative. Following this, section 4.7.2 takes up the matter of how the text elicits a particular response in the reader. Implicit forms of appraisal are crucial to this and cannot be captured by the notion of evaluation, which is an explicit form of appraisal.

4.7.1 Evaluation: a gateway to lower order interpersonal meaning

Evaluation is that segment of any text (its scope is intra and inter clausal) which underscores the importance of events for the narrator or another text participant. It conveys his or her 'personal involvement' in the story (Toolan, 1988: 156) and it articulates the contextual nature of its significance (Chambers, 1984: 3). Ross Chambers maintains that "as far as narrative goes, common language has always recognized the contextual nature of meaning through the concept of 'point'" (Chambers, 1984: 3). Unlike the **referential** function which, as

Labov and his colleagues argue, deals with the linear ordering of events, the action of the story, the **evaluative** function of personal narratives 'suspends the action' and comments on it in some way (Labov and Waletzky, 1967: 35). It is well established that listeners and readers view the evaluation as essential to a well-formed and interesting narrative. Both Labov (1972) and Rothery (1990) have observed that narratives without an evaluation tend to be 'flat' and uninteresting.

As noted previously, in the Labovian representations of narrative structure in educational linguistics, evaluation is modelled as a 'discrete' element of the text. But, as some systemicists themselves have noted, particulate, constituency-type representations tend to distort the picture when it comes to interpersonal and textual meanings (Halliday, 1981a and 1981b, Matthiessen, 1988). They also limit models of text structure (Martin, 1992b and in press, a). The notion of the 'evaluation stage' does not enable us to depict those moments of significance-creation which regularly punctuate the event sequences of the narrative. The characters think, react, speak and all of these 'voices' give salience to the action segments of the text. Furthermore, the evaluation includes both the characters' internal reactions as well as their verbalizing of these. These evaluative meanings are rhythmically interspersed with the more event-focussed, referential segments of the unfolding narrative.

Considered from this perspective, evaluation is better represented as a **vector** running through the narrative rather than as a discrete stage because it is dynamic in its negotiation with the reader and it has momentum and direction interpersonally. The relation between evaluation and the two orders of experience in the narrative can be modelled as a series of intersecting circles (the stages are not categorically distinct). Figure 4. 2 represents the narrative in terms of semantic 'spaces' which are all underscored for significance by the evaluation vector.

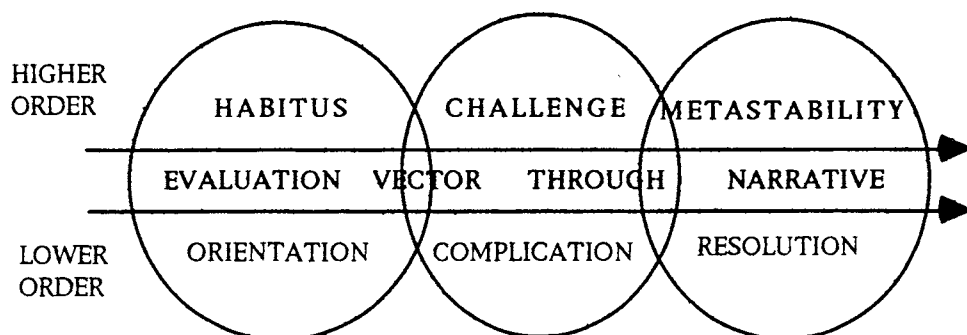


Figure 4. 2 : Evaluation as a vector rather than a stage

The evaluative segments of the narrative are prototypically projected as **ideas** or **locutions** - as internal to a character (in which case as ideas) or as external (in which case as locutions). It is interesting to note, in this connection, that of the five types of evaluation noted by Labov, four of these are (in their prototypical form) projections. Labov organizes these as a cline from external evaluation (in which the narrator stops the narrative and turns to the listener, telling 'him' what the point is) to wholly embedded evaluations (in which a third person is introduced, who evaluates the actions for the narrator) (Labov, 1972: 371-373). In the written texts of this corpus, we are only dealing with embedded evaluations. This is to be expected. In texts of this kind, the author does not speak in a given language so much as 'through' it, by 'ventriloquating' his or her voice through those of the characters (see Bakhtin, 1981: 299 for a discussion of this).

Projection is a crucial linguistic resource in the negotiation of narrative significance. But the kind of projection which is utilized varies according to whose evaluative stance is being invoked in the narrative. In these texts, this depends on the perspective from which events and other characters are presented. And, here, we are back again to the notion of **focalization** mentioned earlier. If focalization is external, then the point of view lies outside the consciousness of the focalizing character. If it is internal, then it is character-bound. The latter is particularly important in a consideration of how these texts 'position' their reader. A reader's identification with a particular vision depends on internal focalization. As Bal puts it, "If the focalizer coincides with the character, that character has a technical advantage over other characters. The reader watches with the character's eyes and will, in principle, be inclined to accept the vision presented by that character" (Bal, 1985: 104).

The **projection of ideas** occurs only in cases of **internal focalization**. In the case of *CLICK*, for example, because it is Jenny who is internal focalizer, we learn about Jenny's vision of things mainly through **Mental processes** of cognition and perception such as the following: "In the back of her mind, Jenny thought she heard her mother say something. Then she heard the hallway door close." (*CLICK* 29-30). In *The Block*, it is Gavin who filters the internal significance of all that happens" "What followed I don't really remember. There are some sorts of things - defeats mainly - my memory refuses to work on. I know there was a fight." (*The Block* 76-78). All that happens in these stories is

reflected through the consciousness of the main character. Of course, his or her internal evaluations often contend with the external evaluations of other characters. But projection is a crucial resource in this respect also.

The **projection of locutions** coincides with **external focalization**. **Verbal processes** can be projected by the protagonist and by any of the other characters, whereas mental projections come only from the protagonist in the narratives of this corpus. In *CLICK*, for example, the locutions (or comments) made by both Jenny and her mother complement the picture of alienation produced via Jenny's ideas (or reflections). "See you later Mum.' Jenny didn't say it very loudly. Her mother wouldn't have heard it anyway." (*CLICK*, 31-33). The viewpoint of her mother is mediated only externally, through her comments to Jenny, which impact on her as if she is in a trance: "Jenny, what are you doing tonight ?' Her mother's words floated into Jenny's mind. But she didn't answer. 'Jenny' This time her mother's voice demanded an answer." (*CLICK*, 14-18). But through the contention between internal and external voices, we quickly get the picture of mutual alienation in their relationship. The same verbal struggle occurs in *The Block*, between Gavin and his mother. The ideas and locutions projected by each character here reveal a frightening level of hatred in their relationship:

I put up with all the usual talk about choice of schools and 'Isn't he big for his age'. Then without warning: "Well darling," said my mother, "and what do you think of the Williamses here moving into that vacant block you're so keen on?" Helplessness against adults was such a habit with me that in a second of panic I betrayed all my possessions and thought only of compromise. "How much are they taking ?" I asked. "Why all of it you duffer !" she laughed. "They're going to build on it." "Well you shouldn't have let them", I shouted. "It's not right. It's our vacant block." I was clinking together in my pocket the two or three jagged stones of perfect ballistic shape that I carried for use in emergencies.

[*The Block*, 31-41]

Although projection is the primary grammatical resource for both internal and external focalization, it is important to analytically separate **focalization** (Who sees ?) from **voicing** and **sourcing** (who speaks ?) when it comes to the depiction of point of view. Mieke Bal (1985) and Michael Toolan (1988) have both stressed the importance of this. Bal, for

example, emphasizes the need to "make explicit the distinction between the vision through which the elements are presented and the identity of the voice that is verbalizing that vision: i.e. those who 'see' and those who 'speak'" (Bal, 1985: 101). This is especially important when it comes to free indirect discourse in narrative and its blurring of the distinction between external and internal focalization.

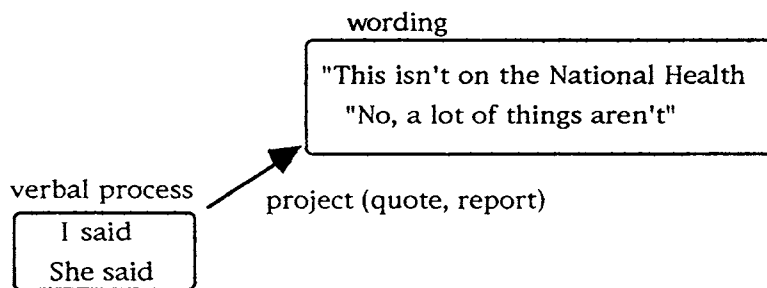
As Halliday describes it, free indirect discourse creates a kind of anomalous 'projection space' which combines features of both quoted and reported discourse (Halliday, 1994: 260). It retains the independence of parataxis while remaining free of a projecting clause. **Free indirect discourse** evaluates indirectly and is used often in both *CLICK* and *The Weapon*. In one highly amplified moment of evaluation in *CLICK*, for example, we read, "She wanted to turn off its realness. But the girl wasn't part of her television world. She was part of the real world of death and unhappy endings." (*CLICK*, 80-82). It is very difficult to discern the source of Jenny's insight here; is it the author (referred to here as first-order narrator) or the protagonist? In free indirect discourse, "the voice of the author and the character, or the reporting and the reported contexts, appear almost indistinguishable" (Danow, 1991:101).

Projection mediates two orders of significance in the interpersonal hierarchy just as the Token/Value relation constructs two orders of significance in the experiential hierarchy. These linguistic resources both facilitate and reflect hierarchies of semiosis. Matthiessen explores the proportionalities between the 'relational' and the 'verbal model' of semiosis as follows:

Embodied in language is a reflection of its own nature as a semiotic system. Language allows us to reflect on itself - to talk about talk, in Firth's terms, to create its own metalanguage, or however we choose to put it. As already noted, the theory of the sign rests on the relational model of Token + Process + Value. Alongside this model favoured by the traditional semiotician we find the verbal one (Halliday, 1985: 129-30; section 7.5) - as in:

I said, "Well this isn't on the National Health"
and she laughed
and she said "No, a lot of things aren't".

This verbal model is a construal of the act of semiosis itself: Sayer + Process (I said) projecting (i.e. quoting or reporting) something as a wording:



[Matthiessen, 1991: 73]

Within the dialogism of the narrative, considered as verbal art, the relation between Token and Value parallels that between projecting and projected clauses. The projecting clause, sometimes called an 'inquit tag' in narratology (Cohn 1978, Stephens, 1992) is the verbal equivalent of the token and the projected clause is the verbal equivalent of the value. This can be exemplified as follows, using evaluations from *The Weapon*:

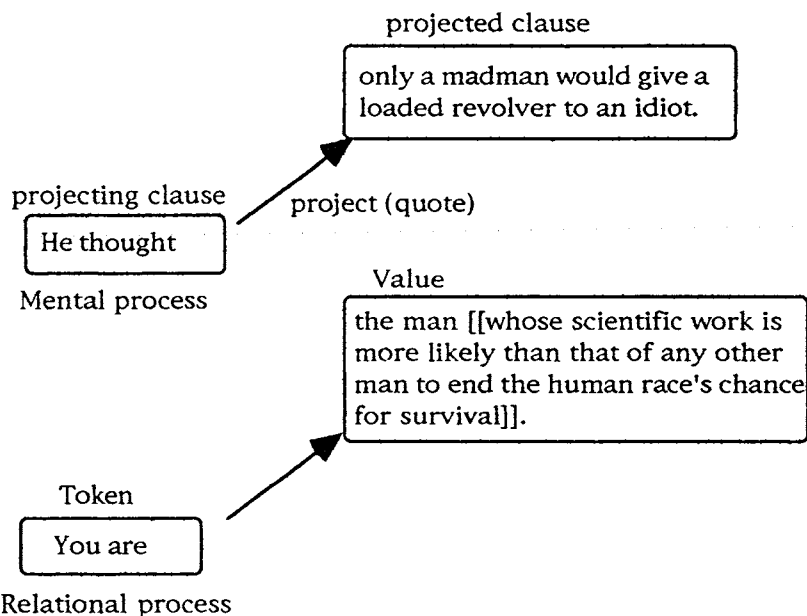


Figure 4. 3: The parallels between the relational and the verbal models of semiosis in narrative

Of course, not everything that is said is evaluative in function. Some locutions have a performative function; they act on rather than react to others. The injunctions of Jenny's mother in *CLICK* or the announcement of the bleak news about the block by Gavin's mother in *The Block* both have the same impact on the protagonist as 'material' events like Jenny's encounter with the accident victim in *CLICK*. A strong classification between 'doings' and 'sayings' such as

Labov (1972) maintained in his research, is not useful when it comes to the psychological narrative (see Toolan, 1988: 157-160 for a discussion of 'saying' as an important form of 'doing' in narrative). In general, the 'sayings' of others are just as important as their 'doings', a fact which is exploited symbolically by Niemand in *The Weapon*. In fact, it is the (often contradictory) complementarity of doings, sayings and thinkings that is crucial to the construction of narrative axiology. But all locutions are treated as external for purposes of illuminating the 'internal dialogism' of different voices in the narrative.

How is the complementarity of 'doings', 'thinkings' and 'sayings' managed by the reader in his or her interaction with the implied author? The play of voices is managed, I suggest, through the internal dialogism of the narrative - which interweaves internal and external focalization, the moves between one evaluation and another, between one kind of experience and another. Modelling this dialogism, however, requires the development of semantically principled criteria. Without the consistent application of such criteria, one 'cut' between one segment and another is as good as another and attempts to model the unfolding dialogism of a text remain idiosyncratic.

At this point it is necessary to introduce the concept of the 'phase', which is utilized in this research to 'chunk together' semantically-related parts of the text. Like other categories such as the 'message complex' (Eiler, 1978), the 'rhetorical structure' (Matthiessen and Thompson, 1988) and the 'rhetorical unit' (Cloran, 1995), the **phase** is a unit of analysis intermediate between text and clause which enables us to 'chunk' texts according to specifiable criteria. The kind of consistency assumed to obtain within one chunk and another will vary according to the criteria chosen and the degree of delicacy of analysis undertaken.

The category of **phase** is associated principally with the work of Michael Gregory and Karen Malcolm who use it to "characterize those stretches of discourse in which there is a significant measure of consistency and congruity in what is being selected from the three metafunctional resources of the language" (Gregory, 1988: 318, and see also Malcolm, 1983 and Gregory and Malcolm, 1981). A unit like phase is necessary if we are to describe the linear progress of a text as it unfolds - if we are to model the 'internal dialogism' of a text. With respect to the use of phase in this genre, the movement from 'internal' to 'external' focalization (perspective) and from one voice to another (source) is semantically criterial for distinguishing between one phase and another.

The 'internal dialogism' of the text can thus be modelled as a negotiation between the **external domains of experience** (including projected locutions which act on and react to others' comments) and the **internal vector** of protagonist's perceptions and reflections (including projected ideas and equivalent realizations of internal evaluation). The 'external' experiences which are part of the protagonist's familiar world are allocated to the **habitual domain** whilst those which are 'disruptive' of this are seen to be part of the **intruding domain** of experience. The meanings which implicate the protagonist's Habitus are principally found in the habitual domain, while those which contribute to the Challenge are found in the intruding domain.

There are three metafunctional criteria which are relevant to decisions about where each phase begins and ends. The **textual** criterion relates to the point of departure for each clause complex. The local point of departure for each clause in a clause complex is realized by choice of **Theme** - the elements which come first in the clause (up until the end of the first element in transitivity). A related pattern of Theme choices in a phase creates a continuity of expectations about what the phase is 'on about'. Theme reflects 'speaker-oriented prominence' and is important to the management of point of view in narrative.

The **experiential** criterion for distinguishing between phases is the **type of process** chosen to encode experience in each clause. This is related at a primary degree of delicacy to choices for internal or external focalization and at a secondary level of delicacy it situates the reader in the experiential world being explored at the time. A semantically consistent pattern of processes gives the phase an experiential unity.

Finally, the **interpersonal** criterion has to do with listener-oriented prominence, which is realized in the pattern of **News** throughout a phase. In written texts, the unmarked choice for New falls on the final half of the clause, technically speaking, on its final clause-level constituent. The News of each text contains most of its evaluative material (see Fries, 1985 on this). A more detailed exploration of Theme and New is undertaken in section 5.4 of the next chapter.

Patterns of similarity and contrast in the choices from each metafunction give each phase a distinctive 'valeur' and enable us to decide what kind of phase for purposes of analysis of narrative and how it positions its readers. In the early part of *CLICK*, for example, the combination of Themes to do with the protagonist, such as 'Jenny' with Mental processes of cognition or perception (e.g. "Jenny thought about ...")

or "Jenny daydreamed about..") enables us to view the phase as negotiating the significance of events, in short, as **internal focalization**. On the other hand, Theme choices to do with the world of television combined with Material processes to do with its associated events (e.g. "On the screen the mother was holding ..." or "Secret Loves ended...") indicate that the segment is part of a phase which is outside the protagonist's consciousness, in short, an example of **external focalization**. And, when we discern a connotative 'loading' over lexicogrammatical choices at the end of each clause (e.g. 'in her arms', 'the sex-appeal toothpaste', 'with her boyfriend in a sportscar', 'through his hair' etc), we are persuaded that such clauses are interpersonally (in the sense of evaluatively) 'of a piece' also.

The 'semantic drift' of a phase is always interpersonal as well as textual and experiential. But the interpersonal 'aura' of a phase is usually an effect of an evaluative trend in the pattern of News rather than of one or two isolated lexical items. Furthermore, an impression of happiness such as is created over the television world in *CLICK*, is typically underscored by means of its contrast with other worlds, in the case of *CLICK*, with the intruding world of 'reality'. In *CLICK*, images of intimacy and allure which predominate in phases to do with 'the television world' are reinforced by their contrast with images of alienation over phases to do with the world of 'reality'. In this way, each phase not only constructs a possible world but covertly instructs the reader in how to value this world. And because the significance of each external phase is mediated via internal focalization, we come to 'see' and value experience in each domain as the protagonist does.

Figure 4.4 demonstrates the oscillation between internal and external focalization and between different kinds of projection for phases 1l-1q in *CLICK*. Passages of free indirect discourse are construed as constructing 'external' experiential domains, but their ambivalent status with respect to focalization and evaluation is imaged through the use of italics and curly brackets.

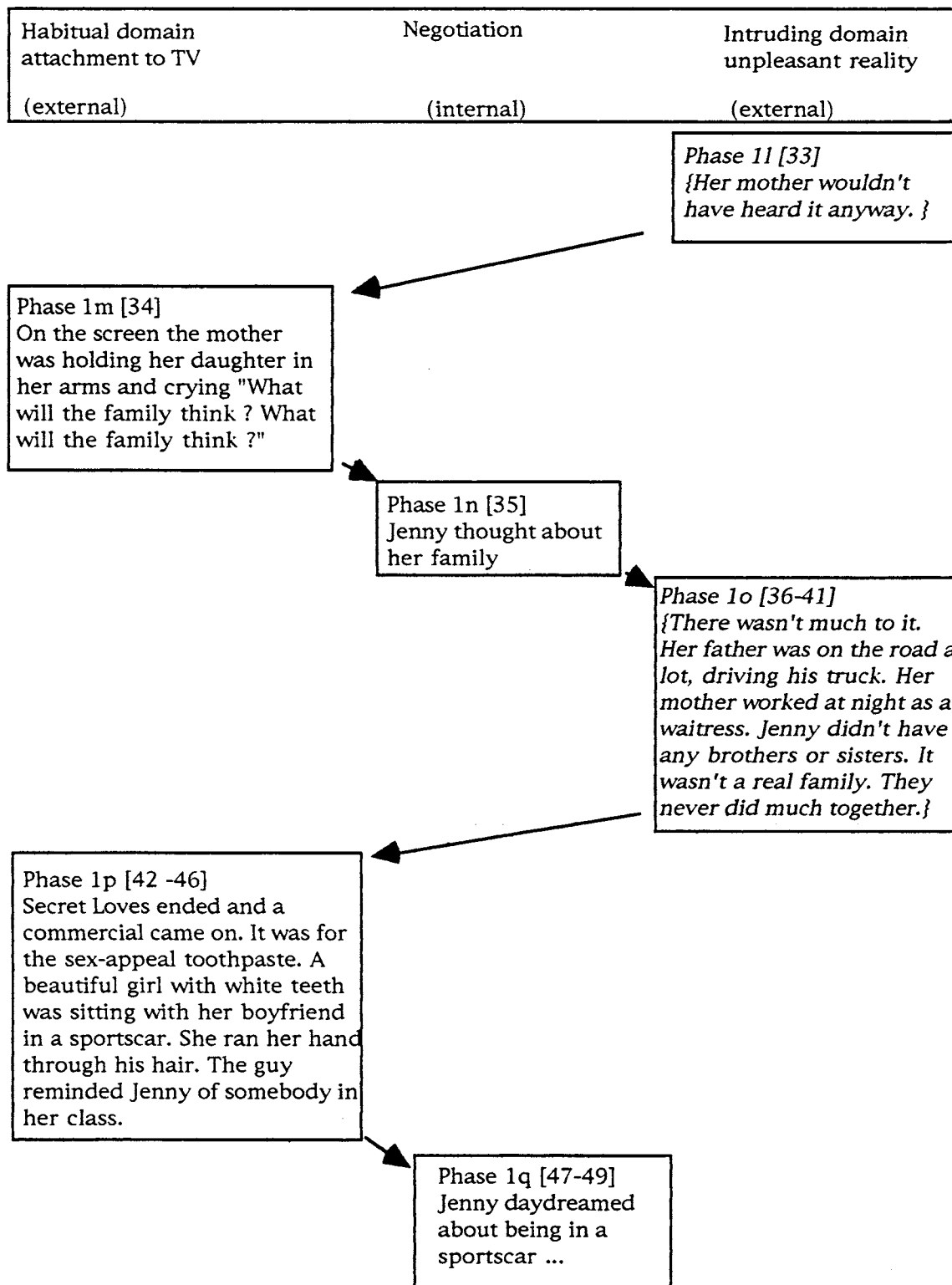


Figure 4.4: Interweaving of internal and external domains in CLICK

Tables 1a-1e in Appendix 2.1 display the movement between internal and external phases in each narrative (although it will be observed that the displays in these tables are combined with micro-level

analyses of MEDIATION for each sentence in each phase, a matter which will be dealt with a little later in the chapter).

The discourse unit **phase** enables us to make more delicate statements about the interaction between author and reader than is possible using the unit of generic **stage**. But they are not incompatible. The stage is a useful category for characterizing major changes in the event structure of the narrative. Examples of such changes are: the arrival of and challenge by the stranger in *The Weapon*, the announcement of news about the Williamses in *The Block*, the rejection of Jane by Collier in *Feet* and the encounter with the accident victim in *CLICK*. These major developments in the action do coincide roughly with the complication stage of the narrative. But it is not necessary to posit a bi-unique relation between each change in the event structure with the Labovian stages orientation, complication and resolution. This kind of representation only reinforces tendencies to essentialize analysis and to miss much of the 'generic play' in even the most canonical of narratives.

Evaluation is not, of itself, a higher order activity. It mediates the significance of events for text participants who are 'inside' the possible world of the narrative. But it is crucial to the construction of both inwardness in the protagonist (via internal focalization) and adjudication of his or her behaviour by others (via external focalization). Its function with respect to the negotiation of the protagonist's subjectivity has already been dealt with and exemplified in figure 4. 4. But its function with respect to adjudication is also important.

The verbal evaluations of minor characters like Gavin's mother in *The Block* or Carson in *Feet* or Niemand in *The Weapon*, for example, provide a 'locution' counterpoint to the 'ideas' of the protagonist and open up competing points of view on his or her habitus. The voice of the **intruder** transgresses the limits and defences of the protagonist. Sometimes the intruders are sympathetic to the protagonist, but more often not. Gavin's mother, for example, proffers a very unsympathetic response to Gavin's feelings for 'the block', while Jenny's mother is less intrusive, although still quite injunctive nevertheless.

The role of the **intruder** can be a well-developed one in the narrative, as Niemand is in *The Weapon* or barely sketched in, as the telephonist is in *Friend for a Lifetime*. In all five narratives, here, they can be identified with the voice of 'adjustment to reality'. Typically, the internal and the external evaluative voices deconstruct each other, although this process is always contained within the text's centralizing

axiology. It is possible to model the interlacing of the injunctive voice of the alien with the reflective voice of the experiencing protagonist in stage 1 of *CLICK*. Figure 4.5 shows how the external voice of Jenny's mother impacts on Jenny's internal voice (and habitus).

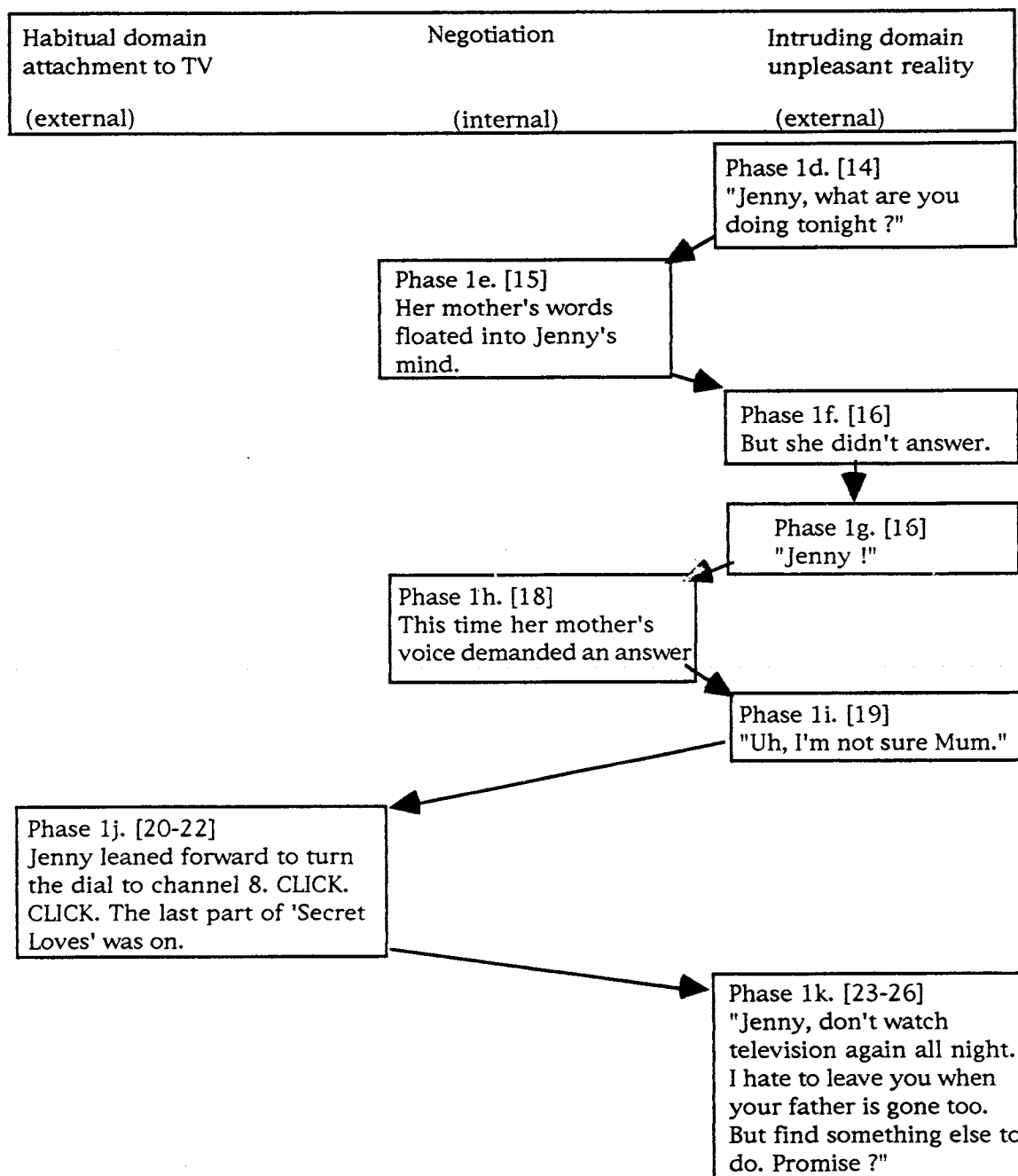


Figure 4.5: Interweaving of intruder and protagonist voices in stage 1 of *CLICK*

Projection is a linguistic resource which creates empathy, ironic detachment and judgement. It enables the author to incarnate the different subjectivities of text participants of the narrative's 'possible

world' but also to distance them from the value position which the text makes available for the attentive/compliant reader. By treating the desires, fears and views of this or that character as projected, the author is able to thereby position them as 'other' and hence as contingent. This grounding and distancing of the subjectivities in play in the narrative, makes evaluation vital to the reader's discernment of the protagonist's Habitus in the orientation, the Challenge in the complication, and the Metastability in the resolution. Evaluation is the (explicit) gateway to the overarching significance of the event sequence for the protagonist and, in cases where the compliant reader's habitus is aligned with the protagonist's, for the reader too.

Of course, not all evaluations are equal in this respect. We always need to ascertain whether they contribute to lower or higher order salience - whether they are local or global in significance. **Global evaluations** are significant for the text as a whole: they 'go somewhere': there is 'reach' across more than one segment of the text and they foreshadow what is to come or presume what has been dealt with already. Global evaluations tend to highlight the abstract significance of event sequences and to redound with (symbolically reconstrue) the connotative meanings of other phases of the narrative. In other words, as will become apparent in the next section, global evaluations underwrite explicitly the more implicit forms of appraisal of other parts of the text. The first phase of *The Block* is a good example of a global evaluation:

I hated him from the first. Not, of course, in any simple emotional way - though I could be quite emotional in those days - but with patience and determination. There was, I believe now, nothing personal in it. He was simply a certain type of human being. And, even as a child, I knew that if his type was allowed to take over, the rest of us might as well be dead.

[The Block, 1-5]

This segment of text is overtly teleological in its drift. It points forward, in an unusual advance rationalization of the protagonist's actions, to his later murder of the, as yet, unspecified male. In what is essentially an 'abstract' for what is to come, Gavin justifies his hatred on the grounds that he needs to cleanse the human race of this 'certain type'. And, indeed, there is a redundancy between his viewpoint and Michael's later brutish and insensitive behaviour when he visits the block.

Local evaluations, however, are more constrained in their significance. Although they build up a picture of the inner world of the protagonist, they tend to be context-setting in function. For example, in *The Block*, when Michael takes off on his bike after Gavin hits him under the ear with a stone, the narrator reports: "Then I was frightened". Or, in *CLICK*, Jenny's reaction to her mother's warnings reinforces the suggestion that she is 'tuned out': "In the back of her mind Jenny thought she heard her mother say something". But the long-term significance of this reflection is not underscored in the same way as her later evaluation of the accident - which is global in significance. In short, local evaluations enable the reader to understand what happens next but don't add much to the higher order meanings of the narrative. Emotions, like other psychological reactions, are also subject to reversal.

This is not to say that global evaluations are held constant for the duration of the narrative. Some are stable while others are subject to transformation. In *The Weapon*, for example, Graham initially sees Niemand as 'harmless', then as a 'crackpot' following Niemand's ethical challenge and, finally, as a 'madman' following his discovery of Harry with the gun. In *Friend for a Lifetime*, Lorna continues to evaluate Allison as a good friend and in *The Block*, Gavin's negative view of Michael is unchanged. However, a change in a protagonist's global evaluation of something is no guarantee of a psychological change. It seems that for a habitus to change, what must be subject to transformation is the protagonist's view of him or herself.

In sum, we need to build Labovian representations of evaluation into a broader theory of the interpersonal dimension of meaning making in the psychological narrative. Projection is an important resource in the construction of evaluation and gives different kinds of salience to the voices 'at play' in the text. Understanding of evaluation is pedagogically important because readers utilize it to negotiate the movement between 'external' and 'internal' experience in this genre and to interpret the voices that condition the reader to empathy as well as those which invite judgement. Evaluation is better modelled as a vector rather than as a discrete stage if we want to capture the 'phase by phase' oscillation between 'internal' and 'external' domains, between protagonist and intruder evaluations and between local and global evaluations.

However, if evaluation is a key to lower order interpersonal meaning, the text's axiology is an artefact of higher order meaning.^s The

axiology emerges from different patterns of appraisal (implicit and explicit) and mediation (voicing) in the text. Both are discerned through different perspectives. While evaluation can be apprehended in the unfolding rhythms of the text (phase by phase), axiology is discerned synoptically in a look-over perspective (phase across phase). In the following section, I deal with the role of implicit meanings in the construction of a narrative's axiology.

4.7.2 Axiology: a gateway to higher order interpersonal meaning

As noted previously, the term **axiology** deals with the values-orienting aspect of interpersonal meaning. There are two dimensions to consider when it comes to the way in which these narratives position their readers. First, a relation of empathy with the protagonist is required, which amounts to an intersubjective solidarity with the one who focalizes the events of the narrative. Second, an adjudicating relation, in which the reader adopts a position of supersubjective judgement on his or her actions. Both relations are created through particular co-patternings of implicit (connotative) and explicit (denotative) appraisal across the text. Explicit appraisal is associated in this study with evaluation - the internal and external voicing of feelings and values. A distinction is made here between appraisal which is inscribed (given voice) and that which is evoked (communicated through connotative and figurative language). The terminology developed to account for these two types of appraisal is introduced systematically in section 4.8.

No real attention has yet been given within educational applications of SFL to the role of connotative meanings in reader positioning. Although some account is taken of such meanings in current research on appraisal by Sydney scholars (e.g. Martin, 1996, in press b and d, Iedema et al, 1994), it nevertheless focusses on lexical instantiations of systems of AFFECT, APPRECIATION and JUDGMENT, with little account taken of the environment in which APPRAISAL occurs.² This tends to produce localized and atomistic accounts of APPRAISAL without attending to the design interests producing particular trends in appraisal in particular phases. A similar lexical approach appears to

² The use of small capital letters indicates that the term is also the name of a system in a network.

inform Labov's more recent work on 'intensity' in language (Labov, 1984).

The current study begins with consideration of the environment in which appraisal occurs before it considers the specific meaning of a particular choice from some general APPRAISAL network. We also need to consider the relations it enters into with other choices in this environment and, at a higher level of abstraction, with other environments. The 'valuer' of a lexical item can only be decided once we see how it contributes to the 'semantic drift' of the phase it is in, and beyond that, how it affects the co-patterned selections made in other phases of the text. And this is not even to consider the even 'larger' environment of the genre itself - the intertextual set of which a given text is a member. A more global, dispersed approach to appraisal is favoured here because of the focus on the 'internal dialogism' of these narratives and the importance of this for understanding writer-reader relations. Such a dialogism can only be captured, I believe, within a framework which is holistic (sensitive to the environment in which it occurs), relational (responsive to the way in which one part of the text 'picks out or manners' another (Hasan, 1988a) and dynamic (able to track transformations in meaning from one part of the text to another).

Again, the notion of phase is consequential here. Generally speaking, there tends to be a division of labour across the phases of the text, such that some phases are devoted to explicit appraisal (typically via 'evaluative' meanings), while others are given over to implicit forms of appraisal (typically via the 'ideational selectivity' of so-called 'referential' meanings). Some phases implicitly **confirm** the meanings made in other phases (as noted earlier in the description of the television world in *CLICK*). Others phases **oppose** the meanings of other phases. Some do both at the same time. (Again, in *CLICK*, the positive gloss over the 'television world' is only reinforced by its contrast with the negative gloss over the 'real world'). And then, once the oppositions between two narrative domains are set up, subsequent phases can **transform** the meanings of earlier phases, just as the positive gloss over the television world is overturned following Jenny's confrontation with the 'real world of death and unhappy endings'. An outline of different types of implicit and explicit appraisal is given in the next section.

Implicit forms of appraisal position the reader every bit as, if not more powerfully than, the **explicit** forms inscribed in characters' evaluations. But no one kind of appraisal is enough on its own.

Exploration of a narrative's axiology and its impact on reading position transcends consideration of one kind such as evaluation. Evaluations are crucial both to the creation of empathy and adjudication in the reader. But they are only part of the picture.

It is the concordance (harmonizing) of different kinds of implicit and explicit appraisal which create both empathy ('standing with' the protagonist) and adjudication of his or her behaviour and values ('standing over' him or her). Furthermore, as will be seen in the next section, only some narratives align the reader with the values of the protagonist (and his or her evaluations). Others distance the reader from these. The fact that the reader's axiology may diverge from that of the protagonist reinforces the need to distinguish evaluative meanings made within the text from axiological meanings made by the text as a whole.

4.8 How does the narrative do it: a textual perspective

The textual metafunction is a resource for "ensuring that what is said is relevant and relates to its context" (Halliday and Hasan, 1985: 45). It is often called the 'enabling metafunction': it guides the assignment of significance to 'text in context'. There are two contextual orders (environments) to consider when it comes to interpretation here: the dynamic unfolding of a text phase by phase; and the synoptic organization of a text across its various phases. The textual and logical metafunctions are useful for modelling the unfolding potential of the text (through a dynamic perspective on its local, emergent, dependencies) and also its finalized potential (a synoptic perspective on its global, overarching dependencies). But both the emergent and overarching potentials are text semantic rather than lexicogrammatically semantic in their instantiation. And, as with the other discourse hierarchies of this genre, the grammar operates as a resource for design in text semantics. The 'Token/Value' notion is useful for imaging the relation of event sequence to problematic and 'sayer/locution' the relation of evaluation to axiology. There are two areas of the grammar which are relevant in the current section: expansion and projection within the logical metafunction and Theme and New within the textual metafunction.

The relation between lexicogrammatical semantics (clause-level meaning) and text semantics (text and phase-level meaning) is a metaphorical one. The text is at a different level of abstraction from the clause: the clause is a construct of wording and the text a construct of

meaning. As Lemke suggests, we need to build on "the foundations of lexicogrammatical semantics, taking its analyses of the meaning options of a language at word, word-complex, group, phrase, clause and clause complex ranks, considering how local and global text meanings depend on the co-patterning and interdependencies of lexicogrammatical choices through a text" (Lemke, 1992: 82-83).

What does it mean to 'build on' the foundations of the lexicogrammar? If the relation between clause and text is a metaphorical one, then we need not only to consider particular areas of the grammar as resources for design but also the types of structure with which these resources are associated. The notion of metafunctions is crucial to both of these dimensions (i.e. design resources and types of structure). Just as a text is a polyphonic construct, making meanings of three distinctive kinds, so the types of structure through which these meanings are generated are distinctive. The patterns generated by textual and interpersonal text meanings cannot be accounted for within the constituency-based, multivariate structures which have dominated grammatical analysis even within Halliday's own *Introduction to Functional Grammar* (1985a/1994). There is, as Matthiessen (1988) has noted, 'a lag' in the development of representational resources adequate to these types of meaning.

In fact, within mainstream SFL it is only **multivariate** and **univariate** structures which have been employed for grammatical analysis, and of these, by far the greatest attention has been given to multivariate structures. Halliday describes these as follows:

A multivariate structure is one involving more than one variable; a univariate structure is one involving only one variable. The elements of a multivariate structure are thus different variables each occurring only once (e.g. $X \cdot Y \cdot Z$). The elements of a univariate structure are repetitions of the same variable (e.g. $X \cdot X \cdot X$)... Each multivariate structure is a configuration of relations involving a determinate set of distinct elements. These relations ... are not those of linear ordering such as 'preceding' or 'following', but more abstract relations usually designated by such terms as 'modifying', 'governing', and the like.

... The series formed by the elements of a univariate structure may involve any of a number of different possible relations (e.g. addition, multiplication, exponence).

[Halliday, 1981b: 31-32]

While **multivariate structures** are ideal for representing the part-whole configurations of the functional elements of clauses (e.g. Actor · Process · Goal or Subject · Finite or Theme · Rheme), **univariate structures** are useful for construing grammatical dependencies of the kind that operate between clauses in a clause complex, as in hypotaxis and parataxis. But, as Martin has demonstrated, part-whole (multivariate) and part-part (univariate) structures are not adequate to the representation of interpersonal and textual meanings (Martin, 1992a: 22). And, because both Progressions and Metarelations are 'transgrammatical', we need to move beyond the limitations of both multivariate and univariate structures to model these. These are structurally independent in a way that multivariate and univariate structures are not. Unlike 'locally compact' multivariate structures, **covariate structures** are useful for capturing contextually specific meaning relations which chain through or link across a text (Lemke, 1985:287). **Progressions** are serial interdependencies between adjacent sentences or phases while **Metarelations** are overview interdependencies between non-adjacent phases. Reformulating Martin (1992a:22) somewhat, the relation of covariate to univariate structures can be represented as:

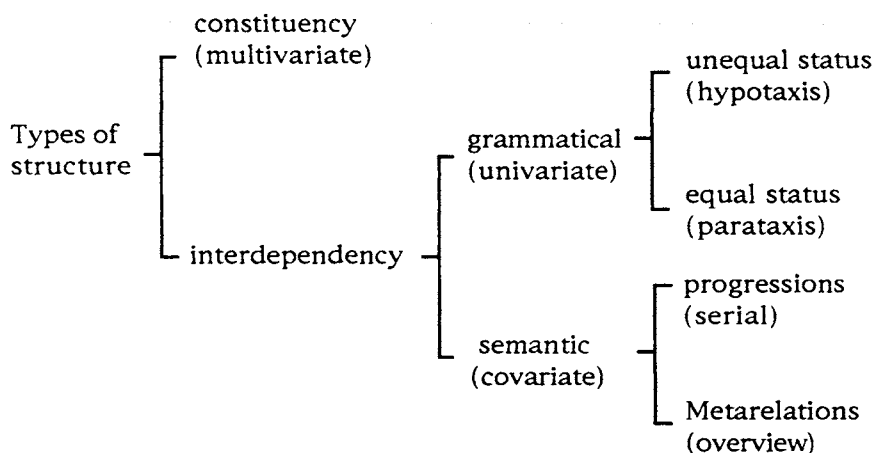


Figure 4.6: Progressions and Metarelations and types of structure (based on Martin, 1992a:22)

As figure 4.6 shows PROGRESSIONS and METARELATIONS are examples of covariate structures. Hence, whereas PROGRESSIONS are metaphorically agnate to the logico-semantic relations of expansion and projection, the parallels are semantic rather than lexicogrammatical. The term PROGRESSION refers to the semantic relations obtaining between sentences or phases which are

metaphorically related to three types of **expansion** (**enhancement**, **extension** and **elaboration**) and to two types of **projection** (**ideas** and **locutions**). Semantic links obtaining between phases are called **inter-phasal Progressions** while those obtaining between sentences are called **inter-sentential PROGRESSIONS**. The latter are useful for characterizing smaller segments of text, as in chapter five, which concentrates on relations between sentences in students' responses. Analyses of the choices for **MEDIATION** which underlie **inter-sentential PROGRESSIONS** are shown in tables 1a-1e in Appendix 2.1.

I turn my attention now to a description of the principal choices 'at stake' in analysis of **METARELATIONS** in the narrative and then to the choices for **MEDIATION** and **APPRAISAL** and their place in analysis of **PROGRESSIONS**. The choices relevant to each of these are introduced in the course of the following discussion.

4. 8. 1 The different types of **METARELATIONS**

METARELATIONS enable the reader to construe the abstract significance of the narrative. The prefix 'meta' attempts to capture the higher order significance of these relations for construal of the text's problematic and axiology. The principal sub-types are introduced briefly prior to presentation of the choices in a system network. These are then described and exemplified in more detail. These covariate structures make meanings of two main types - **META-INSCRIPTIONS** which inscribe significance, typically through evaluative meanings, and **META-EVOCATIONS** which evoke significance, typically through figurative language. The relevant sub-types are as follows.

Meta-Inscriptions consist of **GLOBAL EVALUATIONS** and their relevant **META-SOURCES**. Some evaluations are **indirect** (E_{indir}) and typically occur in segments marked by free indirect discourse. The other global evaluations are **direct**. These correspond to the two kinds of projection identified by Halliday. **Internal evaluations** (E') correspond loosely to the projection of ideas and **external evaluations** (E'') correspond closely to the projection of locutions.

The **META-SOURCE** of indirect evaluations is always **unclear**. In all other cases, the Meta-Source is **clear**. Third-person narratives have a **first-order narrator**, distinguishable from the protagonist (and analytically distinguishable from the author also). *The Weapon*, *CLICK* and *Friend for a Lifetime* all have first-order narrators. First-person

narratives, however, have a **second-order narrator**, a narrator who represents the protagonist and recounts events from a distance in time. *Feet* and *The Block* both have second-order narrators. Within choices for characters, a global evaluation can be sourced to either the **protagonist** or to the **intruder(s)**. These are the only characters which have 'meta' status here. Every choice for Meta-Inscription involves a choice for one kind of global evaluation and one kind of Meta-Source.

META-EVOCATIONS are either stable or shifting. The two **stable** sub-types are called **confirmations** (\approx) and **oppositions** (\emptyset). Some stable phases make a **single** choice (either for Confirmation or for Opposition); other stable phases make a **multiple** choice (for both Confirmation and Opposition). In other words, they confirm one or more earlier phases and oppose others. The two **shifting** sub-types are either **local transformations** (\Rightarrow^{loc}) or **global transformations** (\Rightarrow^{glo}). The principal choices can be represented in a system network, as in figure 4.7:

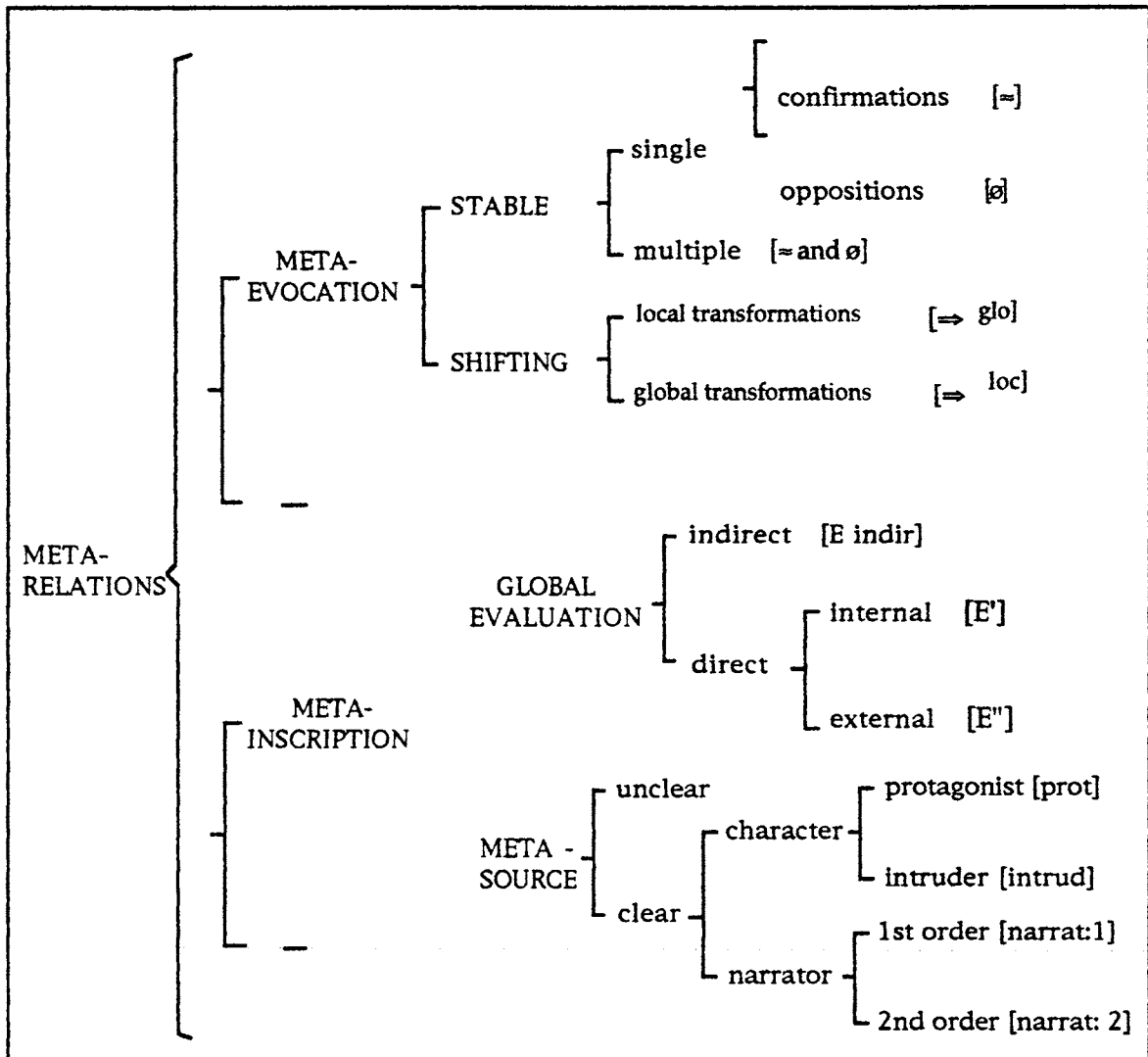


Figure 4.7: Network of choices for METARELATIONS in the narrative

As the network shows, a choice from the system of META-EVOCATIONS may be combined with a nil option from the system of META-INSRIPTIONS, and vice versa. This representation of METARELATIONS facilitates an 'either/or' and a 'both/and' set of choices. It is now possible to give a more detailed description of each major choice from the system.

1. **Confirmations** are relations of equivalence created between one element or phase and another. The choices in one phase redound with, or implicitly corroborate meanings made in a previous phase. These relations of semantic equivalence are revealed through a similarity of choices for APPRAISAL and MEDIATION (outlined in the next section). For example, in *The Block*, all of the lexicogrammatical choices made by the narrator to describe the block convey an impression both of its natural beauty and the unmonitored freedom it offers Gavin. Early in

the narrative, we come across a strongly appraised description of the block and Gavin's childhood activities there. However, it is not possible to isolate particular words or phrases which serve this function within the phase. The whole phase is connotatively loaded with meanings about the natural exuberance and anarchy of life on the block.

It was large, half an acre, with the remains of an old asphalt tennis-court still visible, though large trees had grown up through the cracks. In the centre stood a vast oak in which I and various small friends whose faces I can scarcely remember, built a succession of tree-huts with stolen planks and hessian. We kept an old bootlast for a hammer, hidden in leaves near the trunk. We also had a store of stones for the cats that came round in bird nesting season, and a good catapult to stop stupid grown-ups who used to back their cars in and dump rubbish. One afternoon I broke both side windows on a van dumping bricks without the driver seeing who did it.

(*The Block*, phase 1f: 14-18)

Later references by the narrator only confirm this impression.

It was early spring when I met him. One Sunday I found the tadpole pond by the oak suddenly swarming with bright green water beetles, never before seen on The Block. A glass jar, if I could get it from home without being stopped, would let me catch some and see what they were.

(*The Block*, phase 2a: 21-23)

A similar pattern of confirmations overlays each representation of the Habitus in all five narratives. This is to be expected, given that 'reader empathy' is one of the chief semiotic tasks of the genre in its early stages. Confirmations add to the connotative loading of earlier meanings. The reader is left in no doubt about the connotative significance of early depictions of Jenny's television world, of Gavin's experience of the block or of Lorna's memories of the past. But they are also useful for the construction of 'intruding' experience. In *The Block*, Gavin's experience of his interactions with his mother, and, later, with Michael, are all represented via negative confirmations in which the freedom of the block is exchanged for the strictures of the domestic environment. In *Friend for a Lifetime*, Lorna's present enfeeblement is confirmed again and again via references to her 'aching legs', her 'hobbling', her inability to reach the phone, her 'tears', and so on.

Confirmations are agnate to the elaborating-type relations of the logico-semantic system, hence the use of the symbol (\approx) in tables of analysis. From the point of view of the visual display of tables 3a-3e in appendix 2.3, each phase down both the left-hand and the right-hand partitions tends to confirm the impression of earlier phases.

2. **Oppositions** are relations of contrast created between one phase and another. They implicitly counter the meanings made in previous phases. They are related to confirmations as figure to ground: the one lends salience to the other. Thus Jenny's preoccupation with television corresponds to and opposes her avoidance of the 'real world of death and unhappy endings'. Gavin's ongoing affection for the block corresponds in an opposing manner to his seeming hatred of his mother. Graham's view of his work as 'creative' is correspondingly opposed to Niemand's view of it as destructive. In fact, the salience of one appraised element or phase is just as much an artefact of contrast, or opposition, as it is of equivalence. In *CLICK*, for example, the allure of the television is enhanced by virtue of its antithesis to the 'real world' as Jenny experiences it. Following on from the abortive 'communication' with her mother, Jenny tunes into *Secret Loves*. The intimacy between the celluloid mother and daughter and its contrast to the mutual alienation of Jenny and her mother is made explicit in phases 1o and 1p-q:

On the screen the mother was holding her daughter in her arms and crying, 'What will the family think ? What will the family think ?'

(*CLICK*, phase 1o:34)

Then, in the next phases, the impression of loneliness and alienation is further entrenched:

Jenny thought about her family. (*CLICK*, phase 1p:35)

There wasn't much to it. Her father was on the road a lot, driving his truck. Her mother worked at night as a waitress. Jenny didn't have any brothers or sisters. It wasn't a real family. They never did much together.

(*CLICK*: phase 1q: 36-41)

Sometimes the opposition between one phase and another is experientially underscored, as in *CLICK* above. At other times the contrast is left experientially latent, as in *The Weapon*, which suggests but does not insist upon a parallel between the behaviour of Graham's

mentally arrested son and the humanity which Niemand argues is not 'ready' for an ultimate weapon.

In *CLICK*, as in the other narratives, the protagonist's internal evaluations are 'in harmony' with the confirmations and oppositions established in the 'external' domains of experience. The narratives establish a rhythm of alternating internal and external experience and a redundancy (or concordance) between implicit appraisal over the external phases and the explicit appraisal inscribed in the internal (evaluative) phases. As a result of this 'harmonized' movement between mutually reinforcing patterns of appraisal, the attentive reader becomes 'inward' with the protagonist. The stronger the mutual reinforcement of these METARELATIONS, the more profound the solidarity of the compliant reader with the protagonist.

As a rule of thumb, the phases ranged down the right-hand column of tables 3a-3e are counterposed to those on the left. This representation enables us to display the pattern of confirmations and oppositions in the 'external domains' and their evaluative significance in the 'internal' negotiation vector. Oppositions are agnate to the alternating-type extensions of the logico-semantic system. They are signalled in analysis by the symbol (\emptyset).

The third Meta-Evocation is shifting in its signification within the narrative.

3. **Transformations** (\Rightarrow) implicitly change meanings made in a previous phase. These are relations of semantic mutation, which are revealed through systematic variation of choices made earlier in a text. Some transformations have consequences for the narrative as a whole, in which case, they are called **global transformations** (\Rightarrow g^{lo}). These imply a change of heart (or habitus) on the part of the protagonist. Others have consequences for the story only, in which case they are called **local transformations** (\Rightarrow loc). These tend to affect the circumstances of the story or they impact on the psychology of the protagonist, without affecting his or her overall habitus. The transformation effected in Jenny by the end of *CLICK* is global: her experience of *Doctor's Diary* when she returns to her flat after the accident is intrinsically related to her decision to turn off (and away from) the television. Its connotative significance has been transformed just as Jenny has.

Jenny tried to get back into the show. But all the characters' lines sounded phony. And Doctor Harding's face

wasn't the same. His smile seemed fake and he looked too handsome, like a plastic doll.

(CLICK: Phase 3h:94-97)

The transformation in Graham's view of Niemand, however, is local: he calls Niemand a 'crackpot' and then a 'madman' without considering the implications of Niemand's message for his own behaviour.

Global transformations are typically underscored in the protagonist's internal evaluations. In *Feet*, for example, when Jane reflects on Collier's abusive behaviour and Carson's interpretation of it, she asks herself: "Why should he get away with it?" and decides to call Collier on his constant foot faulting. Her internal evaluation thus corresponds to her later confrontation of Collier on his foot faults, which thereby becomes a global transformation. For both Jane and Jenny, given their respective experiences of 'the real', these transformations are not ones they relish. Taking on a new habitus - facing reality - is not easy. As Jane ruefully agrees with Carson at the end of the narrative, hers has been a 'pyrrhic victory'.

In both *CLICK* and *Feet*, the protagonists' habitus is (temporarily, at least) overturned. In both narratives, there is a correspondence between a global Transformation (an interpersonal category) and an overturned Habitus (an experiential category). The parallels between the experientially and interpersonally focussed developments in the genre are to be expected given the importance of the genre's designs on the reader. Where the protagonist comes to be an apt carrier for the reader's consciousness, the telos of one dimension of the genre's significance will be mirrored in its other dimensions. Conditioning a reader's habitus cannot be left to chance.

Local transformations, on the other hand, signify an entrenched habitus. For example, the block is transformed (trashed) by Michael and his motorbike but this only reinforces Gavin's resolve to rid himself of the intruder. Graham's views of Niemand also change in the course of the narrative. But at no stage does he consider that his own behaviour deserves scrutiny. Lorna is emotionally affected by news of her friend's death, (hence experiencing some kind of psychological transformation) but this news only confirms her attachment to the past and her inability to live in the pain of the present. All of these represent local transformations because they do not code a 'change of heart' or a point of convergence in the axiologies of protagonist and reader.

Transformations are more dynamic in operation than confirmations and oppositions. They push the reader into seeing already established meanings in new ways. But they are dependent on the earlier establishment of equivalences, and, perhaps, of contrasts also. For instance, we can only see the world of television in a new way if we have first learned to see it in one way. Whether they remain local or become global in significance, they alter the perspective of the attentive reader towards what they appraise. Transformations are agnate to enhancing-type expansions in the logico-semantic system. They are signalled in analysis by the symbol (\Rightarrow loc or glo).

In sum, these three types of META-EVOCATION overlay the more 'referential' phases of the external domains of 'habitual' or 'intruding' experience and condition the reader to see things a certain way. There are striking analogies between these types of evocation and basic techniques of musical composition: relations of equivalence are similar to musical repetition, relations of contrast to musical contrast and transformations to musical variation (See Kamien, 1992: 70-71 on this). These trans-semiotic parallels cannot be explored here, as they bear only a tangential relation to the present enquiry.

The other major type of METARELATION are **Meta-Inscriptions**, which create denotative patterns of meaning across a text. These are linked in these narratives with its pattern of global evaluations (direct and indirect) and the sources of these. Evaluations need to be dealt with only briefly here given the earlier discussion of these in section 4.7.1. There are three major sub-types within global evaluations:

4. **Internal Evaluations (E')** mentally evaluate the overarching significance of events or characters, as in "He thought, only a madman would give a loaded revolver to an idiot" (*The Weapon*: 101).

5. **External Evaluations (E'')** verbally evaluate the overarching significance of events or characters, as in "Two pyrrhic victories in one afternoon? said Alan. That must be some kind of a record.' 'It must be' I said" (*Feet*: 156-158). However, not all global evaluations are linked explicitly to a particular Meta-Source. They are just as likely to be left unprojected, as in "If Allison could do it, so could she" (*Friend for a Lifetime*: 84).

6. **Indirect evaluations (E^{indir})** typically occur in passages of free indirect discourse. The META-SOURCE of the following comment from phase 1e of *The Weapon* is unclear, but it is nevertheless evaluative in its import: "The boy was happy; wasn't that the main thing ? And to how

many men is given a child who will always be a child, who will not grow up to leave him ?". Such passages have a powerful quasi-evaluative, quasi-referential role to play in the narrative.

4. 8. 2 The role of METARELATIONS in reader positioning

What is the role of META-EVOCATIONS and META-INSCRIPTIONS in conditioning of the reader's axiology ? Both empathy and adjudication are relevant to this. And, empathy is the foundation for all forms of judgement, even where the value-systems of reader and protagonist diverge. Empathy can be viewed as an artefact of a harmonizing of two types of meta-appraisal: a combination of the protagonist's internal evaluations (E^{prot}) with the confirmations (\approx) and oppositions (\emptyset) over the external domains. For ease of communication, this combination can be construed in mathematical terms as follows: Empathy = ($\approx + \emptyset = E^{prot}$).

A concordance between oppositions and confirmations amongst the META-EVOCATIONS and the protagonist's internal evaluations within META-INSCRIPTIONS is a feature of all five narratives, in the early stages. *The Weapon* is a very interesting example of a narrative which is both strongly marked for both intersubjective rapport between reader and protagonist and for supersubjective judgement. In this text, however, the strong concordance between internal evaluations (E^{prot}) and confirmations and oppositions (\approx and \emptyset) is managed chiefly through free indirect discourse (or FID). In the early phases of the text, we 'see' things as Doctor Graham sees them: we appreciate the quiet creativity of his scientific reflections and we concur with his affection for and also, perhaps, his heartache over his disabled son Harry. This developing rapport between reader and protagonist can easily be seen in the interweaving of internal and external domains in figure 4.8:

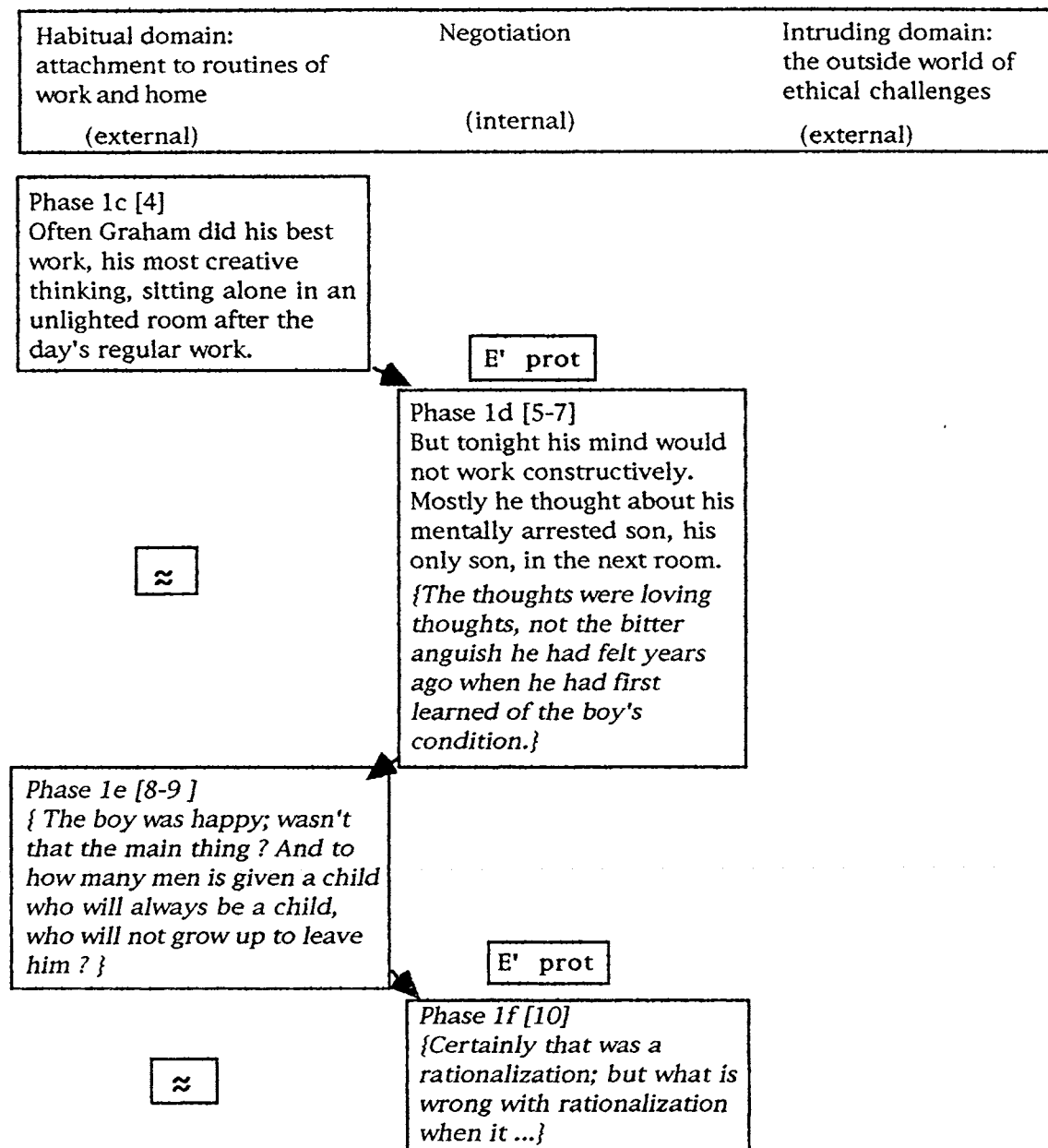


Figure 4.8: The creation of empathy in stage one of 'The Weapon'

But empathy is only part of the 'story' when it comes to the construction of axiology. The reader's temporary solidarity with the protagonist is disturbed at some point in the narrative by the incursion of a voice from the external domains. The intruder's voice is extraneous to the preoccupations of the protagonist. It is the semantic equivalent of a modulated declarative, calling the protagonist out of his or her habitus. In narratives which embody a change of heart in the protagonist - and, therefore, a global transformation in the event structure - the protagonist's evaluations come to correspond with the intruder's

evaluations. With respect to adjudication in convergent narratives, therefore, there is a concordance between three different types of meta-appraisal: global transformations (\Rightarrow global), protagonist's internal evaluations (E' prot) and intruder's external evaluations (E'' intrud).

Construed in mathematical notation, therefore, adjudication is an artefact of a combination of the following METARELATIONS in convergent narratives: (\Rightarrow global + E' prot = E'' intrud). Thus Jenny (the protagonist) eventually comes to see television in the same way as her mother (the intruder) sees it and to symbolize this new axiology by turning the television off. And Jane (the protagonist) comes to view Collier in the same way as Carson (the intruder) and to symbolize this by calling Collier on his foot faults, and so on. In **converging axiologies** such as these, therefore, we can say that:

$$= \frac{\text{text axiology}}{\text{protagonist's evaluation.}}$$

Where the axiologies of protagonist and reader are intended to diverge, confirmations and oppositions will initially be in harmony in these narratives with (most of) the protagonist's evaluations so that the reader 'sees and feels with' him or her. Construed in terms of mathematical notation, even in divergent axiologies, Empathy = (\approx + \emptyset + E' prot). But this intersubjective rapport is destabilized by the contradictory relation established between two patterns of Meta-Inscription - the protagonist's internal evaluations and the external evaluations of the intruder. In *The Block*, for example, we are forced to evaluate Gavin's views against those of his mother and to try to negotiate the contradictions between these two external evaluations. And, in *The Weapon*, we are introduced to two explicitly inscribed evaluations of Graham's work on the weapon. Niemand's evaluations are external: we are not inward with him as we are with Graham. But he repeats his challenge at every opportunity.

The moves between one external evaluative voice and the other and the mediation of their internal impact on Graham are demonstrated in figure 4.9.

Habitual domain: attachment to routines of work and home (external)	Negotiation (internal)	Intruding domain: the outside world of ethical challenges (external)
--	-------------------------------	---

Phase 3j. [57-58]
Niemand's eyes met
Graham's and he said, 'I like
him,' with obvious sincerity.
He added, 'I hope that what
you're going to read him will
always be true.'

3k. [59]
Graham didn't understand.

(E'' intrud, ≈ 2i & 2k;
Ø 1a & 1c)

3l. [60-61]
Niemand said, 'Chicken
Little, I mean. It's a fine
story - but may Chicken
Little always be wrong about
the sky falling down.'

(E' prot; ⇒ loc 3j)

3m. [62-63]
Graham suddenly had liked
Niemand when Niemand had
shown liking for the boy.
Now he remembered that he
must close the interview
quickly.

(≈ 3m)

4a. [64]
He rose, in dismissal.

(E'' prot; ≈ 1a & 1c;
Ø 2i & 2k)

4b. [65-71]
He said, 'I fear you're
wasting your time and mine
Mr Niemand. I know all the
arguments, everything you
can say I've heard a
thousand times. Possibly
there is truth in what you
believe, but it does not
concern me. I'm a scientist
and only a scientist. Yes, it
is public knowledge that I
am working on a weapon, a
rather ultimate one. But, for
me personally, that is only
a by-product of the fact that
I am advancing science. I
have thought it through, and
I have found that that is my
only concern.'

(E" intrud; Ø 1a, 1c &
4b; ≈ 2i, 2k & 3l)

4c. [72]
'But, Dr Graham, is humanity
ready for an ultimate
weapon?'

(E" prot; ≈ 1a, 1c, &
4b; Ø 2i, 2k, 3l & 4c)

4d. [73]
Graham frowned, 'I have told
you my point of view, Mr
Niemand.'

Figure 4.9: The logogenesis of judgement in stage three of 'The Weapon'.

The intruder plays a key role with respect to adjudication in all these narratives. S/he opens up an alternative axiological space for a critique of the protagonist's value system. In fact, in all five narratives, the intruder's external evaluation becomes a benchmark for the implied author's axiology - and hence, for that of the reader. The discordance between the protagonist's internal evaluation and the intruder's external evaluation is thus a key to the ethical stance of the text. While empathy is crucial to reader solidarity with the protagonist (an artefact of a concordance between confirmations, oppositions and internal evaluations in early phases of the narrative), adjudication is crucial to the supersubjective judgement in the reader. The transformations in events or viewpoints remain local in significance in these texts, because they are not inscribed in the protagonist's final internal evaluation: there is no change of heart/habitus in divergent narratives. These embody a different combination of types of meta-appraisal. Neither a local transformation in the event sequence (Niemand's gift of the gun to Harry, Michael's invasion of the block, or news of Allison's death) nor the injunctive calls of the intruder is enough to lead to a change in the ongoing obsessions of the protagonist. If we express this combination in mathematical terms, adjudication in divergent narratives = (\Rightarrow local + E 'prot \neq E" intrud). In the case of diverging axiologies, therefore, we can say that:

\neq -----
protagonist's evaluation.

It is through the concordances and discordances in the combinations of META-EVOCATION and META-INSCRIPTION that the reader

builds up a sense of the problematic addressed by the text and the kinds of responsiveness it calls for in its readers. But these higher order meanings remain, relatively speaking, implicit. The implicitness of the connections presents the reader with a major interpretive challenge. S/he can only discern these higher order meanings by relating one part of the text to another and becoming attentive to the subliminal implications of their concordances and discordances. Tables 3a-3e in appendix 2.3 present the full pattern of METARELATIONS in each narrative.

4. 8. 3 The different types of PROGRESSIONS

If METARELATIONS enable the reader to interpret the overarching salience of each phase of the narrative, PROGRESSIONS organize assignment of its sentence-by-sentence and phase-by-phase significance. The pattern of meanings we discern in PROGRESSIONS underlies our assignment of METARELATIONS. There are two aspects to consider with respect to PROGRESSIONS: firstly, the management of the ongoing dialogue with the reader in what is called here the MEDIATION aspect of each Progression; secondly, the creation of the feeling tone of this dialogue through APPRAISAL.

There are two major systems contributing to MEDIATION: choices for LOCATING and choices for SOURCING. The meanings of each phase have both an experiential and an interpersonal location. RECOUNTING of **what happens**, where it happens and the order in which it happens gives the phase an experiential location. And VOICING of the **speech acts and reactions of characters** to what happens gives the phase an interpersonal location. RECOUNTING choices are related to expansion in Halliday's logico-semantic system while VOICING choices are related to projection in Halliday's system (Halliday, 1985a/1994: ch. 7). SOURCING situates the reader with respect to **who** is evaluating what is said, thought and done within the narrative. This system corresponds analogically to the projecting clause (Jenny said/thought..) within a projecting clause complex. Generally speaking, RECOUNTING deals with 'what is going on', VOICING deals with 'what is being said or thought about this', and SOURCING deals with 'who is talking/thinking/evaluating'.

Because it 'situates' APPRAISAL, MEDIATION has a more interactive ('interpersonal') function within the writer-reader dialogue. In its intersentential aspect, it tends to orchestrate the meanings of the 'front half' of the sentence and, consequently, choices for mood (Subject

and Finite) and for modality are more 'bound up' with the negotiation of MEDIATION within each phase.

APPRAISAL, on the other hand, contributes to the 'valeur' of any act of mediation. APPRAISAL is characterized in terms of VALUE TYPE, including choices for AFFECT (the emotional responses of the characters to each other and to events of the story), for JUDGEMENT (their moral evaluations of their own and others' behaviour) and for APPRECIATION (the aesthetic dimensions of their experience, as this is expressed by characters or about their experience, by the narrator). These values are given either a positive or a negative LOADING, or some mixture of these two. The APPRAISAL TYPE of a sentence indicates whether values are made explicit (**inscribed** in an evaluative locution or idea), or are left implicit (**evoked**, either **transferred** through figurative language or **infused** with connotations as a result of the lexico-grammatical choices of the whole segment). There tends to be a trend or 'set' towards a particular co-patterning of choices from all these systems in each phase, such that it has a particular 'feel' or ambience.

APPRAISAL lends subjective significance (of different kinds) to the events of the story and to different characters' experience of this. Perhaps because it captures the subjective ('intrapersonal') dimension of the text-reader dialogue, it tends to be weighted towards the 'back half' of the clause. As Peter Fries has pointed out: "Many of the evaluative items [of narrative] occur in the unmarked focus of new information in their respective clauses. The end of the story, like the end of the clause, is a place of prominence" (Fries, 1985: 315-316). The actual choices 'at stake' in these systems are outlined in the next section.

Analyses of APPRAISAL for each phase of each narrative are shown in tables 2a-2e in appendix 2.2 (underneath each phase). The trend for MEDIATION is summarized in square brackets above each phase of the narrative. This inter-phasal trend is a composite of choices for inter-sentential MEDIATION (kinds of choices for RECOUNTING, VOICING and SOURCING made by each sentence), as displayed in tables 1a-1e. Tables 1a-1e are the linguistic basis for analyses of APPRAISAL and MEDIATION, displayed in tables 2a-2e. These then form the basis of analyses of METARELATIONS, displayed in tables 3a-3e.

This sequence represents the move from micro-level analyses of the smallest trans-grammatical unit (relations between sentences), through the intermediate-level analyses (relations between phases) into macro-level analyses of the text and METARELATIONS

(relations across phases). Of course, in this study, the analyses proceeded the other way: from the macro down to the micro, rather than from the smallest unit outwards. Tables 1a-1e and 2a-2e developed out of the need to linguistically substantiate intuitions about METARELATIONS. Systematizing analyses of APPRAISAL and MEDIATION is important if we are to provide linguistic evidence for the semantic valeur of a text (and its parts). Without such evidence, interpretation of abstract relations like the problematic or the axiology is likely to be pursued in an esoteric and elitist fashion. Grounding interpretation of such relations linguistically is one means of opening up the semiosis of narrative to a wider audience of readers and demystifying the reading process for students.

The choices underlying analysis of PROGRESSIONS (i.e. for APPRAISAL and MEDIATION) can now be introduced in greater detail. The components of the network are similar to those proposed currently by Martin (1996, in press b and d) in respect of the choices for appraisal values : AFFECT, APPRECIATION and JUDGEMENT; and of choices for implicit (evoked) and explicit (inscribed) appraisal within the phase. Some of the systems explored in his model (such as ENGAGEMENT, INVOLVEMENT and AMPLIFICATION) are not applied to this data set, because they are not germane to analysis of the logogenesis of empathy and adjudication in narrative. Furthermore, the current network builds on Martin's model in its addition of systems (such as LOADING)³ and in its differentiation of choices within systems (such as that between single and composite choices for VALUE TYPE, between mixed and unmixed types of LOADING). The following is a genre-specific model which enables us to formalize analysis of inter-phasal PROGRESSIONS. It focusses on trends within the phase rather than on lexical items per se and analysis of appraisal is linked to patterns of MEDIATION - which situate (locate and source) these.

Not every phase is instantially marked for APPRAISAL. Some phases establish the context experientially for what is to follow and are primarily **enabling** in function. Once a phase is **marked** (and no distinctions are made here for degrees of this, although it stands to reason that some phases are 'weightier' than others in this respect), then

³ Martin (1996, in press b and d) does deal with the positive and negative values of choices for AFFECT, APPRECIATION and JUDGEMENT but not within a separate system. Furthermore, he does not differentiate the positive or negative bias in terms of the phase in which the item is inserted. The item is seen to come already packaged with a positive or negative loading. This is not the strategy adopted here.

APPRAISAL is either **carried** (in which case the phase alludes to the APPRAISAL choices of an earlier phase) or it is **underscored** directly. Carried appraisal is quite common in *The Weapon* (for example, in Niemand's interjection: "Doctor Graham, the weapon on which you are working...") in which Niemand's earlier negative evaluation of Graham's work is latent (carried over) into the present phase.

APPRAISAL which is underscored involves choices from three major systems: **VALUE TYPE** (the 'content' of the appraisal: **AFFECT**, **APPRECIATION** or **JUDGEMENT**); **LOADING** (the bias of the appraisal: positive, negative or mixed) and **APPRAISAL TYPE** (whether evoked or inscribed). The three major systems can be further specified and exemplified as follows:

Choices for **VALUE TYPE** can be **single** (only one selection for **AFFECT**, **JUDGEMENT** or **APPRECIATION**) or **composite** (more than one selection). An example of a single selection is: "His hands shook as he examined it", which communicates **AFFECT** (fear) alone. An example of a composite selection is: "'A crackpot' thought Graham" which communicates **AFFECT** (dissatisfaction: annoyance), and **JUDGEMENT** (negative social esteem: incapacity attributed to Niemand).

The content of choices for **VALUE TYPE** include the following sub-systems: **AFFECT**: this has to do with expressions of emotion with respect to three basic dimensions: **un/happiness**, **in/security** and **dis/satisfaction**. Sometimes these can be inscribed directly, as in "He was not annoyed" (satisfaction: relief) or "Of course I was far more interested in tadpoling and tree-climbing" (satisfaction: interest) or "Then I was frightened" (insecurity: apprehension). At other times, expressions of **AFFECT** and/or desire are evoked via behavioural meanings, as in "A tear ran unchecked down her cheek" (unhappiness: misery) or "The boy of fifteen laughed the sweet laugh of a child of four" (happiness: cheer) or "She smiled at the guy and ran her hand through his hair" (happiness: affection).⁴ The **AFFECT** of the protagonist tends to be inscribed, especially in the first-person narratives, while that of other characters is most often evoked in these narratives.

APPRECIATION has to do with the representation of the aesthetic qualities of experience or ideas. The system is organized around

⁴ Martin, (1996 and, in press d) explores these differences in terms of 'behavioural surge' for bodily manifestations of affect (e.g. 'the boy laughed' and in terms of 'mental disposition' for ongoing mental states (e.g. 'the boy liked the present').

three variables - **reaction**, **composition** and **valuation**. **Reaction** communicates the degree to which a text/process captures our attention, as in "Looking at it, Jenny felt as though she was coming out of a long dream" (reaction: impact) and the emotional impact it has on us, as in "The girl's face was horrible and beautiful at the same time" (reaction: quality). **Composition** has to do with our perceptions of proportionality and detail, as in "We were going up a small slope near the tadpole pond, all covered in masses of some green bulb with tiny white florets like snowdrops and a smell like oniony honey" (composition: complexity). There are relatively few examples of this sub-type of composition in the narratives, although far more in the responses to narrative. **Valuation** deals with our assessment of the social significance of the text/process. This sub-type is especially tied up with field, since the criteria for valuing a text/process are for the most part institutionally specific. Some examples are: "He had this very fantastic service" or " ... that is only a by-product of the fact that I am advancing science" (valuation: field genesis).

As Martin expresses it, "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" (Martin, in press, d: 18). APPRECIATION is less common in these narratives than either AFFECT or JUDGEMENT and is often combined with these in composite selections.

JUDGEMENT has to do with ethical stances of different kinds. There are two basic systems at stake here: social sanction and social esteem. Judgements of **social sanction** have to do with **veracity** (how truthful someone is) and **propriety** (how ethical someone is). Judgements of **social esteem** have to do with **normality** (how unusual someone is), **capacity** (how capable they are) and **tenacity** (how resolute they are). Ethical claims typically invoke social sanction in these narratives. Sometimes these are stated explicitly as in: "Possibly there is truth in what you believe, but it does not concern me" (*The Weapon*: 67; social sanction: veracity). But mostly they are left implicit, as in: "I thought, Why should he get away with it ? Then I thought, he gets away with everything and I realized that Carson probably hadn't been talking about real feet" (*Feet*: 122-123; social sanction: propriety) or "Sooner or later we both knew he would catch me and knock me around with no one to stop him" (*THE BLOCK*: 104; social sanction: propriety + social esteem: tenacity).

Claims about the qualities of individuals tend to be expressed in terms of 'social esteem'. Examples of each of these are as follows: "He was a small man, nondescript, obviously harmless - possibly a reporter or an insurance salesman" (*The Weapon* : 20; social esteem: normality), "But Doctor Graham, is humanity ready for an ultimate weapon?" (*The Weapon* : 72) or "I thought, I'll give you one more chance" (*Feet* : 127; social esteem: tenacity); .

There are two basic cuts with respect to **LOADING: neutral or biased**. Neutral **LOADING** is usually a feature of an enabling phase. But sometimes appraisal of some kind can be evoked or inscribed without being biased in a particular way, as in "He looked at the visitor, wondering whether he had known about the boy. From the lack of surprise on Niemand's face, Graham felt sure he had known" (*The Weapon*: 39-40). This phase encodes Graham's appraisal of Niemand's foreknowledge about his son but is not actually loaded in any way.

If the phase is biased in some way, then it is either **mixed** or **unmixed**. If it is unmixed, it is either **positive** (+ve), as in "Tonight, at this moment almost any interruption to his thoughts was welcome" (*The Weapon* : 13) and "Collier wasn't having it all his own way, hooray hooray" (*Feet* : 100) or **negative** (- ve), as in "Graham suddenly had liked Niemand when Niemand had shown liking for the boy. Now he remembered that he must close the interview as soon as possible" (*The Weapon* : 62-63) and "I thought I was going to cry and spent a long time putting my glasses on" (*Feet* : 89). If it is mixed, then there is a combination of contradictory loadings within the same phase, as in "The thoughts were loving thoughts, not the bitter anguish he had felt years ago when he has first learned of the boy's condition" (*The Weapon*: 7; happiness: affection plus insecurity: disquiet) or in "'So, who's winning?' said Alan Carson, not quite with it and looking sicker than ever. I am' I said miserably." (*Feet*: 154-155; social esteem: tenacity closely followed by affect: misery). **LOADING** is crucial to the creation of the feeling tone of a phase. A consistency of **LOADING** underlies each **META-EVOCATION**.

There are two basic **APPRAISAL TYPES** which are important to narrative: evoked and inscribed appraisal. These can occur separately within the phase or can be blended. Global evaluations often 'fuse' both evoked and inscribed appraisal.

Evoked appraisal is achieved by lexical enrichment of some kind. A segment of text is either **infused** with connotations of particular kinds, as in "The room was quiet in the dimness of early evening" (*The*

Weapon : 1), which suggests a moment of tranquillity and peace. Or, it is **transferred** via some kind of figurative language, like **metaphor**, as in, "Graham's irritation faded" (*The Weapon*: 79) and "That bike died slow and hard" (*The Block*: 117), or **metonymy**, as in, "Her eyes flickered up and down the columns of names" (*Friend for a Lifetime* : 9) and "There was a sudden sweat on his forehead" (*The Weapon* : 98) or **synecdoche**, as in, "The boy of fifteen laughed the sweet laugh of a child of four" (*The Weapon*: 37) or "I do not' I screamed at her, terribly close to tears" (*The Block*: 50). Halliday (1994) relates 'transferred meanings' of this kind to grammatical metaphor and argues that metaphor is the lexical equivalent of elaboration (=), metonymy of enhancement (x) and synecdoche of extension (+) (see Halliday, 1994: 340-342 for an extended treatment of both lexical and grammatical transference and its relationship to expansion). Halliday's expansion notation is used as a shorthand in the analyses in tables 2a-2e.

In **inscribed appraisal**, the evaluative overlay is made explicit. Inscriptions of appraisal are either **particularized** or **glossed**. **Particularized inscriptions** render the specificities of experience and reaction, as in, "It was so still that he could hear the turning of pages ... " (*The Weapon*: 3) or "Lorna tried to mentally halt the onrush of memories that threatened to overcome her" (*Friend for a Lifetime*, 15) and "He was not annoyed; tonight, at this moment, any interruption to his thoughts was welcome" (*The Weapon*: 13).

If inscriptions are **glossed**, then the general or abstract significance of experience and evaluations is denoted. **Generalized inscriptions** classify the phenomena of experience - to highlight its generic qualities, as in, "I know all the arguments" (*The Weapon*: 66) or "Often Graham did his best work, his most creative thinking under these circumstances, sitting alone in an unlighted apartment after the day's regular work" (*The Weapon*: 4) or "In doing this they saw a lifetime of friends and acquaintances" (*Friend for a Lifetime*, 10). **Abstract inscriptions** interpret or evaluate the phenomena in conceptual, symbolic terms, as in "Certainly that was a rationalization, but what is wrong with rationalization when it ..?" (*The Weapon*: 10) or "Possibly there is truth in what you believe" (*The Weapon*: 67) or "He was simply a certain type of human being" (*The Block*: 4) or "There seems to be something in my nature that makes me hate being defenceless" (*The Block*: 19).

Fused appraisal is common in global evaluations which hark back to the evocations of earlier event sequences or forward to later ones

and blend these with abstract inscriptions. For example: "She wanted to turn off its realness" (*CLICK*: 80) alludes to Jenny's earlier flicking of the television channels but highlights its psychological significance here. And Niemand's question to Graham, "Is humanity ready for an ultimate weapon?" anticipates his later symbolic gift of the revolver to Graham's mentally handicapped son. Fused appraisal is one way in which texts move from a lower to a higher order of abstraction, from event sequence to problematic, from evaluation to axiology.

It should be noted that this study deals only with the content, bias and type of appraisal patterns of each narrative (the 'what' of appraisal). It does not explore in detail the linguistic devices by which appraisal is effected in each phase (the 'how' of systems such as AMPLIFICATION). Other studies give a more detailed treatment of patterns of realization in systems such as INVOLVEMENT and AMPLIFICATION (Martin, in press, b and d).

The patterns of APPRAISAL underlying the ascriptions of Metarelations in the narrative can be outlined in a system network. It could be argued that such a representational strategy is of dubious value for linguistic resources which, in their typical realization, are blurred, gradable and prosodic in character. However, the representational resource of the system network is utilized here as a heuristic - laying out the potential as if it were a static set of options. It systematizes the potential to date and allows for more delicate (instantially sensitive) descriptions of how the text positions the reader. Furthermore, as will become clear the network displayed in figure 4.10 attempts to build in features such as blends, mixes and composites. The major choices for APPRAISAL in this genre are as follows:

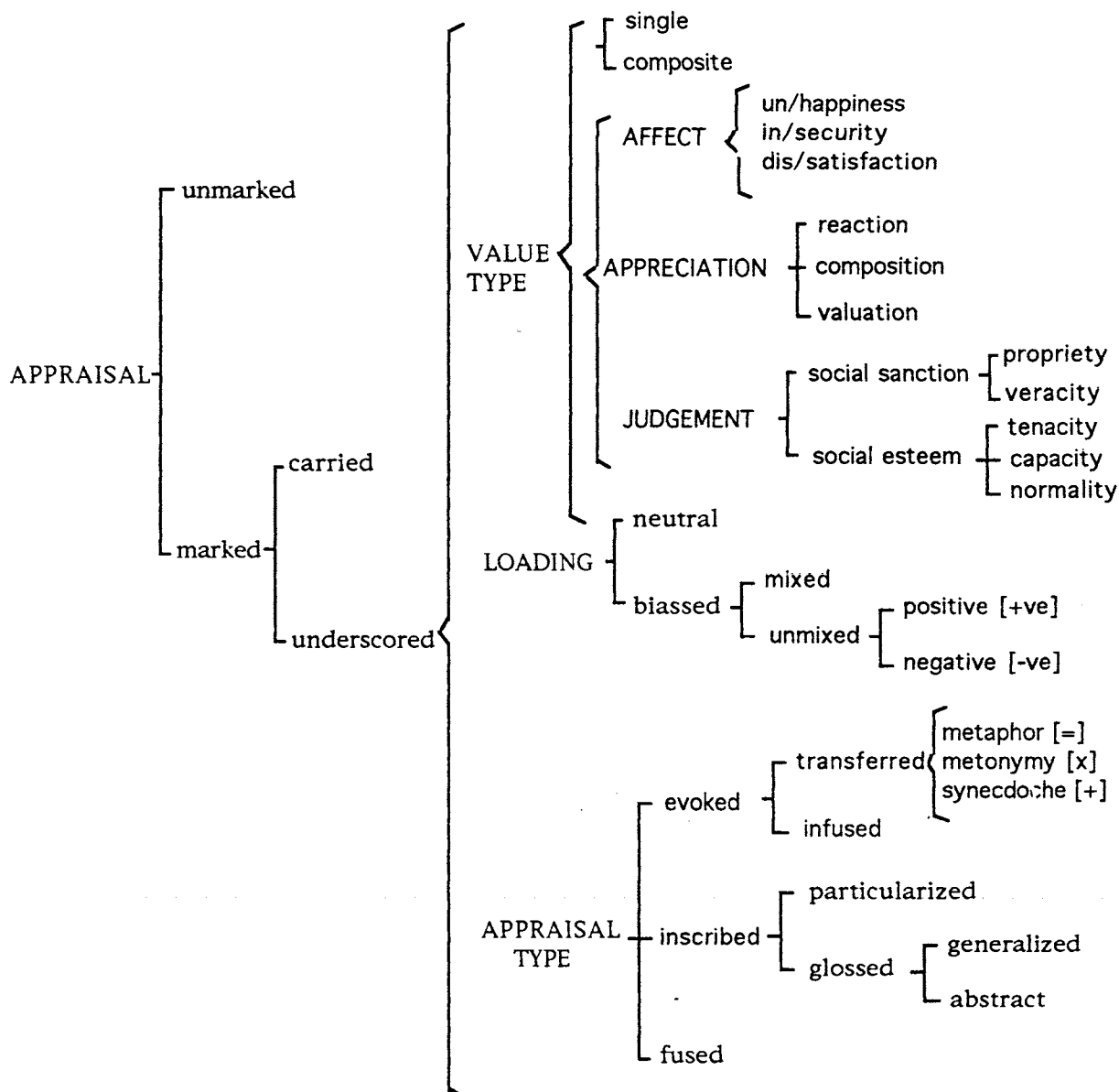


Figure 4.10: Network of choices for APPRAISAL in the psychological narrative

Not every phase is as interpersonally loaded as others. Some contain an 'excess' of axiological signifiers; others contain very little or none. As tables 2a-2e show, the narrative tends to unfold in a rhythm of alternating enabling and appraising phases with a peak of explicit inscribed appraisal in global evaluations projected by either protagonist or intruder voices. Furthermore, the choices within the phase are not always consistent with one another - a fact which accounts for the ambivalence of tenor in different parts of the narrative. Some phases which are coded as enabling in PROGRESSIONS do, however, contain traces of APPRAISAL. But these are not analyzed extensively here.

APPRAISAL does not float free in textual space, however. It is anchored to particular voices; it is located and sourced (and targeted, although choices here do not include the target of any act of appraisal. The systems within MEDIATION gives character, subjectivity and finiteness to patterns of implicit and explicit appraisal in the narrative, and enable us to highlight the semantic relationship between one segment of text and another.

It was mentioned earlier that expansion underlies the RECOUNTING aspect of MEDIATION, and projection underlies its VOICING aspect. I will deal briefly with each of these briefly, in turn.

There are three sub-types of expansion which are relevant to RECOUNTING: **elaboration, extension and enhancement**. These linguistic resources enable us to bring out the 'referential-type' meanings of the narrative, although it should be noted that the character of these choices varies somewhat depending on what we take as the relevant environment for analysis (as noted by Martin, 1992a). These are introduced in chapter 7 of Halliday's *Introduction to Functional Grammar* (1985a/1994).

Although Halliday has explored elaboration, enhancement and extension most fully from the point of view of relations between clauses, in fact they are not limited to the clause complex. As he acknowledges, they "represent basic semantic motifs that run throughout language as a whole" (Halliday, 1994: 225). They inflect meanings at the rank of clause complex, clause, group complex and group. These motifs also underlie the non-structural resource of conjunction (see Martin, 1992a, ch. 4 for application of conjunction to discourse semantics). The pervasiveness of expansion across ranks and strata is one important rationale for drawing on them to model 'larger' portions of discourse (see, for example, Halliday, 1994: 328-329 for a synoptic overview of expansion in a range of grammatical environments). It is also the chief resource for construing logogenesis (text development) in Matthiessen's work (Matthiessen, 1993a). It is important to exemplify each of the sub-types of expansion with respect to inter-clause relations before moving on to demonstrate their pattern of occurrence in PROGRESSIONS.

The choices outlined here are those introduced in Halliday, 1994: 220. **Extension: the 'and/or' relation (+)**: here one clause expands another by extending beyond it: adding some new element, giving an exception to it, or offering an alternative. Examples of different kinds of extension can be found in all narratives. There is simple positive

addition, as in "Jenny daydreamed about being in a sportscar with him and looking like the girl in the commercial" (*CLICK*: 47); and there is **variation**, as in "Many of the entries were faded to the point of illegibility or were simply names to which Lorna could recall no faces" (*Friend for a Lifetime*: 12); and then there is the **adversative-type addition**, as in "Oh she was in no pain, very peaceful in fact, but the doctors don't really know." (*Friend for a Lifetime*: 66) and "It would be an embarrassing interview - he disliked being rude - yet only rudeness was effective." (*The Weapon*: 32). Sometimes the relation of extension reaches across the clause complex and affects larger areas of discourse, as in the first phase of *The Block*: "I hated him from the first. Not, of course, in any simple emotional way - though I could be quite emotional in those days - but with patience and determination." (*The Block*: 1-2).

Elaboration: the i.e. relation (=): here one clause expands another by elaborating on it (or some portion of it): restating in other words, specifying in greater detail, commenting, or exemplifying. Elaboration includes appositive-type meanings such as **exposition** (the 'i.e.' relation) and **exemplification** (the 'e.g.' relation) and a third type, which Halliday calls **clarification** (the 'viz' relation) (Halliday, 1994: 225-229). An example of exposition can be found between sentences 17 and 18 of *Friend for a Lifetime*: "A tear ran unchecked down her cheek as the fading names dragged Lorna back to the times she tried to forget. (=) Times so happy they were painful to remember." Examples of exemplification abound in all narratives, although they are far commoner between than they are within sentences. One example is: "She was entertaining a strange lady in the front room (=) (silver tray, best biscuits, tea in china cups instead of mugs - all that stuff)." (*The Block*: 28). Clarification is rarer in these texts than the apposition-type elaboration, though an example of this occurs in *The Weapon*: "Graham, watching, was sure now that Niemand had known; (=) the smile and the gesture were for the boy's mental age, not his physical one" (52).

Elaboration is common in intra-clausal relations, but it is also common in inter-sentential and inter-phasal relations, especially in those texts in which it is an important design principle (see especially *CLICK*, *The Weapon* and *The Block*). Elaboration is a primary resource for constructing and evaluating identity. Inter-phasal elaboration tends to coincide with passages of free indirect discourse in the narrative. This combination is responsible for the evaluative flavour of Jenny's experience of the world of television in *CLICK* and for the blurred distinction

between internal and external domains in many of the phases marked by this type of discourse. The use of italics for such passages in tables 2a-2e is intended to bring out the quasi-evaluative quality of free indirect discourse across so-called 'external' domains. The notation (=/FID) indicates a conflation of elaboration plus free indirect discourse in phases such as these - found most often in *CLICK* and *The Weapon*.

Enhancement: the circumstantial relation (x): here one clause expands another by embellishing around it: qualifying it with some circumstantial feature of time, place, cause or condition. This logico-semantic relation is crucial to the depiction of a 'possible world' in narrative. It enables the writer to locate the people, places and things with which it is concerned in time and space and to reveal the impact of the contingencies of this material world upon them. It goes without saying that temporal enhancement is the predominant choice in the intersentential PROGRESSIONS of these narratives. It is these which underlie our apprehension that we are tracking a sequence of events.

Examples from the narrative texts include: "As the echoes of the unanswered call died away, Lorna ran her fingers thoughtfully over the smooth plastic of the telephone and the fabric cover of the address book that lay on the table next to it." (*Friend for a Lifetime*: 7: **temporal location**) and "I just had time to snatch half a brick and turn before he was on me" (*The Block*: 109: **temporal location**); "The sun only shines on Centre Court at noon and there is green algae growing around the edges" (*Feet*: 4: **spatial location**); "If Allison could do it, so could she" (*Friend for a Lifetime*: 84: **causal-conditional**) and "and looked up again, but it was too late and the ball came straight down and bounced away" (*Feet*: 148: **causal-conditional**).

With respect to enhancing Progressions, there are two major types to consider in narrative: **expectancy Progressions (x)**, which follow unproblematically on from the meanings of the previous phase and **counter-expectancy Progressions (~x)**, which frustrate the expectations established in the previous phase. A simple example of an expectancy Progression can be found in phase 1b of *CLICK*: "CLICK, CLICK, CLICK. (x) Jenny turned the dial to channel four" (9-10). An example of a counter-expectancy Progression (or ~x) comes between phase 1e and 1f: "Her mother's words floated into Jenny's mind. (~x) But she didn't answer" (*CLICK*, 15-16).

Sometimes the nature of the conjunctive relation between messages is made **explicit** through a conjunction, as in "She went out into

the hallway and walked down the stairs until she got to the top of the stairs outside the block of flats" (*CLICK*: 63) - which is quite clearly an enhancing phase. Sometimes there is a **mixture** of **implicit** (minus conjunction) and **explicit** (plus conjunction) connections made, as in: "The doorbell rang. Graham rose and turned on lights in the almost-dark room before he went through the hallway to the door." (*The Weapon*: 2a 11-12). In other cases, the enhancing nature of the phase remains entirely **implicit**, as in: "Police cars were pulling up. Ambulance lights were flashing around. People sobbed and covered their faces." (*CLICK*: 2g, 72-74) which is an implicit expectancy PROGRESSION or, "The wail of a police siren came into the room" (*CLICK*: 50) which is an implicit counter-expectancy PROGRESSION. The inclusion of implicitly temporal connections within enhancement reduces the importance of extension to narrative development. Extending-type PROGRESSIONS tend to be minor in function in these analyses.

There are two sub-types of projection which are relevant to VOICING, which are described in Halliday, 1994: 220. Firstly, there is **Locution: the 'says' relation** ('), in which one clause is projected through another which presents it as a locution, a construction of wording. Secondly, there is **Idea: the 'thinks' relation** ('), in which one clause is projected through another, which presents it as an idea, a construction of meaning. Aside from instances of **double voicing**, which amalgamate the voice of the first-order narrator with that of the protagonist, **single voicing** is the typical choice in these narratives. In cases of single voicing there is a clear line between speaker/thinker and what s/he says/thinks. We know who is voicing what message. But in cases of free indirect discourse, we identify this as double voicing. Alongside choices for single or double voicing, a basic cut is proposed within VOICING between **internal** and **external** evaluations. As noted in section 4.7.1, internal evaluations are typically realized by mental projection of **ideas** and external evaluations by verbal projection of **locutions**. There is no need to exemplify each of these kinds of projection, given the extended treatment they received in section 4.7.1. However, a distinction needs to be made in analysis of PROGRESSIONS between different types of locution. Some locutions are evaluative and others performative in function. Evaluative locutions are referred to as **reacting** while performative locutions are referred to as **acting** in the analyses displayed in appendices 2.1 and 2.2. Often one character's voice can interweave both active and reactive locutions, as can be seen in phase 1k of *CLICK*, which reveals a move between quoted locutions of both kinds - ie from an acting locution

through to a reacting locution and back to an acting locution: ["act] "Jenny, don't watch television again all night. ["react] I hate to leave you alone when your father is gone too. ["act] But find something else to do. ["act] Promise?" (*CLICK*, 23-26). The interweaving of different kinds of RECOUNTING and VOICING in PROGRESSIONS can make it difficult to decide on the trend of the phase overall. This is discussed later in the section.

Projected ideas are a common signification of internal evaluation. But what is collected under the notation ['] in these analyses includes more than such idealized representations of 'internal voicing' (i.e. more than projections). It also includes Behavioural processes, such as "Lorna's eyes seemed almost to turn inwards..." (*Friend for a Lifetime*: 40), and Mental processes of perception, for example, which, grammatically speaking, do not project. The phenomenon perceived is often treated as an embedded 'act' rather than a projected idea in Halliday's grammar, (1994: 248-249). But in phase 1m of *CLICK*, for example, it is possible to see how semantically akin the embedded portions of the text [[acts or facts]] are to its projected portions ('): "Jenny stared at the television, trying to hear [[what the mother on Secret Loves would say ?//when she heard [[that her daughter was pregnant]]]]. In the back of her mind Jenny thought // (') she heard [[her mother say something]]. Then she heard [[the hallway door close]]" (*CLICK*: 28-30). Hearing and seeing - and the physiological processes which manifest consciousness - are as important to the construction of internal experience as are thinking and feeling. The fact that they are treated as grammatically distinct in SFL should not distract us from an awareness of their semantic similarity in this genre.

Also coded as 'other' in the network of choices for internal/idea in the system of MEDIATION are those more metaphorical representations of consciousness like: "The image froze into Jenny's mind" (*CLICK*: 66); "Lorna drifted back to the present" (*Friend for a Lifetime*: 35); "I still can't find words for the anger I felt" (*The Block*: 90) and "But tonight, his mind would not work constructively" (*The Weapon*: 5). Any lexicogrammatical phenomenon which contributes explicitly to the representation of 'internal experience' either prototypically as a projected idea or less commonly as embedded act, fact or metaphorical expression has been treated as an idea (') in these analyses.

The second major system within MEDIATION has to do with SOURCING. Sometimes, just as VOICING can be double (incorporating that of the first-order narrator and the protagonist, in cases of free indirect

discourse), so also the origin of a projection can be **unclear**. When it is clear who is thinking or speaking, however, there are a number of small possibilities for SOURCE: either the **narrator** or a **character** is 'speaking'. These options were discussed in section 4.7.1 so there is no need to repeat them here, except to add that, the **auxiliary** is a character (such as Harry in *The Weapon* or Mr. Evans in *Feet*) who plays only a minor role in the development of the problematic or the axiology.

The choices for MEDIATION are outlined in a system network in figure 4.11:

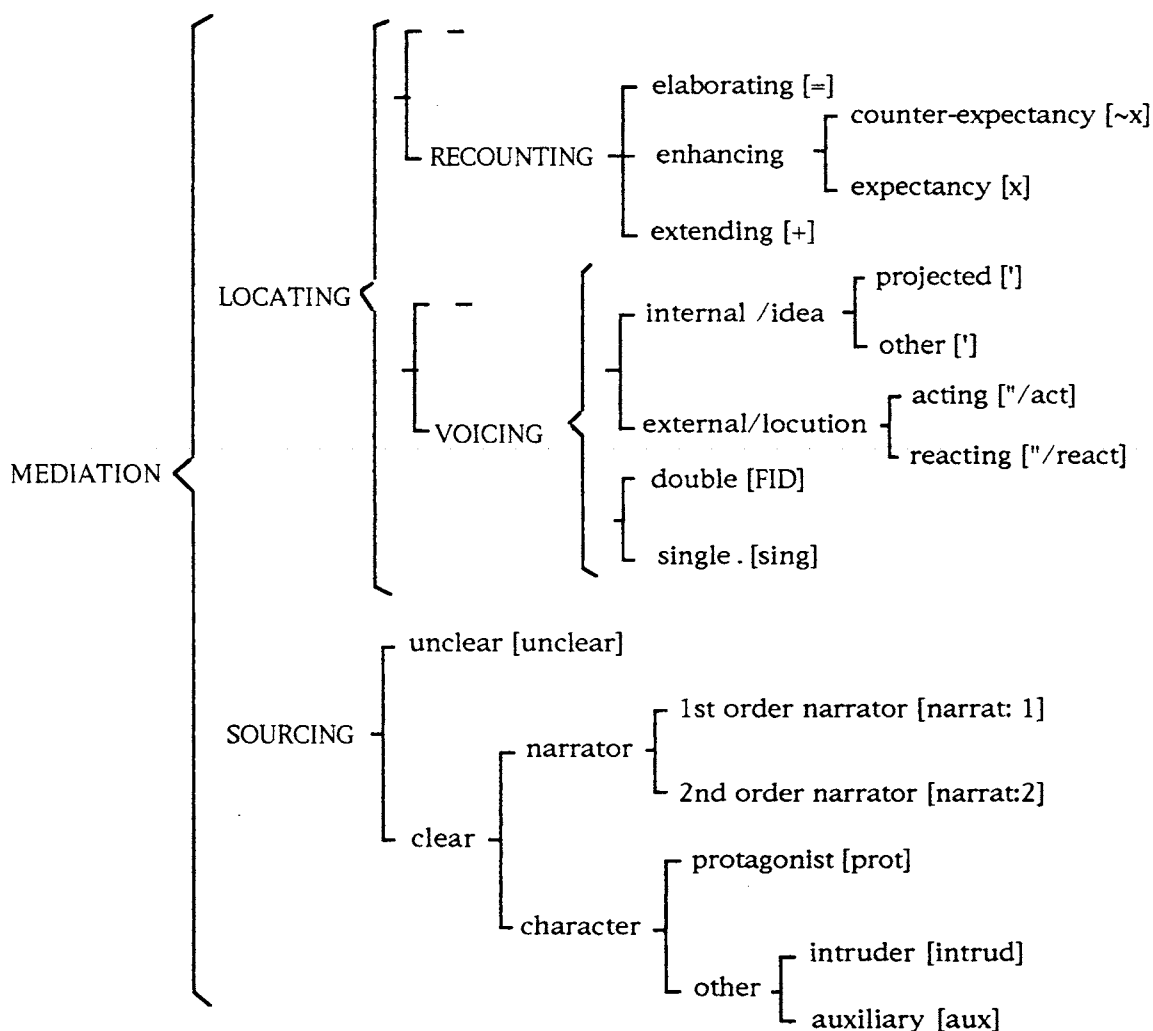


Figure 4.11: Network of choices for MEDIATION in the psychological narrative

4. 8. 4 Analyzing PROGRESSIONS

A typological system such as the network above presents semantic choices as discrete and categorical. It represents the sentence as either making meanings about RECOUNTING or VOICING - in spite of the effort to show (via the nil option) that a sentence and/or a phase can combine both kinds of meanings or make only one of these. In the semantics of the text, however, choices are so often combined, blended and blurred that this phenomenon problematizes the use of such a strongly classified representational resource. In practice, the narrative typically combines elements of recounting-type ('referential') meanings with voicing-type ('evaluative') meanings, as the following examples demonstrate: "On the screen, the mother was holding the daughter and crying 'What will the family think ? What will the family think?'" (*CLICK*: 34) or "'Harry' - Graham's voice was warm with affection - 'Daddy's busy'" (*The Weapon*: 41). In *CLICK*, the mother's holding of her daughter and crying is enhancing in function, while her expression of anguished concern over 'what the family will think' is a reacting-type locution. And in *The Weapon*, the Graham's affectionate response to Harry is extending while his words are examples of acting-type locutions.

A logico-semantic analysis of the clause complexes of these texts (any text) reveals that each clause complex - each sentence - typically makes more than one kind of meaning. The following sentence from *Friend for a Lifetime*, for example, combines meanings of both expansion (temporal enhancement, or x) and projection (idea or '): " (x) As she hobbled down the old hall (') she knew this, and (') tried to forget it (~x) but her aching legs wouldn't let her." (*Friend for a Lifetime*: 3). Characterizing the semantic 'flavour' of MEDIATION within a sentence - and, even more, within a phase is not a simple matter. And it does the text a disservice to attempt to reduce it to one or another semantic pattern. The best course, as I see it, is to recognize the multi-valence of both inter-sentential and inter-phasal discourse and to view the interweaving of referential and evaluative meanings and the indeterminacy of SOURCING as a motivated feature of narrative semiosis. In fact, characterizing the trend of the phase in general and of MEDIATION in particular is not easy. Three examples should suffice to show how it has been attempted in analytical tables 1a-1e and 2a-2e.

In some cases, a phase may be relatively homogeneous, semantically speaking. One such phase is 1q in *CLICK*, in which Jenny

contemplates her family. The whole passage is affected by free indirect discourse, linked only weakly with the prior projection, "Jenny thought about her family". Each sentence following the first sentence of the phase "There wasn't much to it", represents an exemplifying elaboration of this basic assertion, whose SOURCE is unclear: "[=;FID; unclear] Her father was on the road a lot, driving his truck. [=; FID;unclear] Her mother worked at night as a waitress. [=;FID;unclear] Jenny didn't have any brothers or sisters. [=; FID; unclear] It wasn't a real family. [=; FID; unclear] They never did much together." (CLICK: 37-41). This phase is very simply analyzed as elaborating in its RECOUNTING of Jenny's family situation, as 'double voiced' in relation to VOICING and as 'unclear' in its SOURCING or [=; FID; unclear] as it is represented in table 1a.

Other phases, however, are far more heterogeneous in their semantic makeup. Phase 1r of CLICK, for instance, deals with Jenny's experience of a television commercial. Although, in its overall character it combines enhancement and elaboration within RECOUNTING with SOURCING to the first-order narrator, its inter-sentential PROGRESSIONS are more varied, as the notation in table 1a makes clear: "[x; narrat:1] *Secret Loves* ended and a commercial came on. [=;narrat:1] It was for the sex appeal toothpaste. [=; narrat:1] A beautiful girl with white teeth was sitting with her boyfriend in a sportscar. [x; single; narrat:1] She smiled at the guy and ran her hand through his hair. [+/'; single; unclear] The guy reminded Jenny of somebody in her class." (CLICK: phase 1r, 42-46). The slash mark between choices indicates conflation. In the above example, this means that a choice for extension has been combined with a choice for idea (+/').

In some phases, we need to decide on the general trend of the PROGRESSION, as in phase 1u of CLICK, which is counter-expectancy overall in its relation to the previous phase, even though it contains within it both expectancy (x) and counter-expectancy (~x) relations: "(x; narrat:1) Jenny started to go to the window. (~x; narrat:1) But she didn't get up" (CLICK : 51-52). In general, in the analyses of PROGRESSIONS, I have attempted to capture both the trend of the phase with respect to the rhetorical function of choices for RECOUNTING, VOICING and SOURCING and to faithfully represent semantic heterogeneity as far as possible.

The options displayed in the MEDIATION network above reflect some basic distinctions which are important to the 'intratextual dialogue' of writer and reader. These distinctions include:

(a) distinctions between phases which recount sequences of events and those which evaluate these via some kind of voicing - in effect, between 'referentiality' and 'evaluation';

(b) distinctions between different speakers and between moves in each interactive exchange - in effect changes in SOURCE and VOICE;

(c) distinctions between different types of VOICING e.g. between an internal/idea (whether projected or other) and an external/locution (whether an 'acting' or a reacting-type projection);

(d) distinctions between phases which indirectly evaluate (passages of free indirect discourse), directly evaluate (both ideas and reacting locutions and those phases which enable, or contextualize, the events of the story line (including acting-type locutions). As a rule, enhancements are associated with enabling-type PROGRESSIONS and projections and elaborations with evaluative PROGRESSIONS.

As mentioned earlier, it is APPRAISAL which underpins our apprehension that one phase is like or unlike or transformative of another phase while MEDIATION situates the reader, so that s/he recognizes the space from which any act of appraising is issuing. APPRAISAL is thus a highly mediated phenomenon in narrative. Points of view are refracted, as it were, through the eyes and mouths of the characters. Of course it is the author (via the first-order narrator in third-person narratives and via the second-order narrator in first-person narratives) who, more or less consciously, animates these characters. His or her 'dialogue' with the imaginary reader is managed vicariously, through the play of voices and their points of view and struggles.

In texts which are more openly dialogic, of course, the different voices and their competing viewpoints, have more room, more power to challenge. Sometimes, as Bakhtin noted of Dostoevsky, they take on a life of their own and appear to overturn even the power of the author to manage them. Some narratives (for example, those which Belsey calls 'interrogative' (Belsey, 1980), which Bakhtin called 'heteroglossic' (Bakhtin, 1935/1981), and which McHale calls 'post-modernist' (McHale, 1987) appear to 'give themselves over' to an exploration of the relativity of values, the arbitrary nature of pleasure and desire, and to the cacophony of voices which mark a complex social order. That is not true of these five texts: they are dominated by the discourse hierarchy which is a feature of classic realist narratives. All the voices, all sources of appraisal, are subjected to conscious authorial control and the discretionary power of the different voices is very limited.

If axiology can be seen as the combined effect of different patterns of APPRAISAL and MEDIATION across the text, then it is possible to show how the ideal reader's value system is conditioned by the text, both as it unfolds progressively and as a completed gestalt. METARELATIONS enable the reader to assign (or re-assign) particular kinds of significance - or weight - to each phase and hence to interpret their relevance for the text as a whole. They underpin the reader's recognition of the global structure of a text - the motivation behind particular choices for lexicogrammatical meaning made by the writer. The point of an interpretive exercise such as students face in the Reference Test is to draw on PROGRESSIONS to build up the 'world' of the narrative and identify (with) its participants and then to re-interpret the significance of these in the light of its emergent METARELATIONS.

Thus progressive choices for RECOUNTING, VOICING, SOURCING and APPRAISAL are subject to higher order confirmation (\approx), opposition (\emptyset), transformation (\Rightarrow) and either internal or external evaluation (E' or E''). Or not. Some choices are not given higher order salience, in which case, they are pushed to the margins of the ideal reader's consciousness. In other words, only choices which are made 'emic' within the narrative have higher order significance within a specialized reading of the text. While PROGRESSIONS are built up phase by phase, as the reader processes the narrative, METARELATIONS are construed synoptically, via a 'look over' perspective, which is more or less conscious, depending on the 'meta-awareness' of the reader. The proportionalities for analysis of APPRAISAL and MEDIATION at each level can be outlined as follows:

	METARELATIONS	PROGRESSIONS
APPRAISAL	META-EVOCATION $(\approx, \emptyset, \Rightarrow)$	Values for AFFECT, APPRECIATION, JUDGMENT, LOADING, APPRAISAL TYPE; choices for RECOUNTING within MEDIATION.
MEDIATION	Meta-Inscription (E' prot, E'' prot, E'' intrud, or E indir)	Choices for VOICING, and SOURCING within MEDIATION.

4.9 Conclusion

In sum, once established, METARELATIONS are the key to identification of the problematic of the text and to the axiological solidarity of writer and reader. PROGRESSIONS, on the other hand, build up the 'possible world' of the text (moving between the event sequences of the habitual and intruding domains or the localized evaluations of the text participants and their 'voices'). The place of both in the discourse hierarchies of the psychological narrative can be represented as follows:

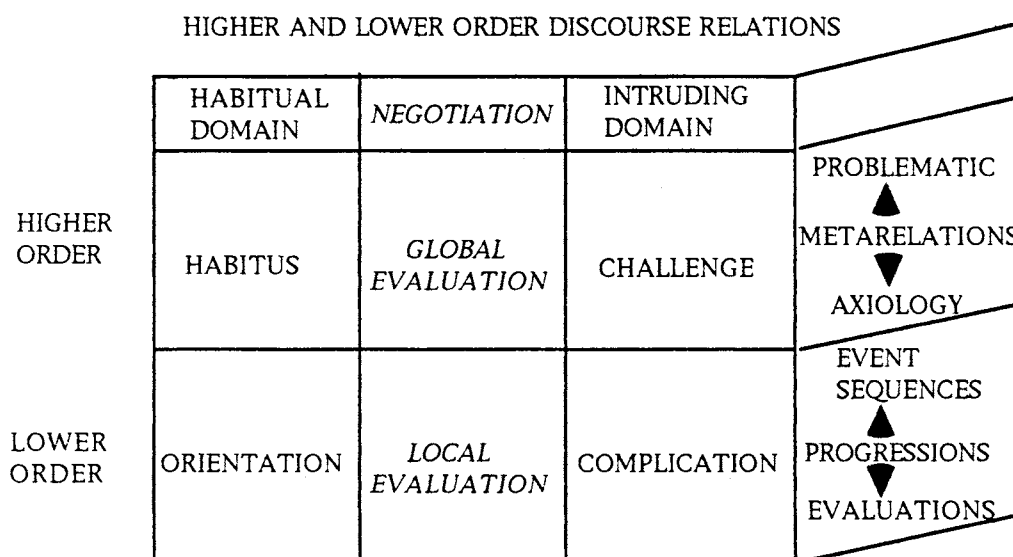


Figure 4.12 : The inter-relation of two orders of discourse

The five narratives of this corpus instantiate the discourse hierarchies outlined in section 4.5. But the intertextual relations they evoke are only accessible to readers who are able to interpret the higher order meanings of the narrative. These higher order meanings privilege a synoptic (overview) perspective over a dynamic (on-line) perspective. Readers who have access to this intertextuality are able to identify and discuss the problematic which a psychological narrative addresses and to replay the values which the text enacts (and which the protagonist may or may not embrace).

But how do teachers assist their students to engage with narratives in this way? How do they prepare them for the reading challenge of the Reference Test? Some of the implications for teaching these specialized reading practices can be spelled out briefly.

Firstly, their students need to learn to see all narratives (indeed, all texts) as **motivated** structures. Teachers can ask them to consider why the author has made the lexicogrammatical choices s/he has, to consider the relation of one choice to another, of one voice to another. Furthermore, the tendentiousness of the text affects every aspect of its meaning. The 'design' of the text is not only 'interested' but it has 'designs' on its readers, and these designs inflect its experiential, its interpersonal, logical and its textual meanings.

Secondly, students need to learn to see all narratives (indeed all texts) as semiotic **constructs**. Polyphony affects not only types of meaning but types of structure as well. The particulate (part-whole) representation of generic structure which genre-based intertextuality has made available to education, represents only a portion of the metalanguage which readers need for exploring text structure. The 'internal dialogism' by which a text engages its readers interpersonally and which has been in focus here presents an additional perspective on generic structure. Other perspectives can and should be developed and made available to students.

Thirdly, students need to learn to see all narratives (indeed all texts) as a tissue of **explicit and implicit meanings**. Making inferences and drawing parallels is crucial to the task of text interpretation. This gives 'implicature' an important function in literary study and presents the functional language model with a challenge too. To date, educational applications of SFL have dealt principally with lexicogrammatical semantics, with meanings realized in clause level segments. A text semantic perspective requires that we take into account meanings which are latent or left implicit in literary texts. Certainly if we are to take account of higher order meanings, implicitness is a major factor to be addressed in our development of a metadiscourse for school English and in our literacy teaching practices.

Finally, gaining control of the discourse hierarchies embodied in these five narratives, requires development of a **holistic orientation** to text semantics. Such an orientation will enable students to read the event sequences of a story as tokens of a narrative's abstract problematic and to interpret a harmonizing of different types of appraisal as projections of a higher order axiology. A reading practice which draws on these factors is facilitated if students can learn to frame their interpretations using intertextual heuristics like those explored in this chapter.

Chapter 5

SPECIALIZED LITERACY PRACTICES: RESPONDING TO NARRATIVE

5.1 Introduction

In at least four of the English Reference Tests from 1986, students faced narratives which were intertextually agnate. As chapter four demonstrated, these texts are like (and unlike) each other in some important ways. However, while some students were able to relate one narrative to others and to marshal this intertextual awareness to their own advantage in these examinations (i.e. to attract an 'A' grade), others drew on a narrower, or rather, a marginalized meaning potential in their reading of the texts (i.e. were unaware of or unable to deploy the relevant meaning potential to the literacy task at hand).

These students' different 'intertextualities' cannot be explained solely on the basis of reading ability. Some of the less-valued responses to two of the narratives, for example, are quite coherent, topic-centred and otherwise literate in the traditional sense of the term. Nevertheless, they fail to address the question in an 'appropriate' way and, as will be seen, have been penalized as a result. It isn't that these students have failed to 'process' the text of the narrative (though some bottom-range responses do indicate inability to do this). What the reasonably literate lower-range responses reveal is a failure of orientation to the narratives. They fail to recognize which meanings are socially as well as textually salient - to apply the right interpretive procedures to their reading. In short, the relations they 'see' between one text and another are not ones which are institutionally valued.

The criteria called into play in a student's reading of a single text will have been developed in readings of other texts elsewhere. Thus the kinds of relations and links which they can 'see' between and within texts are multiple (although not unconstrained) and the criteria for constructing intertextual relations can be drawn from different contextual orientations - different discourse formations - whether idiosyncratic, commonsense, specialized or critical. The semiotic possibilities of these different formations were imaged in terms of 'domains' in chapter three. It was suggested that English accommodates four crucial orientations to

literacy related to four contextual domains: the Everyday, the Applied, the Theoretical and the Reflexive.

The contextual domains which students consistently 'occupy' (read and write 'out of') over the four year period of junior secondary English predispose them to one or more orientations to literacy. Those students who have experienced a daily diet of 'personalist' and/or 'skills-based' intertextualities, and whose coding orientation does not enable them to read the 'hidden curriculum' of English, are not in a powerful position when it comes to the Reference Test. We can extend Bourdieu's term - *habitus* - to the representation of students' literacy orientations here. Some students develop a habitus which enables them to read the hidden meta-requirements of examination English. Others do not. Thus, while each domain and its associated literacy practices may be said to have a place in learning English, only one meta-orientation (*habitus*) is rewarded by teacher/examiners.

The privileging rules outlined in chapter four with respect to the psychological narrative can also be applied to analysis of the kinds of intertextuality manifested in students' responses to this. These rules are a useful heuristic for enunciating the tacit principles at work in the different response strategies employed by examinees in their encounter with Reference Test narratives. In Bernstein's terminology, the intertextuality of both the narratives themselves and of the institution in which they are read is 'strongly classified' and 'strongly framed', even when the examination question appears to invite a 'personal response'.

Analysis of nine responses to *CLICK* is pursued in this chapter in order to substantiate earlier claims about the different intertextualities possible within junior secondary English and the differential value these attract in examination English. Underpinning this procedure is the assumption that those students whose 'intertextuality' does not enable them to recognize and/or realize the requirements of the English Reference Test would benefit from the production of an 'interpretive rhetoric' which outlined these explicitly.

The chief task for this chapter is therefore an explication of the linguistic features of three 'top', three 'middle' and three 'bottom-range' responses to *CLICK* - as designated by examiners. Bernstein's notion of 'recognition and realization rules', and of the different privileges attached to these, represents one way of making the 'rhetoric' of these responses visible. These responses provide us with a window on the kinds of intertextuality which students bring to examination English.

If intertextuality is modelled in terms of 'discourse hierarchies', then it is possible to bring out those dimensions of semiosis (meaning-making) which are salient for student writers as they marshal their responses to a literary text like *CLICK*.

In fact, the notion of 'privileging rules' may only be legitimately applied to contexts marked by strong classification and strong framing (see discussion in chapter three). For example, it is easy to represent the privileging rules of a specialized literary interpretation in terms of a discourse hierarchy such as: literary response

personal response.

But in formations which prioritize personalist reading of a literary text, it is not possible to reverse the higher and lower order meanings, as in the following formulation:

personal response

literary response.

The students who operate within the Everyday domain cannot be said to 'have' two contextual orders to apply to their reading of a literary text. In fact, reversing the hierarchy doesn't work when it comes to outlining the 'rules' for the production of middle range texts either. Nevertheless, as it is applied here, the notion of 'privileging rules' does enable us to distinguish and contrast the meaning-making strategies employed by students in different grade ranges, while admittedly taking the discourse hierarchies of the Theoretical (and of the 'A' range responses) as a base-line for analysis. The concept of the privileging rule is also important for construing a more critical literacy within school English, the way in which it builds on (and sometimes inverts) the hierarchies of the Theoretical domain (see chapter six on this).

The linguistic analyses of the different hierarchies at work in top, middle and bottom-range literacy practices assume that the 'rules' which apply to cross-text (intertextual) perspectives on the test narratives are the same as those informing 'within-text' (intratextual) perspectives. This is to be expected, as any reading implies some model of the criteria relevant to interpretation.

Successful students expect that an examination of their reading(s) of *CLICK* or *Friend for a Lifetime* or *The Block* or *Feet* will call for a display of literary competence of a particular kind. They know

that the examination is a specialized context, calling for either a Leavisite or New-Critical interpretation of the narrative (or any other literary text, for that matter). These students enact a version (or blend) of Leavisite or New Critical interpretation even if they do not know that this is what they are doing. Successful students do what is required even if they have no metalanguage by which to name it.

Leavisite literary criticism foregrounds 'mimesis' (truth to 'life') and this is reflected in the rhetoric of Leavisite-type responses to narratives like *CLICK*, which make the protagonist the starting point for any interpretation of the text. The text is seen to embody experience and the reader's task is to discern its abstract and symbolic significance. As will be seen, this type of rhetoric is highly rewarded by examiners if it is pursued in terms of a global orientation to the literary text.

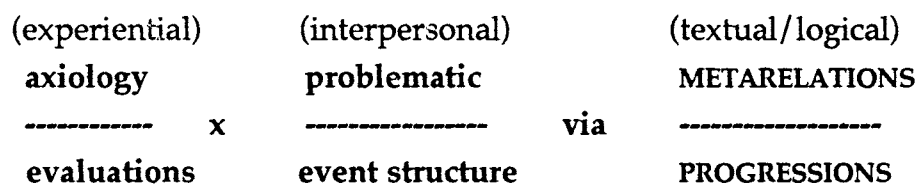
New-Critical interpretation, on the other hand, eschews a concern with matters 'anterior' to the text itself - such as the 'intentions of the author or the 'experience' it embodies. It is more concerned with 'semiosis' (patterned relations of meaning) than it is with 'mimesis' ('truth to experience as it is embodied by the text). Unlike the Leavisite response, which tends to make the protagonist the starting point of the interpretation, the New-Critical response makes the literary text - or some aspect of its semiosis - the point of departure. The literary text is a semiotic 'object' or 'construct' which it is the task of the student to interpret 'intrinsically' - as an autonomous verbal artefact. Each text is considered to be a unique entity whose ambiguities, tensions, contradictions and images co-create a higher order unity of form and content which only close-reading will increasingly discern. The dominance of New Criticism is palpable in the NSW senior English syllabus (Board of Senior School Studies, 1982:6).

There is more than a coincidental relationship between the primary text selected for interpretation (narrative) and the secondary text expected from students in examinations (a Leavisite or New-Critical response to narrative). One could expect that the fact that these narratives lend themselves so neatly to Leavisite or New-Critical interpretations would alert examinees to the reading demands of the context. The fact is that curriculum documents themselves (and even teachers) stand in the way of such an insight. As language consultants who work in disadvantaged schools have told me, most students take the advice of their teachers and view the English examination as an opportunity for 'touch and feel', for personal expressiveness (Maree Stenglin, p.c.).

It is now possible to explore the contrasts between the 'specialized' (Leavisite or New-Critical), the 'skills' and the 'personalist' readings of *CLICK* in terms of the different recognition and realization rules which appear to underlie the 'A', the 'C' and the 'E' range responses respectively.

5.2 Modelling the 'A', the 'C' and the 'E' grade reading

The 'A' students 'recognize' the literary structure of examination narratives and apply similar priorities to their interpretation of the texts as the authors appear to apply to their production of them. They read the evaluations of the characters against a background of the text's overall axiology, interpret its event structure in terms of its problematic and give value to its unfolding progression of phases in terms of its overarching pattern of metarelations. Thus the metafunctionally differentiated discourse hierarchies which were applied to narrative can also be applied to a specialized literary reading:



Within the strongly classified context of the English examination, the 'A' students draw on the superordinate paradigms of higher order discourse to distil the significance of each phase of the primary text. Thus the dominant acts as a kind of 'filter' on interpretation - providing the examinee with a (set of) principle(s) for selecting details of the literary text to exemplify their interpretive insights. In the 'poetics' of the 'A' range response, examinees don't just 'name' the problematic/axiology of the narrative; they re-create it in their own response text, re-enacting its normativities in the course of this. The experiential 'content' of the text, its event structure, is explored in terms of its overall problematic; the interpersonal valeur of the text's different voices is interpreted in terms of their contribution to the text's axiology; and local features of its design (like the ending, in the case of *CLICK*, for example) are interpreted in terms of the global interdependencies underpinning its METARELATIONS.

At the other end of the grade continuum, the 'E' range examinees do not apprehend the significance of one order of discourse for another, of the dominant for the auxiliary. In some cases, examinees cannot even process the text (read for literal meaning). In other cases, they do not know how to make a specialized reading of a literary text. As mentioned previously, some responses which attract a very low grade are nevertheless 'literate' in the everyday sense of the term. They reveal that the student has processed at least part of the primary text. But the examinee seems not to know which 'rules' are in play or, if they do know this, how they can be operationalized. In short, they are not privy to either the principles of classification in their interpretation of the task, and/or which principles have priority in this context.

The assumptions underpinning the production of an 'E' response appear to be as follows: narratives are mimetic; the author aims to recreate experience in some way; or to achieve some emotional impact on the reader; and there is an arbitrary relation between one part of the text and another. The narrative text, as a result, remains largely inscrutable. It stands to reason that the 'E' range examinees attend only to localized phases rather than to global patterns of meaning in the text. In short, the 'E' range students produce a response which is maximally responsive to the mimetic and minimally attentive to the constructedness of the primary narrative.

Imaged in terms of metafunctionally differentiated discourse choices, the 'priorities' of the 'E' range response are as follows:

(experiential) (interpersonal) (textual/logical)
event structure or evaluations or PROGRESSIONS

The 'C' range texts, on the other hand, are somewhere in the middle of the continuum, between the 'As' and the 'Es'. These examinees attend far more than the 'As' to the experiential content of the narrative, recounting what happens from beginning to end as if the students feel they need to conscientiously reconstruct its event structure in their response. But, unlike the 'Es', these examinees do not see the narrative as inscrutable. They recognize the principles regulating the choices throughout the text. For example, all the 'C' range examinees utilize the opposition between fantasy and reality in the design of their response to *CLICK*. But they demonstrate a limited ability to integrate awareness of the narrative's problematic (its value) with a recreation of

its salient features (its token). Accurate recreation of salient phases of the primary text is also less evident here than it is in the 'A' texts. The 'C's' identify but do not re-create the problematic in their response.

The same trend affects the interpersonal dimension of the 'C' range responses. They demonstrate an awareness of the axiology of the stimulus text (reality is good and fantasy is bad) but cannot re-enact this in their selection of relevant evaluations from the narrative. Unlike the 'As', the 'Cs' do not quote 'tellingly' from the protagonist's highly amplified moments of internal evaluation. And, where they do occur, their recreations of these moments are less sensitive to the dominant axiology than the 'A' range texts. For example, Response Text 5 reveals an awareness of Jenny's developing axiology: "So when she was confronted with death, seeing a girl dead with blood scattered everywhere, Jenny realized TV shows were fake, by not showing reality."¹ However, while the text reveals axiological awareness on the part of the student writer, it inaccurately glosses the motives behind Jenny's act: "Deciding, what's the use watch TV anymore, she turn it off"

Faithfulness to the wording or the semantic import of the story is not a high priority for 'C' range examinees. In fact, interpersonally speaking, the 'Cs' can inscribe but not evoke the appraisal patterns underpinning the primary text, often foregrounding the student's personal evaluations, prefacing their interpretations with 'I think' (not a feature of the 'A' range texts). In fact, there is a greater concentration within this range on the protagonist's subjectivity (Jenny's feelings) rather than on the ethical dimensions of her behaviour (her decision to turn off the television).

Textually speaking, the same phenomenon occurs. 'C' range examinees are able to see and name the link between the end of the narrative and the rest of the text (in the case of *CLICK*, to explain why Jenny turns off the television). But their tendency to recreate the sequence of events as they unfold suggests that these students are not as attentive to METARELATIONS as they are to PROGRESSIONS in the narrative.

Although they are able to privilege the 'right' dimensions of discourse in their response, the 'Cs' do not recreate one (lower order) in the service of the other (higher order). They are more intimidated by mimetic content, by expressions of characters' affect, by local, syntagmatic

¹ Errors of spelling, punctuation or syntax have been preserved, as they were in the original corpus of published specimen responses.

analyzed, just as the elaborated code becomes a baseline against which students' performances are measured, certainly in examinations. In this respect, the 'Cs' and the 'Es' appear inadequate by comparison.

The remaining sections of this chapter provide linguistic evidence for the dominance of Leavisite and the New-Critical reading practices in examination of junior secondary English and the relative fates of middle (skills-type) responses and bottom (personalist-type) responses by comparison. They highlight the 'rhetoric' underlying each set of responses through analysis of their linguistic 'syndromes'.

Within each grade range, analyses concentrate firstly on **textual meaning** - method of development (realized in patterns of Theme), point (realized in patterns of Rheme/New) - both of which highlight the 'texture of reply' in each set. Then, within the **logico-semantic** metafunction, I consider the types of **expansion** and **projection** which are drawn on to link clauses and groups. Above these grammatical dependencies, there are the semantic dependencies, which have been called **PROGRESSIONS**. In the case of the response texts, however, rather than looking at inter-phasal **PROGRESSIONS** as with the narratives, I consider the pattern of **inter-sentential PROGRESSIONS** (types of links between sentences). Taken together, choices for expansion and projection below the clause complex complement choices for inter-sentential **PROGRESSIONS**. Both provide a key to the 'design principle' of the response text as a whole. Furthermore, it will be observed that these differ from one set to another. Within these broadly textual analyses, I also consider the extent to which examinees attend to the **METARELATIONS** underpinning the global structure of the narrative. Responses which involve a 'dance' between **META-EVOCATIONS** and **META-INSCRIPTIONS** are typically highly valued by examiners.

Secondly, within the **experiential** metafunction, I explore the degree of responsiveness to the 'experience' privileged in the primary text, in this case, *CLICK*. Students' awareness of higher order relations like the **Habitus**, the **Challenge** and the **Metastability** marks them as attentive Leavisite/New-Critical readers of the narrative. But we also need to take into account the experiential qualities of the responses themselves - the types of participant-process relations they construct. It will be seen that there is a telling disparity between the 'A's', the 'C's' and the 'E's' in this respect also.

Thirdly, within the **interpersonal** metafunction, I examine the patterns of choices of **APPRAISAL** and **MEDIATION** and differences in

these across the grades. The pattern of choices with respect to these systems clearly differentiates the responses of each grade. While the same system of APPRAISAL is used For the responses, as for the narratives, it was necessary to develop a genre-specific system of MEDIATION - one appropriate to Leavisite and New-Critical interpretive practices.

On the basis of linguistic argumentation, it is possible to view each set of response texts as embodying three distinctive approaches to the Reference Test context; they reveal three different (though related) intertextualities. The 'As', the 'Cs' and the 'E's' represent three 'response rhetorics', strategic uses of language towards (somewhat) different ends. All examinees know that they have to fashion a response to the primary text. Some recognize that this response should attend to and recreate the higher order semiosis of the narrative. Others view their task as one of simply identifying its higher order meanings. And still others construe their task as one of examining the effect of the narrative on their own consciousness. The following analyses aim to highlight the linguistic features of the three 'text rhetorics' with the hope, that, once explicated, the principles underlying them and their consequences can be made visible for all students.

There are 9 texts to consider in this corpus. Each text is reprinted in appendix 3.1 as they were reproduced in the published collection of sample answers and in appendix 3.2 as they are numbered (sentence by sentence) for ease of reference here. Each response is followed by the examiners' comments on its relative merits or flaws plus the grade it was awarded in the examination. It can be presumed that these published comments represent an 'officially sanctioned' view of the nature of the achievement in each case. But the comments are no real guide to the interpretive achievement of each examinee and serve only as an 'ad hoc' rationale for the grade awarded in each case. There does not appear to be a consistent application of assessment principle across the comments. Examiners know what they like but find it difficult to articulate why they like (or don't like) it.

5.3 The 'A' range text rhetoric: design principles

The 'syndromes' of features which collectively define the rhetoric of the successful response text can be analyzed metafunctionally. In the following sections I consider the textual, followed by the experiential and interpersonal dimensions of the 'A' range rhetoric.

5. 3. 1 The textual dimension

As it is explored within SFL, the textual metafunction is concerned with clause 'as message'. There are two simultaneous 'message lines' which are crucial to a consideration of examinees' packaging of information in a text: one of Theme + Rheme and one of Given + New. As Halliday explicates it: these two lines interact as follows:

The former presents the information from the speaker's angle: the Theme is 'what I am starting out from'. The latter presents the information from the listener's angle - still, of course, as constructed for him by the speaker: the New is 'what you are to attend to'. The two prominent functions, Theme and New, are realized in quite distinct ways: the Theme segmentally, by first position in the clause; the New prosodically, by greatest pitch movement in the tone group. Because of the different ways in which the two are constituted, it is possible for both to be mapped on to the same element. But the typical pattern is for the two to contrast, with tension set up between them, so that the clause enacts a dynamic progression from one to the other: from a speaker-Theme, which is also 'given' (intelligence already shared by the listener), to a listener-New, which is also 'rhematic' (a move away from the speaker's starting point). This pattern obviously provides a powerful resource for constructing and developing an argument.

[Halliday, in Halliday and Martin, 1993: 90]

Examination of the two 'message lines' in each response offers a basis for interpretation of the pattern of argumentation utilized by the examinee. This is not a static phenomenon. From the point of view of the textual metafunction, each text exhibits what Halliday calls a 'wave-like' pattern of rhythmic peaks of prominence and troughs of non-prominence. In fact, as Matthiessen argues,

A textual wave or pulse, like any movement, is inherently dynamic - a **TRANSITION** from one state to another. This reflects the dynamic character of textual meaning: what was new becomes given, what was rhematic often becomes thematic, what was non-identifiable becomes identifiable, and so on. These all constitute **CHANGES** in textual status; and they show how the dynamic character of the textual metafunction involves the notion of **TEXT** or **DISCOURSE HISTORY** - the past and the future of any given current clause. In particular, this is the history of text development as a semiotic journey.

[Matthiessen, 1992: 60; capitals as in original]

However, while choices for Theme and New are not pre-determined, they are motivated, and in the case of the 'A' range texts, they are patterned. In fact, it is the interaction of these two 'message lines' and the co-patterning of particular kinds of Theme and New in each response which enable us to recognize the different textures of 'reply' available within the 'A' range rhetoric. I deal with Theme first and then with New.

5.3.1.1 Theme choices (Method of development)

Theme has come to be identified with the 'method of development' of a text - the 'peg' on which the message is hung. Peter Fries has demonstrated that "if the themes of most of the sentences of a paragraph refer to one semantic field (say location, parts of some object, wisdom vs chance, etc.) then that semantic field will be perceived as the method of development of the paragraph" (Fries, 1983: 135). And, while analysis of individual Theme choices only discloses the local context for each sentence, examination of the **thematic progressions** throughout each text reveals a great deal about its overall discursive structure.

There are no first or second person Themes in the 'A' range responses. They are all third person Themes which reveal a global orientation to the narrative. Within this orientation, there are two possible points of departure: the 'world' of the story, glossed as 'experiential', and the 'world' of the text itself, glossed as 'semiotic' in tables of analyses (appendix 4.1). The 'A' range examinees typically choose either 'mimesis' or 'semiosis' as the predominant frame within which they interpret the axiology/problematic of the text. Effectively this means that their response either thematizes the protagonist (e.g. 'Jenny') and different aspects of his or her experience or it thematizes the text itself (e.g. 'The story CLICK', 'The writer' or 'The most important image').

Obviously, choice of a 'semiotic' Theme makes the response more likely to be concerned with the 'aesthetic' dimensions of the literary work and, even, as a potential within the discipline, with 'technicality' itself. However, demonstrating control of technicality and applying it to understandings about 'how the text means', is not a feature of current interpretive practices in English.

The two possible methods of development (the 'Leavisite' and the 'New-Critical') are well exemplified in both Response Text 1 and Response Text 3. Text 1 'sandwiches' 'experiential' Themes in between

the 'semiotic' Themes while Text 3 makes the semiosis of the text its predominant choice for method of development. The Themes beginning the first 7 sentences of each text are displayed below in Table 5.2 with 'experiential' Themes and 'semiotic' Themes highlighted in bold.

Themes in Response Text 1 (Leavisite)	Themes in Response Text 3 (New-Critical)
1. Click by Judith Stamper	1. The story 'CLICK'
2. CLICK	2. The writer
3. She	3. The most important images
4. She	4. The next image
5. They	5. The image of the real world
6. Jenny	6. This event
7. Her hiding place	7. These events

Table 5.2: Contrasting patterns of Theme in Response Texts 1 and 3

Of course, neither text reveals an 'either/or' approach to thematic progression; these two patterns represent only a predisposition to either the 'semiotic' or the 'experiential' as its angle on the narrative. However, it is the consistency of patterning in choices for Theme which indicates a coherent orientation to the literary text on the part of the examinee. And this is because in the rhetoric of the 'A' range response, it is the literary text itself, or the experience which it makes possible which must be the starting point of any evaluation.

In contrast to both the 'C' and the 'E' range responses, the 'A' texts do not thematize the student and his or her responses; nor do they meander from one method of development to another. Instead they consistently demonstrate a global orientation to the narrative and an ability to select experiential and semiotic details which are pertinent to an evaluation of the narrative's central problematic - the protagonist's struggle with a habitus of avoidance of 'reality'. This orientation can be handled via a 'Leavisite' or a 'New Criticism-type' reading. Furthermore, as will be seen, choice of one thematic pattern has consequences for other linguistic choices in the response text, particularly for process type.

5. 3. 1. 2 New choices (Point)

The other 'message line' which is relevant to the textual dimension, is that characterized by **Given + New**. These functions do not originate in clause structure, however, but in information structure,

which is characterized by intonation rather than by grammatical organization. This makes it a problem to delineate the information structure of written language - which cannot draw on the rich potential available within spoken language for mapping 'newsworthy' information onto the clause. Writers typically construct their sentences so that New falls at the end of the clause - its unmarked position within spoken discourse. This means that, generally speaking, Given precedes New and thus includes the Theme, while New forms part of the Rheme (rest) of the clause. The complementarity of the systems can be seen in the following clauses in figure 5. 1:

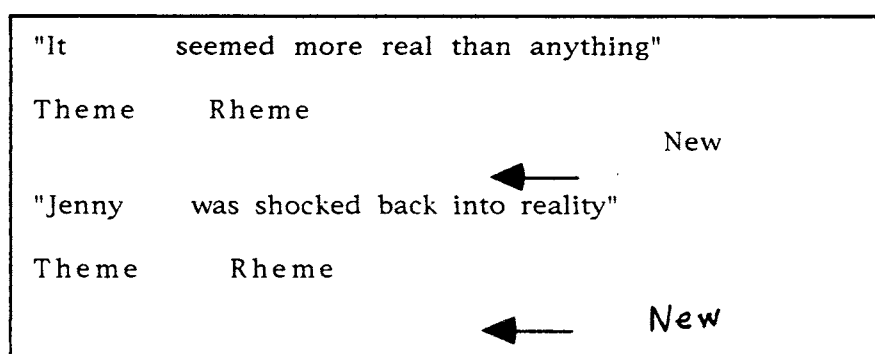


Figure 5. 1 The complementarity of Theme and New in the unmarked case

The indeterminacy remains however, because, although in spoken discourse the New 'element' is marked by tonic prominence, (which is the nucleus of greatest pitch movement), there is nothing to mark where New begins. Fries has resolved this problem by combining New with Rheme -which he calls 'N-Rheme' (New-Rheme) - and identifying this with the final clause-level constituent of each clause (Fries, 1992). However, while this enables him to conflate analyses of New and Rheme, which is helpful for capturing the periodicity of written text, his strategy effectively flattens the distinction between unmarked and marked patterns of information structure in written text. Furthermore, sometimes, the last segment of the clause is irrelevant to the 'point' of the clause, typically when it contains anaphoric and deictic elements. As Halliday has observed, these elements are 'inherently 'given' (and therefore, do not contribute to the point), even where they occur in final position (Halliday, 1994: 298).

A simpler strategy than Fries' is applied to this data, although it doesn't resolve the indeterminacy issue. The term New is

retained in addition to Theme, in order to highlight the complementarity of the two 'message lines'. But it is assumed that, unless otherwise indicated by graphological features such as italics or underlining, clauses have unmarked tonicity and New includes at least the last constituent of each clause - including group or phrase complexes and embedded material. Sometimes the final constituent is anaphoric and so is naturally Given. This leads to an interesting phenomenon in Response Text 1, for example, where a number of metaphoric Material processes can also be treated as carrying information focus. However, because of the need to reveal the co-patterning of Theme and New, I assume that New includes the final clause-level constituent, with its salience indicated by means of capital letters. Cases of marked information focus are also represented in capital letters in order to highlight their additional significance for the construction of 'point'.

This strategy exploits the indeterminacy of New's beginning, taking a maximal view of its reach in each clause. Arguments for this strategy can be found in Halliday and Martin (1993: 247) where Martin demonstrates that it enables a better display of the interaction of Theme and New. Other arguments can be developed on the basis of Quirk et al, 1972, who note the tendency to place new information towards the end of the clause (the principle of 'end focus') plus the tendency to reserve final position for the more complex parts of a clause or sentence (the principle of 'end-weight'). They add: "Since it is natural to express given information in few words, these two principles work together rather than against one another" (Quirk et al. 1972: 943). With respect to the sentence, this preference for terminal focus and terminal weight is combined with what Quirk et al call 'the principle of Resolution': "whereby the final clause in a clause complex is felt to be the point of maximum emphases" (Quirk et al. 1972: 790, but see also Fries 1992 for argumentation supporting a maximal view of the scope of 'newsworthiness'). Hence, within this view, we need to include all instances of embedding within the final clause ranking constituent.

Following Fries' association of New with 'main point' (Fries, 1983), Martin has convincingly extended this to show the interaction of 'point' with 'method of development'. He argues that "just as the pattern of Theme selections in a text constitutes its method of development, so the pattern of New selections constitutes its point" (Martin in Halliday and Martin, 1993: 247). If newsworthy information and **point** are mutually constitutive, then an examination of the pattern of News in

each text should give us an insight into what the writer of each text sees as significant/relevant in the literary text. This turns out to be a productive analytic exercise.

In all 'A' range responses, the News focus primarily on the psycho-axiological meaning of the narrative - what it signifies in terms of psychological adaptation in the protagonist and in terms of his or her values-orientation. The News contain the interpretive motif which the examinee uses to understand the narrative: the representation of Jenny's 'flight from' reality (Response Text 1), her 'imprisonment' in fantasy (Response Text 2) and her attachment to 'false' images (Response Text 3).

Whether the point of departure is experiential (thematizing 'Jenny') or semiotic (thematizing 'the text'), the News in each response contain at least some treatment of the psychological value of the narrative - usually an abstract nominal like "reality and its unhappiness and death [[that it confronted her with]]" (Response Text 1) or "the fantasy, make-believe world of television" (Response Text 1) or "a girl [[obsessed by television and distanced from reality]]" (Response Text 2).² The 'A' texts demonstrate a move from the particulars of the story (taken as a narrated experience or as a text-object) to the general psycho-axiological meaning which the narrative instantiates.


Of course, this pattern is not the only one found in these responses - which also have to substantiate claims about the meaning of the ending by reference to key details of the narrative. In cases of exemplification, the News deal with **particular narrative events** which substantiate the student's interpretation; eg. "She was unhappy with her family life" (Response Text 1:3) or "Jenny only went outside to investigate the accident because there was a television commercial on" (Response Text 1: 8) or "The most important images of the television world were the toothpaste commercial, which showed [[the way toothpaste would give sex appeal]]" (Response Text 3:3) and so on. But where the writer wants to develop an interpretation of the narrative, the News are concerned with **psychological abstraction** or, less frequently, with **semiosis**, as in: 'Click is a very didactic short story' or 'The last sentence is very symbolic and moralistic'.

It should come as no surprise that the 'A' texts tend to exploit the potential of **elaboration** and its associated token-value

² The notation [[]] indicates an embedded clause, and the notation [] indicates an embedded group or phrase.

structure as a design principle for presenting the significance of the narrative. It is the ideal structure for imaging the move from the concrete details of narrative experience (Jenny and the particulars of the event sequence) or narrative semiosis (the parts of the text) to the abstract values these embody. Fries has already pointed to the tendency to find evaluative items within the New (1992). This is certainly true of the 'A' range responses. In all three texts, almost all evaluative material is contained in the News of each clause - at least up until they have established the significance of the narrative. Thus, a kind of elaborating relationship is set up between the signifier (semiotic or experiential 'token') and the signified (its newsworthy 'value'). It should be noted that the notion of **token/value** is a semiotic one here - not limited only to identifying Relational clauses. It captures the semiotic activity going on in the 'A' texts.

Table 5. 3 images the transition from Theme/signifier/token to New/signified/value in the first three sentences of each 'A' text as a **span** from left to right, with News in capital letters, as follows:

span 

Text/Else No.	semiotic Theme/Tkn	experiential Theme/Tkn		New/Value
Text 1:1.	'Click' by Judith Stamper		(is)	VERY DIDACTIC SHORT STORY [[THE MORAL OF WHICH, THE ENDING OF THE STORY AND ITS TITLE CONVEYS TO THE READER]].
1.2	CLICK		(is)	ABOUT A YOUNG GIRL [[WHO HAS RUN AWAY FROM REALITY AND ITS UNHAPPINESS AND DEATH THAT IT CONFRONTED HER WITH]].
1.3		She	(was)	UNHAPPY WITH HER FAMILY LIFE.
Text 2.1	The last sentence		(is)	VERY SYMBOLIC AND MORALISTIC.
2.2	The paragraphs [[leading to the climax]]		(illustrate)	A GIRL [[OBSESSED BY TELEVISION AND DISTANCED FROM REALITY]].
2.3	The scene		(emphasizes)	HER PSEUDO-SENSITIVITY AND PARTIAL AWARENESS [OF LIFE].
Text 3: 1a.	The story 'Click'		(ends)	IN SUCH A WAY

3.1b.	because the image [[of the padlock snapping open]]	(advances)	THE IDEA [OF FREEDOM FROM THE FAIRYTALE WORLD] AND ENTRANCE INTO THE REAL WORLD [OF TODAY].
3.2.	the writer	(gives)	THE CONTRAST [OF THE TELEVISION WORLD AND THE REAL WORLD].
3.3a.	The most important images [of the television world]	(were)	THE TOOTHPASTE COMMERCIAL
3.3b	which	(showed)	[[THE WAY TOOTHPASTE WOULD GIVE SEX APPEAL]]

Table 5.3: Spans between Theme/token and New/value in the first three sentences of the 'A' range responses.

Whatever the dominant thematic progression in the response (Leavisite or New Critical), the opening gambit is always an evaluation of the literary text as a whole. In this way, students demonstrate a 'global orientation' to the text before going on to substantiate their reading along particular lines. The Themes of the first three sentences in each text are almost all semiotic ones and the predominant process type following this is most often a Relational Attributive one. Hence while the functions **Token** and **Value** are not strictly speaking applicable to each Relational clause (**Carrier** and **Attribute** are the appropriate functional labels for the two halves of a Relational Attributive clause), in a broader, semantic sense, the narrative is treated as Theme/token and its significance as New/value. The texts reveal a consistent shunting from one to the other and the **spans** from Theme to New reveal something of the movement from material phenomena (text or characters) to abstraction (psycho-axiological significance). It is important to note the tendency to load the News with nominalized and embedded material. The examinee rightly assumes that what is 'newsworthy' in each clause is the abstract evaluative material.

5. 3. 1. 3 Elaboration as design motif in the responses

Elaboration (signalled as =) is the ideal type of expansion by which to achieve these **spans** from concrete particulars to psycho-axiological abstraction. In fact, elaboration is not only a feature of intra-clause relations but also of inter-sentential PROGRESSIONS in each 'A' range response. In sentence 2 of Response Text 1, for example, the writer announces in a relational clause that "'Click' is [=] about a young girl who

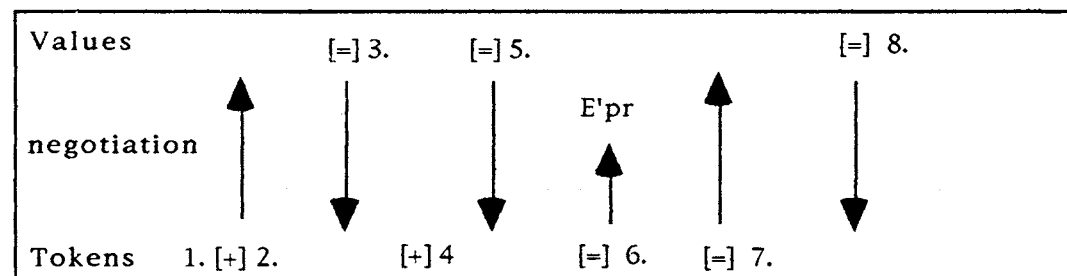
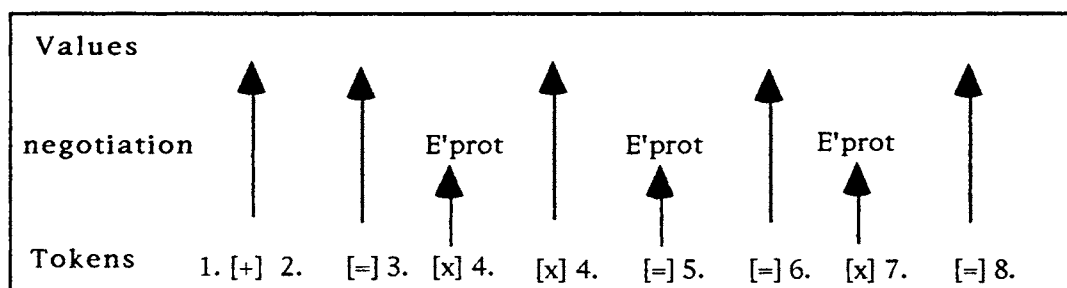
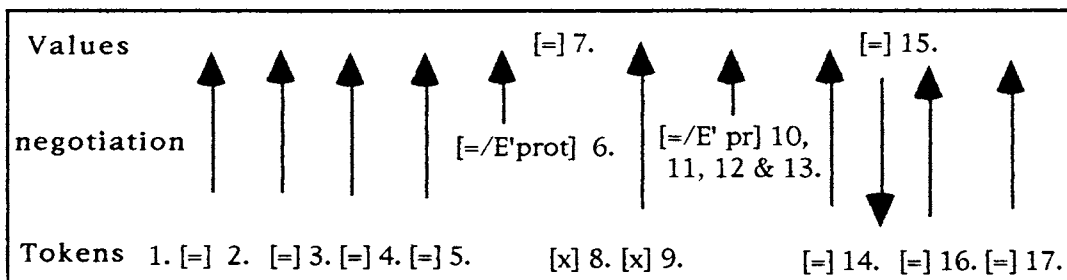
has run away from reality and its unhappiness and death that it confronted her with". Then, in sentences 3, 4, 5, 6 and 7, the writer substantiates this claim in a series of elaborating inter-sentential PROGRESSIONS: 3. [=] "She was unhappy with her family life. 4. [=] She was lonely because her parents and herself lived their lives apart. 5. [=] They had a very distant relationship. 6. [=/E^{prot}] Jenny recognized this, but instead of facing it and making what she could out of it or trying to rectify it, she chose to hide from it. 7. [=] Her hiding place was the fantasy, make-believe world of television." Each sentence, in effect, elaborates the overarching claim made in sentences 1 and 2.

In short, the sequence of inter-sentential PROGRESSIONS in each response parallels the token-value spans at lower ranks (between Theme and New, as shown in table 5.3). They yoke the particulars of the narrative (the Token) to its posited psycho-axiological significance (the Value). If we take into account those progressions which reveal the protagonist's internal evaluation of her experience, (as in the analyses of the negotiation vector of the narratives in the previous chapter), then we can demonstrate the extent to which the 'A' range responses also reveal awareness of global evaluations (E' prot or E'' prot/intrud) in the narrative. These are treated as **negotiations** in analysis of inter-sentential progressions in figures 5. 2, 5. 3 and 5. 4. Negotiations include examples like: "Jenny recognised this, but instead of facing it and making what she could out of it, or trying to rectify it, she chose to hide from it" (text 1: 6) or "It took an accident to snap Jenny back to reality and disillusion her" (text 2: 4). It will be observed that the 'A' texts refer to the protagonist's global evaluations in metaphoric ways, and these tend to be weighted with the axiological significance they accrue in the narrative.

Figures 5. 2, 5. 3 and 5. 4 show the pattern of PROGRESSIONS between each numbered sentence in the three 'A' range responses and reveal the extent to which each sentence either elaborates the abstract significance of a **Token** or exemplifies a **Value** through some detail of the story. Sentences which **shunt** in some way between instance (signifier) and abstraction (signified) are indicated by means of arrows. A signifier which points up some higher order abstraction, or value, in the narrative is represented as an upward facing arrow, spanning from Token to Value (e.g. "When she arrived, the girl was already dead and Jenny, when she look into the dead girl's face, was shocked back into reality" Response Text 1: 9). A signified which is named and then exemplified is represented as a downward facing arrow, spanning from Value to Token

(e.g. "This whole experience, the dead girl's face, the shock of reality awake Jenny" Response Text 1:15). Smaller spans can begin at the negotiation vector and typically point upwards because they highlight awareness of a higher order Value. Those projecting-type PROGRESSIONS which instantiate a crucial (usually global) evaluation by the protagonist are marked 'E' ^{prot} in the figures and situated in the middle of the figures (in a similar location, relatively speaking, to that of the internal evaluations in tables 1a-1e in Appendix 2.1). There are no 'readerly' evaluations (E' ^{read}) amongst the 'A' range texts. Internal evaluations include the metaphorical representations of Jenny's consciousness, as in: "The 'Click' emphasizes the automatic approach seen previously and the ensuing sentence is written to indicate that Jenny had broken free and was no longer totally obsessed by television" (Response Text 2: 5).

The kind of progression - whether extending [+], enhancing [x] or elaborating [=], is given in square brackets beside the relevant sentence number for each response text in figures 5. 2 - 5. 5. However, note the predominance of elaborating PROGRESSIONS (=) over other expanding-type PROGRESSIONS in these figures. A preference for **elaboration** turns out to be a distinctive feature of the 'A' range rhetoric.



Elaboration is a semantic motif which inflects all ranks of transitivity. It can be realized as a move within a group complex. This includes verbal group complexes: "As it hit her, Jenny's reaction was to switch the channel, [=] to escape, [=] to hide from reality" (Response Text 1: 12); and also nominal group complexes: "This whole experience, [=] the dead girl's face, [=] the shock of reality awake Jenny" (Response Text 1: 15) or "The next image was the scene where Doctor Harding started the girl's heart again, [=] the fairy tale happy ending" (Response Text 3: 4). It can also be realized by a move within the clause, via the use of 'metaphoric' Material processes like "and Jenny, when she look into the dead girl's face, [=] was shocked back into reality" (Response Text 1: 9) or through more congruent patterns such as Identifying Relational Processes, as in "The scene [=] emphasizes her pseudo-sensitivity and partial awareness of life" (Response Text 2: 3). And the semantics of elaboration affects the

whole clause complex too, as in: "Jenny realised, when she went back inside, that the world of television no longer gave her protection against reality" (Response Text 1:13) or "When the padlock snapped open, Jenny was freed from her attachment to television" (Response Text 2: 7).

The arrows in the above figures are an attempt to represent the trend to elaboration both within and between sentences. The elaborating motif allows students to construe signification in literary texts - the move from signifier to signified in a rhythmic pulse or wave of increasing abstraction from lower to higher, surface to significance. The directionality can go either way, but tends to be from lower to higher order significance, as scrutiny of the above figures shows (see Matthiessen, 1991 for a discussion of this).

In sum, elaboration is a design principle for all 'A' range texts in this corpus. Thematic progressions tend to be one of two kinds - to do with 'semiotic' or 'experiential' tokens. And News, which, taken together, reveal the point of the interpretive exercise, are focussed predominantly on narrative values. It should be clear, by now that neither Token nor Value is enough on its own. In the hermeneutics of a Leavisite or New-Critical interpretation, one is read in terms of the other. As will be seen, this coupling of Token and Value also influences examinees' recreation of the 'experiential' aspects of the narrative.

5. 3. 1. 4 Recognition of METARELATIONS in the narrative

One final comment is necessary in consideration of the textual dimension of the 'A' range rhetoric: to do with examinee's degree of recognition of the METARELATIONS of the narrative. In chapter four, I observed that a specialized interpretation of the psychological narrative requires attention to these overarching patterns of meaning in the text. It can be expected that 'A' range examinees would be sensitive to these and that their texts would provide evidence of this.

The 'A' range responses reveal attentiveness to both META-EVOCATION and META-INSCRIPTION in *CLICK*. They acknowledge the narrative's **oppositions** (\emptyset), as in "CLICK is about a young girl who has run away from reality and its unhappiness and death .." (Response Text 1: 2) or "The paragraphs leading to the climax illustrate a girl obsessed by television and distanced from reality" (Response Text 2: 2) or "The story 'Click' ends in such a way because the image of the 'padlock snapping

open' advances the idea of freedom from the fairytale world and entrance into the real world of today" (Response Text 3: 1).

They also replay its **confirmations** (\approx), as in "She was unhappy with her family life. She was lonely because her parents and herself lived their lives apart. They had a very distant relationship" (Response Text 1: 3-5), or "The scene emphasizes her pseudo-sensitivity and partial awareness of life" (Response Text 2: 3), or "The most important images of the television world were the toothpaste commercial which showed the way toothpaste would give sex appeal. The next image was the scene where 'Doctor Harding started the girl's heart again', the fairytale happy ending" (Response Text 3: 3-4).

They attend to its **global transformations** (\Rightarrow global), as in "When she arrived, the girl was already dead and Jenny, when she look into the dead girl's face, was shocked back into reality" (Response Text 1:9), or "It took an accident to snap Jenny back to reality and disillusion her" (Response Text 2: 4), or "Jenny came out of her fanciful world and into the real world when she turned off the television and the padlock snapped open" (Response Text 3: 8).

And, finally, the 'A' range responses key on highly amplified moments of evaluation in the protagonist (E^{prot}). And, here, rather than simply recounting Jenny's **internal evaluations**, their recreation of these are loaded with the normativities of the text's axiology ('avoid fantasy and face reality'). The following segments fuse inscription of Jenny's internal evaluation with an evocation of the narrative's higher order values: "As it hit her, Jenny's reaction was to 'switch the channel' to escape, to hide from reality" (Response Text 1: 12); "When 'the padlock snapped open', Jenny was freed from her attachment to television" (Response Text 2: 7); "This event is important because it 'seemed to cut through the cloud in her mind like lightning'" (Response Text 3: 6). It would be interesting to study a corpus of 'A' range responses to a divergent narrative - one in which the axiology naturalized by the text diverges from the evaluative position taken by the protagonist (as in *The Weapon* or *The Block*, for example). It could be expected that, in such cases, students' accounts of the protagonist's evaluations would be relativized in relation to the text's dominant ethos.

It was found that responsiveness to local transformations (\Rightarrow local) and to the external evaluations of other characters (E^{prot/alien}) is not a feature of the 'A' range responses. Also, there tends to be an overlap

between global transformations and internal evaluations, as should be expected given their closeness in this genre.

Table 5.4 indicates those sentences of Response Texts 1, 2 and 3 which deal with the oppositions (\emptyset), confirmations (\approx), global transformations (\Rightarrow global) and protagonist's internal evaluations (E' prot) of the narrative. Reference to the reader's evaluations (E' reader) is a notable absence in the these texts, but is indicated here for purposes of contrast with the 'C' and the 'E' range texts. Those sentences which fall outside the scope of METARELATIONS, notably those which classify the genre of the narrative, as in "'Click' by Judith Stamper is a very didactic short story ..." (Response Text 1:1), are allocated to the 'other' column. Where responses deal with more than one METARELATION in the same sentence, this is shown by a repetition of the sentence number in the relevant table cells.

Meta-relations	\emptyset	\approx	\Rightarrow global	E' prot	other	E' reader
Response Text 1.	2. 6.	3. 4. 5. 7. 8.	9. 13. 14. 15. 16. 17	6. 10. 11. 12. 13.	1.	
Response Text 2.	2.	3. 6.	4. 5. 7. 8.	5. 7.	1.	
Response Text 3.	1. 2.	3. 4. 5. 7.	8.	6. 8.		

Table 5.4 : Pattern of recognition of METARELATIONS in response Texts 1-3.

The spread of sentence numbers over the table reveals alertness to the full range of METARELATIONS in the 'A' texts and an ability to encapsulate these in summary-type statements. This may be what examiners are responding to when they reward a "concise, integrated piece of work, which does more than just go over the storyline" (Examiner's comment following Response Text 3).

Examinees need to 'salute' or hail the patterned relation of META-EVOCATIONS and META-INSCRIPTIONS in the primary narrative and draw on these to recreate their response to it. This pattern enables them to demonstrate a 'transcendent' account of the narrative and to select and recreate just those details of it which exemplify this account. Through their reading of the global patterns of its semiosis (i.e. through attentiveness to its METARELATIONS) the 'A' range examinees are able to

avoid getting bogged down in the relative complexities of the unfolding story and to take what is in fact a 'meta-eye' view of these.

5. 3. 2 The experiential dimension

This section considers the experiential dimension of the 'A' range rhetoric. There are two aspects to this inquiry: the extent to which the 'A' texts reveal a responsiveness to the 'experience' privileged in the narrative and the experiential qualities of the responses themselves.

5. 3. 2. 1 Recognition of higher order experience in the narrative

Firstly, there is the question of students' recognition of the abstract significance of the experience played out in the narrative i.e. its 'problematic'. If the construal of the experiential hierarchy proffered in chapter four is adequate, then it follows that successful students will demonstrate awareness of this in their response to the narrative. In the case of the narrative, *CLICK*, this will entail successfully interpreting the nature of Jenny's **Habitus** (avoidance of reality through compulsive watching of television); understanding the nature of the **Challenge** she faces (not the sadness of her encounter with the accident victim but the significance of this for her fantasy world); and, finally, acknowledging the **Metastability** to which the narrative returns both Jenny and ideal reader (reconciliation to 'the real world of death and unhappy endings'). And, quite simply, all three response texts do reveal awareness of the **Habitus**, the **Challenge** and the **Metastability** at work in *CLICK*.

Response Text 1 is exemplary in this respect. It identifies the **Habitus** in sentence 2: "'Click' is about a young girl who has run away from reality and its unhappiness and death that it confronted her with." It then goes on to substantiate this reading in sentences 3-8:

She was unhappy with her family life; she was lonely because her parents and herself lived their lives apart. They had a very distant relationship. Jenny recognised this, but instead of facing it and making what she could out of it, or trying to rectify it, she chose to hide from it. Her hiding place was the fantasy make-believe world of television. Jenny only went outside to investigate the accident because there was a commercial on.

Recognition of the **Challenge** comes in sentences 9-14 of this response:

When she arrived, the girl was already dead, and Jenny, when she look into the dead girl's face, was shocked back into reality. "It seemed more real than anything". " cut through the cloud in her mind." As it hit her, Jenny's reaction was to 'switch the channel, to escape, to hide from reality. Jenny realised when she went back inside, that the world of television no longer gave her protection from reality. Once she had been jolted back into consciousness, the make-believe world seemed too fake.

And finally, there is an acknowledgment of the **metastable order** in sentences 15-17:

This whole experience, the dead girl's face, the shock of reality awake Jenny. The conclusion, "Click, the television switch sounded through the room like a padlock snapping open" was symbolic. The padlock was Jenny's mind and its snap was the awakening of reality in that mind, a realisation that it couldn't run away.

What is more interesting about the reproduction of these higher order meanings within the response text, is that, whereas 'A' range responses do not re-tell the story in the order in which it was told, they do preserve the generic sequence of these higher order complexes (with the exception of sentence 1 in Response Text 3). As a rule, they recapitulate first, the Habitus, then the Challenge and, finally, the Metastability in their interpretation. In other words, the 'A' examinees are not bound by the sequences and experiential details of the story's mimetic surface, but are attuned to the salience of higher order meanings. Recognizing the abstract salience of each stage of the narrative gives the examinees a handle on the experience embodied in the narrative and it is by means of these that they structure and sequence their interpretation.

Table 5.5 demonstrates which sentences in each 'A' range text deals with which higher order relations:

Complexes	Habitus	Challenge	Metastability
Response Text 1	2-8	9-14	15-17
Response Text 2	2-3	4	5-8
Response Text 3	2-4	5-6	1; 7-8

Table 5. 5 : Recognition of higher order complexes in Response Texts 1-3

5. 3. 2. 2 The experiential structure of the responses

With respect to the experiential structure of the responses themselves, we can discern this in the participant + process relations of each text's transitivity structure. And, just as with earlier treatment of thematic PROGRESSIONS and patterns of New in the responses, the transitivity choices themselves are motivated by higher order considerations.

With the **experiential** metafunction, just as with the textual metafunction, choices for **participant + process** across the text reveal either a Leavisite or New-Critical rhetoric. If the writer chooses to make the **protagonist** (or some aspect of her experience) the **major participant** in his or her transitivity selections, then s/he also has to render the higher order implications of this choice. Typically, this involves choosing Material processes which both recapitulate the important events of the narrative and render their abstract significance for the narrative as a whole. Processes like: 'run', 'chose to hide', 'escape' etc. are deployed in the course of the examinee's description of the protagonist's Habitus. Others like 'jolted back', 'pushed into', 'cut through', 'hit', 'shocked back' and 'awakes' are associated with descriptions of the overturning of her Habitus and the instantiation of a new Metastability. These Material processes allow students to translate the experience of the text into abstract and symbolic terms. Through particular selections for transitivity, they, in effect, 'narrativize' their response. These **metaphorical Material processes** enable them to 'do again' what the primary narrative has demonstrated, to impersonate its semiosis.

According to a Leavisite framing of experience, Jenny doesn't just watch television: she 'hides/escapes/runs away' through television; and through her turning off the television, she is 'jolted back'/'pushed into'/'shocked back' into reality. Just as in the narrative, it is the accident which is agentive in Jenny's transformation, so also in the responses the move into new awareness is represented as something which she undergoes, suffers. These responses 'borrow' from the narrative Material processes which enable them to render the higher order significance of the event sequence.

In short, within a Leavisite rhetoric, which takes the protagonist as primary participant (and method of development), the examinees need to show that they can read the problematic latent in the events of the narrative (and, guided by the text itself), can interpret the

value system they embody. In Response Text 1, Jenny, as experiential participant, is involved in more than physical actions, as can be seen in the co-selections for major participant + process + minor participant or circumstance in table 5.6. Experiential participants, Metaphoric Material (or Mental) processes and abstract complements (minor participants and/or circumstances) are highlighted in bold for each clause where they occur in sentences 6-14.

Response Text 1: sentences 6-14

Sent no.	Major participant (experiential participants in bold)	Process type (metaphoric Materials/Mentals in bold)	Minor participant and/or circumstance (abstract complements in bold)
6a.	Jenny	recognized	this
6b.	but instead of	facing	it
6c.	and	making	[[what she could]] out of it,
6d.	or	trying to rectify	it,
6e.	she	chose to hide	from it.
7.	Her hiding place	was	the fantasy, make-believe world [of television].
8a.	Jenny	only went	outside
8b.		to investigate	the accident
8c.	because there	was	a television commercial on.
9a.	When she	arrived	
9b.	the girl	was	already dead
9c.	and Jenny	was shocked back	into reality.
9d.	<<whenshe	look into	the dead girl's face>.
10.	'It	seemed	more real [than anything].
11.		'cut through	the cloud in her mind'.
12a.	As it	hit	her
12b.	Jenny's reaction	was to switch	[[to switch the channel, to escape, to hide from reality]]
13a.	Jenny	realised	
13b.	when she	went	back inside
13c.	that the world of television no longer	gave	her protection from reality.
14a.	Once she	had been jolted back	into consciousness,
14b.	the make-believe world	seemed	too fake.

Table 5.6: The experiential structure of Response Text 1.

In the New Critical framing of experience, by contrast, the examinee often makes the **text major participant**, so that the semiosis itself structures the recreation of the story. And, here, the experiential pattern is a **relational** rather than a material one, which explicitly relates text as Token to abstraction as value. This pattern was exemplified in the earlier discussion of semiotic signifier as Theme/token and signified as New/value in section 5.3.1.2. The New Critical rhetoric explicitly

foregrounds symbolic relations between one part of a text and another, between one aspect of the text and its psycho-axiological significance. Relational processes are crucial to the construction of such symbolic connections. Response Texts 2 and 3 foreground the relationship between text participants (words, sentences, paragraphs, scenes and images), Relational processes and associated participants and/or circumstances (usually nominalized, often embedded, abstractions). Where these patterns occur in Response Text 2, the processes and complementary participants and/or circumstances are highlighted in bold in table 5.7.

Response Text 2

Sent no.	Major participant (text participants in bold)	Process type (symbolic Relationals in bold)	Minor participant and/or circumstance (abstract complements in bold)
1.	The last sentence	is	very symbolic and moralistic.
2.	The paragraphs [[leading to the climax]]	illustrate	a girl [[obsessed by television and distanced from reality].
3.	The scene	emphasizes	her pseudo-sensitivity and partial awareness of life.
4a.	It	took	an accident,
4b.		to snap	Jenny back to reality
4c.	and	disillusion	her.
5a.	The 'Click'	emphasizes	the automatic approach [[seen previously]].
5b.	and the ensuing sentence	is written to indicate	.
5c.	that Jenny	had broken	free
5d.	and	was	no longer
5e.		(totally) obsessed	by television.
6a.	hence		the emotive word, 'padlock'
6b.	which	symbolizes	jail, prison, captivity or imprisonment.
7a.	When the padlock	snapped	open
7b.	Jenny	was freed	from her attachment to television.
8.	She	was	a slave no longer

Table 5.7: The experiential structure of Response Text 2.

As noted in the discussion of textual meaning, all the 'A' texts vary their point of departure (Response Texts 2 and 3, for example, do occasionally thematize Jenny or the events of the narrative). But, once the writer makes a choice of major participant (and Theme), certain consequences follow for the rest of the clause, and, by implication, for the

rest of the text. Table 5.8 highlights the typical co-patterning of participants and processes in the experiential structure of the 'A' range response, both the Leavisite and the New-Critical.

	Major participant	Process type	Complementary participant and/or circumstance
Leavisite	experiential participant e.g. 'Jenny'	(metaphorical) Materials	abstraction
New-Critical	text participant e.g. 'The last sentence'	(symbolic) Relationals	abstraction

Table 5. 8: The experiential structure of the 'A' range response

If 'A' range students select text as major participant, they will typically combine it with Relational processes like 'convey', 'indicate' 'emphasize' or 'show' and then with psychological abstractions which reconstitute the meaning of the narrative. These Relational processes carry an additional feature of agency in them: the text acts on the reader just as the Challenge acts on Jenny in *CLICK*. And, like Jenny, the reader has to discern the significance behind the experience. Both the Leavisite and the New-Critical interpretations see the literary text as motivated in design. But, while the Leavisite reader explores this design from the point of view of the psycho-cultural experience it opens up, the New-Critical reader emphasizes its rhetorical and symbolic properties.

5. 3. 3 The interpersonal dimension

I turn now to the interpersonal dimension of 'A' range responsiveness. This requires examination of the axiology of the responses - the kinds of values they reproduce and the extent to which these reflect the values enacted in *CLICK*. All 'A' students know that reality is 'good' and that fantasy is 'bad'; they all appraise the narrative in a similar (though not identical) manner and mediate their appraisal by conflating their own voice with that of the protagonist. And because *CLICK* is a convergent narrative, the ideal reader's axiology aligns itself with Jenny's so that what examinees see as true for her, is deemed to be

true for all. The 'A' texts therefore focus on Jenny's awakening and on the significance of her final action for this.

5. 3. 3. 1 Choices for APPRAISAL and MEDIATION in the responses

While both the Leavisite and the New-Critical rhetoric instantiate the axiology of the primary text, they do so in somewhat different ways. To foreshadow a little, the former rhetoric prefers to **evoke** the axiology of the narrative, while the latter prefers to **inscribe** it.

The axiological model developed in chapter four to account for the positioning of the (ideal) reader by the narrative can be re-deployed to investigate the response texts with very little modification. As with the narratives, there are two major systems to consider here. The system of APPRAISAL remains unchanged in its application to the responses, although, of course, the patterns of selections vary in this genre. But the system of MEDIATION introduced in section 4.8.3 of the last chapter needs to be adapted to account for different patterns of voicing in the field of literary criticism.

MEDIATION is concerned with the foundation of any act of appraisal - the **BASIS** on which the student evaluates the narrative and the **SCOPE** of this evaluation. The **BASIS** of a reader's assessment of a literary text is either **intrinsic** or **extrinsic** to the primary text. If **extrinsic**, the evaluations appeal to either the **author** and his or her imputed intentions (E' *auth*) or to the **reader** and his or her reactions (E' *read*). If **intrinsic**, the evaluations are either **mimetic** - concerned with the 'experience' made available by the text or **semiotic** - concerned with the meaning-making patterns of the text. If mimetic, then the choices deal with either the **protagonist** or some **other** detail of the story. If the choices centre on the protagonist, then they deal either with his/her **evaluations** or with something else, such as his/her affect or her experiences (**other**). If semiotic, the choices deal either with a **text element** or a **text quote**.

The **SCOPE** of an interpretation has to do with the range of a student's comments. **SCOPE** can be either **local** or **global**. Local interpretations deal with one segment of the primary text, whereas global interpretations deal with the text as a whole or with inter-related segments of it.

In the interests of preserving time and space, further exemplification of choices from APPRAISAL and MEDIATION will not be attempted here. The APPRAISAL network remains the same as that

reproduced in Appendix 2.2. Examples of choices in the responses from each of these systems can be found in Appendix 4.2. The network in figure 5.5 lays out the options available within MEDIATION in this genre.

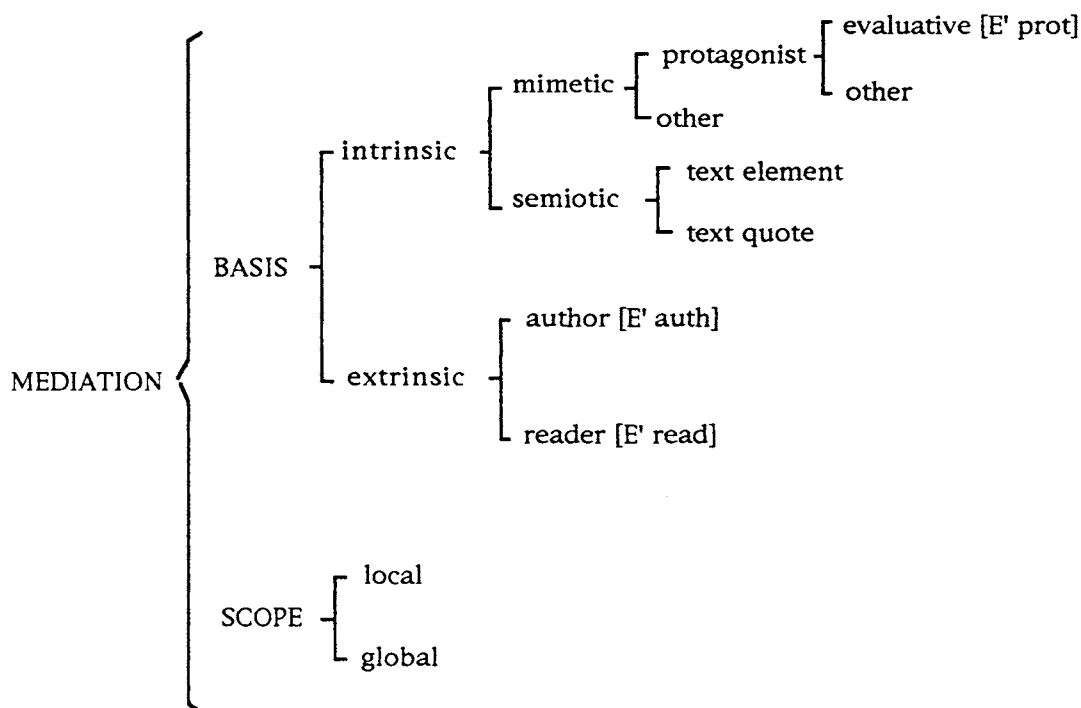


Figure 5. 5: Choices for Mediation in the response texts

MEDIATION is related to both textual patterns (method of development) and to experiential patterns (major participant and process type) in the 'A' range corpus. What is thematic in each text tends to be what moderates APPRAISAL. As with the narratives, the MEDIATION of point of view frames the development of APPRAISAL, which, itself, tends to be concentrated in the News of each clause.

It is now possible to demonstrate the kinds of analysis of appraisal and mediation which have been undertaken in this research. Tables 5a-5i in Appendix 4.2 display analyses of APPRAISAL and MEDIATION for Response Texts 1-9. An example of these analyses is provided for the first half of Response Text 1 as an indication of the kind of patterning that occurs within the 'A' range. Table 5.9 displays the pattern of choices for APPRAISAL and MEDIATION in the first six sentences of this text. The relevant instance from the text is given and then coded on the basis of choices for VALUE TYPE, LOADING, APPRAISAL TYPE and MEDIATION. It will be observed that this table also indicates the subject of the appraised ('Apprsd') in each instance. Patterns of these contrast across the grade ranges and indicate the focus of the examinee's attention.

Text Sent no.	Instance	VALUE TYPE	LOADING	APPRSL TYPE	MEDIATION	Apprsed
1: 1	'Click' by Judith Stamper is a very didactic short story, the moral of which the ending of the story and its title conveys to the reader.	composite; APPRECIATION: valuation; JUDGEMENT: sanction: propriety.	LOADING: neutral.	APPRSL TYPE: inscribed: glossed: generalized.	BASIS: intrinsic: semiotic: text element; SCOPE: global	the text
1:2	Click is about a young girl [[who has run away from reality and its unhappiness and death that it confronted her with]].	composite; JUDGEMENT: esteem: -ve tenacity; AFFECT: unhappiness: misery.	LOADING: biassed: -ve.	APPRSL TYPE: fused: both evoked: ('run away') & inscribed ('reality').	BASIS: intrinsic: mimetic: protagonist: evaluative. SCOPE: global	the subject of the narrative
1: 3	She was unhappy with her family life.	single; AFFECT: unhappiness: misery	LOADING: biassed: - ve.	APPRSL TYPE: inscribed: glossed: generalized;	BASIS: intrinsic: mimetic: protagonist: other; SCOPE: global	the protagonist
1: 4	She was lonely because her parents and herself lived their lives apart.	single: AFFECT: unhappiness: misery & dissatisfaction : ennui.	LOADING: biassed: - ve.	APPRSL TYPE: inscribed: glossed: generalized;	BASIS: intrinsic: mimetic: protagonist: other; SCOPE: global	the protagonist
1: 5	They had a very distant relationship.	composite; AFFECT: unhappiness: misery; insecurity JUDGEMENT: esteem: normality.	LOADING: biassed: -ve.	APPRSL TYPE: inscribed: glossed: generalized;	BASIS: intrinsic: mimetic: other; SCOPE: global	Jenny's rel/ship with her family
1: 6	Jenny recognized this, but instead of facing it and making what she could out of it or trying to rectify it, she chose to hide from it.	composite: AFFECT: insecurity: apprehension; JUDGEMENT: esteem: -ve tenacity (moral cowardice).	LOADING: biassed: -ve.	APPRSL TYPE: inscribed: glossed: abstract.	BASIS: intrinsic: mimetic: protagonist: evaluative; SCOPE: global	Jenny's habitus

Table 5.9: Choices for APPRAISAL and MEDIATION in 1-6 of Response Text 1.

5. 3. 3. 2 Trends in the axiology of the 'A' range responses

It is possible to generalize about the axiological trends of three top responses on the basis of the analyses in Appendix 4.2. Within the 'A' texts we can discern an inclination to 'mimic' the axiological trajectory of the narrative. Response Texts 1 to 3 instantiate an interpretive trajectory which tracks negative tenacity in the protagonist (a factor of social esteem), through her confrontation with the 'real' into eventual reconciliation with the positive values of 'reality' and veracity (a factor of social sanction). This is paralleled by a transition from negative LOADING through mixed LOADING in the Challenge stage into positive LOADING over Jenny's acceptance of the values identified by the reader in the Metastability.

The 'A' range reader thus recapitulates in his or her response, the process of reconciliation with the culture and its sanctions as these are embodied in the narrative. This identification of ideal reader with ideal protagonist means that their evaluations can be conflated (in convergent narratives, at any rate). **Fused appraisal**, which conflates both evoked and inscribed appraisal (e.g. 'shocked back + intro reality' or 'cut through + the cloud in her mind') demonstrates reader awareness of and alignment with the implicit injunctions of the narrative.

With respect to MEDIATION of appraisal in this range, almost all interpretations are **intrinsic** to the narrative and, whether mimetic or semiotic, tend to be **global** in scope. It would be expected that the Leavisite rhetoric favours **mimetic** and the New-Critical **semiotic** interpretations. A consideration of the subject of each act of appraisal, (identified in the 'Appraised' column of the tables of analysis), reveals attentiveness to higher order meanings, such as Jenny's habitus, Jenny's challenge or Jenny's struggle. Thus there is a tendency to appraise the abstract aspects of the narrative - demonstrating that the 'A' range students apprehend the axiology of the narrative as a whole. Taken together, their choices for APPRAISAL and MEDIATION co-define the axiology they both identify in the narrative and re-enact in their response.

It can be seen that the axiology permeating the response text is conflated with its account of the narrative's problematic (its treatment of the protagonist's Habitus, Challenge and the restoration of cultural order in the Metastability). The interpersonal 'infuses' the experiential in this sense, via the enabling textual metafunction. In fact, all the 'A' range

examinees recapitulate the order 'Habitus' ^ 'Challenge' ^ 'Metastability' at the same time as they delineate the values which these embody. Table 5.10 below summarizes the value selections predominating in the 'A' students' interpretation of the higher order 'stages' of the narrative. Exemplary material which is News is highlighted in bold:

Higher order stages (experiential)	Habitus (escapism)	Challenge (confrontation)	Metastability (restoration/change)
Value choices (interpersonal)	social esteem: -ve tenacity	social sanction: veracity/'reality'	social sanction: veracity/'reality'
Response Text 1	"Click' is about a young girl who has run away from reality ..."	"This whole experience, the dead girl's face, the shock of reality awake Jenny"	"The padlock was Jenny's mind and its snap was the awakening of reality in that mind, a realisation that it couldn't run away."
Response Text 2	"The paragraphs leading to the climax illustrate a girl obsessed with television and distanced from reality"	"It took an accident to snap Jenny back to reality and disillusion her."	"When the padlock snapped open, Jenny was freed from her attachment to television. She was a slave no longer."
Response Text 3	"The writer gives the contrast of the television world and the real world of today"	"This event is important because 'it seemed to cut through the cloud in her mind like lightning'."	"Jenny came out of her fanciful world and into the real world when she turned off the television and the 'padlock snapped open'."

Table 5.10: Conflation of choices for APPRAISAL with accounts of higher order 'stages' in Response Texts 1-3

There are some telling differences between the choices for APPRAISAL and MEDIATION in these texts. These relate to the predominant rhetoric which the student chooses to organize his or her response. While all three texts instantiate a transition from social esteem: -ve tenacity (escapism) on the part of Jenny into a higher realm of social sanction: veracity and truth ('reality'), the **Leavisite rhetoric** favours the use of **evoked or fused APPRAISAL TYPE**. These choices characterize a reverence for the 'felt life' of the literary text; it is an approach which attempts to apprehend and reincarnate the value systems inchoate in the literary text. Evoked appraisal is heavy with the value-orientation of the implied author. There can be no surprise when the writer of Response

Text 1 appears to admonish the protagonist for her failure to adjust to 'reality' in the course of what is presented as an objective interpretation of her habitus: "Jenny recognized this, but instead of facing it and making what she could out of it, or trying to rectify it, she chose to hide from it". This evoked appraisal is then yoked together with abstract nominals which inscribe its significance. So, firstly, Jenny 'chooses to hide' from reality; then, we are told that "Her hiding place was the fantasy, make-believe world of television." Later, Jenny realizes that the world of television no longer 'gives her' protection from reality' - a nominalized metaphor which reveals the agentiveness of 'television' in her life. In this response, the axiology is first embodied in evoking appraisal and then fused with inscribed abstract nominals such as the above.

By contrast, the **New-Critical rhetoric** favours the **inscribed APPRAISAL TYPE**. Because it makes the text, or some aspect of it, thematic, what follows typically takes the form of an embedded nominalized abstraction, as in "The paragraphs leading to the climax illustrate a girl [[obsessed by television // and distanced from reality]]". This tendency was dealt with earlier in the discussion of the different textures of reply within each rhetoric (section 5.3.1.2). The point here is that the same pattern is revealed within the interpersonal dimension but is revealed as a preference for inscribed rather than evoked or fused APPRAISAL. Considered from the point of view of METARELATIONS, the **Leavisite rhetoric** 'keys on' **Meta-Evocations** (\approx , \emptyset & \Rightarrow) while the **New Critical** 'keys on' on **Meta-Inscriptions** (E" and E') in the realization of a response to the narrative. However, there is a harmony between evoked and inscribed APPRAISAL where both occur.

There are also some differences when it comes to choices for BASIS within MEDIATION. Successful students do not mediate their interpretation through a personal evaluation, as in "I think the story ends this way because .." or "The ending appeals to me because..". Nor do they tend to mediate it via evaluations based on the author and his or her intentions - a choice which might be predicted within a Leavisite rhetoric. We rarely find expressions like "Judith Stamper wants to show..." or "The author reveals ..." in the top texts of this corpus. In this model, evaluations based on motives of the author (E' _{auth}) and on reactions of the reader (E' _{reader}) are treated as 'extrinsic' to the primary text. However, within the Leavisite and New-Critical approaches, the text itself is the only basis on which interpretive claims can legitimately be based. All agentiveness rests with the text, which 'acts on' the reader, just

as the accident 'acts on' the protagonist. The 'A' range responses are faithful to this reading regime and the axiology of the text is seen to emerge, as if unmediated, from the narrative.

But there are two possibilities here. The **Leavisite rhetoric** foregrounds the **mimetic** (truth to the protagonist's experience) and tends to be concerned with the protagonist (E' protagonist) or some other details of his or her experience. The **New-Critical rhetoric**, on the other hand, foregrounds the **semiotic**. This can be either an aspect of the text - the title ("Click, by Judith Stamper"), its imagery ("The most important images of the television world" or "The padlock"), or its orthography ("The last sentence" or "The paragraphs leading to the climax") - or it can be quoted material, which substantiates the appraisal of the narrative ("It seemed more real than anything" or "As it hit her, Jenny's reaction was to 'switch the channel, to escape, to hide from reality'").

There are no significant differences between the two types of response when it comes to SCOPE. **Global construals predominate**, whether concerned with the mimetic significance of the narrative ("Click' is about a young girl who has run away from reality ...") or its semiotic significance ("The story 'Click' ends in such a way, because the image of the 'padlock snapping open' advances the idea of freedom from the fairytale world...").

The axiology of the primary text is not subject to processes of personal reflection on the part of 'A' range examinees. Treating MEDIATION as 'intrinsic to the primary text means that they do not prioritize point of view or the personal in their response to it. They tend to enunciate rather than mediate appraisal - representing it in third-person terms. As a result, 'A' students downplay the constructedness of the axiology which simply cannot be foregrounded if it is taken to be latent within, emerging from, the narrative. This leads to a high degree of naturalization of the ideology in both the narratives and in the responses.

In sum, focussing on the reader's thoughts and reactions, or the intentions of the implied author, or exploration of how ideology is naturalized in text is not a task for a specialized text interpretation. This is to be expected if the literary text is treated as an 'autonomous' construct, as point of departure and point of return in students' interpretive endeavours. There can be no appeal to alternative means of interpreting and contextualizing the values evoked and inscribed in the primary text within such a reading formation. This can only emerge in more critical perspectives on the axiology naturalized by narratives such as *CLICK*.

5. 3. 4 Concluding remarks on the 'A' range rhetoric

Successful students recognize the salience of higher order meanings in examination narratives. Their written responses provide evidence of the realization rules they apply to the interpretive task. Whether the rhetoric is Leavisite or New Critical, 'A' range examinees package their response to *CLICK* so as to reveal attentiveness to its overarching problematic, its axiology and the global text patterns through which these higher order meanings are instantiated.

This is reflected in the following 'syndromes' of features, organized by metafunction:

(i) use of the semantic complexes ['Habitus' ^ 'Challenge' ^ 'Metastability'] to organize their reading of the event sequences and voices of the narrative (the experiential dimension of the rhetoric);

(ii) conflation of the above with particular APPRAISAL and MEDIATION choices which reconstitute the axiology of the narrative (the interpersonal dimension of the rhetoric);

(iii) use of the rhythmic periodicity available within Theme and New to highlight the movement from material particulars (semiotic or experiential) to abstract values in the narrative (the textual dimension of the rhetoric);

(iv) accounting for the full range of narrative METARELATIONS in their response plus a tendency to draw on the potential of elaboration across different semantic and grammatical environments - ie. across intersentential PROGRESSIONS, clause complexes, clauses and groups (the logical dimension of the rhetoric).

The co-patterning in selections for experiential, interpersonal, textual and logical meaning amongst the 'A' texts disclose that, whichever rhetoric they use to organize their response, examinees always discern and reconstitute the privileging rules at work in both the narratives themselves (intertextual) and in the covert task requirements (contextual). The co-patterning in selections for experiential, interpersonal, textual and logical meaning amongst the 'A' texts reveals two possible lines of response for successful candidates: the Leavisite and the New Critical. That the two rhetorics implicate a particular and coherent approach to literary interpretation is supported by linguistic analysis of these texts across three metafunctions. Particular co-patterning of Theme + New (textual), major participant + process

(experiential) and evoked or inscribed appraisal (interpersonal) are associated with the choice of either a Leavisite or New Critical rhetoric.

The producers of the 'A' range responses demonstrate which reading of the examination task is valued most highly and, therefore, which is the 'right' register to adopt in the context. Taken together, these **patterns of meaning metareound with particular contextual features**. The privileging rules outlined in section 5. 2 redound with the linguistic realizations detailed in the sub-sections of 5. 3 and, taken together, both metareound with 'A' students' coding orientation, as it is revealed in their response to *CLICK*.

Table 5.11 demonstrates the hook-up between features of text and context, as it can be modelled within specialized literacy practices.

Text/Context hookup	Text (rhetorical packaging of semiosis)	Context (privileging rules/ orders of semiosis)
Experiential/ field	Problematic construed via recapitulation of Habitus ^ Challenge ^ Metastability	Field = Problematic ----- event structure
Interpersonal /tenor	Axiology re-enacted as a transition from social esteem (-ve capacity) to social sanction (+ve acceptance of reality).	Tenor = Axiology ----- evaluation
Textual/mode	Two textures of reply here: 1) Leavisite: mimetic Theme + metaphoric Material process + psycho-axiological abstraction in News; 2) New-Critical: semiotic Theme + symbolic Relational process + psycho-axiological abstraction in News. Both exploit potential of elaboration across all ranks.	Mode = constitutive, & centripetal; global METARELATIONS ----- i.e. ----- local PROGRESSIONS

Table 5.11: The text-context hook-up for the 'A' range responses.

The texts demonstrate a consistent reading of the context (and strengthen the usefulness of the notion of the CMH thesis), even where different rhetorics are employed to organize a written response to narrative. In their recognition and realization of the narrative's problematic, axiology and global patterns of relations, both the Leavisite and the New-Critical rhetoric reveal a common reading formation, such that either is an acceptable means of displaying specialized literacy competence.

In the following section, I consider the reading formation which appears to underlie the middle or 'C' range response.

5.4 The 'C' range text rhetoric: design principles

The privileging rules exemplified by the 'A' range texts can be utilized to analyze the 'C' range rhetoric. But not without modification. The middle-range texts do embody the 'recognition' rules applied by the top candidates to the response task. Their producers appear to recognize the higher order meanings of the narrative in that they distinguish the narrative's problematic (in the opposition between 'fantasy' and 'reality', for example) and they attend to its global evaluations (in their recreation of Jenny's awakening, for example). They demonstrate awareness of the narrative's axiology - the importance of eschewing fantasy and adapting to reality - and they also demonstrate a global orientation to the text (by linking the ending of the story to Jenny's 'realization', for example).

But, when it comes to the 'realization rules' applied by the top candidates, the 'C' range responses depart from the 'norm' established here by the 'A' range texts. They recognize higher order salience but appear unable, or unaware of the need, to reconstitute the lower order meanings of the narrative in terms of its higher order patterns. If we consider that a successful implementation of the task entails construing text 'tokens' in terms of text 'values', then these texts do not 'realize' the tacit requirements of the specialized privileging rules. If 'token' is identified with lower order and 'value' with higher order salience, then these examinees discern the value inherent in the narrative (its problematic, its axiology, and most of its METARELATIONS) without being able to incarnate this in an account of the token (its event structure, its evaluations, its PROGRESSIONS).

The 'inadequacy' of the 'C' range rhetoric has both material and semantic ramifications. For one thing, these texts are shorter than those in the top range, a fact which physically limits the extent to which they can explore the narrative's semiosis. For another thing, even though they identify its 'message', as in "Jenny realized TV shows were fake by not showing reality" (Response Text 5: 2), they seem unable to construe its salience in terms which the narrative itself naturalizes. As will be seen, the 'C' texts are less attentive to its actual semiosis, glossing words or events inaccurately and tending to focus on the protagonist's feelings

rather than on the ethics underlying her choices. In sum, while awareness of higher order meanings enables the 'C' range examinees to produce a reasonably competent interpretation, their inability to construe 'one in terms of the other' means that the bottom half of the specialized privileging rule is 'missing' or mis-construed, and this limits examinees' ability to 'realize' the requirements of the task.

Just as particular 'syndromes' of features collectively define the design principles underlying the successful rhetoric, so they also characterize the middle-range effort. As with the 'A' texts, the 'C' texts reveal a consistent approach to semiosis, which can be considered along metafunctional lines. And, although the rhetoric which they display is not as strongly classified or confidently deployed (the 'C' range examinees have less control of written semiosis, after all), it is nevertheless possible to demonstrate the 'semantic principles' regulating this. In the following sections, I differentiate the linguistic character of these texts, drawing on the same analytic strategies utilized earlier. The rationale underpinning each analytic strategy is taken as 'given' which makes the treatment of the remaining texts much shorter as a consequence.

5. 4. 1 The textual dimension

When we are concerned with 'clause as message' we consider primarily the interaction of Theme + New in each clause. Taken across the text, these two 'message lines' reveal the extent to which there is a consistent choice for 'method of development' (realized in thematic progressions) and 'point' (realized in patterns of News) in each response text.

5. 4. 1. 1 Theme and New in the 'C' range texts

The 'C' range texts each reveal somewhat different principles of organization in their management of Theme + New. Method of development is nowhere near as uniform in this grade range because Theme choices are more varied and unpredictable. For, example, whereas there are no first-person Themes amongst the 'A range texts, all three 'C' range texts begin with a first-person Theme in the clause 'I think', move to a 'semiotic' Theme like 'the story' and then onto an 'experiential' Theme like 'Jenny' in the following clauses. It is as if a personal orientation 'gets' the students into the task, the 'semiotic'

orients them to the text as a whole and, then, the 'experiential' proves to be the 'peg' on which the remaining sentences of the response are hung. In general, once into the interpretation, there is only one texture of reply observable in these response texts: that to do with Jenny's experience.

This experiential orientation is common to both the 'A' and the 'C' range, especially within a Leavisite rhetoric. But there are some important differences in the way that this is handled in both grades. These differences are revealed in the kinds of marked Themes chosen in, for example, Response Text 1 (eg. "Once she had been jolted back into consciousness [the make-believe world] ..") and Response Text 4 (eg. "When she came back inside from the accident [she] ..."). In the 'C' range texts, marked Themes do not carry more than experiential meaning, whereas in the 'A' range texts they also communicate its abstract significance. The Themes beginning each sentence in Response Texts 4 and 5 are outlined below in Table 5.12. Marked Themes are underlined, with the Theme following it enclosed in square brackets.

Themes in Response Text 4

1. I
2. When she came back from the accident [she]
3. On TV shows like Doctor's Diary [people]
4. the doctors
5. But in real life [they]
6. [[Seeing the accident]]

Themes in Response Text 5

1. I
2. So when she was confronted with death, seeing a girl dead with blood scattered everywhere [Jenny]
3. Deciding what's the use watch TV anymore, [she]
4. That's

Table 5.12: Patterns of Theme in Response Texts 4 and 5.

While these texts have a Leavisite bias towards 'experience', the kind of experience they privilege in their reading of the narrative differs from that of the 'A' range texts. The pattern of Themes in Response Texts 4 and 5 reveals a pre-occupation with the cause-consequence patterns in the experience. The events which are packaged as Theme in these responses are seen to 'cause' Jenny to realize certain things. There is a connection here with the treatment by these students of the ending of *CLICK*. While the 'A' range examinees view the ending of the narrative as symbolically related to what happens earlier, the 'C' range group view the ending as somehow brought about, caused by

Jenny. The contrast between these different treatments is demonstrated in table 5.13, which takes the sections of all six Response Texts ('A' and 'C') which deal with the ending.

'A' range endings	'C' range endings
Response Text 1: 16-17. 'The conclusion "Click the television switch sounded through the room like a padlock snapping open" was symbolic. The padlock was Jenny's mind and its snap was the awakening of reality in that mind; a realization that it couldn't run away.'"	Response Text 4:1. 'I think the story ends this way because there is a cold and distant feeling in Jenny's heart.'
Response Text 2: 1-2. 'The last sentence is very symbolic and moralistic. The paragraphs leading to the climax illustrate a girl obsessed by television and distanced from reality.'	Response Text 5:1. 'I think the story ends this way because Jenny at last realized that TV shows were just fantasy, people never died on the 'Doctor's Diary' and the doctor was fake.'"
Response Text 3: 1. 'The story 'Click' ends in such a way because the image of the padlock snapping open advances the idea of freedom from the fairytale world and entrance into the real world of today.'	Response Text 6: 1. 'I think the story ends this way because Jenny has just realised that shows like 'Secret Lovers' and 'Doctor's Diary' are phony.'

Table 5.13: Different views of the ending in the 'A' and the 'C' range texts.

The tendency amongst the 'C' range to thematize either Jenny's experience or her evaluations (as marked Themes), means that these examinees are closer to (even overawed by) the congruent experiential details of the narrative than the 'A' students. This is consistent with their view of the ending as an effect of Jenny's evaluation. One wonders how such students would deal with divergent narratives, which invite readers to distance themselves from the subjectivity of the protagonist.

With respect to New (and by implication, the constitution of 'point'), these responses do focus on the psychological meaning of the events but tend to do so in a minimal way. Although, like the 'A' texts, many of the News in this group include terms like 'fantasy' and 'reality', there is far more attention to the storyline than to its psycho-axiological significance. News like 'a cold and distant feeling in Jenny's heart', 'after the accidents', 'the way you expect' are more common than the weighty nominalized abstractions of the 'A' range.

Furthermore, where they do interpret the higher order significance of the narrative, the 'C' range texts tend towards a much simpler inscription of its axiology than the 'A' range texts. In fact, the News are more inclined to generalization rather than abstraction (and 'axiologization'). For example, rather than being freed from her slavish

'attachment to television', Jenny is going to "take on life in a whole new sense" (Response Text 4: 6), because she realizes that "television is only make believe and it is true 'People never die on Doctor's Diary'" (Response Text 6: 3).

The 'C' students make a narrower, more congruent, reading of individual signifiers within *CLICK* and contextualize these mainly in **enhancing PROGRESSIONS** rather than in the elaborating ones of the 'A' range. One text states, for example, that the story ends this way "because Jenny at last realized that TV shows were just fantasy, people never died on the 'Doctor's Diary' and the doctor was fake." (Response Text 5: 1). In this summation, each point is added onto the last one, with little attention to the symbolic logic underlying them.

Just as the Themes of the 'C' range response texts do not appear to be regulated in the same way as those of the 'A' range, their pattern of News also reveals a high level of uncertainty about the goal(s) of the interpretive task. However, all the examinees in this range do demonstrate awareness of the need to contextualize the narrative globally. The first sentence of each text construes a relation between the ending and the preceding text, which is similar, albeit at a lower level of abstraction, to that of the opening gambit pursued in the 'A' texts.

The association between Theme + New cannot be modelled in relational terms (as a movement from Token to Value) to the same extent in this range. But the notion of the **span** is still useful as a heuristic for indicating the kind of relation established between the front and the back half of each clause. The move from Theme/Token to New/Value is represented in table 5.14 for the first two sentences of each 'C' text. Note that, compared with table 5.3, there is an additional column needed for these responses to include Themes to do with the reader. News are capitalized.

span →

Text & clause no.	Reader Theme /Tkn	Semiotic Theme/Tkn	Experiential Theme/Tkn	New/Value
4: 1a	I			(THINK)
4: 1b		the story		(ends)
4: 1c			because there	(is)
				IN THIS WAY A COLD AND DISTANT FEELING IN JENNY'S HEART.
4: 2a			<u>When she came back inside from the accident,</u> [she]	really (REALIZED)

4: 2b		everything	(doesn't turn out)	[[THE WAY YOU EXPECT]].
5:1a	I		(THINK)	
5: 1b		the story	(ends)	THIS WAY
5: 1c		because Jenny	at last (RELIZED)	
5: 1d		that TV shows	(were)	JUST FANTASY,
5: 1e		people	never (died)	ON THE 'DOCTOR'S DIARY'
5: 1f		and the doctor	(was)	FAKE.
5: 2a		<u>So when she was confronted with death, seeing a girl dead with blood scattered everywhere, [Jenny]</u>	(RELIZED)	
5: 2b		TV shows	(were) by (not showing)	FAKE REALITY.
6:1a	I		(THINK)	
6:1b		the story	(ends)	THIS WAY
6:1c		because Jenny	(has) just (REALISED)	
6: 1d		that shows like 'Secret Lovers' and 'Doctor's Diary'	(are)	PHONY.
6: 2a		Nobody	ever (dies)	ON 'DOCTOR'S DIARY'
6: 2b		<u>But in real life [no handsome doctor]</u>	(is going to COME UP)	
6: 2c		and	(save)	YOUR LIFE.

Table 5.14: Spans between Theme/Token and New/Value in the 'C' texts.

The 'C' texts also foreground the evaluative in their account of the narrative - the evaluations of both reader and protagonist. But they re-recreate Jenny's evaluations in ways which depart from the narrative. Inscriptions of evaluation, such as: "Jenny realized everything doesn't turn out the way you expect" (Response Text 4: 2) and "I feel Jenny realised that television is only make believe and it is true 'People never die on Doctor's Diary'" (Response Text 6: 3) create an impression of tentativeness and halting subjectivity on the part of the responder. This is only exacerbated by the awkwardness with closure shown in each response. Response Text 5 ends with the sentence: "That's why I think the story ends this way." and Response Text 6 with: "That is my point of view. The end." Attentiveness to the semiosis of the primary text wavers and suggests that the examinee is unable to sustain the interpretive strategy begun earlier.

With respect to the movement between Theme + New in the 'C' range texts, there are some spans between experience as Token and

significance as Value, but elaboration is not a design feature in these responses. Being focussed more on experience/mimesis in both Theme and New, the 'C' range examinees draw principally on the potential of **enhancement** to organize their response to the narrative.

5. 4. 1. 2 Enhancement as design motif

A preference for marked Themes which replay the experiential sequences of the narrative is semantically related to the use of **enhancement** (particularly temporal enhancement) across sentences. Enhancing inter-sentential PROGRESSIONS are combined with **mental projections** (evaluations) which negotiate significance either via the protagonist's evaluations (E' prot) or via their own (E' read). A trend towards enhancement is predictable given the focus on the circumstantial details of the narrative (time, place, cause etc) in the 'C' range accounts.

Examination of the logical relations realized either implicitly or explicitly between sentences indicates this trend most simply. In figures 5.6 - 5.8 each sentence in the response text is relegated to either Tokens or Values in the outer domains or to the 'negotiation' column, if it deals with an evaluation by protagonist (E' prot) or reader (E' read). The arrows point downwards or upwards, depending on whether the sentence **exemplifies** through attention to the experiential details of the story (its Tokens) or **evaluates** the abstract meanings of the story (its Values). Sentences without arrows do not shunt between one level of abstraction and another (i.e. from Token to Value or vice versa).

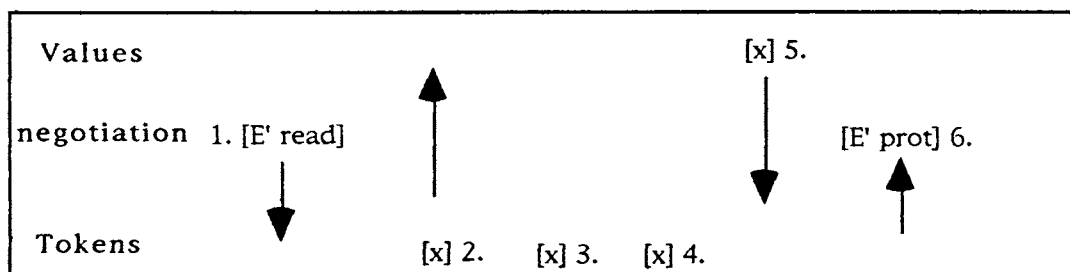


Figure 5. 6 : Intersentential progressions for Response Text 4

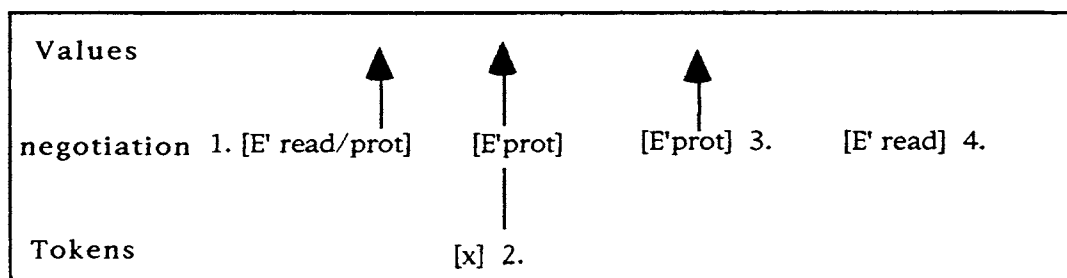


Figure 5. 7 : Intersentential progressions for Response Text 5

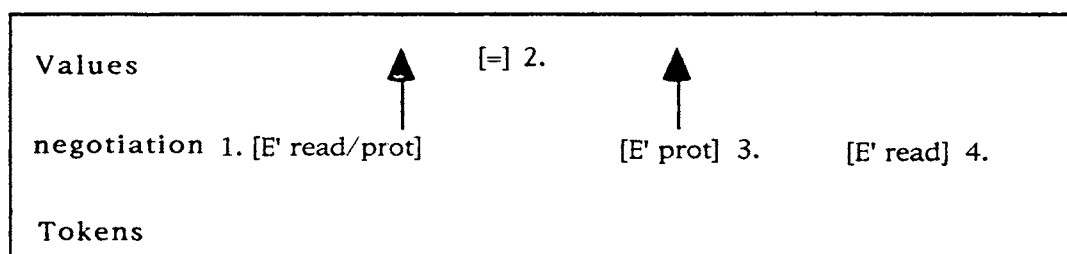


Figure 5. 8 : Intersentential progressions for Response Text 6

The predominance of enhancing PROGRESSIONS is a choice consistent with the 'C' range examinees' recapitulation of the circumstances leading to the protagonist's awakening. Temporal and causal conjunctions are agnate to enhancing progressions. Jenny is seen to turn off the television because and after she has realized that shows like 'Secret Loves and Doctor's Diary are fake'. These are combined with mental projections of ideas, such as "Jenny realized ..", which are themselves framed by 'readerly' evaluations such as in "I think the story ends this way because Jenny has just realised that ..." (Response Text 6: 1).

In addition to this, although there are moves to hail the 'values' of the narrative within some sentences, they are less common in this than in the 'A' range, and they tend to be more implicit and limited in scope. As the arrows in figures 5.6, 5.7 and 5.8 show, most PROGRESSIONS do not shunt freely between tokens or values but are more locally constrained. A movement from Token to Value would require the use of metaphoric Material processes or symbolic Relational

processes, but these are not a feature of middle-range semiosis. Instead, examinees at this level prefer to identify the **message** of the narrative and to reconstitute it as a generalization about life, as in "But in real life they can't always be saved and people do die" (Response Text 4: 5).

In sum, **enhancement** and **mental projection** are the favoured design principles of these texts. **Thematic progressions**, once students are 'into' their interpretation, tend to be **experiential** and **News** are focussed on **generalizations** based on the story or on simple inscriptions of oppositions (fantasy versus reality) or on the nature of Jenny's evaluations (what Jenny realized).

5. 4. 1. 3 Recognition of METARELATIONS in the narrative

It can be expected that the 'C' range responses would reveal an alertness to the full range of METARELATIONS in the narrative. This turns out to be the case. As the following table shows, the 'C' range texts demonstrate attentiveness to both META-INSCRIPTION, especially Jenny's global evaluations (E' prot) and to META-EVOCATION, especially oppositions (\emptyset) and confirmations (\approx). While their focus on transformations (\Rightarrow global) is less common here than in the 'A' range, there is an increasing preference for reader evaluations (E' read) in this range. Where the response deals with more than one METARELATION in the same sentence, this is shown by a repetition of the sentence number in the relevant cells of table 5.15. Reference to relations which are inconsequential for METARELATIONS (eg. 'The end' in Response Text 6) are allocated to the column entitled 'other'.

META RELATIONS	\emptyset	\approx	\Rightarrow global	E' prot	'other'	E' read
Response Text 4.	5.	3. 4.	6.	2. 6.		1.
Response Text 5.	2.	1.	2.	1. 2. 3.		1. 4.
Response Text 6.	2.	1. 2. 3.	8.	1. 3.	5.	1. 3. 4.

Table 5.15: Recognition of METARELATIONS in Response Texts 4-6.

Interpretation of these trends demonstrates that these students are able to recognize the significance of META-EVOCATION in the narrative, but they are not able to utilize it in their production of a response text. This pattern is confirmed in analysis of the experiential dimension of the 'C' range rhetoric.

5. 4. 2 The experiential dimension

There are two aspects to the experiential dimension of the enquiry: the responsiveness of the 'C' texts to the 'experience' privileged in the narrative and the experiential quality of the responses themselves.

5. 4. 2. 1 Recognition of higher order experience in the narrative

With respect to the first matter, it can be predicted that the 'C' texts will demonstrate awareness of higher order 'experience' to some extent. This is, in fact, the case. They acknowledge some, but not all, aspects of the narrative's problematic: they identify the Challenge and the Metastability but not the Habitus. Recognition of the Habitus depends on interpretation of implicit meanings. This higher order complex is not underscored by explicit appraisal in the same way as the Challenge and the Metastability are in *CLICK*, a fact which makes it harder to identify. Table 5.16 shows which sentences in each 'C' range text deal with which higher order relations:

Complexes	Habitus	Challenge	Metastability
Response Text 4		2.	3 - 6.
Response Text 5		2.	1. 3.
Response Text 6		3	1. 2.

Table 5.16: Recognition of higher order complexes in Response Texts 4-6.

Table 5.16 shows that, while the 'C' range responses are faithful to the event sequences of the storyline, they focus far less frequently than the 'A' texts on the significance of the abstract semantic complexes of the narrative (with the exception, to some extent, of Response Text 4). Furthermore, they do not deal with higher order meanings that can only be inferred (such as the Habitus). In other words, the 'C' range examinees are more bound by the sequences and experiential details of the story's

mimetic surface and less able to link these coherently to its problematic. Thus while the middle-range responses show cognizance of some of these relations, they cite them fitfully and partially.

5. 4. 2. 2 The experiential structure of the responses

With respect to analysis of the experiential structure of the responses themselves, we need to consider the participant + process relations of each text's transitivity structure. If we are forced to assign a 'rhetoric' to the choices of the 'C' range, then they must be seen as Leavisite. But these texts do not demonstrate the same co-patterning of participant + process + circumstance as the 'A' texts.

Where the writer makes Jenny (or some aspect of her experience) the major participant in his or her transitivity selections, the processes which follow recapitulate the important events of the narrative without, simultaneously, rendering their abstract significance. Processes like: 'run', 'chose to hide', 'escape' etc. are not found in these interpretations, in this case, because none of the 'C' texts deal with Jenny's habitus. But neither are metaphoric Material processes such as 'jolted back', 'pushed into', 'hit', 'shocked back' and 'awakes' to be found in the 'C' range treatment of the Challenge or the Metastability. According to this framing of experience, Jenny is a protagonist who 'comes back' and 'realizes' the difference between fantasy and reality, rather than one who 'is jolted/shocked back/pushed into' reality. In short, the 'C' range responses name but do not impersonate what the narrative demonstrates and there is little use of metaphor in participant/process relations. Table 5.17 displays the co-selections for major participant + process + minor participant/ circumstances in Response Text 4. Major participants are in bold.

Response Text 4

Sent no.	Major participant (experiential participants in bold)	Process type	Minor participant and/or circumstance (abstract complements in bold)
1a.	I	think	
1b.	the story	ends	this way
1c.	because there	is	a cold and distant feeling in Jenny's heart
2a.	When she	came back	inside from the accident,
2b.	she	really realized	
2c.	everything	doesn't turn out	[[the way you expect]].
3.	On TV shows like Doctor's Diary, people	never die	after the accidents

4.	The doctors	always save	them.
5a.	But in real life, they	can't always be saved	
5b.	and people	do die.	
6a.	[[Seeing the accident]]	made Jenny realise	this
6b.	and she	became	every shocked
6c.	and she	will take on	life in a hole new sence.

Table 5.17 : The experiential structure of Response Text 4.

Within the recapitulation of key events of the narrative, Material processes remain very general and there is hardly any use of symbolic Relational processes which bring out the abstract qualities of the text as a whole. In sum, these students understand the moral of the story but cannot re-enact this understanding in their own semiosis. Table 5.18 summarizes this trend in the experiential structure of the 'C' range, presenting a telling contrast with that outlined for the 'A' range.

	Major participant	Process type	Complementary participant and/or circumstance
'Leavisite'	experiential participants e.g. 'Jenny'	Material, Mental & Relational processes (non-metaphoric)	generalization

Table 5.18: The experiential structure of the 'C' range response

For the 'C' range examinees, the Token/Value move is an interpretative key to the meaning of the narrative but not a design principle for the construction of their own text. Furthermore, from the point of view of accuracy of recapitulation, these examinees tend to read the primary text less carefully - glossing it in idiosyncratic terms. For example, "Seeing a girl with blood scattered everywhere" (Response Text 5: 2) is not an accurate rendition of the imagery of the accident victim, and "Deciding, 'what's the use watch TV anymore' .." (Response Text 5: 3) is not an attentive reading of Jenny's reaction to the television when she returns home after the accident.

I turn now to a brief consideration of the interpersonal dimension of the 'C' range response.

5. 4. 3 The interpersonal dimension

Examination of this dimension reveals that, as with the 'A' range, the 'C' range texts focus on Jenny's awakening and on the significance of this for the text's overall axiology. However, both groups foreground different choices in their account of this and, therefore, reveal a somewhat different value position vis-à-vis the narrative. What they see as 'above the text' varies in some important ways. The axiological model outlined in section 5.3.3 in relation to the 'A' range is taken as given here. Examples and tables of analyses pertinent to this range can be found in Appendix 4.2.

5. 4. 3. 1 Choices for APPRAISAL and MEDIATION

Like the 'A' texts, the 'C' texts capture the opposition between fantasy and reality. But there is greater diversity and unpredictability in their construal of these. Table 5.19 displays the selections made for APPRAISAL (VALUE TYPE, LOADING and APPRAISAL TYPE) and MEDIATION (BASIS and SCOPE) in each sentence of Response Text 4.

Text: Sent no.	Instance	VALUE TYPE	LOADING	APPRSL TYPE	MEDIATION	Apprsed
4:1	I think the story ends this way because there is a cold and distant feeling in Jenny's heart.	composite; AFFECT: unhappiness: misery ; APPRECIATION : composition.	LOADING: biassed: -ve.	APPRSL TYPE: fused; both evoked ('heart') & inscribed: ('distant feeling');	BASIS: extrinsic: reader; then intrinsic: mimetic: prot other; SCOPE: local	Jenny's affect
4:2	When she came back inside from the accident she really realized everything doesn't turn out the way you expect.	composite; AFFECT: insecurity: disquiet; JUDGEMENT: esteem: normality (fate);	LOADING: neutral.	APPRSL TYPE: inscribed: glossed: generalized;	BASIS: intrinsic: mimetic: protagonist: other; SCOPE: global	Jenny's realization
4:3	On TV shows like Doctor's Diary people never die after the accident's .	composite: AFFECT: security: confidence; JUDGEMENT: esteem: normality (fate)	LOADING: biassed: + ve.	APPRSL TYPE: inscribed: glossed: generalized;	BASIS: intrinsic: mimetic: other; SCOPE: global	TV shows

4. 4	The doctors always save them.	(as above)	(as above)	(as above)	(as above)	"
4:5	But in real life they can't always be saved and people do die.	composite: AFFECT: insecurity: apprehension; JUDGEMENT: esteem: normality (& sanction in 'real life').	LOADING: biased: -ve;	APPRSL TYPE: inscribed: generalized	BASIS: intrinsic: mimetic: other; SCOPE: global	real life
4:6	Seeing the accident made Jenny realise this and she became every shocked and she will take on life in a hole new sence.	composite: AFFECT: insecurity: apprehension then satisfaction: interest: ('awakening'); JUDGEMENT: (carried).	LOADING: biased: mixed.	APPRSL TYPE: inscribed: glossed: generalized	BASIS: intrinsic: mimetic: protagonist: evaluative; SCOPE: global	Jenny's realization

Table 5.19: Choices for APPRAISAL and MEDIATION in Response Text 4.

5. 4. 3. 2 Trends in the axiology of the 'C' range responses

The 'C' texts do name the oppositions encoded within the narrative but VALUE TYPES are presented as simple alternatives with invariant loadings: fantasy is positive (albeit illusory) or negative (in its avoidance of the real) and reality is always positive. There is no attempt in the 'C' range responses to imitate the trajectory of the narrative - in its transition from negative through mixed to positive LOADING, from negative tenacity in the protagonist (embodied in her escapism) through her struggle with negative veracity (embodied in her confrontation with the 'real world of death and unhappy endings') and into eventual reconciliation with 'the real'. The 'C' texts identify the oppositions underlying this trajectory without recreating it in their own semiosis.

There is also more AFFECT here than in the 'A' range (although not as much as in the 'E' range). The choices focus on Jenny's emotional reaction to the Challenge, although all 'C' range responses also capture her moment of 'awakening'. Nevertheless, their treatment of her reactions is occasionally contradictory, as if examinees in this range are not sure what their focus should be. Note the ambivalence, for example, in: "Deciding what's the use watch TV anymore, (AFFECT: dissatisfaction: ennui), she turn it off, showing with the noise that the TV had been

turned off, because Jenny had realised that it was only fantasy and was fake (AFFECT: satisfaction: interest 'awakening')." (Response Text 5: 3).

As display of the News in table 5.14 revealed, the 'C' range responses are also far less lexically dense than their 'A' range counterparts. Nominalized abstraction is not a feature of middle-range semiosis. Furthermore, within choices for APPRAISAL TYPE, these texts **inscribe** (via **generalization**) but seldom evoke the axiology of the primary text. Moreover, when they do choose evoking-type appraisal, their choices do not mirror those used in the narrative. For example, there is not really a 'cold and distant feeling in Jenny's heart' (Response Text 4: 1) and blood is not really 'scattered everywhere' at the accident site (Response Text 5: 2). The task of the secondary text within a specialized interpretation is to evoke and inscribe as the primary text does. The 'C' range manage the latter without evincing control of the former. Certainly there are no choices for fused APPRAISAL TYPE in this range.

Indeterminacy of focus also finds its way into students' handling of MEDIATION, which tends to sandwich **intrinsic** interpretation between **extrinsic** appeals. It could be expected, given the 'personalist' emphasis of *English 7-10*, that inscriptions of readerly evaluation ('I think', or 'I feel') would rate highly with examiners. In fact, while there is not one example of extrinsic appeal amongst the 'A' range texts, all those in the 'C' range frame their interpretation with the words 'I think' and two of them end with a variant of 'That's why I think the story ends this way'.

Nevertheless, while there are more interpretations which are local in SCOPE in this range, the emphasis is still **predominantly global**. Within an **intrinsic mimetic** interpretation of the narrative, what brings these responses into the middle range is their ability to appraise globally. Although the 'C' texts do 'get lost' in the particulars of the story at times, relating Jenny's evaluation to the rest of the narrative is crucial to a passable grade in Reference Test English.

Finally, with respect to what they appraise (ranged down the 'Apprsd' column in table 5.19), these responses 'pick up' on features such as 'Jenny's realization', 'TV shows', 'real life' and 'Jenny's new attitude', revealing a tendency to focus on the generalized significance of the events of the story. These tendencies indicate that middle range readers can infer the significance of what happens in the narrative and can name the values it embodies. But they cannot re-enact or 'dramatize' them in the manner of the top range readers.

5. 4. 4 Concluding remarks on the 'C' range rhetoric

Competent (middle range) students recognize the salience of higher order meanings in examination narratives. They reveal this in their responses, which provide evidence of the rules they apply to the interpretive task. However, while these students demonstrate awareness of the problematic, the dominant axiology, and the global text patterns of the narrative, they do not draw on these to create their own responses.

The following syndromes of features, organized by metafunction, characterize the texts in this range:

(i) awareness of higher order semantic complexes such as 'Challenge' and 'Metastability' in the narrative, but not to the extent of utilizing them in the design of their own response (the experiential dimension);

(ii) awareness of the APPRAISAL and MEDIATION choices underpinning the axiology of the narrative: notably the positive loading over veracity (reality) and an opposing negative loading over escapism (fantasy); an ability to identify the 'message' inscribed in the protagonist's evaluations (the interpersonal dimension);

(iii) a global orientation to the narrative; use of the rhythmic periodicity available within Theme and New to represent the movement in the narrative from experiential particulars to general significance (the textual dimension);

(iv) awareness of most METARELATIONS: oppositions (\emptyset), confirmations (\approx) but not transformations (\Rightarrow global) and a tendency to emphasize enhancement rather than elaboration in the production of a response (the logical dimension).

The co-patterning in selections for experiential, interpersonal, textual and logical meaning reveal a disposition towards the recreation of 'mimesis' rather than 'semiosis' amongst the 'C' range students. What happens in the story carries a 'moral' but this is mediated via the protagonist's evaluations primarily. Evoking-type appraisal - of the kind which mirrors that of the primary text - is not a feature of these responses. The 'C' range rhetoric seeks out and names the 'message' of the narrative, generalizing about what it means for 'life' rather than what it means for integration with the axiology of the culture.

The producers of the 'C' texts demonstrate an adequate reading of the examination task register but are unable to produce a text

which fully realizes its requirements. In other words, they apply the right 'recognition rules' but are unable to confidently deploy the right 'realization rules'. Table 5.20 demonstrates the hook-up between features of text and context, as it can be modelled within the practices of this range.

Text/Context hookup	Text (rhetorical packaging of semiosis)	Context (privileging rules/orders of semiosis)
Experiential/ field	Aspects of the problematic named (Challenge + Metastability)	Field = Problematic
Interpersonal /tenor	Axiology inscribed by fiat and invoked as a generalization about 'life' which is realized by the protagonist.	Tenor = Axiology
Textual/mode	One texture of reply here: Mimetic Theme + non-metaphorical process + psycho-axiological generalization in News; exploitation of potential of enhancement across inter-sentential progressions.	Mode = constitutive & centripetal; global METARELATIONS ----- i.e. ----- local PROGRESSIONS

Table 5.20: The text-context hook-up for the 'C' range responses.

In the following section, I consider the reading formation which appears to underlie the bottom, or 'E' range, response.

5.5 The 'E' range rhetoric: design principles

The texts which examiners assess as 'failures' are not consistent with one another to nearly the same extent as those in the other grades. Because the 'E' range examinees treat the narrative as enigmatic, they are less constrained by the task requirements. Of course, there are differences between the 'A's' and the 'C's' in this respect too. The 'A' range response (whether based on a Leavisite or a New Critical approach) is far more disciplined by the requirements of the task, and hence predictable, than the 'C' range. Nevertheless by comparison with both of these, the bottom texts are idiosyncratic in their rhetoric.

In terms of the privileging rules as these have been outlined for analyses of the 'A's' and modified for the 'C's', the bottom texts represent aberrant readings of the context. Somewhere along the way, in the course of their English 'apprenticeship', the producers of them have learned that literary interpretation is an opportunity for personal reflectiveness, for partial reading of localized aspects of the text and for

exploration of the event sequences, characters and voices 'within' the text. Whether because of pedagogic or personal inadequacies or because of a more considered 'resistance' to official pedagogic discourse, these students produce idiosyncratic and personal readings of the narrative, which examiners 'reward' with an 'E' grade.

Obviously levels of literacy affect students' chances of successful achievement here. Scrutiny of the texts alone is enough to reveal that 'A' students have far more control of the written mode than their 'E' counterparts. But, as can be observed with respect to Response Text 9, command of written language is only part of the 'story' when it comes to examiners' covert discriminatory practices. This is a crucial text in that it highlights the contradictions between the overt curriculum values enshrined in *English 7-10* and the covert values informing examination practices in junior secondary English. Response Text 9 is an exemplary 'personal response' in the sense that it is literate, affectual and highly amplified. If personal responsiveness were criterial in this examination, then this text deserves an 'A'. But those texts which foreground the 'emotional' and the 'personal' fare very poorly within specialized literacy practices in English - especially those which do not couch responsiveness in terms made available in the primary text. The fate of texts such as Response Text 9 represents an important, but unfortunately only implicit, critique of the hidden curriculum in English.

In terms of their rhetoric, the unity of the 'E' range secondary text is unrelated to that of the primary text. Any unity and coherence is imposed by examinees themselves as they produce a text which 'bounces off' rather than engages with the narrative. The lower order meanings of the narrative provide them with 'grist for the mill' but these variables are 'de-composed' rather than integrated in their responses. In other words, the 'E' range texts emphasize 'voices' (the 'extrinsic' voices of the author or reader or the 'intrinsic' voices of the characters) or some aspect of the event sequence, or elements of its semiosis. But these dimensions of the texts' meanings are never integrated with one another. In this sense, only isolated aspects of the bottom-half of the privileging rule are taken up in this 'rhetoric'.

As will be seen, although it is not possible to 'split' one type of meaning off from other types, each 'E' range text appears to take one aspect of the narrative as the 'peg' on which to hang its response. Response Text 7 deals with the inscrutability of the narrative's semiosis (a textual orientation). Response Text 8 imagines a possible event sequence

based on one episode of the narrative (an experiential orientation). And Response Text 9 projects an emotional response to its ending (an interpersonal orientation). Hence, although we cannot predict the texture and direction of the 'E' range response, we can expect that it will be **local** in its orientation to the primary text (keying on particular progressions); that it will focus on the **feelings** of the reader and/or protagonist rather than ethical position naturalized by the text (dialoguing with particular 'evaluative voices' rather than with the axiology they dramatize); and that it will tend to **imagine** rather than reconstrue the **experience** of the narrative (speculating about particular events rather than about the problematic these events manifest).

These features ('local' inscriptions of 'feelings' and 'mimesis') distinguish the 'E' texts from those of other grades - representing the semantic principles which inform lexicogrammatical choices in this range. In the remaining sections, the textual, experiential and interpersonal character of these choices is discussed and the contextual reading of the task which they evoke is posited.

5. 5. 1 The textual dimension

From the point of view of the two 'message lines' of texts in this range - the interaction of Theme and New in each clause, and their co-patterning throughout the text - the 'E' texts exhibit a trend which distinguishes them from both the 'A' and the 'C' texts. While 'method of development' orients the reader to the semiotic or the experiential world made possible in the primary text, 'point' reveals the significance of this world for interpretation. In both the 'A' and the 'C' range responses speaker-oriented salience (realized in patterns of Theme) is not identical with listener-oriented salience (realized in patterns of New). The texts tend to shunt from one type of salience to another. This is not the texture of reply adopted within the 'E' range.

5. 5. 1. 1 Theme and New in the 'E' range texts

The 'E' range texts display thematic progressions which are even less uniform than those in the 'C' range. Response Texts 7 and 9, for example, move between **Themes** which deal with semiosis ('It', 'the writer', 'they', 'This passage') and the reader ('Who', 'you', 'I') and Response Text 8 moves between Themes which deal with experience

('She' and 'the TV') and the reader ('and I'). In fact, although Theme choices seem to proliferate in the texts produced at this level, they don't proliferate in an arbitrary way. They cluster around three possible methods of development: the writer's motivation, as in "... they may have wanted a sudden ending" (Response Text 7), or an imagined experience provoking the ending, as in "... because as she was turning the tv over, it sounded like someone was opening the door" (Response Text 8), or the impact of the text on the reader, as in "I felt eerie and isolated after reading the ending" (Response Text 9).

It is as if the students decide on an angle (textual, experiential or interpersonal) independently of the text they have been asked to read and then attempt to develop a response along one of these lines. In all these texts, the Theme selections suggest that students are not sure what is the legitimate object of study in this task: 'the author', 'it' (i.e. the story), or 'I' (ie. my feelings about it). The fact that almost all the responses are relatively short indicates that these examinees cannot sustain their 'angle' on the text and that they suspect that their response is not going to be highly valued. Their tendency to local rather than global treatment of the primary text is also evident in their preference for textual Themes which give local coherence to clauses. Note, for example, the use of additive textual Themes like 'and' in Response Text 8.

The Themes beginning each sentence in texts 7 and 8 are outlined in Table 5.21 below.

Themes in Response Text 7

1. It
2. There
3. Who
4. It
5. The writer
6. This passage
7. Not very much
8. I

Themes in Response Text 8

1. It
2. And she
3. And she
4. And I

Table 5.21 : Patterns of Theme in Response Texts 7 and 8.

The pattern of Themes in these texts indicates a very different orientation to 'method of development' from that taken up within the 'A' and the 'C' grade. Topical Themes oscillate between the writer, the reader and the passage as if point of departure for the response text could be decided by fiat and altered on a whim. This subjective and idiosyncratic approach to texture is well exemplified in the 'E' range

examinees' explanation for the ending of the narrative. While 'A' range examinees view the ending of the narrative as symbolically related to the rest of the text and the 'C' range perceive it as causally related to the experience preceding text, the 'E' range examinees appear to see it as arbitrarily related to the rest of the text. They 'split' the ending off from the narrative and treat it as an 'enigma', a mystery to be solved through the reader's imagination. In other words, the connection between one part of the text and another is construed as 'unmotivated'.

With respect to **New** (and to the constitution of 'point'), the texts in this range do not shunt between Themes and News at different orders of abstraction or generality. There are no 'spans' between Theme/Tokens and New/Values here. And even though it is the News which contain most evaluative material, as in all the response texts, choices for **New** in this range tend to correspond, metafunctionally speaking, to choices for **Theme**.

Themes in Response Text 7, for example, are oriented to the semiotic ('writers') and the News focus on the semiosis of the narrative ending (eg. 'a sudden ending', 'another part to this story', 'to the passage', 'your own ending', 'about the parts [[that were written]]' and 'in this script'). In short, both **Theme** and **New** relate to **textuality** in this text.

Themes in Response Text 8, however, are to do with Jenny (although this is the Jenny of the student's imagination not that animated within *CLICK*). The News focus on an imaginary domestic sequence (eg. 'the door', 'started to get scared', 'all of the door closed and the TV up loud', '[[what was on the other channels]]' 'to bed and something else'). Both **Theme** and **New** relate to **experiential meaning** predominantly, although the student gives a brief personal response in the final paragraph.

In Response Text 9, Themes move from the text ('it') to the student responder ('I'). The News, predictably enough, focus on her feelings and reactions to parts of the narrative (eg. 'the effect that she wanted', 'eerie and isolated', 'so lonely', 'so afraid', 'very empty', 'such a depressing ending', 'afraid and scared', 'the emptiness', 'can really imagine', 'makes', 'sounded through the room', 'a feeling of isolation so carefully displayed', 'hollow and dead in your mind', '[[what makes the passage so effective]]', and 'very clear and well written'). Both **Theme** and **New** relate to **interpersonal meaning**.

There is a further correspondence between choices for **Theme** and **New** and process type here. In Response Text 7, processes are

mainly **Mental** ones, related to what 'the writer wants'. In Response Text 8, processes are **Relational** and **Material** ones, related to the experience imagined by the student. In Response Text 9, processes are mainly **Mental** and **Relational** ones, to do with an affective response to 'the passage'. What do these correspondences mean for the texture of reply in the 'E' range 'rhetoric'? In one respect, the Themes and News seem to proliferate. There is little predictability about them and, certainly, choices in these texts are not constrained by the specialized nature of the task. But once the student has made a decision on an 'angle', a point of departure, this seems to orient the News in a particular direction. In the reciprocity of two kinds of prominence, where I am coming from (method of development, realized in Theme patterns) and where you are going ('Point' realized in patterns of New) are bound together in the idiosyncratic response and proceed along either experiential, textual or interpersonal lines. The correspondences are represented in table 5.22:

Text no.	Theme	Main process type	New
Response Text 7	The writer/ passage	Mental	semiosis (textual)
Response Text 8	The protagonist	Material & Relational	mimesis (experiential)
Response Text 9	The reader/the passage	Mental & Relational	personal reaction (interpersonal)

5. 22: The textual correspondences between Response Texts 7-9

In sum, from the point of view of textual meaning, each 'E' range text realises a personal reaction to a narrow selection of signifiers in the story. The primary text is not considered globally. This narrowing of choices so that they proliferate along one dimension - experiential, textual or interpersonal - contrasts with both those of the 'A' and the 'C' range responses, where Themes tend to foreground either semiotic or experiential aspects of the narrative and News deal with its abstract or generalized significance.

5. 5. 1. 2 Extension and reader's evaluation as design principle

It was observed earlier that 'A' range examinees make use of the full range of logico-semantic relations in the construction of their response texts but show a preference for elaboration within and across the clause complex. Their deployment of this potential was contrasted with

response texts but show a preference for elaboration within and across the clause complex. Their deployment of this potential was contrasted with that of the 'C' range examinees, who tend to concentrate on enhancement in their treatment of the story and protagonist's evaluations (E' prot) with respect to its global significance. The logico-semantic trends in both of these groups contrast with the preferences of the 'E' range examinees - who generally choose either implicit (Response Text 7) or explicit (Response Text 8) **extending-type meanings** and combine these with **'readerly' evaluations** (not E' prot but E' read and occasionally E' auth).

The inter-sentential PROGRESSIONS of the 'E' texts tend to add one meaning onto the preceding one. In some texts this logic is made explicit, as in Response Text 8: "And she had all of the door closed and the T.V. up loude. [+] And she was seaing what was on the other chanel and then going up to bed or doing something else (Response Text 8: 2-3)." In other texts, the **extensions** are left implicit, as in: "There also might be another part to this story. who knows. [E' read] It's an ending which brings confusion and excitement to the passage. [+] The writer might want you to think about the parts that were written. [E' auth] This passage was well thought up. [+] " (Response Text 7: 2-6).

This simple aggregative logic is combined with PROGRESSIONS which negotiate significance on the basis of reader response and/or authorial intention, as in "And I thought that it was a pritty good ending and I liked it" (Response Text 8: 4). There are also a few cases of elaborating progressions in Response Text 9. But these elaborate the reader's AFFECT rather than the protagonist's new axiology. For example "[E' read] I also felt very empty after reading the passage. [=] It has such a depressing ending that it made me feel afraid and scared. (Response Text 9:4-5). In fact, as examination of the pattern of PROGRESSIONS reveals, the bottom-range texts are dominated by negotiation-type meanings.

In figures 5.9 - 5.11, PROGRESSIONS which deal with the narrative as it is imagined by the student are treated as Tokens, even though they depart from the sequences and evaluations instantiated by the text itself. Evaluations which negotiate significance are in the middle vector and it will be noted that there are no examples of PROGRESSIONS which begin with or move towards narrative 'values'. In most cases, the arrows point towards the 'negotiation' vector, and, occasionally, towards narrative 'Tokens'.

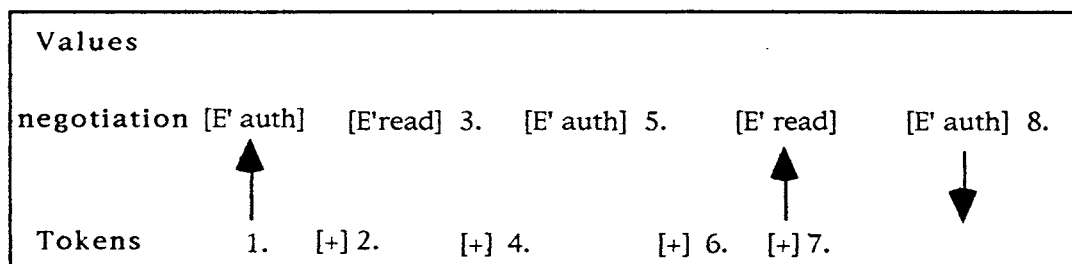


Figure 5. 9 : Intersentential progressions for Response Text 7

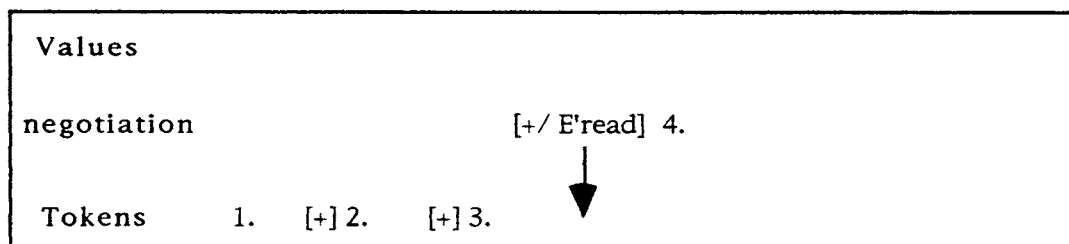


Figure 5. 10: Intersentential progressions for Response Text 8

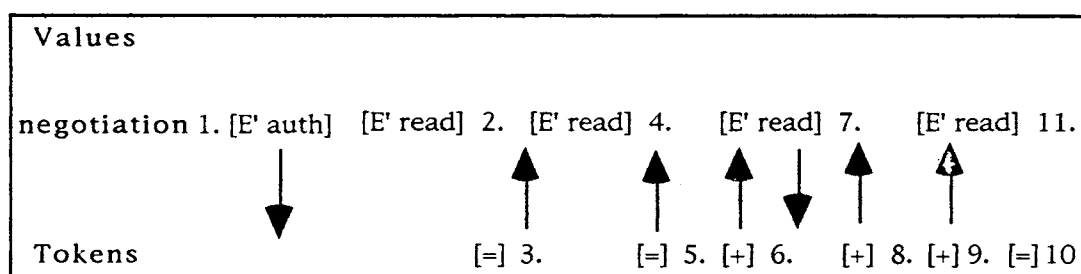


Figure 5. 11: Intersentential progressions for Response Text 9

There are no inscriptions of the general (as in 'C' range) or the abstract (as in 'A' range) significance of the primary text in these responses, and this is related to the 'failure' of the 'E' range examinees to recognize the higher order relations of narrative structure, and to produce a response of the 'appropriate' type as a consequence .

5. 5. 1. 3 Recognition of METARELATIONS in the narrative

It can be predicted that these responses will be impervious to narrative METARELATIONS. In fact, the 'E' range texts do show this. As the following table shows, the 'E' range responses do not attend to either META-INSCRIPTION as instantiated in the protagonist's evaluations (E' prot) or META-EVOCATION, of any kind (\emptyset , \approx or \Rightarrow). Table 5.23 includes sentences referring to readerly evaluations (E' read) as well as to the evaluations imputed to the author (E' auth). Those meanings which are inconsequential for METARELATIONS are allocated to the 'other' column.

Meta-relations	\emptyset	\approx	\Rightarrow	E' prot	E' read	E' auth	other
Response Text 7.					3. 7. 8.	5.	1. 2. 4. 6.
Response Text 8.					4.		1. 2. 3.
Response Text 9.					2. 3. 4. 5. 7. 11.	1.	6. 8. 9. 10.

Table 5.23: Pattern of recognition of METARELATIONS in Response Texts 7-9

These trends demonstrate that the 'E' students are unable to either recognize or utilize relations of META-INSCRIPTION or META-EVOCATION in their production of a response text. With respect to evaluation, the only consistent choice in each text is for readerly evaluation, with authorial evaluation included as a secondary motif. This pattern is confirmed by the experiential dimension of this 'rhetoric'.

5. 5. 2 The experiential dimension

As with texts in the other ranges, there are two aspects to consider with respect to this dimension of 'E' range semiosis: the responsiveness of examinees to the 'experience' privileged in the narrative and the experiential qualities of the responses themselves.

5. 5. 2. 1 Recognition of higher order experience in the narrative

With respect to the question of the reading they make of the narrative, given that these students appear to posit an arbitrary relation between the literary text and its context, it can be expected that they would also fail to demonstrate awareness of its problematic (or its unfolding in the abstract complexes: Habitus, Challenge and Metastability). This expectation is confirmed. And, unlike the 'C' range responses, which acknowledge some but not all aspects of the problematic (the Challenge and the Metastability but not the Habitus), **the 'E' range responses do not draw on any of these higher order experiential meanings.** Nor, for that matter, do they draw on its lower order meanings. Unlike the 'C' range examinees, who attend to the event sequences and evaluations of the story, the 'E' range examinees seem unable or unwilling to engage with even these aspects of its semiosis. The experience which the narrative

makes possible is viewed as an opportunity for personal 'imagining' on the part of the student.

5. 5. 2. 2 The experiential structure of the responses

With respect to the experiential structure of these responses, an examination of their transitivity patterns highlights the eccentricity of their readings of the narrative. The participant + process relations of the 'E' range texts illustrate a rhetoric which is attuned to the subjectivity of the respondent (and, in the case of Response Text 7, projected onto an imaginary author), rather than that conditioned by the narrative.

There is no co-patterning of major participant + process + minor participant/circumstance relations here. Rather, there is a 'jumping' from participant to participant and process to process, as if the student was not sure which aspects of experience 'count' in this task. Scrutiny of the chain of participants and processes for each text highlights the 'experiential uncertainty' of each response. Table 5.24 displays the co-selections for major participant + process + minor participant or circumstances in Response Text 9. Major participants are in bold.

Response Text 9

Sent no.	Major participant (major participants in bold)	Process type	Minor participant and/or circumstance
1a.	The author	has (intentionally) written	the ending this way
1b.		to create	the effect [[that she wanted]].
2a.	I	felt	eerie and isolated
2b.	after	reading	the ending.
3a.	"like a padlock snapping open"	sounded	so lonely
3b.	and	made feel	me so afraid.
4a.	I	(also) felt	very empty
4b.	after	reading	the passage.
5a.	I t	has	such a depressing ending
5b.	that i t	made me feel	afraid and scared.
6.	[[the way "CLICK" is written by itself and in a sentence]]	added to	the emptiness.
7a.	I	can (really) imagine	the exact sound [[it makes]]
7b.	the way i t	sounded	through the room.
8.	"Sounded through the room"	is	another example [[of how the author creates a feeling of isolation so carefully displayed]]
9a.	I t	sounds	hollow and dead
9b.	and	creates	fear in your mind.

10a.	This	is	[[what makes the passage so effective]]
10b.	the way the mood of the characters	is portrayed	so clearly.
11a.	I	enjoyed	this passage immensely
11b.	the ending	was	very clear and well written.

Table 5.24 : The experiential structure of Response Text 9.

According to an 'E' range framing of experience, the reader is 'the real protagonist' who 'tries to see behind one aspect of an inscrutable text. The Material processes in these response texts do not recapitulate the key events of the primary text and Mental processes deal with the reader's affective responses, rather than the protagonist's cognitive realizations of 'truth'. And, where they are used, Relational processes are often mitigated in various ways, as in "There also might be another part.." (Response Text 7: 2) or "it is rather interesting.." (Response Text 7: 8) or "And I thought it was a pritty good ending" (Response text 8: 4).

In sum, the experience reconstrued in the secondary texts graded 'E' is only tangentially related to that of the primary text. Rather, the narrative is treated as a springboard for personal reflectiveness.

I turn now to the interpersonal dimension of these responses.

5. 5. 3 The interpersonal dimension

Interpersonally, the 'E' range responses depart from the 'A' and the 'C' in major ways. Not only do they differ with respect to choices for APPRAISAL and MEDIATION; their responsiveness relates to the subjectivity of the student rather than to the axiology naturalized by the narrative.

5. 5. 3. 1 Choices for APPRAISAL and MEDIATION

The 'E' texts depart from the pattern of APPRAISAL and MEDIATION established within both the 'A' and the 'C' range responses. The contrast is well exemplified by the choices made in the first five sentences of Response Text 9 as displayed in table 5.25 (Note, the full set of analyses for the 'E' texts can be found in Appendix 4.2).

Text Sent no.	Instance	VALUE TYPE	LOADING	APPRSL TYPE	MEDIATION	Apprsed
9: 1	The author has intentionally written the ending this way to create the effect that she wanted.	composite; AFFECT: satisfaction: interest (desire): APPRECIATION: composition.	LOADING: neutral;	APPRSL TYPE: indistinct	BASIS: extrinsic: author; SCOPE: global	the author's intentions
9: 2	I felt eerie and isolated after reading the ending.	single: AFFECT: insecurity: disquiet.	LOADING: biassed: -ve;	APPRSL TYPE: inscribed: particular - ized.	BASIS: extrinsic: reader; SCOPE: local.	the reader's reactions
9: 3	"like a padlock snapping open" sounded so lonely and made me feel so afraid.	composite; APPRECIATION : reaction; AFFECT: insecurity: apprehension.	LOADING: biassed: -ve;	APPRSL TYPE: inscribed: particular ized.	BASIS: extrinsic: reader; SCOPE: local.	the effect of the final image on the reader
9: 4	I also felt very empty after reading the passage.	composite;; APPRECIATION : reaction; AFFECT: unhappiness: misery.	LOADING: biassed: -ve;	APPRSL TYPE: inscribed: particular ized.	BASIS: extrinsic: reader; SCOPE: local.	the reader's feelings about the passage
9: 5	It has such a depressing ending that (it) made me feel afraid and scared.	composite: APPRECIATION : composition + reaction; AFFECT: insecurity: apprehension.	LOADING: biassed: -ve;	APPRSL TYPE: inscribed: particular ized.	BASIS: extrinsic: reader; SCOPE: local.	the impact of the ending on the reader

Table 5.25: Choices for APPRAISAL and MEDIATION in Response Text 9

Response Text 9 contains an 'excess' of affective responses to the final image of the narrative: it makes 'her' feel 'empty', 'lonely', 'afraid', 'scared' and so on. And the student congratulates the author for a passage 'she' 'enjoyed immensely'. LOADING is now conflated with the reader's subjectivity rather than with interpretation of the text and this is projected onto the narrative, as in "I enjoyed this passage immensely the ending was very clear and well written" (AFFECT: satisfaction: interest; APPRECIATION: reaction; JUDGEMENT: social esteem: +ve capacity). On the whole, APPRAISAL is thus no longer related to the primary text. It is mostly related to **extrinsic** factors which deal with the reader's reactions to **local** segments of 'the passage'. Bases of appeal which are intrinsic are usually combined with an evaluation of the 'success' or the story or the

author's performance rather than of the psycho-cultural significance of the narrative.

5. 5. 3. 2 Trends in the axiology of the 'E' range responses

None of the values embodied in the narrative (such as that of veracity within SOCIAL SANCTION or tenacity within SOCIAL ESTEEM) are re-presented in the 'E' range responses. Values centre on AFFECT (most often, the reader's), and on APPRECIATION (the parts of the text and their indeterminacy), and, within JUDGEMENT, on SOCIAL ESTEEM (particularly the performance of the author). Furthermore, ambivalence (dissonance) in the value positions adopted in each text is now a marked feature of the axiology. The LOADING over each response PROGRESSION does not match that over the narrative PROGRESSIONS. Furthermore, whereas the responses in other grades inscribe the values of the narrative through generalization (the 'C' range) or abstraction (the 'A' range) or fuse these with evoked appraisal (the 'A' range), the 'E' range responses privilege **particularized inscription**, which focuses on the emotional or experiential or semiotic details of the story or on the reader's response. Choices for APPRAISAL TYPE are either **indistinct**, as in "There also might be another part to this story" (Response Text 7: 2) and "I can really imagine the sound it makes" (Response Text 9: 7) or inscription is particularized, as in "It ends this way because as she was turning the T.V. over it sounded like someone was opening the door and she started to get scared" (Response Text 8: 1) or "Like a padlock snapping open' sounded so lonely and made me feel so afraid" (Response Text 9: 3).

Within MEDIATION, the predominant choice is for an 'interpretation' which is **extrinsic** in its BASIS of appeal, or, within an intrinsic interpretation (much rarer), concerned with localized mimetic or semiotic details. The SCOPE of the reader's reactions is predictably **local**, in almost all cases. This pattern is highlighted in a consideration of the 'appraised' in the analytical tables. These alternate between semiotic features such as 'The parts of the story', 'The ending' or 'the effect of the images' and the reader's reaction to these features, as in 'the reader's assessment of the ending' or 'the reader's feelings'.

APPRAISAL is related to factors outside the text and often heavily mitigated by comments which reveal an instability in the reading position adopted. Response Text 7 is notable in this respect. These trends reveal that bottom range readers either cannot or choose not to relate

their response to the narrative as a whole. The axiology they 'evoke' is unconnected to that of the narrative, except incidentally. Rather, this text becomes the occasion for a personalist excursion into the realm of author's intentions, enigmatic semiosis, and reader's feelings.

Control of the telos of the response is provided by the student qua individual. He or she does not have access to the kind of control provided by the discipline and its metalanguage because s/he cannot read the telos of the narrative on which the response rests. Each 'E' range text represents a partial, and therefore aberrant response to the story. The tactic is, finally, one which locates the student writer outside the discipline - because he or she is outside the text. The text must be the foundation on which the responsiveness is built - certainly within the Leavisite and/or New-Critical rhetoric.

Contrasts in overall trends in APPRAISAL and MEDIATION within each range and their influence of the different axiologies of the responses are summarized in Appendix 4.3.

5. 5. 4 Concluding remarks on the 'E' range rhetoric

Unsuccessful (bottom range) students appear unable to recognize the higher-order meanings of the narrative. Unlike the 'A' and the 'C' range responses, they do not demonstrate awareness of the overarching problematic, dominant axiology and the global text patterns of the narrative. The following syndromes of features, organized by metafunction, characterize the 'E' range response:

(i) awareness of some elements of lower order meanings such as 'event sequence' or 'evaluative voices' in the story and an ability to imagine a rationale for their inclusion in the narrative.

(ii) awareness of a very limited selection of APPRAISAL and MEDIATION choices, not those underpinning the narrative so much as those related to their own subjectivity (notably JUDGEMENT: social esteem: +ve capacity in the imputed author; APPRECIATION: especially the reaction of the reader to what is written; and AFFECT: emotional reactions in the reader to parts of the narrative). It is interesting that the majority of choices for APPRECIATION occur within the 'E' range rather than in the 'A' or the 'C' range. These examinees do focus on the aesthetic dimensions of reading. But they fail to link these to factors of JUDGEMENT. It appears that moral exegesis can only be conducted in the course of

aesthetic appraisal. Within MEDIATION, in terms of BASIS of appeal, the focus is on factors and voices extrinsic to the literary text.

(iii) a local orientation to the narrative and eccentric use of the periodicity made possible by Theme and New, such that experiential Themes are linked to experiential News, interpersonal Themes to interpersonal News, and so on.

(iv) awareness not of METARELATIONS but of some of the PROGRESSIONS of the narrative (activity sequences related to Jenny's television watching, as in Response Text 8 or the rationale behind the PROGRESSION, as in Response Text 9). The responses draw most often on extension and evaluations related to reader (E' read) or author (E' auth) in their design.

The co-patterning in selections for experiential, interpersonal, textual and logical meaning show that 'what happens at the end of the story' is arbitrarily related to the preceding narrative. The 'E' range responses appear unable to discern any motivation behind choices for meaning in *CLICK*. As a consequence, they need to supply their own rationale for these. In sum, the 'E' range examinees do not or cannot apply the 'right recognition rules' to the task, and, as a consequence are unable to produce a text which realizes its requirements. Table 5.26 demonstrates the hook-up between features of text and context, as it is evoked in literacy practices of the bottom range.

Text/Context hookup	Text (rhetorical packaging of semiosis)	Context (privileging rules/orders of semiosis)
Experiential/ field	Some aspects of the possible world of the story are recreated or reacted to.	Field = imagined experience
Interpersonal / tenor	Axiology based not on the text but on the subjective reactions of the reader or imputed to the author.	Tenor = the affect and reactions of extrinsic voices
Textual/mode	Three textures of reply here: • experiential Theme + News; • interpersonal Theme + News; • textual Theme + News; Use of extension and extrinsic evaluation (E' read or E' auth) across inter-sentential progressions.	Mode = constitutive but local in its immersion in progressions

Table 5.26: The text-context hook-up for the 'E' range responses.

5.6 General conclusion: the 'intertextualities' of the response texts

The nine responses to *CLICK* tell us a great deal about the 'hidden curriculum' of junior secondary English. They are emblematic of three different, though related, 'intertextualities' which students bring to bear on their reading of examination narratives. The relations which examinees construe between one text and another can be described in terms of Bernstein's notion of 'recognition rules' (a function of classification) and 'realization rules' (a function of framing).

The classification and framing values of examination English were discerned through scrutiny of the grades allocated to students' responses and through analysis of their linguistic features. These provide the linguistic basis for the description of the strategies employed by the 'A', 'C' range and 'E' range examinees in their responses to *CLICK* and the ways in which these approximate the classification and framing values of the Reference Test context. Different recognition and realization rules were specified for the three ranges. The difference between top, middle and bottom range students was viewed primarily as a difference in the recognition and realization rules applied to their reading of and response to *CLICK*.

The 9 response texts were linguistically analyzed along three dimensions: textual, experiential and interpersonal, in an effort to bring out 'proportionalities' in the semiotic strategies underpinning each interpretive rhetoric. It was found that each metafunction provides a complementary picture of the semiosis of the 'A', the 'C' and the 'E' range response. Thus patterns of co-selections for interpersonal meaning harmonize with selections for experiential and logical meaning while textual meaning gives value and periodicity to these. These patterns present 'syndromes' of meaning, which, taken together, define the 'rhetoric' for each grade range.

It was assumed that the successful students would transform the seemingly open-ended question 'Why do you think the story ends in this way?' into a task requiring a demonstration of specialized competence in English and that the rhetoric they employed would relate to the orders of relevance privileged in examination English. Top students did, in fact, 'recognize' the context as specialized and 'realized' this in their production of a Leavisite or New-Critical interpretation of *CLICK*. In this intertextuality, examinees identify the abstract problematic of the narrative, discern and ratify its axiology and demonstrate a global

orientation to its generic structure. In the hermeneutics of 'A' range intertextuality, lower order meanings are reconstituted in terms of higher order meanings - the dominant filters the auxiliary.

It was also assumed that middle-range students would approximate but not deploy as successfully these same 'privileging rules' - would 'recognize' but not fully 'realize' the requirements of the task. This was indeed the case. In this intertextuality, examinees identify and generalize about the problematic of the narrative, discern and ratify its axiology and demonstrate a global orientation to its structure. But the hermeneutics of this intertextuality differs from that displayed by the 'A' range examinees. It is more intimidated by mimetic content, by expressions of AFFECT and by local, syntagmatic features of the narrative's unfolding. The 'C' range examinees can recognize the dominant order but not reconstruct the auxiliary in the light of this.

The intertextuality of the bottom range differs from both of the others in that it is unresponsive to the specialized requirements of the task. Although the 'E' range responses demonstrate at least a partial processing of the primary text on the part of the examinee, they also reveal that s/he does not know which rules are in play or how they should be operationalized. In this intertextuality, students assume that the author wants to 'impact on' the reader emotionally, that the relationship between one part of the text and another is unmotivated, and that it is their personal response which the examiner is looking for. In short, this intertextuality is focussed on the subjectivity of the reader rather than the textual patterning and significance-creation of the text.

Articulation of the actual requirements of the response task is crucial for students whose intertextualities do not match those privileged in examination contexts. The rhetorical strategies of the 'A' range response can be taught if teachers are given 'a handle' on its distinguishing attributes and if the 'hidden curriculum' behind such tasks can be made more visible.

In the final chapter I turn my attention to the relationship between critical and specialized literacy practices in school English and the ways in which articulation of the requirements of specialized literacy is foundational for development of a critical literacy.

Chapter 6

TOWARDS A CRITICAL LITERACY: NEW 'PRIVILEGING RULES' AND THEIR IMPLICATIONS FOR PEDAGOGY IN ENGLISH

6.1 Introduction

The previous two chapters explored the semantic features of one of the genres which year 10 examinees often face in the Reference Test in English (the psychological narrative) and the responses which they generated to one of these (*CLICK*). Chapter four analyzed the intertextuality privileged by the narrative itself (a production-oriented perspective), while chapter five examined three related, but different, kinds of intertextuality brought by students to their reading of *CLICK* (an interpretation-oriented perspective). Taken together, these perspectives enable us to constitute the 'speciality' of English in the junior secondary years in the absence of guidance from other quarters.

The instability of the 'nature' of the object 'English' makes it very difficult to articulate the kinds of challenges it presents for students in the junior secondary years. English 'as it is practised' in the pedagogies and classrooms promoted in *English 7-10* is very different from English 'as it is valued' by examiners, and both differ again from English considered 'as a potential' for interrogation of the culture and production of texts which reflect this (for reflective praxis). Nevertheless, characterizing the nature of the literacy challenge of each domain is of primary importance if we are to begin to open up the discipline for students whose coding orientation makes it difficult to recognize which aspect of the curriculum is 'in play' at any one time. Enabling these students to realize its varied requirements is a secondary but no less crucial dimension of this task.

There are two parts to the chapter. The first part 'looks forward' to the development of a model of critical literacy which is both theoretically coherent and pedagogically useful. It analyzes the 'rhetoric' which underlies the production of two critical responses to *CLICK*. Like those analyzed in the last chapter, this 'critical rhetoric' is linguistically substantiated, although in the interests of economy, only analyses which cannot be found in Appendices 6.1 and 6.2 are reproduced here. The

second part of the chapter draws out some implications for literacy pedagogy of the analyses and arguments advanced in this study. It proposes some principles for development of pedagogies adequate to the challenges and possibilities of English in years 7-10.

6.2 Modelling the intertextuality privileged within the critical responses

A critical literacy moves students into the application of new 'privileging rules' to reading(s) of texts like *CLICK* - in short, to new intertextualities. It will be remembered from chapter three that the hierarchies which characterize the literacy practices of the Reflexive domain build on but 'transcend' those of the Theoretical domain. For purposes of argumentation, these hierarchies are reviewed here.

The 'experiential hierarchy' underpinning the 'privileging rules' of the Reflexive domain was depicted in figure 3.5 as:

abstract thesis.

According to this depiction, the abstract thesis (or theme) of a narrative embodies ways of seeing and behaving which support the continued dominance of 'ways of seeing and behaving' in a given socio-cultural order. These ideologies are subject to scrutiny and to challenge by readers within the Reflexive domain. The problematic addressed by a narrative can no longer be regarded as value-free, as neutral. Instead, in this domain, the text is a carrier of ideological discourses which it is the task of a critical reading to discern.

Ideology is endemic to narrative structure and to the experience it structures for its readers (Fowler, 1986, Stephens, 1992 and Simpson, 1993). Furthermore, when it comes to ideology, we need to consider both the 'messages' implicitly imparted by narratives such as *CLICK* and the techniques by which these messages are naturalized. Intertextual knowledge is part of this process and links critical deconstruction to the 'literary reading'. In fact, a critical reading does not occur in isolation from a specialized reading. Rather, the 'discursive knowledge' privileged within the Reflexive domain (see figure 3.3), is a function of two mediating perspectives, one made available through immersion in specialized literacy and the other through engagement with critical literacy practices.

Ideological scrutiny of a text thus develops out of an oscillation between the possibilities and practices of both the Theoretical and the Reflexive domains. Just as learning itself was represented in chapter three as a 'shunting between' the semiotic requirements of two domains, so a critical perspective on a text is produced by means of (at least) two possible readings - that which the text itself naturalizes and that which recourse to other discourses, other experiences, makes possible. Within the institutional constraints of school English, therefore, there can be no critical literacy in the absence of a prior, specialized literacy. Identification of the abstract thesis/theses of a text precedes exploration of the often covert ideological interests this serves. From the pedagogical point of view, student-readers can only relativize what they have been enabled to identify in the first place.

The 'interpersonal hierarchy' underpinning the 'privileging rules' of the Reflexive domain was depicted in figure 3.5 as: heteroglossia

axiology.

In this depiction, the axiological (value-orienting) strategies of any text - the kinds of value-positions it makes available for its ideal readers - come to be seen as only one among many value-positions of a limited range of voices of the culture. The voices of the text (singular or plural, but always contained in the psychological narrative) are here brought into relation with the often chaotic heteroglossia (many-voicedness) of the broader 'context of culture'. This new 'dialogism' between reader and text can take a number of directions. The reader can focus on the voices and value-positions actively suppressed within the axiology of the text (inverting the hierarchy, as it were, by making 'text voices' a higher order concern instead of the lower order concern they have within a specialized reading). Or the reader can focus on the voices and value-positions 'left out' of the text through appealing to alternative discourse and value positions (privileging 'other' values, 'other' voices as in the feminist reading of *CLICK* demonstrated in Critical Response 2).

The interpersonal dimension of a 'reflexive' encounter between text and reader encourages a 'resistant reading', although, as Kress describes it, this is not an all-or-none phenomenon:

Readers need not comply with the demands of a reading position constructed for them. The options range from not being a reader at all, to a distanced, critical reading, where the reader refuses to enter

the reading position constructed in the text, and thereby reconstructs the text in a significantly different form in reading it. The task of the writer is to construct a text which will most effectively coerce the reader into accepting the constructed text. To do this, the text should seem natural and plausible, uncontentious - from the reader's point of view - and obvious. Clearly the best reader will be a critical, a resistant reader, one who both sees the constructedness of the text and of the reading position and who can at the same time reconstruct the text in a manner useful to herself or himself.

[Kress, 1985: 40]

A resistant reading can identify the axiology naturalized by a text. This facility distinguishes it from what Cranny-Francis (1996) calls the 'tactical' reading, exemplified in students' interpretation of Niemand's gift of the revolver to Harry in *The Weapon* as an attempt to 'put the disabled boy out of his misery'. Tactical readings tend to 'split off' from the primary text, leaving much of it unexplained. By contrast, in the terms developed here, resistant readings engage with the values naturalized by the text but challenge these through appeal to voices and values 'outside' the text, in the broader 'context of culture'. The 'E' texts are examples of unsuccessful 'tactical readings', whereas the critical responses explored in this chapter are examples of successful 'resistant readings'. In short, a resistant reading of the psychological narrative recognizes the axiology it embodies but re-contextualizes it in the light of alternative positions and values. Furthermore, it presupposes and builds on the specialized reading.

There are important implications for pedagogy here, which will be taken up in greater detail in the second half of this chapter. Recognition of the text's axiology precedes an exploration of its relation to the heteroglossia of the cultural context in which it is (typically) read. Students first have to learn how to be ideal readers before they can begin to be resistant readers. In other words, readers can only 'resist' what they have been able to engage with in the first place. And this engagement will need to be with the whole text. A global orientation to text as 'construct' is crucial to identification of both its problematic and its axiology.

The 'textual hierarchy' underpinning the Reflexive domain was depicted in figure 3.5 as an orientation which is: logonomic: extrinsic

global: intrinsic.

Within a critical orientation to literacy, readers recognize which 'rules' are in play in any act of semiosis and are able/free to re-configure these.

Their knowledge of the 'logonomic systems' underpinning textual production returns readers to the 'extrinsic' socio-cultural context in which genres are subject to social and textual contingencies. Students' work on the literary reading, in which they learn to foreground the properties 'intrinsic' to a text, can be viewed simply as one of the logonomic requirements of school English. Students can learn to reproduce the readings required within Leavisite and New-Critical paradigms but also to see them as historically salient, as relative.

There is a redundancy between the categories of 'ideology', 'heteroglossia' and 'logonomic systems' as these are applied to literacy practices of the Reflexive domain. All three imply disjunctions - cleavages between different forms of knowledge, between axiologies and between the 'rules' which govern their 'semioticization'. Hodge and Kress have also emphasized the parallels between what they call 'ideological complexes' and 'logonomic systems':

Logonomic systems like ideological complexes reflect contradictions and conflicts in the social formations. They typically have an overall structure consisting of general rules (expressing the dominance of the dominant) plus alternatives or exceptions (acknowledging though circumscribing the opposition of the subordinate). Thus ideological complexes and logonomic systems are related in function and content, with logonomic systems expressing ideological content by controlling one category of behaviour (semiosis), while the ideological complex as a whole projects a set of contradictions which both legitimate and ameliorate the premises of domination.

[Hodge and Kress, 1988: 5]

There is also a fair degree of 'generic play' in the practices of the Reflexive domain, although typically not in those situations which, if challenged, would damage students' own chances of academic success. It is no accident that there is no example of a critical response to *CLICK* in the corpus published by the NSW Board of Studies. A critical orientation to literacy needs to be attentive to which 'rules' underpin which contexts and on which social occasions these can be productively challenged.

In sum, within the (relatively) weakly classified practices of the Reflexive domain, the critical response either posits a new 'dominant' or it problematizes the 'dominant' orders of discourse privileged in specialized paradigms. It proposes a new higher order discourse. In relation to narrative, it reads the Token-Value unity of the work in terms of other values named elsewhere. The critical response, like the specialized response on which it is partly based, doesn't just

identify the discourses naturalized through the problematic/axiology embodied in the narrative; it relates these to possibilities suppressed within or available outside the text.

It is now possible to formulate a new 'recognition rule' applied by critical readers to their reading of the psychological narrative.

"This literary text enacts ideology in its narrative structuring of 'experience' and positions its compliant readers to accept particular value-positions as 'natural' in the course of this. Any response which is adequate to the text will deconstruct aspects of its broader ideological/axiological function."

The 'realization rule' for producing a critical response to the text, follows on from this:

"Produce a response which characterizes the ideology enshrined in the literary text's 'problematic', which relates its dominant axiology to 'other voices and values' of the text or culture and which demonstrates awareness of the 'logonomic rules' by which the text is produced/read."

The possibilities of a critical literacy can be discerned even within the rigours of specialized literacy practices although, of course, they emerge fully in the interaction of the two (contending) practices. However, just classifying a context as 'specialized' relativizes it in some way. And explicitly coaching students towards the production of a specialized/compliant reading effectively distances them from this. It construes it as 'a reading' rather than 'the reading'. Explicating the specialized requirements of the Theoretical domain for students is the first step in a process of their demystification and eventual challenge. The metafunctionally differentiated hierarchies mentioned above constitute the semiotic possibilities of critical literacy as it is explored in this chapter.

Within a consciously critical perspective, students learn to 'recognize' the literary structure of the narrative but to apply different priorities to its function and effects. They begin to explore the ways in which it works to reinforce or subvert mainstream representations of things and naturalize or de-naturalize certain values. Considered from the point of view of the discourse hierarchies mentioned above, students who 'occupy' the Reflexive domain learn to de-naturalize the ideology and axiology of a text through appeal to alternative values and voices.

With respect to the psychological narrative, for example, they recognize that voices which call the protagonist to acceptance of 'reality' (of the death of friends, of the loss of precious spaces, of innocence and so on) are always privileged over voices which lead to disengagement from 'reality' (to despair, to violent resolution of conflict, to escapism and so on). The injunction to 'adjust to what is' is profoundly ideological in its function and students can learn to problematize this in their re-reading of texts.

This is no easy task however. Not least because axiologies, like problematics, are rarely enunciated explicitly, at least, not in the five narratives of the present study. And the axiology privileged by the text only coincides with the protagonist's final evaluations in convergent narratives. In divergent narratives the reader's final value-orientations depart from those of the protagonist. At any rate, the axiology which the text 'opens up' for its ideal reader is 'meta' to all the evaluative voices articulated within the text. In fact, both axiologies and problematics emerge implicitly in a narrative and their 'meta-salience' can only be recognized once the text has been processed. Identification of these higher order meanings presupposes a global, a relational and a 'meta' perspective on the part of the reader.

Narrative is a crucial cultural site for the reproduction (and perhaps, challenge) of ideologies. Belsey identified the tendency in these texts to 'illusionism', to 'closure' and to a 'hierarchy of discourses' and went on to argue that these features themselves serve to reproduce the ideologies of 'liberal humanism' (Belsey, 1980: 70). The very structure of narrative can be seen as 'ideological' in this sense, as Stephens notes:

Fiction presents a special context for the operation of ideologies, because narrative texts are highly organized and structured discourses whose conventions may either be used to express deliberate advocacy of social practices or may encode social practices implicitly.

... Narrative structure, and especially closure, is an ideologically powerful component of texts, since aesthetic completeness and the sense of an appropriate story ending spill over into affirmations of the discourse's thematic conclusions.

[Stephens, 1992: 43-44]

A critical reading will discern the ideology implicit in a narrative's problematic. With respect to *CLICK* for example, it might observe that opposing 'reality' to 'fantasy' and aligning television-viewing with attachment to the latter represents a stereotypical view of television as

negative for children and reinforces the familiar split between 'high' and 'low' culture. These issues are taken up in the critical response texts.

Critical Response Texts 1 and 2 were produced by educators/researchers attempting to model the possibilities of a critical reading of narratives like *CLICK*. The texts are reproduced in Appendix 5.1 and can also be found in Rothery (1994). Analysis of the texts is pursued along similar lines to those applied to the student corpus. Differences in the interpretive 'criteria' applied by their writers to *CLICK* are reflected in their 'rhetoric'. Theirs is a 'critical rhetoric' which subsumes the Leavisite and New- Critical paradigms. We can tease out the different dimensions of the intertextuality probed by these responses along metafunctional lines. Experientially, they alert us to *CLICK*'s stereotypical representations of 'the real' when it comes to family life; interpersonally, they focus on the effects on the reader of 'naturalizing' stereotypical cultural values and textually, Critical Response Text 1 in particular, foregrounds the generic qualities of the narrative. *CLICK* is considered to be a narrative which embodies particular cultural values and attempts (covertly) to imbue its readers with these.

Analyses of the two responses concentrate, firstly, on **textual meaning** - method of development (realized in patterns of **Theme**), point (realized in patterns of **New**) - both of which highlight the 'texture of reply' in each response. Then, within the **logical metafunction**, we consider the types of **expansion** and **projection** which are drawn on in **inter-sentential PROGRESSIONS**. Within these analyses, attention is also given to the responsiveness of the critics to the **METARELATIONS** underpinning the global structure of the narrative. We can expect to find references to at least some of the **META-EVOCATIONS** of the narrative text - its confirmations (\approx), oppositions (\emptyset), transformations (\Rightarrow global) and to some of its **META-INSCRIPTIONS** - especially its internal (E' prot) and external (E'' prot/intrud) evaluations.

Secondly, along the **experiential** dimension, I explore the degree of responsiveness in these texts to the 'experience' privileged in *CLICK*. We would expect awareness of **abstract experiential complexes** like the **Habitus**, the **Challenge** and the **Metastability** to be a mark of both the 'A' range and the critical responses. These complexes will include broader social-semiotic meanings to which the text can be related.

Thirdly, within the **interpersonal** dimension, I examine the patterns of choices of **APPRAISAL** and **MEDIATION** within the critical responses and compare these to the patterns of choices in the students'

texts. It is predictable that the critical texts would introduce different choices from those instantiated in the narrative - marking their axiology as contesting that of the narrative itself.

This 'foray' into the literacy practices of the Reflexive domain can only be exploratory in function. The text corpus alone limits this excursion. A much greater research base (across a range of students' texts and student groups) is needed if we are to develop an adequate picture of the possibilities for critical literacy in the discipline and the kinds of pedagogy which enhance these for different groups of students. The critical responses to *CLICK* provide us with a small 'window' on the kinds of intertextuality which students develop as they move more confidently into the semiosis of the Reflexive domain. The new 'privileging rules' embodied in the 'rhetoric' of Critical Response Texts 1 and 2 represent the tacit principles at work in these practices and a framework for development of a more comprehensive research project.

6.3 The critical response rhetoric: design principles

The 'syndromes' of features which collectively define the rhetoric of each critical response are analyzed along textual, then experiential and, finally, along interpersonal lines.

6.3.1 The textual dimension

The textual dimension is concerned here with two simultaneous 'message lines', both of which are crucial to the 'packaging' of information in each text. Examination of the **thematic progressions** of each text in appendix 6.1 tells us a great deal about its overall discursive structure. As with the 'A' range responses, there are no first or second person Themes in the critical responses. They are almost all **third person Themes** which deal either with the narrative itself or situate the narrative in relation to social or semiotic values. However, the Themes here are more highly elaborated than those of the 'A' range corpus. They include signifiers to do with 'the reader', with the 'semiosis' of the narrative or with the 'experience' it makes available (or suppresses). It is predictable, given the focus on reader positioning within critical literacy approaches, that the reader would feature in some of the Theme choices here. Of course, rather than thematizing the 'I' of the individual reader as the 'C' and the 'E' range responses do, the critical responses thematize the

'We' of the **generalized reader**. The social-semiotic orientation impacts on the Theme choices quite significantly. As table 7a in Appendix 6.1 demonstrates, Critical Response Text 1 shunts freely between 'semiotic', 'experiential' and 'readerly' Themes. It will be noticed in tables 7a - 7b that the 'experiential signifiers' include references not only to Jenny and her experience but also to broader socio-cultural phenomena (e.g. 'Changing patterns of family relationships in our society' or 'By some standards, Jenny's situation'). In a similar way, the 'semiotic signifiers' shown in these tables include references not only to the story but also to the motivation behind the writer's choices (e.g. 'The change ...' or 'The Evaluation stage of the narrative ...').

Method of development is thus realized through the interweaving of both **local/concrete Themes** and **global/abstract Themes**, showing that the producers of these responses are moving out from the text to the socio-cultural environment of which it is a part. Thus while the Themes in the 'A' range corpus stay 'close to the text' - a trend which can be predicted within Leavisite or New-Critical paradigms, the critical responses view the text as an instantiation of problematic cultural values.

But these texts also complicate the neat distinction made between the 'semiotic' and the 'experiential' in earlier analyses of the students' responses. Sometimes signifiers which are 'experiential' within the narrative are treated as 'semiotic objects' in these responses. In Critical Response Text 2, for example, thematizing 'Jenny' does not mean that the writer is making the protagonist an 'experiential' starting point for the message. In fact, sentences 1-3 of this text deal with Jenny as a semiotic rather than a mimetic construct. It becomes obvious here that we first need to decide on its rhetorical function before allocating a Theme to one column or another. Is it contributing to argumentation about the 'construction' of the narrative? In which case, it is better classified as a 'semiotic' signifier. Or is it part of an argument to do with alternative readings of the experience of the narrative? In which case, it is better classified as an 'experiential' signifier. In short, it is rhetorical function which directs us to the nature of a text's PROGRESSIONS.

With respect to the creation of **point**, the critical, like the 'A' range responses, load their interpretation towards the end of the clause in 'meaty' nominalized constructions. But it will be observed that there is far greater **embedding** of nominalized abstractions in the critical texts. And the kind of **New** differs depending on whether the writer is dealing with **mimesis** or with **semiosis** in the sentence. News which focus on

mimesis or 'experience' tend to be full of psycho-cultural abstractions (e.g. 'as illusory the world of television', '[[what constitutes a real family]]', 'a girl [[who is almost obsessively absorbed in watching television]]' and 'the tragic consequences [of car accidents]'). Those which focus on 'semiosis' have a preference for generic classifications (e.g. 'the catalyst in the narrative', 'the message [of the text]', 'the portrayal [of the world of television]' and so on. There is thus greater differentiation in the News as in the Themes of the critical responses, reflecting their ability/freedom to deploy the potential of the genre and the generic occasion more fully.

Like the 'A' range students, the critical writers also tend to exploit the possibilities of **elaboration** and its associated Token-Value structure as a design principle for presenting the significance of the narrative. It is the ideal semantic structure for imaging the move from the concrete details of narrative experience (Jenny and the particulars of her experience) or narrative semiosis (the parts of the text) to the abstract values these embody. Early in both critical texts, an elaborating relationship is set up between the **signifier** (semiotic or experiential 'token') and the **signified** (its newsworthy 'value'). Sometimes this semantic relationship is grammaticalized in an identifying relational clause (e.g. "A stereotypical presentation of the parents' roles is also given"). In most cases the relation is realized in other clause patterns. But the design principle remains the same: what is established as value earlier in the text can be taken as point of departure (a new Token) later.

There is thus **more dynamism in the periodicity** of the critical responses than in the students' texts. The values created as News in the first clauses often become Theme in later clauses. Critical Response Text 1, for example, identifies the opposition between 'reality' and the 'illusory' world of television (in the News of clauses 1a-2a) and then goes on to problematize this opposition (in the Theme of clause 4). In a similar way, Critical Response Text 2 first identifies Jenny as 'stereotypically constructed' (in the New of clause 1a) and then makes this thematic in sentence 3. Thus what is New becomes Theme and this rhythm enables the writers to develop a pattern of abstract argumentation which moves 'out from' the literary text in a series of **elaborating manoeuvres**.

As in the 'A' range responses, these texts also demonstrate a 'global orientation' to the narrative. Like the 'A' texts, the first few Themes in the critical responses are 'semiotic' ones which are combined with Relational identifying or attributive processes. In fact, elaboration is a design feature inflecting all grammatical ranks and even the semantic

relations between **inter-sentential PROGRESSIONS**. Figures 6.1 and 6.2 show the pattern of **PROGRESSIONS** between each numbered sentence in the two critical responses and the extent to which each sentence either elaborates the abstract significance of a token or exemplifies a value through some detail of the story. There is a preponderance of elaborating **PROGRESSIONS** here: meanings which shunt between instance (signifier) and abstraction (signified), as indicated by the upward-facing arrows in each figure. Less frequently, smaller spans begin at the negotiation vector (E' read) and point towards the value. The kind of **PROGRESSION** made by each sentence in relation to the last is given in square brackets beside the relevant sentence number. Just as with the 'A' range texts, a preference for **elaboration** is a distinctive feature of the 'critical rhetoric'.

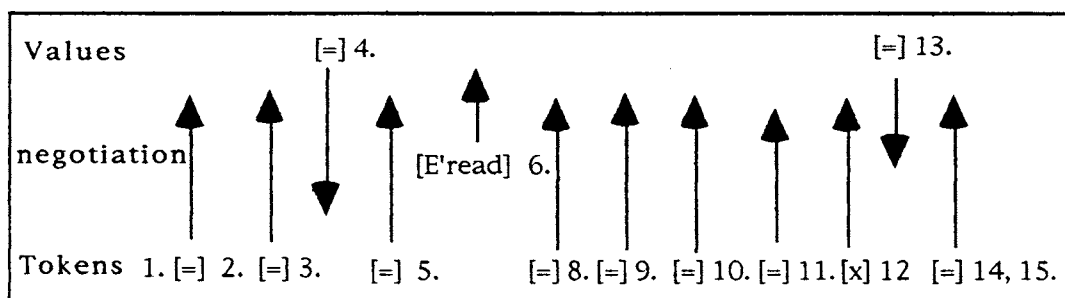


Figure 6.1 : Intersentential progressions for sentences 1-15 of Critical Response Text 1

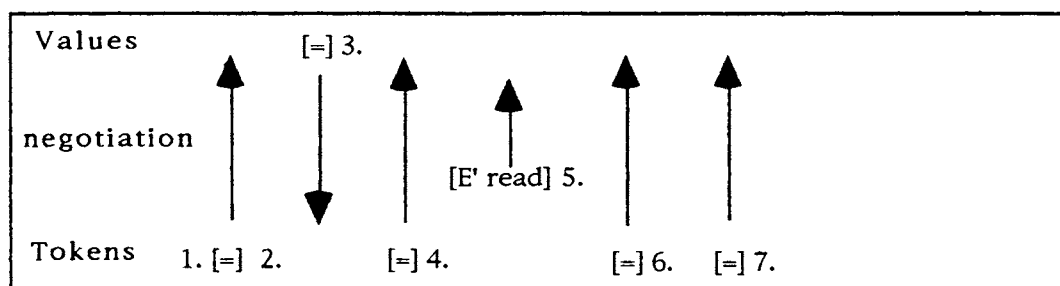


Figure 6.2 : Intersentential progressions for Critical Response Text 2

The elaborating motif enables the writer to construe signification in literary texts - the move from signifier to signified in a rhythmic pulse or wave of increasing abstraction from surface to (socio-semiotic) significance. And, although the directionality can go either way, it tends to be from lower to higher order significance, as figures 6.1 and 6.2 show.

Finally, it can be observed that the critical responses do acknowledge most of the overarching pattern of **METARELATIONS** in the narrative, and Response Text 1 deals with all of them. Response Text 2 is

more limited in scope and deals only with the construction of 'the family' in the narrative. This limits its coverage of the METARELATIONS.

With respect to META-EVOCATIONS, the critical texts construe the narrative's **oppositions** (\emptyset), as in "The negative value given to television as the world of illusion as opposed to the positive value of reality represented by the accident is questionable" (Critical Response Text 1: 4). They replay its **confirmations** (\approx), as in "Jenny (is) a girl who is almost obsessively absorbed in watching television and identifies with characters on the screen" (Critical Response Text 1: 5), or "Father is absent and Jenny's mother has no status as an authority as far as parenting is concerned" (Critical Response Text 2: 4). And, most importantly from the point of view of interpretation of 'the message', these texts attend to the **global transformations** of the narrative (\Rightarrow global), as in "Jenny is stereotypically constructed as passive until the crisis of the accident forces a change of attitude" (Critical Response Text 2:1), or "The short story CLICK is about Jenny, a teenage girl who, when confronted by the death of a girl in a street accident is changed as a result of that experience" (Critical Response Text 1: 1). These meanings are incorporated into the opening statements of both critical and 'A' range responses, as if their writers recognize that identifying the global significance of the narrative is a primary task.

With respect to META-INSCRIPTIONS, both responses key on the highly amplified moments of evaluation in the protagonist (E'^{prot}). And, here, as with the 'A' range texts, rather than simply recounting Jenny's internal evaluations, they recreate the normativities of the text's axiology as they identify Jenny's evaluation. Jenny is 'confronted' by the death of the girl and then 'rejects' the illusory world of television (Critical Response Text 1: 1-2). The crisis of the accident 'forces' a change of attitude (Critical Response Text 2: 1). Once again, both groups of writers indicate sensitivity to the agentiveness of the accident in Jenny's 'change of heart' and recreate this in their account of the narrative.

Table 6.1 indicates those sentences in the critical responses which deal with the narrative's oppositions (\emptyset), confirmations (\approx), global transformations (\Rightarrow global) and protagonist's internal evaluations (E'^{prot}). Reference to the reader's evaluations (E'^{reader}) also feature in the these responses, although they are not included as an end in themselves (as in the 'C' and the 'E' range responses). Here, they serve to contextualize interpretive statements about reader positioning and alternative patterns of argumentation from those assumed in the narrative. It will be noticed

that the column labelled 'other' is very crowded in table 6.1. These 'other' relations deal with critique and predominate in these texts. Interpretation represents an opportunity to explore alternative meaning positions which can be drawn on to deconstruct the narrative. Some sentences deal with more than one kind of METARELATION and this is shown by repetition of the sentence number in the relevant table cells.

Meta-relations	∅	≈	⇒ global	E' prot	E' reader	other (critique)
Critical Response Text 1.	4. 6. 20.	5. 7. 8. 9. 17.	1. 2. 3. 12. 28.	2. 3. 9. 11.	6. 20. 22. 24. 25. 29. 30. 31. 32.	13. 15. 16. 17. 18. 19. 20. 21. 22. 23. 24. 25. 26. 27. 30. 31. 32. 33. 34.
Critical Response Text 2.		2. 4.	1.	1.		3. 5. 6. 7.

Table 6.1: Recognition of METARELATIONS in Critical Response Texts 1-2.

In sum, both the critical and the 'A' range readers are able to present a 'meta-eye' view of the narrative which enables them to select and recreate just those details of it which substantiate their interpretive agendas. The critical responses, however, are able to identify and to re-contextualize these details in the light of alternative discourses.

6. 3. 2 The experiential dimension

The critical responses pick up on the 'experience' embodied in the narrative in a particular way. They **recognize the problematic** played out in the narrative but **construe this in ideological terms**. In Critical Response Text 2, for example, the writer identifies Jenny's Habitus but asserts that this 'constructs' her as 'passive': "She is presented as confined to home because of her parents' absence whereas a teenage boy would probably be seeking entertainment outside the home" (2). Both responses deal with the **Challenge** faced by Jenny and the change she undergoes as a result of her confrontation with the accident victim but take issue with the narrative's representation of this. Critical Response Text 1, for example, acknowledges the effectiveness of the evaluation stage of the narrative 'for making the message of the text explicit' but also comments on the distortion of 'reality' which this naturalizes: "What is

evaluated is not the horror of a young girl's life being tragically cut short, but the significance of the death as an instance of reality" (11).

Both responses take for granted the restoration of the **Metastability** but, rather than dealing with this, they probe the implicit assumptions on which this order is based. For example, they problematize the ideological assumptions on which the narrative oppositions turn - that a poor working family is an example of a 'negative reality' or that television is an example of a temporarily positive escape which leads us away from 'reality'. They **relativize the values** it naturalizes through appeal to alternative construals of family and of the value of popular culture. These construals are based on readings made possible through **feminism**, which challenges mainstream models of femininity (as passivity), through **sociology**, which makes us aware of 'changing patterns of family relationships', and, even through **semiotics**, which deals with the constraints and possibilities of different genres.

In the process of examining the implicit assumptions of a narrative like *CLICK*, these writers **recognize but overturn the discourse hierarchies** privileged both in the text and in the reading formations rewarded by examiners. By relativizing the values inscribed and evoked in the narrative, they effectively elevate so-called 'lower order' meanings to a new significance and reverse the terms privileged in the Leavisite and New-Critical formations. This movement from recognition to critique is evidenced in the pattern of numbers in table 6.2, which shows that early sentences of each response deal with either the Habitus or the Challenge embodied in the 'experience' of the narrative, while later sentences deal with critique of its implicit assumptions and valuations.

Like the 'A' range texts, the critical responses are not bound by the sequences and experiential details of the story's mimetic surface, but are attuned to the salience of its higher order complexes. And while they do not faithfully duplicate the development of the narrative problematic in their own responses, as the 'A' range examinees do, the critical texts demonstrate awareness of the trajectory of the narrative - the creation of a Habitus in a protagonist which is impacted by an external Challenge and forces the protagonist to either adjust to the metastable social order or face the consequences. Table 6.2 demonstrates which sentences in each critical response deals with which higher order relations in the narrative. Note the inclusion of another column here in which critique is treated as a new higher order meaning.

Higher-order complexes	Habitus	Challenge	Metastability	(critique)
Critical Response Text 1	4-9	1-3; 10-12;		13-34
Critical Response Text 2	1-4.	1		5-8

Table 6.2: Recognition of complexes in Critical Response Texts 1 and 2.

6. 3. 3 The interpersonal dimension

I turn now to the interpersonal dimension of the critical responses. This axiological consideration includes two dimensions: attentiveness to the values instantiated in the narrative and exploration of alternative value-orientations. Like those in the 'A' range, the critical respondents identify the values incipient in the narration of *CLICK* - they recognize its positive valuation of 'reality' (with all its unhappiness and death) and negative valuation of the 'fantasy world of television'. But, unlike the 'A' range respondents, the critical respondents do not emulate the value-orientation enunciated for the ideal reader by the text. And their 'resistance' is reflected in choices for APPRAISAL and for MEDIATION. The choices analyzed for each sentence of the critical responses are displayed in tables 8a - 8b in Appendix 6.2.

The critical readings of *CLICK* are not like the compliant readings evidenced in the 'A' range in that they do not reproduce in their own poetics the process of reconciliation with the culture and its sanctions embodied by the narrative. Instead they foreground the **constructedness** of the narrative values. And, because of their focus on the aesthetic qualities of the text, choices to do with APPRECIATION predominate in both critical responses, particularly those concerned with the **composition** of the text and the kind of **valuation** it gives to 'experience'. These are often combined with choices to do with JUDGEMENT, particularly values of **social esteem** and **social sanction**.

However, rather than construing these **values** as 'realities' to which Jenny and reader must adapt, the critical responses construe them as **semiotic constructions**. In Critical Response Text 1, for example, we read that negative values 'are given' to television (4), that the reader 'is positioned to see television as undesirable' (6), and that 'what is evaluated is not the horror of a young girl's life being tragically cut short, but the significance of the death as an instance of reality' (11). And in

Critical Response Text 2, we read that 'Jenny is stereotypically constructed as passive' (1), that she 'is presented as confined to home' and that the typicality of the family is 'seen as dysfunctional' (5). In short, critical choices for JUDGEMENT, where these reflect the values inscribed or evoked in the narratives, are literally or metaphorically put in scare quotes, as the writer distances herself from these.

Alternative value choices are also proposed in these texts. Critical Response Text 2, for example, questions the 'veracity' of the narrative's representation of the working family as 'dysfunctional' (5), and goes on to suggest a positive valuation (+ve capacity and +ve propriety) of a family in which parents work to provide for the maintenance of the family unit (6 - 7). Thus the text itself (its higher order meanings) becomes the site for an exploration of values and for alternative axiological proposals in accord with other voices, and other values. There is very little focus on AFFECT in the critical responses.

Choices for **LOADING** are interesting because, unlike the 'A' range responses, they do not reflect those of the narrative (the movement from -ve **LOADING** over the earlier phases of -ve social esteem, through 'mixed' **LOADING** over the treatment of Jenny's confrontation with the 'reality' of the road accident victim and into the +ve **LOADING** over Jenny's reconciliation with her 'reality' (values for veracity within social sanction). Instead, here, the **LOADING** tends to be **neutral** when considered from the point of view of **narrative positioning** and then influenced by the respondent's view of the **value orientation of the text as a whole** rather than by individual segments of it. Most of those sentences which deal with the values instantiated by the narrative are neutral for **LOADING**, as the writers simply identify the bias of the text rather than committing themselves to one position or another. Then, having identified the **LOADING** over individual segments of the text, they typically go on to question the bias and the uses to which it is put in the narrative as a whole. This suggests that we need to consider these texts as responding to the **LOADING** over meanings of the narrative in an essentially neutral way, but positing a new **LOADING** when contesting the 'propriety' of these choices overall.

With respect to **APPRAISAL TYPE**, there are not many examples of 'fused appraisal' in Critical Response Texts 1 and 2 - an artefact of their distancing of themselves from the axiology ratified by the narrative. The writers 'dis-identify' with the protagonist as they evaluate her evaluations, and, as a result, there are very few examples of 'evoked

appraisal'. Distancing oneself from the views of narrative characters appears to be important to a critical literacy formation more generally. In her study of theories of discourse, for example, Diane Macdonell urges the pursuit of 'disidentification' as a way of "working on and against dominant forms of ideological subjection" (Macdonell, 1986: 128).

Most of the choices for APPRAISAL TYPE in the critical responses are **inscribed**. There are some examples of particularized inscription, in which the writers exemplify the points they make about *CLICK*, but most of the inscriptions are either **generalized** or **abstract**. With respect to the latter, abstractions tend to be 'semioticized', as in: "Television is presented as an illusory, fantasy world" (1: 7), or "The evaluation stage of the narrative makes explicit the message of the text" (1: 10), or "A stereotypical presentation of the parents' roles is also given" (2: 3). Abstraction is necessarily related to the construction of values rather than to the values themselves.

Although the same system of APPRAISAL can be utilized in analyses of the narratives, the compliant and the critical readings, the apparatus of MEDIATION need to be adapted to each new occasion, each new genre. The resources for RECOUNTING, VOICING and SOURCING of APPRAISAL in the narrative will not serve us when it comes to Leavisite and New-Critical interpretive formations. But, as can be expected, these resources are also inadequate to the demands of a critical reading of the narrative. While interpretive choices which are **intrinsic** to the primary text need not be changed to meet these demands, the characterization of the **extrinsic** choices requires renovation in the light of the contextual domain out of which the critical responses are generated.

The critical texts foreground meanings to do with the socio-cultural or psycho-cultural context in which the narrative is produced and read and do not refer to the author of the narrative at all. Furthermore, when they refer to the reader, it is a **generalized reader** rather than the **individualized** reader of the 'C' and the 'E' texts. It will also be observed from analyses of APPRAISAL and MEDIATION reproduced in Appendix 6.2, that what is 'extrinsic' to the narrative appears very different in the critical and the 'E' range readings. While the critical texts deal primarily with the context of the work (especially that in which it is read), the 'E' texts are concerned with the privatized world of imaginary event sequences and individual reactions to the text.

The APPRAISAL network thus remains the same as that used in chapter four and five and a MEDIATION network which captures the choices of the critical responses is reproduced in figure 6.3:

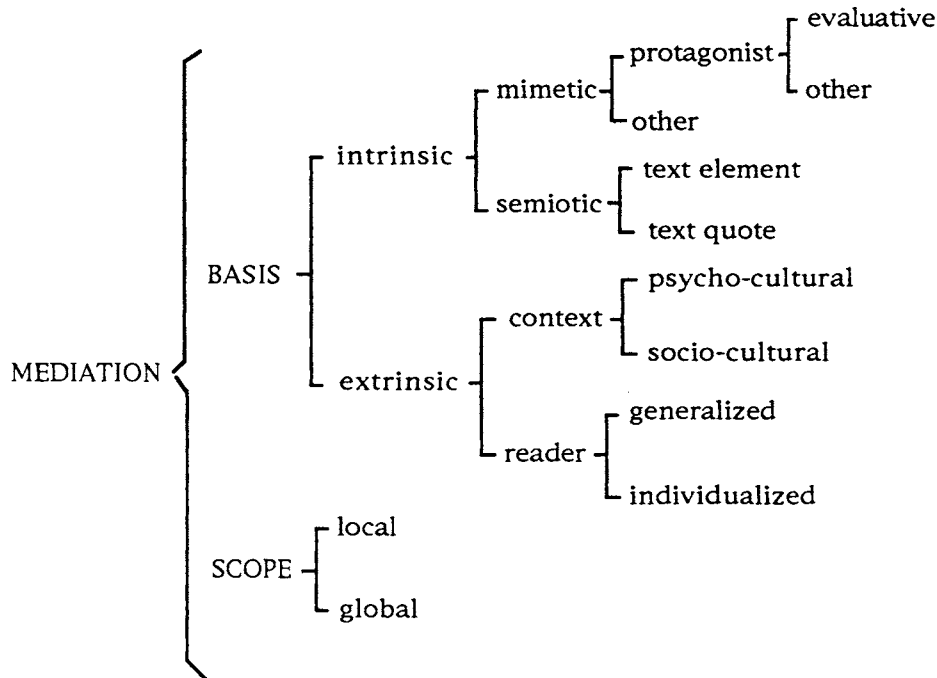


Figure 6.3: Choices for MEDIATION in critical responses to narrative

In sum, the critical readers do not focus on their individual thoughts and reactions to the text, nor on the 'intentions' of an implied author. Rather they are concerned with the **agency of the text** in the naturalization of particular values. They situate the axiology of the narrative in relation to alternative voices and perspectives available within the culture. Heteroglossia is privileged over axiology here by highlighting the limitations of the voices/values of the narrative through appeal to factors **extrinsic** to the text. The critical reading does not accept that the text is an 'autonomous' construct, 'point of departure' and 'point of return' in any interpretive endeavour. Any literary work is produced out of, engages with and is read within a socio-cultural context which admits of more than one 'decontextualized' reading.

6.3.4 Concluding remarks on the critical responses

Critical readers recognize the salience of higher order meanings in examination narratives but typically choose to reconstrue these. They attend to the overarching problematic of a narrative like

CLICK, but draw out its ideological significance; they acknowledge, but resist its axiology through appeal to 'other voices' and 'other positions' available within a heteroglossic culture; and, they interpret the global text patterns through which the text instantiates its meanings, but posit these as just one of the 'logonomic systems' which are 'in play' in the culture. In short, they privilege the social/ideological over the textual. The practices made pre-eminent in Leavisite and New-Critical orientations to literary texts are now subject to a new set of priorities, and the text is returned to the social world with all its contradictions, contingencies and multiple subjectivities. These perspectives have implications for school literacy practices and purveyors of a 'critical literacy' need to consider the 'price' which such readings of any text will exact. The linguistic price of this kind of 'rhetoric' is high and expensive to reproduce (in terms of financial resources, time and energy). Students need to be taught how to 'read' the institution as well as the text, in effect, to interpret which 'recognition' and 'realization rules' are pre-eminent in any one context of situation and what they want to do about this.

There is a pedagogic sequence buried in the argumentation about literacy practices in the Reflexive domain: students cannot draw on a knowledge of logonomic rules without first being able to see any text as a generic construct; cannot give a text more than one reading if they can't already distinguish and respond to the ideal (higher order) axiology projected by the text; and cannot relativize its discourses if they can't name the abstraction embodied in the narrative in the first place. In the final part of this chapter, I draw out some of the pedagogic 'lessons' of the current model of con[textual] practices in junior secondary English.

6.4 Implications for literacy pedagogy in junior secondary English

There are three aspects to consider when it comes to a literacy pedagogy based on the current study: **how to encompass the heterogeneity** of our students' differing intertextualities and build this understanding into our teaching; **how to intervene** in our students' literacy learning so as to enhance their ability to participate in the practices of each domain; and, finally, **how to develop a text rhetoric** which will enable us to teach literacy within a discipline which represents itself as largely 'contentless'. Pedagogic resolution of these problems will require that teachers understand something of the social and linguistic diversity of their classroom populations, that they actively initiate

students into the literacy requirements of the hybrid discipline of English and that they be equipped with a 'metadiscourse' by which they can model these requirements. Development of such a metadiscourse calls for a richer characterization of the functional language model than has currently been offered to teachers. It calls for an elaboration of a text-semantic perspective on literacy practices. I will deal with each aspect briefly in turn.

6. 4. 1 Encompassing heterogeneity

The preceding chapters argued that students often bring different intertextualities to their engagement with any text from those which their teachers (implicitly) solicit. English teachers often have fundamentally different views of the meanings 'at risk' in any classroom interaction from those of their students. There will always be a possibility of more than one reading of a context and more than one voice to be heard in this regard. Sometimes there will be considerable overlap between teacher and students when it comes to contextualization. At other times, and in other sites, far less of the meaning potential of the discipline will be shared between teacher and students. Successful students will tend to characterize the register of a 'learning situation' in similar ways to their teachers. Less successful students will characterize it differently and, here, the registers will become more or less 'bifurcated'. Orders of relevance, like interpretations of register, are very much a factor of institutional *valeur*, especially when it comes to schooling. Which contextual practices are privileged is as much a matter of who has the power to impose salience as it is of whose views are 'in play' at the time.

A student's orientation to the meaning-requirements of any situation type will affect his or her intertextuality, and this will influence perceptions of relevance. It is very difficult to model orders of relevance without either falling into simplistic and reductive generalizations or becoming hopelessly mired in indeterminacies. However, it is possible to view students' intertextualities as both manifold and constrained. And while it is not possible to encompass the full diversity of their intertextualities (influenced as these are by vectors of class, gender, ethnicity, family position, etc.), teachers do need social-semiotic criteria by which to inter-relate their generic (in the sense of common) features. It is the major commonalities within and major differences between students' intertextualities that have been in focus in the present study.

The contextual framework outlined in chapter three proposed that students' intertextualities can be related to one or more of four contextual domains: the Everyday, the Applied, the Theoretical and the Reflexive. In an ideal experience of schooling, all students would be enabled to exploit the semiotic possibilities of each domain in personally and culturally empowering ways. However, the reality for many is that they are often stranded in the practices of one, (the Everyday) and, less often, of another domain (the Applied), without gaining access to those of the others (the Theoretical and the Reflexive). Thus, while all students 'occupy' a culturally specific 'everyday', which informs their primary orientation to learning, only a proportion of the school population comes to 'occupy' and speak or write 'out of' the meaning potential of other domains. It appears that working or welfare-class or ethnically-disadvantaged students are particularly vulnerable when it comes to gaining control of specialized and critical literacy practices, which become implicitly available to other students as a result of contingencies of individual capacity, mother tongue, social location, and other, extra-educational factors.

The discipline of English plays a crucial 'gate-keeping' role here. The intertextuality privileged in its examination practices is all but invisible to students whose coding orientation does not already advantage them when it comes to examination English. And the implicitness of school English as a discipline is only intensified by the apparent open-endedness and inclusiveness of its examination questions. An invitation to personal responsiveness in the reading section of the NSW English Reference Test attracts penalties which many students are led to believe will attract rewards. The combination of inclusiveness in examination questions and exclusiveness in responses to examination answers doubles the disadvantage underscoring the 'mendacity' of documents like *English 7-10* for students who find it difficult enough to discern requirements much less realize them.

Educators need ways of encompassing and modelling the heterogeneous starting-points of students when it comes to school English and relating these to possible end-points of enculturation in the discipline (its requirements as well as its potential). The contextual model assumes that these can be interrelated within the same framework, such that one classroom's starting-point might well be another's end-point. On some occasions, for some purposes, students may be asked to or may decide to explore the semiotic practices of the Everyday from the point of

view of the Reflexive domain. Or they may study the practices of the Applied from the point of view of the Reflexive domain. Of course, deconstructing the practices of different domains requires a high level of familiarity with the assumptions and principles on which the domain constitutes its own speciality and a high level of sophistication on the part of students. The point here is that the model does not shut students off from exploration of the grounds of their own initiation into the discipline. Heterogeneity is central to both starting and end-points.

In other words, the model can be thought of as a means of learning more about what students can already do and what they need to do later. If each contextual domain is a kind of theoretical space in which some meanings are more salient than others (if we attach imaginary probabilities to these patterns of salience), then we can learn a lot about where our students 'are at' on the basis of the kinds of talking and writing they do in these spaces. This brings us back to the matter of **metaredundancy**. Students' texts communicate information about their contextual practices - about the kinds of intertextuality they favour, or are limited to, in different situations. None of this is new really. What the current study proposes is that teachers consciously exploit the potential of metaredundancy to learn about which practices their students already engage in and which ones they find difficult.

The same reflexivity in the relation between contexts and texts can be applied to planning and assessment. English teachers often anticipate intuitively the kinds of learning difficulties which their students will face entering new 'semiotic territory'. But they can reflect on these more consciously if they have a contextual framework which enables them to do so - to look forward in time and to design strategies by which they can more effectively mediate learning for their students. For example, they can ask themselves questions like: What will be the significant challenges for my students in this unit of work? How do I establish what they can already do, what starting assumptions they bring to the unit? How can I 'frame' this new work so that they are able to draw on the 'given' in their engagement with the 'new'?

If we consider the categories of **field**, **tenor**, **mode** and **genre** from the point of view of **planning**, we can also systematize the '**look forward**' methodology. This demands more of us than an articulation of the subject matter (or topic) of study. It requires that we consider the nature of the **fields** we want our students to engage with (the different construals they will make of the subject matter in the course of the unit).

Tenor considerations also require more than a list of the kinds of 'audiences' we want students to write for. We need to consider the kinds of role relationships and value-orientations we want them to take up. And the same applies to forward planning with respect to **mode** and genre considerations. Identifying target genres and finding labelled examples of these will not suffice in developing particular orientations to meaning in our students. They need to know which kinds of orientation 'count' in which domains and how they can engage with and produce the relevant text types (or resist these, or 'spooof' them, as the need arises).

Assessment of one's own classroom practices involves a 'look back' perspective. Teachers can ask themselves: Which contextual domain have I been 'in' semiotically speaking today/over the last few days or weeks? Which domain(s) have my students been in? Are the two territories very different, and if so, in what ways? Do I need to 'shunt' between one domain and another in order to mediate the subject more effectively for students? How can I do this next time?

More systematically, teachers can consider their practices along each of the contextual dimensions. For example, they can ask themselves: Do I need to spend more time on building up specialized knowledge of the **field** (the structure or layout of particular genres, the ways in which they draw on the potential of the system, and so on)? Do students need more assistance with the roles and relationships relevant to the **tenor** of study at this point? Do they need explicit instruction about the semiosis of its **modes** and **genres**, implicit guidance through shared activity or more time working independently? This brings us to the second issue for pedagogic reflection.

6. 4. 2 Intervening in students' literacy learning

Many of the English teachers with whom I have talked and worked have an 'activity-oriented' rather than a 'knowledge-base' view of their subject. They emphasize the importance of 'learning by doing' and all of them, even those who have adopted aspects of the genre-based approach to literacy, prefer to work implicitly. In all the classrooms I have visited, I have never seen an English teacher adopt an explicitly instructional role in front of the whole class. The most common strategy when it comes to reading is to elicit responses that the teacher then 'works with' in some way. When it comes to writing, teachers usually

'set up' an activity and move around the classroom between groups or individuals targeting their 'input' to particular needs and questions.

The current study challenges this practice in that it foregrounds the 'knowledge base' rather than the 'activity-orientation' of English. Without denying the importance of students' practice of the four 'macro-skills' (reading, writing, speaking and listening), it asks English teachers to think more carefully about what they are mediating as they talk to and work with their students. It assumes that teachers are disabled without a strong sense of the demands and possibilities of the discipline when it comes to intervention in their students' development of literacy practices.

In order to characterize the goals of learning in semiotic terms, English teachers need to consider not only what they teach but the rationale behind this. As one teacher put it recently, "This approach forces us to explain not only what our students are doing right or wrong but why it's right or wrong". This entails a high degree of self consciousness (reflexivity) on the part of teachers. It asks them to reflect on their classroom practices in the light of the demands and the possibilities of the subject (rather than on the subjectivities of the students in their struggle with it).

However, as discussion in chapters 1 and 3 made clear, the subject is not all of a piece, is not coherent within itself. If we delimit its demands and possibilities along lines suggested earlier, across four major contextual domains, then English teachers are faced with a question such as: How can I make more visible the literacy demands and possibilities of English across four domains ? Finding answers to this question pushes the English teacher up against the discipline itself in its different manifestations (pedagogic, curricular and evaluative). S/he needs to consider the local environment of the individual classroom, and the needs and starting points of a particular group of students. And then there is the backdrop of the curriculum itself as it is realized in the general curriculum guidelines produced by state bodies and the particular documents produced by members of the faculty itself. And, finally, there is the more global environment of state education as an institution with its statutory requirements and assessment procedures and their power to influence the long term fates of all students.

The notion of 'privileging rules' becomes important once we remember that not all sites are equal when it comes to state-run examinations. The disparity between the voices of curriculum and

evaluation is never more obvious than in the contradictions between what examiners appear to call for and what they value in the NSW Reference Test. This takes us beyond the issue of encompassing heterogeneity and becomes one of modelling hidden orders of relevance. A new question presents itself for consideration: How can I make visible the discourse hierarchies of English in situations that mask these ?

Intervening in students' literacy development so as to enhance their ability to perform well in examinations like the Reference Test requires that we be 'up front' about which orders of meaning are privileged in these situation types. Integrating Bernstein's notion of 'recognition' and 'realization rules' into the knowledge base of the discipline is one strategy for doing this. But a further step is required if we are to make Bernstein's notions rhetorically useful for English teachers.

In this study, the category of **register** has been pushed in the direction of an interface with **recognition rules** - the interpretative requirements of a context. Register names the meaning potential which is made pre-eminent in a situation type and the discourse hierarchies reflect this dominance in metafunctionally diverse ways. For example, the register 'at risk' in students' reading of any narrative in the Reference Test situation privileges the 'higher order' meanings of the examination text (its problematic, axiology and global structure) over its 'lower order' meanings (event structure, its evaluative voices and its local structures).

The category of **genre**, on the other hand, interfaces with **realization rules** - the production requirements of a situation type. It can be used to identify the response types produced by students in their interpretation of a primary text, in this study, of narrative. Successful students not only know which meanings are 'in play' in a situation type such as the Reading task of the Reference Test; they know which text type to produce as consequence of this. They realize the invisible requirements of the situation by producing a text which draws on either the Leavisite or New-Critical rhetoric, or some combination of these.

Semioticizing requirements invites contemplation of the hidden curriculum of junior secondary English and an eventual decision about what to do as a consequence. Do we 'teach to' the test in the junior secondary years ? If so, how much emphasis should be given to this ? What about the balance between this kind of enculturation into problematic models of literary interpretation and more personally satisfying forms of engagement with texts from a diverse literary ~~and~~ popular cultural 'heritage' ? What kind of emphasis should we give to

literary as opposed to media literacy ? And, what kind of relation can/should we forge between inculcation into Leavisite and New-Critical paradigms and more critical perspectives and engagements with texts ?

Finding answers to such questions coerces English teachers into far greater explicitness and reflexiveness in their planning, pedagogy and assessment than I have observed that they are comfortable with. Furthermore, even though it attempts to incorporate the four models of literacy in English, as these were articulated by Christie et al (1991), including the 'growth' model, the current study is really 'at odds with' much of the 'received wisdom' of the discipline and its pedagogies.

Bernstein contrasts what he calls the 'strong grammars' of disciplines like linguistics and economics with the 'weak grammars' of disciplines like English and sociology. The former are "based on explicit, formally articulated concepts, relations and procedures, ... whereas in the latter discourses (with weak grammar), concepts, relations and procedures are much less formally articulated" (Bernstein, 1996: 174). The current study attempts to render the speciality of English (as this is embodied in its examination practices) in explicit and strongly classified terms, and, by implication, to make its pedagogic practices more visible. But this rhetorical emphasis puts it in contention with the covert assumptions and practice of many of the purveyors of the discipline.

Ian Hunter has observed a central polarity in the struggles between 'neo-rhetorical' pedagogies based on Halliday's functional model of language and the pedagogies associated with what he calls 'progressive pastoralism'.

At one end we find a position that continues to privilege literature (or language conceived in an aesthetic manner); extols desire and pleasure over skills and competences; and tends to view English in broadly oppositional terms as a critique of a variety of 'repressive' institutions (capitalism, patriarchy, consumerism, the state). If we call this position 'aesthetico-critical' it is not to identify it with literature teaching in the narrow sense; it is to capture its view of language and literacy as vehicles for an emancipatory development of human capacities and hence as critical in relation to (what is regarded as) the repressive formation of capacities for limited vocational or social purposes.

... At the other pole we can station a program for English that is oriented to language rather than literature and is less concerned with fostering an emancipatory reflexivity than with training students in a diverse range of literate 'genres'. In its official form this tendency is formulated in the language of Hallidayan sociolinguistics. And in this form it has recently enjoyed a degree of success in transforming the secondary English curriculum by expanding and theorising the range

of genres; advocating a more explicit and skills-oriented mode of instruction; and re-admitting the relation between competence in specific literate abilities and the occupancy of a range of civic and occupational capacities beyond the school. In all of these regards the 'linguistic turn' is a rediscovery of rhetoric - the traditional source of prestigious and powerful linguistic abilities in middle-class 'grammar schools', but now resurfacing in the state system in a revamped and theorised form.

[Hunter, 1994,a: 11-12]

It may well be, as Hunter asserts, that application and extension of Hallidayan sociolinguistics involves contention with the pedagogies associated with both 'personal growth' and 'critical literacy'. The current study, however, attempts to 'semiotize' the orders of relevance privileged in each domain, to include them within the overarching discipline of English but to render them more open to scrutiny and hopefully to participation for students whose orientations would otherwise exclude them.

Characterizing learning goals in semiotic terms - by drawing on the categories of field, tenor, mode and genre (or other relevant categories) - makes the contextual model a 'pedagocentric' one in some respects. It tends to privilege the registers of the third domain especially when it comes to the examination requirements of English. However, it is also important to construe the learning context so as to allow for more than one contextual reading if teachers are to assist students whose interpretation of the classroom language diverges in significant ways from their own. They need a model of context which not only enables them to sense when the students are assigning an unproductive register to the classroom context but also to imagine what effect this is having on their ability to participate in learning. We need, in short, to consider a learning context from more than one point of view and to build into it not just the pedagogic view of the teacher and what is to be taught but that of the learner and how this relates to what is already learnt.

But we also need to see the possibilities of the context - the meanings which are made at the margins of society and which challenge the hegemony of either commonsense or discipline knowledge. Opposing the 'neo-rhetorical' paradigm associated with the functional language model to the 'aesthetico-critical' is not productive if we are to relate the dominant voices within English (like the Leavisite and New-Critical voices) to the 'yet to be voiced' (like post-structuralist voices available within critical social theory).

Table 6.3 highlights the possible focus of learning activities in each domain from the point of view of three types of meaning.

Domains	Everyday	Applied	Theoretical	Reflexive
Textual meanings	local: extrinsic	global: extrinsic and intrinsic	global: intrinsic	logonomic extrinsic
Learning activities	processing phases of a text	identifying the kind of semiosis embodied in a text	reconstituting the semiosis of a text	resisting semiosis or exploiting its possibilities
Interpersonal meanings	personal reactions	text voices	axiology	heteroglossia
Learning activities	responding to meanings & voices	interpreting prosodies and evaluative meanings	recognizing and recreating the values of the text	dialoguing with possible readings and value positions
Experiential meanings	salient experience	generalized content	abstract thesis	ideology
Learning activities	making the text personally salient	drawing inferences based on a text	naming the abstraction embodied in a text	exploring competing discourses

Table 6.3: Learning activities relevant to each domain

This brings me to the final issue for reflection: how to draw on the resources of SFL in the development of a text rhetoric for English.

6. 4. 3 Developing a text rhetoric for school English

SFL is a grammar of English which focusses most fully on the English clause. And, in most recent years, it is the lexicogrammar which has received most attention in recontextualizations of SFL for literacy education (see, for example, Williams 1993). But it is important to distinguish, as Halliday does, between grammar and 'grammatics' (Halliday, 1996). While the grammar of a natural language is largely ineffable until it is illuminated by some grammatical metalanguage, a 'grammatics' can turn the categories and distinctions recognized within a language to 'other' purposes.

It is possible to view SFL as a resource for design of a rhetorical 'tool kit' adapted for use across the different domains of English. But development of such an apparatus means complementing

the strongly classified typological distinctions of the lexicogrammar and the system network with more weakly classified, topological frameworks, which draw on SFL as motifs for interpreting texts (a register focus) and as design principles for producing them (a genre focus). Both perspectives can be/should be metafunctionally differentiated.

Finally, the study problematizes Hunter's separation of the aesthetic-critical and the neo-rhetorical. This chapter provides the beginnings of a reconciliation of the critical and rhetorical because it demonstrates the rhetorical basis of critical literacy practices. By making some aspects of these practices visible it suggests that both critical and specialized literacy practices in English can be made available to all students - can be taught. This study represents only the beginning of an adequate account of the current practices and potential of English. Further classroom research is necessary if we are to develop a deeper understanding of this heterogeneous discipline and ways of making it more accessible for all students.

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