TEXT BOUND INTO

THE SPINE

ASPECTS OF THEME AND THEIR ROLE IN WORKPLACE TEXTS

GAIL FOREY
MAY 2002

DOCTOR OF PHILOSOPHY

DEPARTMENT OF ENGLISH LANGUAGE
FACULTY OF ARTS
UNIVERSITY OF GLASGOW

ASPECTS OF THEME AND THEIR ROLE IN WORKPLACE TEXTS

GAIL FOREY

ABSTRACT

English is fast becoming the recognised language for research and business. For many in the workplace, English is seen as an important element, both at a personal and institutional level, leading to success in business. Many believe that the available pedagogic workplace material does not accurately reflect the language used in the workplace. There is a call for more research into the language of the workplace, research which can inform pedagogy. In response to this identified need, the present study investigates specific linguistic features found in written English workplace texts.

The study adopts a systemic functional linguistic perspective and focuses on an analysis of Theme in three workplace text types: memos, letters and reports. The aim of the study is to investigate the function performed by Theme in these texts. The study diverges from Halliday's identification of Theme and argues that the Subject is an obligatory part of Theme. In examining the function Theme performs, specific features such as the relationship between Theme and genre and between Theme and interpersonal meaning are explored. The study investigates the linguistic realisations in the texts which help understand the way in which the choice of Theme is related to, and perhaps constrained by, the genre. In addition, the linguistic resources used by the writer to construe interpersonal meanings through their choice of Theme are explored.

The study investigates Theme from two distinct positions. Firstly a lexico-grammatical analysis of thematic choices in the texts is undertaken. Secondly, the study draws upon informant interpretations and considers the way in which certain thematic choices construe different meanings for different types of reader. The methodology adopted is twofold: an analysis of Theme in a corpus of authentic workplace texts comprised of 30 memos, 22 letters and 10 reports; and an analysis of informant interpretations drawn from focus group interviews with 12 business people and 15 EFL teachers. In both sets of data, Theme is scrutinised with respect to textual, interpersonal, topical and marked Themes and the meanings construed through such choices.

The findings show that Theme plays an important role in organising the text, as well as in realising ideational and interpersonal meaning. In particular the findings demonstrate that marked Theme, or the term adopted in the present study 'extended Theme', performs a crucial role in representing the workplace as a depersonalised, material world. In addition, the choice of Subject and extended Theme, realised by projection, are seen to play an important role in construing interpersonal meaning.

The findings from the research uncover some of the functions Theme performs in workplace memos, letters and reports. The understandings reached related to Theme and thematic choices within the workplace genres could be used to inform and improve the pedagogy of writing in the workplace.

Key words: Theme, text, text type, genre, workplace, language and meaning.

ACKNOWLEDGEMENTS

My heartfelt thanks go to Florence Davies, my good friend and supervisor. Flo, you have been an inspiration, questioning and challenging in an encouraging manner the work I have undertaken. I would never have considered embarking on a Ph.D., but for Flo's encouragement and motivation. Thank you for leading me to academic and personal levels of achievement. Thank you for your support and friendship and also, my thanks to you and Graeme for the hospitality you both so kindly, thoughtfully and generously provided. I think I've been very fortunate!

I have benefited hugely from the friends who have helped me through my studies and throughout my life. People who you can share thoughts and concerns with are a vital support when putting together a piece of work such as this. Two colleagues who have motivated me greatly are Sue Hood and Sima Sengupta without whom life at work wouldn't have been nearly as much fun. Sue's insight and generosity in helping with and discussing the study and the analysis, as well as reading draft after draft, has been amazing. Sima Sengupta is an inspiring force to work with and a great friend, and has also read and given insightful comments on a number of drafts. Sima has been there to keep me in check, encourage and support me. Thank you both.

I am extremely grateful to Kathy Leung, who has checked, advised and helped with formatting and calculations; to Guenter Plum and Megan Fisher who both read complete drafts and gave me critical, thoughtful and provoking comments on my work; and to Nicholas Sampson, Paul Watkins, Catherine Diamantides and Eleanor Paton, who all proof read chapters and offered some useful comments. I owe you big time! Also thanks to Ronnie, a friend, who has continually been there; and Tess who has lovingly taken care of our two daughters and given me the opportunity to work on my thesis knowing that they are in safe and loving hands. Thank you for your support!

Acknowledgements to Florence Davies, Director of the Effective Writing for Management project, at Bristol University, September 1994-1995, and David Nunan, the Director of the Communication in the Professional Workplace project at the English Language Centre, University of Hong Kong, for allowing me to use data from these two projects. Also, thank you to all the business people and teachers who participated in both these projects and in the focus group interviews in the present study.

My warmest thoughts and thanks go to my family - my parents, who have remained a constant source of encouragement, and my sisters Kim and Jane, and brothers Steve and Mark, who are always there, whenever you need them.

The friendship, support and love of my husband has helped me throughout the years. Thank you, Mark, for being so patient, and for not complaining when I spent all those evenings at the computer. And my final thanks go to our two gorgeous daughters Erin and Pia, who were born during the time of my studies. This is for you!

CONTENTS

List of Appendices

List of Tables

List of Figures

ASPECTS OF THEME AND THEIR ROLE IN WORKPLACE TEXTS

GAIL FOREY

MAY 2002

DOCTOR OF PHILOSOPHY

DEPARTMENT OF ENGLISH LANGUAGE
FACULTY OF ARTS
UNIVERSITY OF GLASGOW

Chapter 1:
Introduction

In recent years there has been an increasing acknowledgement that English is the lingua franca of international research and business. As pointed out by Scollon and Scollon,

> When Chinese from Hong Kong do business in Japan, many aspects of communication take place in English. When Koreans open an industrial complex in Saudi Arabia, again, English is generally the language in which business is transacted.
>
> (Scollon and Scollon, 1995:4)

Phillipson (1992), Scollon and Scollon (1995) and Pennycook (1998) among others have documented the extent and influence of the English language throughout the world. For many in the workplace, English is seen as an important element for conducting successful business (Charles and Charles, 1999; Davies et al., 1999; Forey and Nunan, 2002, among others). In Hong Kong, from where some of the data in the present study were drawn, the competitiveness of the business community depends greatly on the quality of its professionals and their ability to communicate within the global economy. Improvement in the quality of communication, and in particular raising the standard of English within the business world, is viewed as being one of the main factors which will help to maintain and enhance Hong Kong's status as an international finance centre. The Government of Hong Kong and educationalists have been involved in making recommendations related to raising the standard of English. For example, the Education Commission Report No. 6 (Education Commission, 1995) recommends that employers should be encouraged to develop suitable language programmes for their employees; that language courses should be made more widely available; and that the Government should work closely with employers and educationalists to raise awareness of language proficiency issues and develop programmes which enhance language proficiency.

1.1 The language of the workplace from an educational perspective

While efforts are made in many countries to provide language training for employees, there have also been many calls from government and educationalists in countries such as the United Kingdom and Australia for the language of the workplace to be better integrated into mainstream English language pedagogy in schools and universities. The calls for better

English language resources to aid the teaching of genres related to the workplace have been voiced by those involved in primary, secondary and tertiary education (Martin, 1985/89, 1997; Carter, 1990; Berry, 1995, 1996; Alexander, 1999). For example, Berry (1995), echoing Martin's (1985/89) concern, suggests that what is needed in schools is improved access to "a range of different modes of speaking and writing", i.e. different genres (1995:55). In addition, in the tertiary sector there has been an increasing demand for business English courses by both undergraduate and postgraduate students from a range of different disciplines. Alexander (1999), carrying out research in Europe, points out that the provision of business English courses has proliferated. He adds that students attending business English courses "appreciate the value that is added to their qualifications on the job market by possessing a widely validated certificate in BE [Business English]" (Alexander, 1999:3).

Many EFL (English as a Foreign Language) professionals, like the researcher herself, are involved in English language training related to the workplace. Teaching business English is an integral part of the researcher's role, and forms a large part of the researcher's undergraduate and postgraduate work with students at the Hong Kong Polytechnic University (PolyU). At the institution where the researcher works, students from all disciplines are required to take a course in their second year entitled 'English in the Workplace' provided by the English Language Centre. There is also an optional course 'English for Professional Purposes' in the third year. Both courses focus on workplace texts, such as business letters, memos, reports, meetings and job interviews. The demand for business English courses is also evidenced by the large number of both public and private sector courses for workplace English training. At PolyU, for example, there is a 'Centre for Professional and Business English', which is a self-funded division wholly established to provide English language support for the workforce. Workplace English language teaching is further supported by The British Council, which in Hong Kong has a department dedicated solely to the provision of workplace English language training. A large number of smaller businesses and independent consultants also provide language support and training in Hong Kong.

This brief picture of workplace English and its place within the wider community of Hong Kong is probably applicable to many other countries where English, despite not being the mother tongue, is used in the workplace. And in many countries where English is

the mother tongue, educationalists have expressed the need for genres reflecting workplace practices to be incorporated into mainstream education (Berry, 1995, 1996; Davies, 1997; Martin and Christie, 1997; Martin, 2002; etc.). In recent years, within the field of applied linguistics, there has been an increasing number of studies related to workplace English. However, as St John (1996), Swales (2000) and Hewings (2002) point out, the existing body of knowledge is still rather limited compared to many other well-researched applied linguistic areas of study. Although there has been an increase in research related to workplace English, as outlined in Chapter Two, there is still a need for further research to be undertaken. For all involved in workplace language education and training, research into the language of the workplace is an essential requirement for the enhancement of pedagogic resources. Furthermore, research into the language of the workplace will also extend applied linguistics knowledge and understanding related to language practices in this environment.

It was in this context that two funded projects were established, one in Bristol, UK, and one in Hong Kong, to carry out research into the language of written English texts in the workplace. The Effective Writing for Management Project (EWM) ran from October 1994 to September 1995, under the direction of Florence Davies, at that time at the University of Bristol, UK (Davies and Forey, 1996). The second project was the Communication in the Workplace Project (CPW), which ran from September 1995 to June 1996, directed by David Nunan at the University of Hong Kong, Hong Kong (Nunan et al., 1996; Nunan and Forey, 1996). The CPW project replicated and complemented a great deal of the research undertaken by the EWM project (Forey and Nunan, 2002:205). It was through participation in these projects that the researcher's interest in this area began.

The goals of the EWM and CPW projects were very similar. At a general level both projects were driven by the motivation to inform and enhance pedagogic material related to the workplace. This general concern was addressed by investigating the principal writing requirements of sample populations of members of the business world (Davies and Forey, 1996; Nunan et al., 1996). At a more specific level, objectives were developed which focussed on the processes involved in writing, the documents produced, and the assessment of the extent and nature of English language training needs within the workplace. The methodological tools used to collect data related to these issues were questionnaires and interviews. Each project yielded an extensive collection of data; much of it, for financial

reasons, at present remains unanalysed. The data collected as part of the EWM project include 202 questionnaire responses, 30 interviews with managers and a corpus of approximately 100,000 words of authentic written workplace texts (Davies and Forey, 1996; although no exact figure for the size of the corpus is presented in the EWM related papers). The CPW data include 1,007 questionnaire responses, 30 interview transcriptions, and a corpus of 20,000 words of authentic written workplace texts (Nunan et al., 1996; Nunan and Forey, 1996). The present study analysed the texts collected during the interviews with the EWM and CPW interviewees. Further details of both projects are provided in Section 4.1.

1.2 The shape and direction of the present study

Like many other applied linguistic studies related to investigating language in the workplace, the primary motivation behind the present research is pedagogic. A secondary motivating force is to extend applied linguistic knowledge in the field of workplace English. The research conducted in the present study extends previous work in the area, by acquiring a better working knowledge of how texts are organised and by investigating the choices a writer makes in constructing their text. In order to improve understanding and investigate the choices made, the context, the text and those involved in using such texts all need to be considered in assessing how meaning is made through linguistic choices. Workplace texts, like all other texts, are constructed in a context, and within that context there are a number of constraints influencing the types of meanings made. The text is constrained and influenced by linguistic choices at the level of interpersonal, textual and ideational meaning (more details related to these meanings, modeled through the interpersonal, textual and ideational 'metafunctions' of Systemic Functional Linguistics (SFL), are presented in Section 2.7). The texts analysed need to identify, represent and reflect the language of the workplace. Finally, the opinions, concerns and views of those involved in producing and using such texts need to be incorporated.

The present study aims to consider contextual factors influencing the construction of workplace texts. A corpus of texts was collected, comprising a selection of memos, letters and reports. These texts are the basis of an investigation which focuses on one particular area of meaning – the textual (Theme and Rheme). Theme, one aspect of textual meaning, is analysed in detail in order to understand the function it performs in written workplace

texts. In addition, users of workplace texts, both those involved in using such texts on a daily basis as part of their work and those involved in using such texts on a daily basis as a pedagogic resource, were approached and their interpretations of a sample of texts were collected. The research question underlying this part of the research was:

1) What function does Theme perform in written workplace texts?

This question is general in nature and in order to respond adequately, more specific questions were developed. The subsequent questions developed could be broadly assigned to two areas of investigation, the first being the relationship between genre and thematic choices. The second area of investigation is related to the relationship between Theme and interpersonal meaning and the questions posed are as follows:

2) What evidence is there that the choice of Theme is genre-related?
3) What linguistic resources are used to realise and construe interpersonal realisations through choice of Theme?

In responding to these aims and objectives certain theoretical concerns such as the definition, identification and range of Theme, including the possible features that can be included as part of Theme, need to be addressed. The linguistic resources used to realise features of interpersonal meaning through the choice of Theme need to be identified. The relationship between Theme and the way in which choice of Theme influences the intended meaning of a text also needs to be considered. In addition, the relationship between the choice of Theme and genre needs to be explored. Another interesting area for investigation is how the meanings made through the thematic choices are interpreted and understood by those who use such texts on a daily basis.

Theme was chosen as the focus of the study because of "its relevance to the moment-by-moment focus of a discourse. Theme is especially pertinent to relating written texts to the contexts in which they were produced" (Brandt, 1986, quoted in Vande Kopple, 1991:341). In addition, Theme is important because, as Martin (2000a) suggests, from a textual perspective Theme is used to 'neutralise' power "by weaving together meanings into an apparently seamless whole in order to position the readers and listeners in particular ways" (Martin, 2000a:285). Iedema (1995:40) adds that not only does Theme choice neutralise power, it also explicitly marks the hierarchy in relation to "control in personalised and particulate situations". The present study, through reference to authentic data, analyses how the interpersonal is realised through the linguistic choice of Theme.

The present research, therefore, sets out to conduct a detailed analysis of selected written workplace texts in order to make explicit the language choices realised to make meaning through the choice of Theme. The starting point for linguistic analysis in the present study is that a text's meaning is instantiated in its wording, and the study analyses the meanings made from a lexico-grammatical perspective. Meanings construed through the choice of Theme are examined by conducting a Theme analysis of a small corpus of authentic work-place texts and informant interpretations of such texts. Barbara et al. (1996), Davies et al. (1999) and Forey and Nunan (2002) establish through empirical research the common occurrence of memos, letters and reports in the business world. In recent years, memos may have been replaced in a number of instances by e-mails. However, in many workplace environments written hard copies of memos are still required. In addition, the text of an e-mail may be very similar to a memo. The relationship between memos and e-mails is discussed in greater detail in Chapter Two. Memos, letters and reports comprise the present corpus. A total of 62 texts, comprising 1,486 independent clauses, are analysed for their thematic choices. Further details of the corpus are outlined in Section 4.3.

In conducting a linguistic analysis of text, the present study adopts a Systemic Functional Linguistics (SFL) framework. The SFL theory of language has been chosen as this view of language permits the analyst to go beyond the structure of the sentence. SFL offers a theory of language where critical features of the discourse can be discussed in relation to the linguistic realisations within and above the clause. As suggested by Martin (2000a), SFL provides

> a technical language for talking about language – to make it possible to look very closely at meaning, to be explicit and precise in terms that can be shared by others and to engage in quantitative analysis where this is appropriate.
>
> (Martin, 2000a:275)

The meaning of the clause, and in particular one aspect of the clause, that of its Theme, is analysed and discussed in detail.

A comprehensive picture of language and meaning will not be achieved purely through text analysis. As Poynton (1993) argues, in order to understand the semiotic nature of text the researcher needs to go beyond the text. With this in mind, the present study not only carries out an analysis of texts at a lexico-grammatical level, it also draws upon the

opinions and interpretations of informants, viz. the users of such texts, regarding a selected sample of texts.

One of the preliminary tasks in the present study was to investigate the extent of research already undertaken which focuses on the language of written workplace English, and in particular research related to Theme choices in such texts. Research related to English in the workplace, and the different approaches used in studying workplace texts, such as English for Specific Purposes (ESP) and Systemic Functional Linguistics (SFL), are reviewed in Chapter Two. Theoretical issues related to Theme are discussed in Chapter Three. The primary aim of reviewing the theoretical discussions related to Theme is to establish the most appropriate method for defining and identifying Theme. A major consideration in the identification of Theme is where to draw the boundary between Theme and Rheme. The boundary of Theme, and the constituent elements found in Theme, are also presented in Chapter Three. Once the concerns and issues related to the theoretical foundations of Theme were addressed and the procedures for the data analysis were established, the study could continue along the research path.

The research initially adopted a quantitative analysis of Theme in the corpus. The patterns and functions of Theme were analysed with respect to the three different text types, memos, letters and reports. The emerging findings from this analysis helped to narrow the focus of the research and eventually the study took on a more qualitative approach by applying and interpreting the quantitative findings with reference to single texts. Finally, after analysing and interpreting the texts at a lexico-grammatical level, an additional methodological tool was employed and data were sought in order to understand the way in which language and meanings were interpreted from an insider's perspective. Informants, viz. insiders who use such texts on a daily basis, were involved in reading a selected sample of texts and their interpretations of these texts were elicited. These interpretations assisted the study in the validation and triangulation, by presenting new information and interpretations of Theme choices in workplace texts. The data collected provided support for the findings and assumptions reached through the earlier text analysis and by drawing attention back to informants' judgements, i.e. to those who produce, receive and work with such written texts. Thus in describing the research, the ensuing methodology is presented in two phases. Chapter Four discusses the methodology and texts

from a lexico-grammatical perspective and Chapter Seven from an informant interpretation perspective.

1.3 The principal findings of the present study

The principal findings of the present study are both theoretical and applied. The present study argues with reference to other research in the area that the boundary of Theme should be extended to include the Subject of the independent clause. In addition, the present study found the need to develop terms and labels which could be applied in order to discuss the type of marked Theme realised in the corpus. The study argues that the term 'extended Theme' should be adopted to include a dependent clause or other ideational (topical) material which precedes the Subject of an independent clause.

The principal finding is that Theme plays a key role in developing the interpersonal meaning of a text. The choice of Theme will affect the interpretation of meaning in any given text. The constituent features of Theme, i.e. textual, interpersonal and topical Theme, and the finer distinction between topical Theme and Subject of the main clause, along with marked Theme choices, construe potentially different meanings. The findings suggest that marked Theme (discussed as part of an extended Theme) is a feature frequently found in Theme position in workplace texts. Extended Themes are seen to play an important role in construing writer viewpoint and in helping the writer to organise the message. In addition, the patterns and functions of Theme identified in the present study corroborate the position put forward by Davies (1988, 1994, 1997) and Fries (1995a), who argue that Theme is related to genre and that the genre of a text influences the text's choice of Theme. The analysis of the choice of Subject/Theme is used to illustrate this particular point.

Moreover, a key finding in the present study is that authentic users of texts should be involved in the research process. Thus, informant judgements and opinions related to how the multiple meanings in a text construe the message should be incorporated as a standard text analysis research model.

1.4 The structure of the thesis

This thesis presents a detailed analysis of the function performed by Theme in workplace written English through an analysis of Theme in a corpus of memos, letters and reports, and an analysis of interview data where business and teacher informants offer their inter-

pretations of two sample texts. In presenting the analysis and arguments the study is organised as follows:

A brief picture of the extent of research into workplace language, and in particular the choice of Theme, in written workplace texts is presented in Chapter Two. Differences between distinguishable approaches used to study workplace texts such as ESP and SFL are outlined. The rationale for and benefits in selecting SFL as a model of language on which to base a study are presented and SFL research related to the workplace is reviewed.

An in-depth analysis of Theme, with a focus on the definition and identification of Theme, is provided in Chapter Three. Issues related to where the boundary of Theme should be drawn are reviewed and the position adopted within the present research is delineated. The unit of analysis adopted within the present study is given. The constituent elements of Theme, i.e. textual, interpersonal and topical Theme, are discussed as well as marked Theme and Subject/Theme. Within the choice of marked Theme a distinction is made between Themes being realised by Complements, Circumstantial Adjuncts, hypotactic enhancing clauses and projecting clauses. These structures are also introduced in Chapter Three.

The first of two methodological tools adopted in the present study to collect data is introduced in Chapter Four. The research paradigm within which the present study is situated, the background to the study, the procedure for collecting data for subsequent text analysis, the development of a corpus, the analytical systems developed to analyse the corpus, and the verification of one particular analytical system are discussed in Chapter Three. Finally, in this chapter, the needs and reasons for including multiple research methods are presented.

The findings related to textual, interpersonal and topical Themes in the corpus of memos, letters and reports are outlined in Chapter Five. In addition, it is argued that the choice of nominal group realising the topical Theme of the main clause (Subject/Theme) is an important feature and can be used to encode writer viewpoint. This chapter also situates the importance and relevance of marked Theme, demonstrating that over one third of all independent clauses in the corpus have a marked Theme. The type and function of marked Theme, i.e. whether realised by a Circumstantial Adjunct or a hypotactic enhancing clause preceding the Subject, are analysed and discussed.

Projecting Theme is discussed in detail in Chapter Six. The present study posits three categories which can be used to discuss the projecting Themes found in the corpus. It is argued that the realisations construed through a projecting Theme are interpersonal in nature. Moreover, projecting Theme is seen to construe the status, identity, power and viewpoint of the writer.

The second methodological tool used in the present study is presented in Chapter Seven. It argues that the inclusion of informant interpretations is an essential component of applied linguistic research. The present study contends that there is a need to include multiple perspectives in all research. Informant interpretations enhance the present study by validating and triangulating the other forms of research. The procedures and considerations involved in conducting informant interviews are delineated. The text used to stimulate a discussion, the participants in the informant interviews and the process involved in the interviews are described.

The findings from the informant interviews, in a more qualitative approach, are examined in Chapter Eight. The meanings construed, from the informants' perspective, through the choice of Theme in two selected texts are discussed in detail. The findings from this part of the study reveal that there is a difference in how business and teacher informants view the way in which meaning is made in the two texts.

A conclusion and summary of the key findings are presented in Chapter Nine. Conclusions are drawn and the implications of the study are discussed. In addition, suggestions for future research in the area are also made.

Chapter 2:
Research into the language of workplace English

In recent years, research into the language of workplace English has increased in quantity such that it is becoming an established and important area of applied linguistics. Swales (2000:65) observes that there has been a growth in research activity in workplace English over the last 15 years. Hewings (2002:209) demonstrates this growth with reference to the increasing number of business English articles published in the 'English for Specific Purposes Journal', one of the principal journals in the general field of workplace English and English for Academic Purposes (EAP). A major impetus for this research is the widely perceived need to develop materials for teaching which are based on authentic texts of the workplace. The pedagogic application research is noted by St John (1996), who argues that the field of business English has been under-researched and that there is insufficient research both to define and demarcate it satisfactorily and to underpin course design and teaching materials. The motivation for the present study is to conduct research into work-place English which will, hopefully, at a later stage, underpin course design and material.

The data for the study are thus a sample of authentic texts drawn from two previous projects concerned with analysing the language of the workplace – the Effective Writing for Management (EWM) project based at Bristol University (Davies and Forey, 1996; Davies et al., 1999) and the Communication in the Professional Workplace (CPW) project based at the English Language Centre, University of Hong Kong, Hong Kong (Nunan et al., 1996; Forey and Nunan, 2002), both of which aimed, ultimately, to inform and improve teaching materials. Details of both projects and the data used in the present study are presented in Chapter Four.

From the original, and extensive, data, it was necessary to make a selection of texts for analysis. One of the major findings of the EWM project was that certain 'text types' or 'genres' were more frequently used in workplace English than others. This finding provided the basis for the selection of particular texts for analysis in the present study: memos, letters and reports.

In addition to the pedagogic motivation for the study, the evaluation of different theoretical or practical frameworks appropriate for the study was a significant focus.

In the international context of the workplace, the study was also concerned with the effect of culture on workplace use of language.

In what follows, these considerations constitute the basis for the exploration of certain general research questions relating to the research literature on workplace English:

1) In what specific contexts and for what specific purposes has research been undertaken?
2) What specific research into the language of memos, letters and reports has been undertaken to date?
3) In what ways do cultural factors influence language practices in the workplace?
4) What different models of language underpin different approaches to the study of the language of the workplace?

In Section 2.1, an overview of different interpretations of the term 'workplace English' is presented and the key research in this area is introduced. In Section 2.2, two key models of language within the field of workplace English are presented in brief. The different methodological approaches used in the study of workplace English are discussed in Section 2.3. This is followed by a more detailed review of key studies related to different workplace genres, and an outline of the general field of workplace English and the issues to which it has given rise are discussed in Section 2.4. In Section 2.5, research into workplace English which has specifically taken on an assessment of English language needs in various workplace contexts is presented. Section 2.6 is concerned with reviewing the need for further research into workplace English. An overview of Systemic Functional Linguistics (SFL), the model of language adopted, and the justification for adopting a SFL model in the present study are given in Section 2.7. Research into the language of the workplace within the theoretical framework of SFL is reviewed in Section 2.8. Finally, responses to the questions listed above are offered in Section 2.9. The key theoretical issues concerning Theme are presented in detail in Chapter Three. Other theoretical issues, such as grammatical projection, where one clause is used to project meaning, (e.g. *it is said that* is used to project the clause that follows) and the use of informant interpretations of texts, are further elaborated in Chapters Six and Eight respectively. The later theoretical chapters provide explanations of the concepts at the point at which these concepts are applied in the analysis and interpretation.

2.1 Overview

The term 'workplace English' is used to refer to discourse which is also known as 'professional discourse' (Gunnarsson et al., 1997), 'institutional discourse' (Agar, 1985; Ventola, 1990; Drew and Sorjonen, 1997; Iedema, 1997, 1998, 1999, 2000) 'business discourse' (Bargiela-Chiappini and Harris, 1997a); and 'workplace discourse' (Joyce, 1992; Berry 1995, 1996; Willing, 1997). Bargiela-Chiappini and Nickerson (1999) point out that the basic difference between these descriptions is who the participants in the discourse are. They draw a distinction between business, institutional and professional discourse. They suggest that the label 'institutional discourse' is applied to interactions between lay and business people and that 'professional discourse' is often seen to include interactions between professionals and lay people, whereas 'business discourse' is talk and writing between individuals who are in the domain of business and "who come together for the purpose of doing business" (Bargiela-Chiappini and Nickerson, 1999:2). While Bargiela-Chiappini and Nickerson (1999) appear to suggest that distinctions between such terms as business, professional, and institutional discourse can be made, drawing these distinctions is not as straightforward as it at first may seem. For example, Iedema (1995, 1997, 1998, 1999, 2000) refers to the discourse he studies, which is generally discourse between business people for the purpose of doing business, as 'institutional discourse'; Berry (1995, 1996), when referring to 'workplace discourse', covers texts written in "business and industry" (1995:57); and Joyce (1992:1) refers to workplace texts as those reflecting the day-to-day tasks of employees in various workplaces ranging from manufacturing to clerical ones. Berry, although discussing workplace discourse, also includes administrative texts produced in educational institutions in this category. Therefore for many researchers the terms business, professional, institutional and workplace discourse seem to be almost interchangeable. These terms refer to texts which are constructed within a business, a workplace or an institutional environment and which are concerned with matters related to the exchange of goods & services or information within a workplace environment.

The present study is situated in the field of workplace discourse, where the texts at the heart of the study are, on the whole, texts written, produced and intended for communication between people in order to do business. However, in establishing the distinction between the terms 'workplace', 'business', 'institutional' and 'professional', it

seems that the nature of research undertaken is as important as the participants involved in the collection of data in the workplace. The term 'business English', it seems, tends to be used in studies of English texts that are written either by non-native English speakers or of texts that are written in countries where English is not the native language. Furthermore, the model of language used also seems to influence the choice of terminology. Many of those working within the tradition of ESP refer to 'business English' texts, for example Nickerson (1998, 1999) and Charles and Charles (1999), among others. By contrast, in research carried out in countries where English is the native language and where the writers may be either native or non-native speakers of English, there is a tendency for researchers to use the terms 'workplace', 'organisational' or 'institutional', for example Berry (1995, 1996), Iedema (1995, 1997, 1998, 1999, 2000), Stainton (1996) and Martin (1997). Judging by this practice, the term 'business English' appears to be related to a context which is limited to users who are 'doing business'. However, this usage seems to be somewhat restrictive in that it may exclude some texts produced in an organisational or workplace setting. For example, following this definition, the term 'business English' would appear to exclude administrative texts produced in an educational institution or health organisation. Therefore, for the purpose of the present study involving an analysis of texts written by both native and non-native English speakers, the terms 'workplace' and 'institutional' discourse are used synonymously to refer to the texts in this study.

Regardless of the terms used – business, workplace, organisational or institutional English – the driving motivation of most studies in this area is to study authentic texts in order to contribute to an understanding of the way in which the texts work so that this knowledge can be used to inform pedagogy. Many studies emphasise the analysis of authentic texts, and recommend that commercial materials which have been constructed and which bear little resemblance to the real language used in the workplace should be rejected (Williams, 1988; Charles, 1996; Louhiala-Salminen, 1996).

2.2 Models of language and the analysis of workplace texts

There are a number of different models of language which can be adopted for applied linguistic research. One model, and the most relevant model for the present study, is Systemic Functional Linguistics (SFL), for example, Berry (1995, 1996), Davies (1988, 1994, 1997) and Iedema (1995, 1997, 1998, 1999, 2000). Another relevant model which

has generated a great deal of research related to workplace English is that termed English for Specific Purposes (ESP). ESP will be reviewed briefly here, and SFL will be reviewed in detail in Section 2.8. ESP and SFL research into the language of the workplace provide important contextualisations for the current study and a number of studies carried out in these two approaches are reviewed in detail below.

2.2.1 ESP and the study of workplace English

One area which has produced a range of studies related to workplace English is what has been called 'ESP', English for Specific Purposes (Hyon, 1996; Coffin, 2001). Swales (1990), Bhatia, (1993a/b, 1994), Louhiala-Salminen, (1996, 2002), Dudley-Evans (1997), Dudley-Evans and St John (1998), Nickerson (1998) and Feak et al., (2001) are representative of those working in this area. The ESP school has, according to Coffin (2001), focused on the identification of the structure of different genres and has generated educational outcomes mainly for non-native speakers of English.

The focus of those studying from an ESP perspective is that of identifying genres. 'Genre' for ESP practitioners is related to the 'communicative purpose' of a text. The ESP school refer to 'moves' when analysing a genre. For example Swales (1990), a founding member of the ESP tradition, introduced the Create-a-Research Space (CARS) model for writing introductions in academic articles in which he proposes the moves: 'establishing a niche', 'creating a niche', 'occupying a niche', etc. However, the pedagogic aim of the ESP practitioners emphasises communicative purpose and does not necessarily follow a particular theory of language or a particular teaching intervention as proposed by SFL protagonists promoting genre. In sum, it would appear that an ESP perspective is represented by an emphasis on pedagogy and is eclectic in its view of language embracing traditional grammar, SFL and pragmatic strategies, such as 'politeness markers' used in e-mail (Mulholland, 1999). By contrast, SFL is grounded in a theory of language which seeks to explain linguistic choices at discourse, text and clause level. This is supported by a recognised teaching model proposed by Hammond et al., (1992) which is extensively used as a genre-based pedagogy within the Australian SFL context. Issues related to the way in which SFL views and models language are dealt with in detail below. A uniting force for both ESP and SFL is the emphasis on authentic texts.

2.2.2 Workplace English texts: authenticity and corpus linguistics

Research within the field of workplace English has become increasingly committed to the analysis of 'authentic texts' (Stubbs, 1993). The emphasis on authenticity has developed in parallel with the development of corpus linguistics. It is only in the past twenty years, due to the development of computers, that corpus linguistics has come of age. With the development of corpus linguistics and the ability to convert and save a great deal of information in digital format it is now possible to collect, save and have access to a variety of corpora (Sinclair, 1991). A corpus is "a large collection of computer-readable texts, of different text types, which represent spoken and/or written usage" (Stubbs, 2001: 305). Unlike much of the theoretical linguistics in the past which was based on the study of isolated sentences, all corpora studies are based on naturally occurring language. As Stubbs (1996) states:

> New methods and data make it possible to study patterns which are not limited to what an individual can perceive (compare telescopes and microscopes) or remember, and provide new ways of studying the material base of many of society's activities.
>
> (Stubbs, 1996:233)

The findings from this new method, corpus linguistics, can then be used to inform the development of dictionaries, and grammars (Francis et al., 1996, 1998) and eventually it can be incorporated into related pedagogy (McCarthy, 1998; Carter et al., 2000).

A number of commercial corpora are available: the British National Corpus (BNC), a collection of approximately 100 million words; the London-Lund corpus, approximately 500,000 words of various spoken texts; and the Lancaster-Oslo/Bergen (LOB) corpus of approximately 5,700,000 spoken and written texts (Biber et al., 1998:14-5). These corpora, like the Bank of English corpus, are forever increasing in size, with the Bank of English, a corpus developed by Collins Cobuild, now standing at more than 410 million words (Sinclair, 2001).

Sinclair (2001) points out that the relative size of corpora is not so much an issue as the methods applied to analyse the data. Large corpora such as The Bank of English (which can be found at the Collins Cobuild web site) are largely intended to be analysed by computer programs before human interpretation of the findings, whereas small corpora are established with the intention that a human researcher will analyse the corpus in detail early

on in a study (Sinclair, 2001:xi). This distinction would place the present study in the latter type of corpus, involving early human intervention. Smaller corpora tend also to be more specialised in nature and are dedicated to particular text types, for example, Eggins and Slade's (1997) corpus of casual conversations, and Cheng and Warren's (1999) collection of 50 hours of spoken academic discourse. The present study is equal in size to many other specialist small corpora studies. For example, Henry and Roseberry (2001) compared 20 introductions to speakers with 40 letters of applications. Ooi (2001) collected 12 example texts from 12 different categories of personal advertisements on the internet. Ragan (2001) conducted an SFL analysis of 50 student texts comprising 11,312 words. Ghadessy and Gao (2001) conducted a statistical analysis of Theme in 974 independent clauses taken from nine texts English and Chinese translation texts. Tribble (2001) analyses the genre of fourteen different university web leaflets promoting an MA in Applied Linguistics, a total of 13,216 words. The present study analyses a corpus of 62 texts (31,833 words) of authentic memos, letters and reports.

However, even in this new technological era, the study of workplace English is still suffering from limited access to authentic texts as very few corpora based on authentic workplace texts are available (Martin, 1985/89, 1997; Willliams, 1988; Berry, 1995, 1996; Davies et al., 1999; etc.). The main reason for this is the difficulty involved in accessing what are frequently sensitive and confidential texts. Methodological considerations related to the collection and development of the corpus used in the present study are discussed in Chapter Three.

2.3 Different approaches to the analysis of workplace texts

The analysis of workplace texts has proceeded from different starting points; for instance, the selection of a range of texts within a single organisation (Iedema, 1995, 1999, 2000; Nickerson, 1998, 1999) and of particular types of texts (Santos, 2002). Intercultural communication and cross-cultural communication have also been the starting points for many studies of English in the workplace, for example, by Bee-Leng (1992), Du-Babcock and Babcock (1995, 1996), Scollon and Scollon (1995), Smart (1998), Nickerson and Van Nus (1999) and Rogerson-Revell (1999). However, according to Rogerson-Revell (1999:56), research in this field "has been mainly quantitative and inductive reflecting the

discipline's concern for quantifiable evidence." These are just a few examples of the many different perspectives from which workplace English may be analysed.

2.3.1 Ethnographic studies and intertextuality in workplace English research

A wide variety of methodologies for collecting and analysing data have been used by those who have had access to the workplace community for research purposes. Brown and Herndl (1986) carried out pioneering ethnographic research, conducting interviews with training-and-development and technical managers, teachers and students attending a training course in 15 Minnesota (USA) corporations. This was followed by an ethnographic study of two companies where 12 managers were asked to identify 'good' writers. Interviews were conducted with eight named 'good writers' who were asked for their opinions about the texts they had written. In addition, Brown and Herndl interviewed peers to ask if they could identify 'good writers' in their group. The peers corroborated the managers' choices. Brown and Herndl found that the informants believed that writing was dependent upon where the writer was positioned with regard to status and that teachers' views about what was appropriate were frequently at odds with the people situated in the workplace. For Brown and Herndl, this notion of status in writing and the disparity between the views of language use by teachers and by individuals in the workplace were key considerations worthy of further research. The present study follows up some of the issues related to the way in which a writer's status is construed in the text.

2.3.2 Ethnographic considerations

The ethnographic approach of Brown and Herndl has been revisited in the work of Devitt (1991), Winsor (1993), Du-Babcock and Babcock (1995), Iedema (1995, 1999, 2000), Smart (1998) and Suchan and Dulek (1998). Du-Babcock and Babcock (1995) carried out a study in Taiwan focused on the use of Putonghua within the workplace by native speakers of English. They categorised three levels of Putonghua speakers, viz. beginners, intermediate and advanced, and found that the ability to speak a language fluently in meetings was not always viewed favourably by the speaker's Chinese counterparts. Problems arose when native speakers of English who had advanced Putonghua skills chose to use Putonghua as a medium of communication within a business meeting since they invariably alienated their peers through lack of intercultural awareness. The Chinese peers frequently expressed the opinion that they wished the meeting had been conducted in English for a

number of different reasons. English is often seen as a 'neutral' language in business. Louhiala-Salminen (1996) suggests that for some in the workplace business English is naively viewed as expressing only content and void of cultural messages. The present study, following an SFL model, suggests that it is not possible to separate culture from language. All language is argued to be inherently loaded with culture and each reader's interpretation will be biased by their own reading position, and culture (Painter, 2001).

2.3.3 The effect of cultural differences in workplace English

Louhiala-Salminen, when researching written communication and the type of language adopted by a company operating in Finland, reported an informant's view that business communication "does not have any cultural basis, as in "it's 100% subject matter, the culture behind it cannot be seen"" (Louhiala-Salminen, 1996:44). However, Louhiala-Salminen and others disagree with this view. Bee-Leng (1992), Du-Babcock and Babcock (1995, 1996), Scollon and Scollon (1995), and Connor (1999), for example, have focused specifically on cross-cultural issues within a workplace setting. They all assert that cultural issues and the manner in which cultural differences are realised through language are extremely influential within the business community. These studies raise extremely pertinent points related to the way in which cultural differences affect workplace discourse. Bee-Leng (1992) and Scollon and Scollon (1995) discuss and emphasise the differences in the discourse structures of Eastern and Western cultures. They point out that there is a major difference in what is expected from a predominantly Chinese audience compared to an audience of Westerners. As Mulholland (1997:97) points out, "practical advice on choosing the tactics which could reduce the impact of such [cultural] differences" is what is needed in workplace language pedagogy. The notion of culture and the way in which it is realised through language is an important concept in the present study. It is argued that by understanding the way in which language makes meaning at a clause level and relating this to its context, some of the linguistic issues concerning culture in the workplace will be unveiled. The discussion focuses on the language choices made and culture is seen to be an influencing factor in these choices. However, the extent and influence the culture plays is not the focus of the present study.

In the present study, the role of culture is acknowledged within the SFL theoretical framework. The notion of 'context of situation', as espoused by Halliday and Hasan (1985:52-69), acknowledges the role of culture in shaping language choices. As Painter

(2001) argues, language and culture cannot be separated, and according to a SFL view of language pedagogy, students learn "meanings of culture as they learn the lexico-grammatical forms of the language" (Painter, 2001:178). Cultural differences are bound to be present when writers come from different social and racial backgrounds and write in different contexts.

2.3.4 The role of spoken texts in the workplace

The focus of the present study is on written workplace English; however, spoken communication is also very important in the business world. Negotiations, meetings, informal discussions and other manifestations of spoken discourse require crucial skills within the business world. For example, negotiation skills are ranked high on the list of needs within the business community according to Charles and Charles (1999). As pointed out by Iedema (1999, 2000), written texts are often outcomes of spoken interactions. Exactly how the discourse is managed and structured in spoken interaction can greatly affect the meanings in a written text. For example, texts such as minutes, reports, etc., have a direct relationship between what was spoken and what is written. Iedema (2000) exemplifies the way in which an architect uses linguistic resources in a meeting to manipulate its outcome and shows that the discourse in a meeting greatly influences subsequent written and spoken texts.

There are a number of other studies which have focused specifically on spoken genres such as negotiations or meetings. Williams (1988) studies the difference between authentic language used in business meetings and published materials based on constructed texts which seemed to be disconnected from the real world. Over a decade later, Charles and Charles (1999) still express concern about the disparity between pedagogic practices and real world events in negotiations. They argue that more time needs to be devoted to teaching negotiation skills, and that tactics and teamwork are essential skills which should be included in the curriculum for this activity. This study enhances an earlier study by Charles (1996), which analyses six authentic business negotiations and supplements these data with interviews. Charles (1996) is concerned with how the workplace context and the nature of the relationship between parties in a negotiation are reflected in the informants' interactions. She found that there were distinct differences between the interactions of old and new business acquaintances. While new business acquaintances relied heavily on 'professional face saving' devices, their 'professional' interactions became more

personalised role-enacted discourses as the relationship between business acquaintances matured. Charles (1996), Williams (1988) and Charles and Charles (1999) all stress the need for more empirical research based on authentic texts and suggest that the findings be incorporated into pedagogy.

Peres de Souza (1994), Bargiela-Chiappini and Harris (1997b) and Bilbow (1997, 1998) analyse business meetings, focusing on different aspects of the discourse of the meetings. For example, Bilbow (1998) takes a pragmatic view of the language managers use with subordinates. In particular, Bilbow focuses on the language used by chairs in meetings within a large international airline company in Hong Kong. He found that the chair-talk was quite different in terms of quantity, content and form from participant-talk. Although Bilbow does not discuss the lexico-grammar which construes these pragmatic choices, he raises some interesting points with pedagogic implications. Crosling and Ward (2002) also explore an authentic situation and compare it to pedagogic practices. They compared the differences between presentation skills taught to undergraduate business students and the actual oral communication skills required in the workplace. The language taught for presentation skills was seen to be far more formal than the oral skills the graduates needed in the workplace. The graduates needed less formal, interpersonal language to express themselves during meetings and other informal verbal discourse. They found that the teaching offered did not necessarily reflect the language skills required. These findings are echoed in many studies undertaken into workplace discourse (Williams, 1988; Berry, 1996; Bilbow, 1997; Crosling and Ward, 2002).

2.3.5 Intertextuality in workplace texts

Studies of intertextuality have been undertaken by Devitt (1991) and Iedema (1995, 1999, 2000). Devitt (1991), in her study based on a text analysis and interviews with accountants, analyses tax accounting texts and investigates intertextuality. Using an ethnographic approach, she considers how any single text within the workplace refers to, draws from, and is dependent on other texts. Devitt (1991) raises some very interesting points relating to intertextuality and these are explored later in the present study. It should be noted that Devitt's research is based within the field of ESP and her discussions of genre and rhetorical issues do not refer to the notion of genre proposed in the present study.

Iedema (1999, 2000), working within an SFL framework, conducts ethnographic research into the way in which meanings are made through the discourse in a hospital in Sydney, Australia. He looks at intertextual relationships and how meaning is transformed from a spoken, more personalised form in meetings, to a more objective form in a related written report which eventually culminates in actual architectural structures. For the researcher, teacher or those wishing to succeed in the workplace, an appreciation of this shift in language is essential. Many of the concerns raised by Iedema will be returned to in more detail in Section 2.8.2.

2.3.6 The role of written texts in the workplace

Davies et al. (1999) demonstrate that written communication is central in the workplace. Findings from the managers in their EWM survey provide evidence that as the individual in an organisation moves up the promotion ladder, written communication becomes an important consideration affecting the individual's promotion and success (Davies et al., 1999). Davies and Forey (1996), who conducted interviews with managers in UK companies, found that many managers considered that the written word was 'crucial' for success and that as the written word is recorded in a more permanent form, it becomes more influential than spoken interaction within the organisation.

In essence, their findings reflect Martin's concerns with an educational setting where "the most prestigious users of language become writers, not speakers. And written language is prized above speech" (Martin, 1985/89:51). It would appear that the written word is seen to be crucial for success. This success is manifest at both an individual and institutional level. At an individual level, the written word can affect promotional prospects and personal reputation; at an institutional level, the written word represents the company's 'image' (Thompson and Ramos, 1995; Davies and Forey, 1996). In addition, it seems on the surface that the language in written texts is less personalised and more objective. The present study argues that even though written texts may appear to be more objective, the writer's viewpoint and identity are construed and realised through a number of different linguistic resources. Iedema's study of the progressive depersonalisation of workplace text is discussed in detail below in Section 2.8.2. The present study focuses specifically on written text and how the writer subtly establishes a persona in the workplace text.

2.3.7 Responses to workplace texts

In recent years there has been an increasing recognition that the views of participants in the workplace can provide valuable insights into the way in which texts are interpreted. The EWM survey (Davies et al., 1999) concentrates on eliciting managers' views of texts in the workplace. This elicitation of managers' views provided a rich resource of data and was the underlying impetus for the present study to include informant interpretations of texts, as outlined in Chapter Eight. In case studies where the written discourse of particular companies is investigated, research has also focused on responses to workplace texts. For example, Couture (1992) categorises three types of professional discourse: engineering, administrative and technical/professional. She carries out elicitation tasks and asks members from each of these three groups to select which of two sentences with similar content they preferred. She demonstrates that there is a marked difference in the preferences of the three groups. She also points out that abstraction, nominalisation and passive constructions are characteristic of administrative writing. Nickerson (1998) surveyed 305 corporations in the Netherlands with the aim of understanding corporate culture in a Dutch/English speaking environment. Ede and Lunsford (1985) found that collaborative writing, where a group of individuals share the responsibility for producing a text, was an important consideration when analysing the type of written communication produced in the workplace. They emphasise that collaborative writing is an important area which only catered for in a limited fashion, if at all, within business English pedagogy. Thus in the analysis of texts in the present study, the possibility should be considered that some texts – it is not possible to identify which particular ones – were written by more than one individual. This perhaps would mean that where the text has been created through a process of collaborative writing, the intended meaning of the text had been negotiated and arrived at through a process of consensus. This consensus would lead to collaborative texts reflecting a more 'institutionalised' view of status and writer viewpoint. The findings discussed should, therefore, be considered as representing workplace practices, and the issue of whether the meaning reflected is representative of an individual or a group's voice is, in most cases, beyond the scope of the present study.

2.4 Researching different workplace genres

2.4.1 Research into written reports in the workplace

Another focus of research into written workplace discourse is the study of particular genres. Business reports come in many shapes and sizes and "accompany and shape decisions at all organizational levels" (Rude, 1995:170). Reports are also the focus of many business communication courses and textbooks. It is surprising, therefore, that only a limited number of studies have specifically analysed the language of reports. Carter (1990), Devitt (1991), Harvey (1995) and Rude (1995) are some of the studies in this area. Carter (1990) acknowledges that certain disparities exist between writing reports at college and at work. He believes that the present educational model is too heavily dependent on the teacher's interpretation of workplace texts, and adds that "if only the teacher's definition counts then it is little wonder that pupils are not adequately prepared for the writing requirements of non-academic settings" (Carter, 1990:179). He emphasises the need to incorporate views other than just the teacher's, and that informants' views and voices from within business and industry must be taken into account. He uses reports written by a student and a manager from Proctor and Gamble (a large UK company) to illustrate some of the specific linguistic choices made. He highlights different grammatical features found in the student and business reports, including the preference for nominalisation rather than congruent verbs in the manager's reports. He also points out that in the business report, modal verbs are used to characterise a "relatively subjective orientation to solutions" (Carter, 1990:184). He notes that in both reports writer viewpoint is more evident than would have been expected and "the different ways in which report writers "take up positions" is a topic demanding further investigation" (Carter, 1990:1989).

2.4.2 Interpersonal features of reports

Harvey (1995), in a study of four public reports, found that even in scientific, objective reporting the writer's viewpoint was evident in the impersonal structures. These structures were seen to implicitly encode merging voices of the discipline and the research team, e.g. *it is generally agreed.* The notion of writer viewpoint raised by Carter (1990) and the implicit structures noted by Harvey (1995) are key concepts which are investigated in detail later in this thesis. The present study argues that writer viewpoint is a key feature found in workplace texts which superficially appear to be impersonal and objective. It is argued that

nominalisation and structures such as *it is agreed* (discussed as 'objective projecting clauses' in Chapter Six) are some of the means by which writers can construe, and thus bring into being, certain kinds of meaning (Halliday and Matthiessen, 1999).

2.4.3 Research into letters in the workplace

From an ESP perspective a number of studies have analysed the linguistic moves in letters. Bhatia (1993a/b) focuses on promotional letters and Santos (2002) on letters of negotiation. Both aim to find out how the communicative purpose is achieved through language realisations. Santos (2002) analyses 117 letters from one Brazilian and two European veterinary-pharmaceutical companies. He proposes four moves for the letters, and argues that "linguistic elements are being used to create an atmosphere of friendship and respect" (Santos, 2002:187). The linguistic features in the letters he is referring to are Modal Adjuncts of entreaty, e.g. *kindly,* and hypothetical expressions, e.g. *I would like to ask,* which, he adds, offer "cordiality and respect" in a context where there are explicit differences in language and status, thus showing that linguistic features are directly related to shaping interpersonal relations. In the present study features such as modal adjuncts are discussed in relation to their interpersonal nature, and their status and position as part of the Theme in memos, letters and reports.

2.4.4 Research into memos

In contrast to research on reports and letters the text type 'memo' has received very little research. Iedema (1995, 1997, 1999) discusses memos, or what he calls 'directives', in detail. He analyses their lexico-grammar in detail and suggests generic stages which can be found in them. These generic stages are described and applied to two memos in Chapter Eight. The research undertaken by Iedema significantly influences the present study, and his work is discussed in more detail below.

In a number of studies the medium of the message rather than the text type has been the focus of research. Faxes, as a text for research (Akar and Louhiala-Salminen, 1999), have been on the whole superseded by e-mail communication. In addition, it could be argued that many memos have been replaced by e-mail messages.

Nickerson (1999), investigating communication in a multinational company in the Netherlands, establishes that e-mails were the most frequently used form of written communication and that in some instances e-mails were used in preference to the telephone

and face-to-face meetings. She collected messages from six managers and then randomly sampled 100 messages from one of the more prolific e-mail users. Based on this case study she demonstrated that e-mail is used at all levels and that e-mails are a major source of information exchange in the organisation. Mulholland (1999), in a qualitative study of administrative texts and informant views about the messages generated at the University of Queensland, focuses on whether efficiency is achieved through the use of e-mails and the way in which interpersonal relations are affected. His data includes five sample sets of 76 e-mails in total and discussions with 15 informants. Mullholland's principal findings were that e-mails impacted the whole workplace. In general, although brevity was an important feature, mentioned by many of the informants, interpersonal 'politeness markers' were still included in the e-mail messages. Politeness markers tended to be placed at the end of the text rather than signalled at the beginning. Placing these markers at the end of the text "makes them appear to be less important to the sender" (Mulholland, 1999:82).

Interpersonal markers were seen to be very important and an element which, even in these very brief texts, tended not to be overlooked. In the analysis of Theme in the present study, the presence or absence of explicit interpersonal markers is discussed. Since these studies into e-mail communication were undertaken, technological advances and access to the internet have made e-mail communication even more pervasive and influential in the workplace.

Gimenez (2000) analysed 63 business e-mails and compared them with 40 business letters from the same company. He investigated the emerging tendencies in the register of e-mails. He suggests that e-mails tend to take certain features of the spoken mode and that some of the spoken features found in e-mails were starting to affect the language choices in other genres. Gimenez believes that e-mails and other overtly interpersonal texts are becoming more dependent on "flexibility, informality and efficiency" (Gimenez, 2000:249). He suggests that the established tradition of teaching formulaic writing to business students needs to change. The present study argues that it is not only in the teaching of e-mail construction where pedagogy needs to take flexibility, informality and efficiency into consideration, but there is a need for pedagogy to incorporate activities which enhance the students' perception of the way in which certain linguistic devices are employed to enhance interpersonal meanings. Moreover, it is crucial that pedagogy incorporates a methodology which is concerned with the deconstruction and reconstruction

of texts and also an explicit discussion of lexico-grammatical features. However, before this can be done, research is needed which focuses on the way in which meaning is made at a lexico-grammatical level, in order to understand how certain interpersonal meanings are realised at a lexico-grammatical level.

2.5 Summary: needs analysis and workplace English

In all the studies mentioned there is a consensus that further research is needed and that improved pedagogy requires an enhanced understanding of workplace discourse. In fact, within workplace English a number of studies have taken a needs analysis research perspective. For Cooper (1992), Davies and Scott (1992), Poon (1992), Holliday (1995), Davies and Forey (1996), Barbara et al. (1996), Nunan et al. (1996), Davies et al. (1999), Forey and Nunan (2002), and others, the main focus has been a needs analysis of the business world. Many of these studies have used surveys, and in some cases interviews as well, to discover and establish the need for further research and pedagogic resources within a workplace setting. All of these needs analysis studies conclude with resounding agreement that further research is needed; that there needs to be a more 'proactive approach' towards developing a more informed understanding of workplace discourse; and that the training, support and current pedagogic resources available are inadequate. In short, most agree with Davies et al. (1999) in stressing that writing is a crucial part of the work environment. Writing is considered closely connected with status, as one informant explained, "as I move up the management ladder it will become more and more important" (Davies et al., 1999:298). The writing process takes up a large part of the working week and managers are very concerned about being able to write effectively (Davies et al., 1999:300).

Many of the studies cited also suggest that power and status are crucial features, which need to be considered in the analysis of workplace discourse. However, few have carried out any in-depth analysis at a lexico-grammatical level of a corpus of texts in order to develop a more detailed understanding of the way in which language makes meaning and how status and identity are construed in text. The following section reviews the arguments for further research.

2.6 The need for further research into workplace English

Despite the extensive research cited, there is an increasing recognition that further research is needed into workplace texts, the assumption being that a greater understanding of workplace texts will benefit all levels of pedagogy (Williams, 1988; Martin, 1985/89; Berry, 1995, 1996; Davies 1994, 1997; etc.). Workplace texts form the basis of many programmes taught at junior, secondary and tertiary levels as well as in-house or external workplace communication courses in both first and second language learning environments. According to Berry,

> discourse analysts have been slow to focus on the question of what makes a text successful or not, and even slower to investigate this question in the context of the specialised language varieties of the workplace.
>
> (Berry, 1995:57)

Martin (1985/89) agrees with Berry that "education ignores almost completely the kinds of writing that would enable children to enter the workforce" (Martin, 1985/89:60). Martin suggests two possible reasons for this neglect. The first is due in part to process writing, a model of writing introduced in the 70s and 80s, where the emphasis is on 'ownership and voice' (Flower and Hayes, 1981). This neglect is further compounded in process writing by completely ignoring the grammar and the structure of texts. Martin states that this form of language instruction favours the middle classes who have access to a wide variety of genres, and disadvantages "women, working class kids, migrants and Aboriginal children" (Martin, 1985/89:61). The second reason for neglect is that teachers are unable to teach what makes workplace texts effective as they have limited access to authentic workplace texts. Berry states that

> teachers do not *know* what has to be learnt in order to produce effective written products in the context of the workplace, particularly workplaces such as those of business and industry.
>
> (Berry, 1995:56, italics in orig.)

Berry even questions whether those situated within the workplace would be able to expound on what are the key features of a text and what makes it effective. She points out that discussions between members of the business community and teachers "do not seem to get much beyond matters of spelling and punctuation". She believes that teachers need to be "much more explicit" about the language, the grammar and the types of text associated with business and industry (Berry, 1995:56). Berry (1995, 1996) and Swales (2000) point

out that even if research is carried out into various workplace genres, teachers and instructors need to develop and enhance their knowledge in order to teach workplace discourse effectively.

Brown and Herndl (1986), Berry (1995, 1996) and Barbara et al. (1996) argue that one aspect of this 'gap' between the workplace and pedagogic resources is a mismatch between what teachers/trainers are trying to teach and the language business people identify with. In their interviews with training managers Brown and Herndl (1986) reported that

> The training managers we met in our preliminary interviews reported employees' sense that writing instruction was irrelevant to their jobs: they were reporting a bad cultural fit between teacher-language and professional writer-language.
>
> (Brown & Herndl, 1986:25)

For example, Brown and Herndl found that teachers tended to reject nominalisation and advise their students to avoid using such features in their writing. However, nominalisation was seen by workplace participants as part of the group affiliation, something that writers should use, and it was viewed as a cultural norm for written communication within their group. Thus the teachers were rejecting or advising the business English students to go against what they saw to be appropriate to their group identity. Each group was seen to have its own cultural identity and to develop a language which helps promote that notion of the 'in group'. Sometimes teachers and others were unable to understand or appreciate the language of the 'in group'. One explanation for this is suggested by St John (1996), viz. that business English has been a movement where design and development of materials have been at the forefront of those working within this field. She adds that it is an area which still remains under-researched. She believes the pedagogic materials developed are often based on the intuitions of material writers rather than on understandings of authentic data. The materials writer may pitch the resources at an incorrect level and even if the material writer understands the language of the text, they may not understand the context or the origin of production and the recipient of the text. Therefore St John (1996) suggests that studies which disclose information about the lexico-grammatical features alongside an understanding of the context in which the meaning is made are preferred.

Berry (1996:6) points out that one way in which the differences between the teachers / trainers and students can be overcome is to make the research relevant to the needs of the

target community. In order to improve the relevance of research there needs to be collaboration between researchers, informants and material writers in seeking to understand the way in which meaning is made. Stainton (1996) supports this view. She argues that if those in the workplace are involved in research then they will have a greater feeling of ownership and investment in trying to make a study and its outcomes successful. Based on these assumptions, and in order to make the research relevant to the field of applied linguistics and to the development of pedagogy, the present study incorporates informant perceptions and views about how sample texts make meaning. The findings from this particular part of the study are found in Chapter Eight.

Martin has continually argued that a wider variety of genres needs to be incorporated into the education system. Christie and Martin (1997) present an edited collection of articles based on work undertaken in Australia in the late 1980s and early 1990s. The studies in this book have a pedagogic focus and were undertaken as part of the Disadvantaged Schools Programme (DSP). The DSP 'Write it Right' project (1991-1994) was an outstanding initiative in New South Wales, Australia, led by Martin (Martin & Christie, 1997). The research produced valuable explorations of the language in educational genres (English, history, science, mathematics and geography) and workplace genres (media, science, industry and administration). The DSP initiated much research into a variety of genres and even after the funding was exhausted, many of those originally working on the DSP project continued with valuable research into educational genres. Genres and texts used within secondary education have been researched by Coffin (1997), who investigated history texts, and Martin (1985/89), Martin and Rothery (1986, 1993), and Rothery and Stenglin (1997, 2000), who studied narrative discourse in a school's context. The research into scientific discourse crosses the border between workplace and educational genres and the work of Rose et al. (1992), Halliday and Martin (1993), Rose (1997), Veel (1997) and Martin and Veel (1998) covers a number of issues related to science in education and industry. White (1997, 2000) analysed the language of the media.

The one study that solely focused on workplace texts was Iedema (1995, 1997), who studied the language of administration. Iedema has continued his research in this area and has subsequently published other papers on institutional discourse (Iedema, 1998, 1999, 2000). Iedema's studies will be discussed in more detail below.

To sum up, although there has been a great deal of research into workplace English in recent years there is still a call for further research in this area. Many of the studies presented above have focused on specific texts, specific organisations and/or the dichotomy between spoken and written workplace communication. Many of these studies follow an ESP model of English. However, as Swales (2000) maintains,

> legitimate questions can be asked about the "applied" nature of some of these investigations, since it is not always clear how the findings are to be transmuted into teaching or study materials.
>
> (Swales, 2000:68)

Research following the ESP tradition has predominantly been directed towards creating teaching materials for non-native speakers of English (Coffin, 2001). In addition, a more consolidated theory of language within the tradition of ESP is still to emerge.

There is a small but growing body of research into the language of the workplace within the field of SFL. These studies are able to offer a consolidated view of language and the way in which meaning is made because they are all based within a specific theory of language. Before surveying some of the contributions made by SFL studies into workplace discourse, a brief explanation of the theory of SFL will be given. Moreover, a justification for the choice of SFL above other theories of language will be presented.

2.7 Models of language: an alternative to ESP approaches

2.7.1 Systemic Functional Linguistics (SFL) as a model for analysing texts

The model of language used in any study is, according to Berry (1996), dependent upon the models of language which are relevant for the "intended users of one's work" (Berry, 1996:4). The rationale for selecting SFL as a model for analysis in the present study is that it incorporates the notion that the language is a social phenomenon, and in dealing with language it works at the level of the text as a unit of meaning. Texts as semantic units, representative of the social phenomenon of the workplace, were the starting point for the present study. The initial aims of the research were to gain a better understanding of the semiotic relationship between a text and its context. The lexico-grammatical choices realised in texts were analysed so that the meaning found in a text's lexico-grammar could be understood in relation to its context, i.e. its writers, its intended readers and its surrounding environment. The outcome of such an analysis could then be used to extend

the existing knowledge related to workplace texts, develop better pedagogical and enhance students' study methods. However, the achievement of all of these goals was not possible in one study. Therefore, the present study is restricted to an examination of three genres as a contribution to SFL. It is hoped that the outcomes of this study will then be transferable to pedagogy. The intention is that the primary users of the research outcomes will be applied linguists and teachers, with material writers and students its secondary users.

With this in mind, SFL fits well as an analytical tool and pedagogic resource as it takes the researcher, teacher and learner beyond the boundaries of the sentence and allows those involved to analyse and discuss language at a text level (Burns, 1990:62). As pointed out by Berry (1996:61), in SFL "meaning is given priority over form and texts over sentences", and discussions about the way in which meaning is reached are the primary concerns within SFL. A text, following Halliday and Hasan (1976), is

> a passage of discourse which is coherent in these two regards: it is coherent with respect to the context of situation and therefore consistent in register; and it is coherent with respect to itself, and therefore cohesive.
>
> (Halliday and Hasan, 1976:23)

As pointed out by Berry, SFL is based on texts and not on sentences and is viewed as "a theory of meaning as choice, by which language of any other semiotic system is interpreted as networks of interlocking options" (Halliday, 1994:xiv). It is these notions of choice, of complete texts and of the interrelationship of the context and the way in which this affects the choices one makes to realise meaning, which makes SFL an attractive theory of language for researchers, teachers and students. By viewing language in this way SFL opens up choices for the student and is not teaching prescriptive rules which simply need regurgitating (Berry, 1996:8). As Martin, Christie and Rothery (1994) point out, it is very important to recognise that "genres make meaning; they are not simply a set of formal structures into which meanings are poured" (Martin, Christie and Rothery, 1994:236).

2.7.2 Different levels of meaning in SFL

To reiterate, SFL offers a theory of language well suited to text analysis and application. SFL applied to the deconstruction of texts can make

> explicit the relations between meaning constructed at clause level and meanings at the 'larger' levels (paragraphs and text) which in turn can be systematically related to the specified elements of the context.
>
> (Harvey, 1993:25)

The different levels of meaning, as suggested by Harvey, reflect SFL notions that language makes meanings at different strata and that the different strata are interrelated. The strata identified within SFL are context, discourse semantics, lexico-grammar and phonology / graphology (Martin, 1997:6). These layers are interrelated and display regular co-occurrence where realisations are simultaneously coded as different meanings, wording and sounds. The present study analyses language in a 'bottom up' approach, where choices and meanings at a lexico-grammatical level are used to interpret discourse, semantic and contextual meanings.

Language and social context realise and influence meaning within each other's domain. Social context construes language and language construes patterns of social context. Three variables used to account for the differences and to model the context of situation are:

- **Field:** the 'what', what is being talked about? What is the aim of the text?
- **Mode:** the 'how', how is the text represented? The kind of text that has been made – spoken, written?
- **Tenor:** the 'who', who is doing the talking or writing? The relationship between the speaker or writer and the listener or reader.

Field, mode and tenor are the variables of register (or the context of situation) as they reflect the three main functions of language (ideational, textual, and interpersonal) (Halliday et al., 1964; Halliday, 1994; Martin, 1997). Variation in field/mode/tenor will affect language choices. That is, in a workplace setting, if the field remained constant and the variables of mode and tenor changed, then different texts would be constructed. For example, if the field were concerned with a strategy plan for the coming year, the text would vary depending on the tenor. The text would be very different if the tenor represented junior staff discussing a strategy plan, rather than the Chief Executive Officer and the Finance Director. Or if the mode were to vary, and the text was realised in a written mode, the text, e.g. a written report, would be quite different to a spoken text, e.g. a presentation. Each text – a meeting, a presentation, and a written report – would vary in the linguistic resources used to realise the text. Field, mode and tenor are used to model linguistic resources at the level of context.

At the level of the clause, the functional diversification of language choice is modelled through three metafunctions: ideational, interpersonal and textual. Ideational resources encode our experiences of the world, interpersonal resources encode interaction, and textual resources are concerned with how language is used to organise our experiential and

interactional meaning into a coherent whole (Halliday, 1994:35). Although there is some dispute about the relationship of the variables of context of situation and the metafunctions, i.e. field to ideational, tenor to interpersonal and mode to textual, there is general agreement that they are related. The metafunctions are used to model language at the strata of lexico-grammar. The present study analyses written workplace texts at a lexico-grammatical level and focuses specifically on the textual metafunction in memos, letters and reports. The metafunctions, and in particular the textual metafunction, will be discussed in more detail in Chapter Three. An integral feature within the textual meta-function is Theme, and Theme is the focus of the present study. Theme within its own right has seen to be a valuable resource for understanding texts. Theme was chosen because as Halliday (1978) points out, "the textual function has an enabling function with respect to the other two; it is only in combination with textual meanings that ideational and inter-personal meanings are actualized" (Halliday, 1978:113). Chapter Three presents in greater detail the justification for choosing Theme as the point of analysis. Chapter Three also out-lines the identification, function and theoretical considerations concerning Theme.

Field, mode and tenor are used as a resource to understand variables of register (Martin, 1997:6). Register is "designed to interface the analysis of social context naturally with the metafunctionally diversified organization of language resources" (Martin, 1997:6). Register, according to Martin (1992a, 1997), is a composite term for field, mode and tenor. As shown in Figure 2.1, the relationship between register and genre is seen to be 'connotative', in that they are both semiotic systems that make use of each other, but they are not the same and function within their own plane.

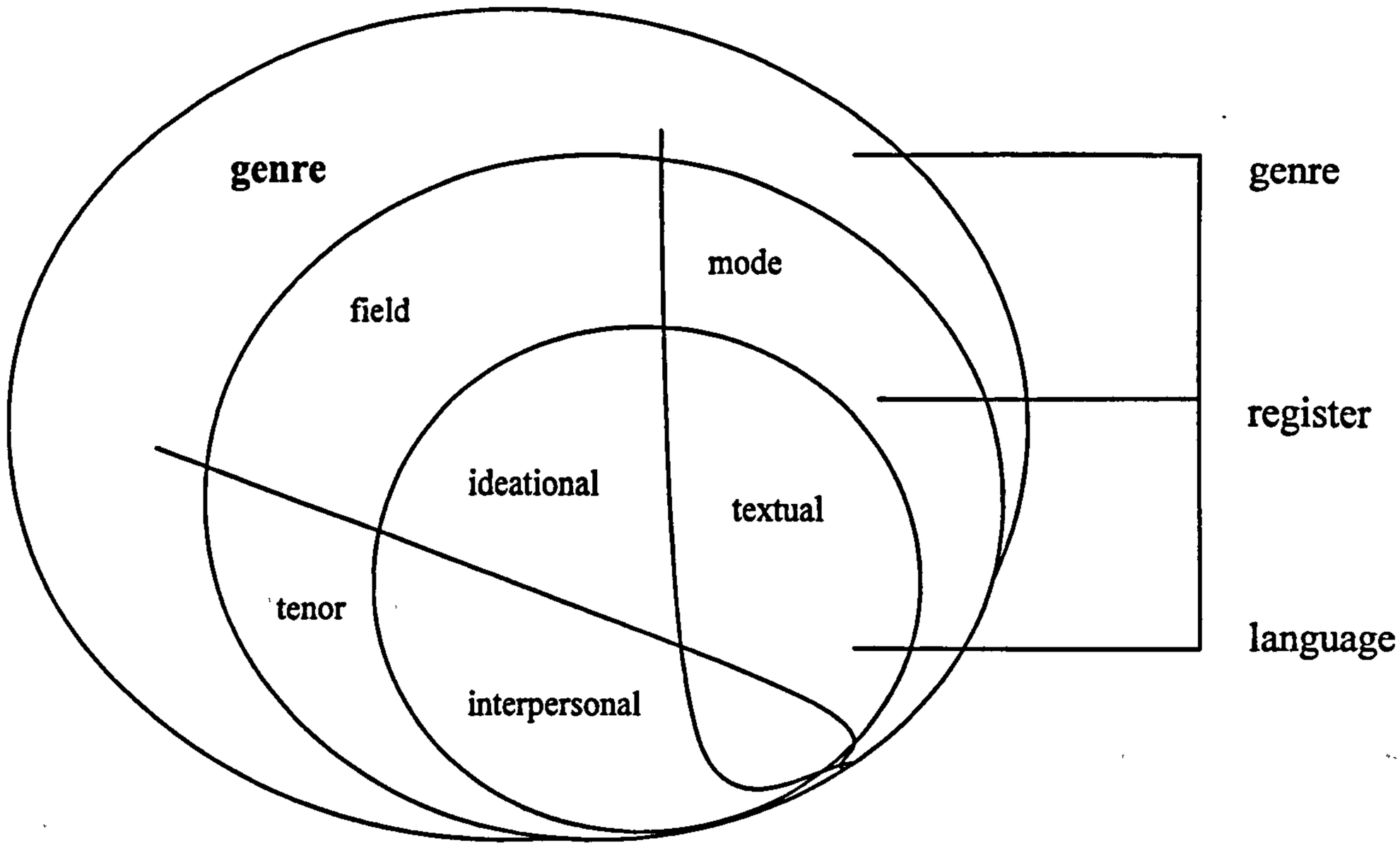


Figure 2.1 Language, register and genre (adapted from Martin, 1997:11)

At this point it should be noted that Halliday (1978) and Halliday and Hasan (1985) differ from Martin (1992a, 1997) in their view of where 'genre' and 'register' fit within the model of language. In brief, Halliday does not include 'genre' within his model of language. Halliday (1978) and Halliday and Hasan (1985) claim that the three elements of context – situation, field, mode and tenor – together determine the 'register' of language.

2.7.3 Genre and SFL

Martin (1997, 2002) along with other systemic colleagues has developed a theory of genre within an SFL framework. The notion of genre developed by Martin and his colleagues was pedagogically motivated and has been applied to a number of different educational genres in both the DSP Project and other studies, as outlined above. Genre, following Martin, is an abstraction above the metafunctions and accounts for "relations among social processes in more holistic terms, with special focus on the stages through which most texts unfold" (Martin, 1997:6). As pointed out by Martin et al.,

> Genres are referred to as *social processes* because members of a culture interact with each other to achieve them; as *goal oriented* because they have evolved to get things done; and as *staged* because it usually takes more than one step for participants to achieve their goals.
>
> (Martin, Christie and Rothery, 1994:233; italics in orig.)

The difference between Halliday (1978) and Halliday and Hasan (1985) and Martin's (1992a, 1997) reading of register and genre requires a detailed argument. Unfortunately, a comprehensive and detailed discussion of the relationship of register to genre is beyond the scope of this study. The present study will apply the notion of genre as a "staged goal-oriented process" and will follow Martin's argument in regard to register. An analysis of memos, following the generic stages introduced by Iedema (1995) which affect the meaning potential of a text, is discussed in Chapter Eight.

In much of the literature it may seem that genre and text type are interchangeable, although in some instances they appear to be used to refer to very different textual entities (Davies, 1994; Paltridge, 2002). Davies (1994) argues that there needs to be an established reality in the use of such terms as *genre* and *text type*. Paltridge (2002) views text types to be constituent units of a text and to represent rhetorical modes such as 'problem - solution', 'exposition', 'argument', etc. (Paltridge, 2002:73). However, the distinction in rhetorical modes is made by Davies (1994, 1997) and Martin (1997) at a level between lexico-grammar and genre and is viewed as 'rhetorical pattern' (Davies, 1997).

Davies, in attempting to clarify the division between genre and text type, argues that a distinction should be made between five levels of texts: discourse type, genre type, text, text type and rhetorical pattern. Discourse type according to Davies (1997) is identified with reference to discourse goals. At the level of genre, Davies draws a relevant distinction between 'genre as process' and 'genre as object' (Davies, 1997:48). Davies adds that genre as process is seen to be "staged goal-oriented social processes underlying a class of texts" and that genre as object is a "class of texts which reflect a particular set of processes or goals, and which derive from an identifiable public source/environment, and which are directly or indirectly controlled by an "editor"" (Davies, 1997:48). She suggests that text types are constituent units of a text serving "distinctive communicative functions in relation to other textual units and which occupy identifiable and motivated positions in the complete text" (Davies, 1997:50). She proposes three textual units: "interactive", "organisational" and "informing". She suggests these textual units can be associated with stages of the text; for example, as proposed by Davies (1997:50), the interactive and orienting units are similar to the moves identified by Swales (1990) in his CARs model. Davies's model, which on the whole is an appealing one, has not to date been widely tested

as a model for research. The present study borrows partially from Davies (1997), but the terms genre and text type used in the present study are closer to Martin's use of such terms.

For Martin (1984, 2002), genre is a staged, goal-oriented process, which is realised by a 'product', real world texts such as a memo, report, essay, etc. Martin does not see the need to draw the distinction between process and product, as he believes the process and product are combined. These texts are reached through a goal-oriented process: the writer or speaker is motivated to construct a text in order to communicate their ideas. Macken-Horarik explains that genre is "the social purpose of a text and captures its distinctive global (or schematic) structure" (Macken-Horarik, 2002:20). The distinctive structure suggested by Macken-Horarik refers more specifically to the view that genres are seen to have "predictable sequences of stages" (Macken-Horarik, 2002:20). These stages can be analysed and used in a pedagogic context to model the stages and structure of different genres. For Martin and others working within the 'Sydney School', genre and text type are synonymous. Martin and Rose (forthcoming) state that the terms are interchangeable when they state "we use the term genre in this book to refer to different types of texts that enact various types of social contexts". Stainton (1996), in a discussion of her findings, appears to use the terms interchangeably. Text type and genre are, for the purpose of the present study, seen to be interchangeable.

2.7.4 Justifying the choice of SFL as a model of language

In the present study, SFL has been adopted as a theory of language because SFL incorporates an understanding of meaning above form and, as such, it is relevant to both theory and application. It responds to Widdowson's (1984:26) call for a greater focus on applying linguistics rather than just studying 'linguistics applied', i.e. the study of applied linguistics for research purposes only without considering the potential for application, and he believes that SFL may move us in this direction. However, in a later paper Widdowson (1997) is a little more sceptical about SFL and argues that it can be used for analytical purposes, but that it cannot take the next step to say that the analysis can lead to an understanding of the way in which the language is used. In opposition to Widdowson's view, many, including Martin (1985/89), Martin et al. (1994), Berry (1995, 1996) and others, argue that SFL provides tools for the text analyst, the teacher and the student to understand that meaning is based on choices and that choices are available in the language. It focuses on texts and not a collection of unrelated sentences. Tools are provided to help the analyst

deconstruct meaning at the level of discourse semantics, context, lexico-grammar and phonology and this leads to the ability to 'understand' how language is used.

> Education cannot make access to these tools a viable goal unless it deconstructs the language involved and the ways in which such language can be taught. Ignorance of genre and language, and the dichotomy of meaning and form which sanctions this ignorance, are a major stumbling block to empowering a wider range of children than currently succeed.
>
> (Martin, Christie, and Rothery, 1994:237)

As previously noted, workplace texts are under-researched and a greater understanding of the way in which meaning is made in these texts is crucial for consideration in the development of language skills for students at all levels. As Berry suggests, when discussing applying SFL theory within a workplace setting, "a text linguistic approach, with its concern for text types and their relation to producers and receivers and settings, does stand some chance of being perceived as relevant to their own concerns" (Berry, 1996: 6).

In outlining the reasons for following an SFL theory of language, the key terminology used throughout this thesis, i.e. *text, genre, field, mode, tenor, lexico-grammar, interpersonal, ideational* and *textual* has been introduced. The following section will now examine SFL research directly related to the workplace.

2.8 SFL and research into the language of the workplace

Although a number of people within the field of SFL have stressed the need to research workplace English, only a limited number of studies have been undertaken (Martin, 1985/89, 1997; Davies, 1988, 1994, 1997; Stainton, 1993; Berry, 1995, 1996; etc.). Many of these have been described earlier. Research into workplace English from an SFL perspective has tended to be carried out as part of a research project; the most notable projects have been conducted in the UK, Brazil and Australia.

The DIRECT Project is a joint research project between the Catholic University of Sao Paulo, Brazil, and Liverpool University, UK. The research of the DIRECT Project is quite extensive and studies have been conducted into spoken and written genres in workplace communication both in English and Portuguese. For example, Collins and Thompson (1993) and Thompson and Collins (1993) analyse face-threatening acts in oral presentations. Thompson and Ramos (1995) focus on ergativity, or cause and effect relationships, in business reports. They demonstrate the way in which the linguistic choices

within the system of ergativity present the company with a positive 'public face'. The Barbara et al. (1996) study previously cited involved the conduct of a survey of Brazilian organisations to assess communication needs and the types of different text produced in different companies. Celani and Scott (1997) analyse the meaning of business terms. Barbara and Scott (1999) propose a description of the genre of invitations for bids. They analyse in total six English and Portuguese bids, from Bangladesh, India, Jamaica and Brazil. They show that regardless of language, the bids share similar features and similar key vocabulary items, thus demonstrating that in the global international business environment this particular genre shares similar "topics, discourse communities, purpose, structure and lexicon" (Barbara and Scott, 1999:250).

Gouveia and Barbara (2001) focus on marked Theme in Portuguese workplace texts and argue that Portuguese is a pro-drop language and that it is therefore difficult to assess whether a clause is 'marked' or 'unmarked'. The DIRECT Project has contributed greatly to the knowledge of the way in which language makes meanings in certain workplace texts. Santos (2002) points out that the studies in the DIRECT Project have yielded results which have aided the development of materials and courses for teachers at the Catholic University of Sao Paulo (PUC). Such a wealth of knowledge deserves to be shared beyond the boundaries of the research community involved. However, much of the research is in Portuguese or is relevant within a Brazilian context only. Within this research project, to date no one has investigated Theme in a mini corpus of memos, letters and reports.

2.8.1 Studies of Theme choice as a research tool for analysing workplace texts

Berry and Stainton, working as part of a research group in Nottingham, have also augmented the understanding of the language of workplace discourse. Berry (1995, 1996) and Stainton (1996) have both analysed texts at a lexico-grammatical level, investigating Theme and the effect of Theme on the success of a text. Berry (1995) focuses on student writing related to tourism texts and with reference to the choice of Theme discusses their success or lack thereof. Berry (1996) focuses on Theme again and analyses three texts related to education: a prospectus, a departmental handbook and a Faculty of Arts handbook. Berry (1996) raises theoretical issues concerned with the function of Theme and the relevance of informant views. Berry (1996) suggests that Theme, although part of the textual metafunction, can realise interpersonal concerns. Berry argues that "we can understand the way in which the writer made clear to us the nature of his underlying concerns"

(Berry, 1996:18). She believes that the cumulative force of Theme indicates the writer's concerns and argues that a writer's priority need not be solely ideational but that instead "The speaker or writer's primary concerns may be interpersonal" (Berry, 1996:19). Berry distinguishes between Theme as meaning (interpersonal) and Theme as form (textual). Through reference to her sample texts supported by informant interviews, she argues that the interpersonal aspect of Theme is clearly evident and that such meanings influence the reader's interpretation of more than just a clause. The present study supports Berry's position of 'Theme as meaning'; more specifically, Theme which realises interpersonal meaning is an essential and frequent realisation in workplace texts. Berry concedes that her paper is more 'theoretical' than applied and that it is not based on extensive data. She urges more research to be carried out in this area to provide answers.

Stainton (1996) demonstrates the importance and relevance of marked Theme by arguing that texts which are viewed as more successful by specialist informants carry a higher number of marked Themes in the introduction and conclusion sections when compared to texts without this feature. Marked Theme is discussed extensively in Section 3.5 and Stainton's concerns about marked Theme are also elaborated at that point. Davies (1988, 1994, 1997) has also worked extensively in this area. Davies believes that marked Themes occur at important points in the text to 'frame' certain features in the text. Thompson (1996), in support of Davies, also agrees that marked Themes are important features. More detailed discussions of Theme, marked Theme and the relevance of these particular choices in workplace English texts are presented in the following chapters.

Berry, Davies and Stainton all acknowledge that their studies are limited and that a great deal of further empirical research is needed. The findings from the present study go some way towards demonstrating that Theme, and in particular marked Theme, carries a great deal of interpersonal meaning. Based on the findings from the data, marked Theme, as discussed in Chapters Five and Six, is seen to be a key component in construing interpersonal meaning within Theme. It is argued that marked Theme, and in particular Circumstantial Adjuncts, enhancing clauses and projecting clauses in initial position in a clause complex, occur at important stages in the text and that they help to clarify the way in which a writer's viewpoint is conveyed in a text. Enhancing clauses are introduced in Section 3.5.3. The function, purpose and findings related to projecting clauses are reviewed in detail in Chapter Six.

2.8.2 Construction of meaning at a text and discourse semantic level: Iedema's research

Initially as part of the DSP Project in Sydney, Australia, Iedema (1995, 1997) studied the language of administration. In this and subsequent work Iedema (1995, 1997, 1999, 2000) offers a view of language and the construction of meaning which transcends the boundaries of lexico-grammar. He analyses the language at a lexico-grammatical level in order to exemplify the construction of meaning at a text and discourse semantic level. Through his collaboration with a hospital authority, Iedema was able to gain a far greater insight into the way in which meanings are made at a holistic level. He illustrates with texts how inter-textuality permeates, and how the 'politics of language' and institutional discourse instantiate, texts and formal structures. As noted above, he explains with reference to examples from spoken language (e.g. meetings) the way in which spoken interaction is transferred into written language (e.g. a report) which is finally interpreted as architectural designs (architectural plans) before the physical construction is carried out. The physical construction demonstrates the links between "non-durable forms of talk to durable constructions such as formal reports and the walls and doors of buildings" (Iedema, 2000:65). He argues that the personalised form of a text constructed in a meeting is gradually transferred to more demodalised forms.

'Demodulation', a term introduced by Iedema (1995), represents a change in modal responsibility from the personal to the impersonal. The emphasis of a clause is linguistically transferred from the commander, e.g. *Pay the fee*, where the imperative form is used to reduce any possibility of doubt, to *You should pay the fee,* where the linguistic choices are subjectified to the more objective and impersonal realisation, such as *the requirement is that you pay the fee*, to completely depersonalised, 'demodulation', e.g. *The scheme provides for adequate categorisation* (Iedema 2000:51). He states that in institutional discourse

> The interpersonal imposition of control is recoded as an (ideational) state of affairs, and the implication of this having to do with one person commanding another is entirely suppressed.
>
> (Iedema, 2000:51)

He argues that demodulation stabilises organisational relations into "presumed and non-questioned and non-questionable patterns of doing and saying" (Iedema, 2000:53), based on his interpretation of semiotic meaning that

> populations are "fixed" not (primarily) by brute physical force, but by recruiting them to particular regimes of meaning. These regimes of meaning construe, and to a degree impose, a consensus as to what can be meant; that is, what can be done and said.
>
> (Iedema, 2000:53).

In sum, he argues that language, power and control are inseparable. As language moves through different modes, from a verbal interaction to a written interaction to a realised goal, it becomes less negotiable and these less negotiable forms of language are construed in part through demodulation and nominalisation and less congruent forms of language. Linguistic resources are seen to be powerful tools which revolve around issues of "correct procedure and control" and the linguistic choices made at all stages of workplace communication are, therefore, influential in determining the final outcome (Iedema, 2000: 49).

Iedema uses a variety of institutional texts; in his initial work (1995) he studied memos. In a later paper, Iedema (1998) analyses 'Position Descriptions', texts which define the task duties, responsibilities and skill standards of particular jobs. These Position Descriptions come from both the public and private sectors. Iedema focuses on the linguistic realisations and the distinction between what could be called 'higher' and 'lower' job roles. Unlike the language of the 'higher' job roles which are realised through "*abstracted* and *potential* terms and therefore open to professional interpretation, specification, negotiation, choice and forward planning" (Iedema, 1998:486, italics in orig.), the 'lower' job roles and the linguistic descriptions are related to the "here-and-now". These roles, as stated in the 'Position Descriptions', are less negotiable and more clearly defined, with concrete actions on behalf of the projected role for the employee.

These differences in the linguistic resources of the 'Position Descriptions' are related to an argument presented earlier, viz. that as one goes higher up the ladder of success, the job descriptions and competency statements "display increased levels of linguistic implicitness" (Iedema, 1998). The higher up the ladder, the more likely workers are expected to deal with "abstract conceptualizations of, and discourses about, both their work and themselves as workers than those in lower positions" (Iedema, 1998:497). And as Davies et al. (1999) argue, not only do the linguistic realisations of the job become more complex, but also writing requirements become more complex and the ability to write effectively becomes a crucial component for success. An analysis leading to an understanding of

issues related to implicitness and explicitness would be a valuable resource for teachers, trainers, material writers, students and in general those wanting to improve their written communication in the business world. Implicit and explicit choices will be discussed in the present study. Implicitness and explicitness construing writer viewpoint will be referred to specifically in relation to thematic choices, such as Conjunctive and Modal Adjuncts, the Subject of the main clause, hypotactic clauses and projecting clauses.

This section has presented some of the key studies and the contribution these studies have made to workplace English from an SFL perspective. The present study aims to extend this existing body of knowledge and to augment the understanding of the way in which language functions to make meaning in memos, letters and reports. In particular the study focuses on the way in which the writer influences the intended meaning of the message through the choice of Theme. Influencing the intended meaning of the message is related to exploiting status, identity, power and control through linguistic resources.

2.8.3 Status, power and identity in workplace written texts

Barbara and Scott (1999) with reference to workplace English texts state: "As bedtime reading, they are in themselves about as fascinating as the average insurance contract" (Barbara and Scott, 1999:227). This sentiment could also be true of the 'average' business memo, letter and report. However, as Fairclough (1992) argues, discourse is socially constitutive. Discourse inherently instantiates social power and identity, especially in a situation where 'control', 'status' and 'success' are related to communicative ability. Fairclough (1992, 1995), Clark (1995), Clark and Ivanič (1997) and Ivanič (1998), Wodak, and Meyer, (2001) Weiss, and Wodak, (2003), among others work within the tradition of Critical Discourse Analysis (CDA). CDA practitioners believe that "it is mainly in discourse that consent is achieved, ideologies are transmitted, and practices, meanings, values and identities are taught and learnt" (Fairclough, 1995:219). Proponents of CDA analyse discourse which involves investigating language and the way in which power and ideology are intrinsically embedded within the language (Coffin, 2001:99).

When considering the language of memos, letters and reports and how such texts instantiate status, power, identity and writer viewpoint, the discourse becomes an intriguing and stimulating field of study. Du-Babcock and Babcock (1995) and Iedema (1997, 1998, 1999, 2000) both stress that "status, hierarchy and power always affect organizational

communication" (Du-Babcock and Babcock, 1995:3). Fairclough (1992) argues that discourse contributes to the construction of three aspects: (1) the identity, individual's or group's, of those involved in the discourse – this is commonly referred to as 'social identities', 'subject positions' and 'self'; (2) the social relations between people; (3) the systems of knowledge and beliefs (Fairclough, 1992:64). Thus, following Fairclough, written discourse in the business world would be seen as being highly pervasive in determining identity, social relations, knowledge and beliefs. Creating an identity through discourse, and in this particular case writing, is, according to Clark and Ivanič (1997), "not an option: whatever we do consciously or subconsciously makes a statement about our identity" (1997:143). Ivanič (1998) adds that

> Every time people write, they reaffirm or contest the patterns of privileging among subject positions which are sustained by the relations of power in the institutions within which they are writing.
>
> (Ivanič, 1998:33)

Ivanič discusses writing within an institutional tertiary context, but such views of writing are also appropriate in wider institutional settings (Drew and Sorojnen, 1997). This notion of power, status and identity is central to understanding the way in which 'correct procedure and control' are maintained in the workplace. An exploration into how 'control' is achieved through linguistic choices is essential in order to understand the semiotic nature of the workplace. An SFL approach in combination with the ideas presented by Fairclough (1992, 1995), Clark and Ivanič (1997), Ivanič (1998) and others working within the CDA tradition will lead us forward in understanding the way in which language makes meaning.

2.9 Concluding remarks: Situating the present research

The need for further research into the authentic language of the workplace has been increasingly recognised in recent years. The great majority of the studies undertaken are motivated by the recognition of the need to develop materials for teaching about authentic contexts. Findings from two earlier projects, EWM and CPW, indicate that the most frequently used documents in organisational contexts are memos, letters and reports. These findings were reported based on research undertaken for the EWM project in 1994-1995, and the CPW project in 1995-1996. During this period, e-mails, which have been stated above as being one of the most popular text types, were not as frequent as they perhaps are today.

There is a considerable body of research literature on letters and reports; memos are less widely discussed, but Iedema (1995, 1997, 1999) provides an in-depth analysis of such texts. The research on letters and reports informs the present study while Iedema's work also provides a model for the analysis of context. Current research on social and contextual factors affecting texts and their interpretations is considered necessary for an understanding of the way in which texts are written and used in the workplace.

A wide range of models of language can be seen to underpin the recent , and the important contribution of the ESP tradition in particular is recognised. The present study, however, presents a justification for adopting a Systemic Functional Linguistic model of language. Within this approach arguments for an analysis of Theme have been presented. These arguments are detailed in Chapter Three.

Chapter 3:
Definition and Identification of Theme

This chapter outlines the theoretical assumptions underlying the notion of Theme in the present study. Halliday (1994) hypothesises that the basic organising principle of language is 'functional', and he proposes three 'metafunctions' to account for its organisation: an ideational, a textual and an interpersonal metafunction. Halliday further contends that looking at actual texts as the instantiation of language through the prism of the meta-functions will help us understand the way in which meaning is made through language. The focus of this study is the textual metafunction, and the way in which certain interpersonal meanings, i.e. meanings that belong to the interpersonal metafunction, are embedded within the choice of Theme in a clause complex (the 'sentence' of traditional grammar). The study aims to discover whether selected Themes in memos, letters and reports reveal both textual and interpersonal features which writers select to convey the intended meaning of a text.

In particular the study is concerned with the following questions relating to the definition, identification, constituent features and multiple functions performed by Theme. The general question is:

1) What function does Theme perform in written workplace texts?

Before attempting to answer this general question, it is clear that more specific questions need to be addressed, including:

2) Where should the boundary between Theme and Rheme be drawn?
3) What, if any, are the major issues related to establishing this boundary?
4) How can different Theme choices be labelled?
5) What are the constituent elements of Theme and what function does each perform?

As the chapter develops it becomes clear that even more specific questions require answers such as:

6) How does extended Theme function in the texts?
7) What evidence is there that the choice of Theme is genre-related?
8) What linguistic resources are used to realise and construe interpersonal realisations through choice of Theme?

Research by Davies (1988, 1994, 1997), Martin (1992b), Berry (1995, 1996), Thompson (1994, 1996), Fries (1995a) and others are cited to support the view that the choice of Theme in English workplace texts influences not only the structure of a text, but also meanings of an interpersonal nature.

In Section 3.1, the theoretical framework is established by an exposition of the way in which Theme is understood in this study. The concept of metafunction is outlined and the major features of textual metafunction are introduced. The function of Theme in text, especially its role as a device for structuring text, is then discussed. The various ways in which scholars have defined and identified Theme is considered in Section 3.2. In this section the position adopted in the present study, especially in relation to the decision to consider everything up to and including the Subject of an independent clause as Theme, is outlined. A description of the unit of analysis applied to the data in the present study is provided in Section 3.3. The way in which the different elements constituting Theme are treated, with special reference to the choice of textual, interpersonal and topical Theme, are discussed in Section 3.4. In addition, factors related to the Subject, an obligatory part of Theme, are reviewed. The arguments for including marked Theme as part of extended Theme, and for believing that extended Theme occurs at important stages in the text, are presented in Section 3.5. Finally, a brief summary of the key arguments and concerns related to the definition and identification of Theme is provided in Section 3.6.

3.1 Overview of Theme

3.1.1 Three metafunctions

SFL views language "not as a set of structures but as a network of SYSTEMS, or inter-related sets of options for making meaning" (Halliday, 1994:15, upper case in original). In order to account for this meaning-making potential of language, as introduced in Section 2.7.2, Halliday (1994) proposes three metafunctions at a lexico-grammatical level:

> ideational – "construing a model of experience"
> interpersonal – "enacting social relationships"
> textual – "creating relevance to context"
>
> (Halliday, 1994:36)

These three metafunctions are drawn on simultaneously whenever language is realised. The speaker/writer can be seen to have made lexico-grammatical choices to represent the world,

both imaginary and real, abstract and concrete (ideational metafunction), to convey their relationship to the listener/reader (interpersonal metafunction), and to organise the presentation of their message (textual metafunction). These metafunctions, although fundamental organising principles of language, may also be thought of as 'tools' which enable the linguist to analyse, understand and talk about the linguistic choices made in a given text. The analyst may employ them as tools to 'deconstruct' any message encoded within text in relation to the linguistic realisations in each metafunction.

The present research focuses on the textual metafunction. Within the textual metafunction, however, the choices are inextricably related to simultaneous choices in both the ideational and interpersonal metafunctions. As a consequence, the other metafunctions cannot be completely ignored. As Matthiessen (1995) points out, the textual metafunction allows the ideational and interpersonal features of a text to be understood by the speaker and listener: "it [the textual metafunction] has a distinctive part to play in the overall creation of meaning – one that is oriented specifically towards the creation of meaning in the realm of semiosis" (Matthiessen, 1995:20).

3.1.2 Textual metafunction: Theme and Rheme

Within the textual metafunction the two choices Theme and Rheme form the major system. Theme, for Halliday, is the "point of departure; it is that with which the clause is concerned" (Halliday, 1994:37). Theme is seen as a universal element; in every language there is a means for identifying what the clause is about. Halliday defines Theme as a function where a "special status [is] assigned to one part of it [the clause]" (Halliday, 1994:37). In English, Theme is realised by what is placed in initial position within the clause and this initial position gives the Theme a 'special status' within the clause. For example, the writer has chosen to give special status to *the problem* in Letter 12, clause 14 (wherever possible, examples have been taken from the present study's corpus; in such instances, the text and the clause/clause complex from which the example is drawn is presented):

Example 3.1

The problem	requires continued vigilance.
Theme	Rheme

Letter 12, clause 14

The writer could have chosen a different starting point, but consciously or unconsciously chooses to thematise *the problem*. The special status given to the initial position in English is not a universal trait. Other languages have different ways of marking the Theme of a clause. The Theme of a clause in Japanese, for example, is followed by the particle *wa* or *ga* (Halliday, 1994:37), and in Tagalog the particle *ang* is used to identify the Theme of the message (Martin, 1983).

In English the Theme, the 'point of departure' for the clause, is also one of the means by which the clause is organised as a message. Theme is the 'glue' that structures and binds the ideational and interpersonal meanings. In studies of Theme in children's writing and in writing in the workplace, the choice and representation of Theme is seen as a crucial element related to the success of a text (Martin, 1985/89, 1992b, 1993b; Martin and Rothery, 1993; Berry, 1995, 1996; Stainton, 1996, amongst others). The belief that an understanding of the way in which Theme works can be usefully incorporated into pedagogy is the motivation behind this and many other studies of Theme.

Theme, then, is seen to play a crucial role in focussing and organising the message and to contribute to the coherence and success of the message. Martin (1992b) argues that the choice of what comes first is "a textual resource systematically exploited" to effect different patterns (Martin, 1992b:12). Martin adds that the different patterns and meanings made by the choice of Theme can be manipulated and exploited, consciously or unconsciously, by the writer in order to convey their 'angle' or viewpoint. In more recent work, Martin (2000b) and Martin and Rose (forthcoming) suggest that Theme and many other features in a text function to construe the writer's viewpoint. In Example 3.1, the writer has chosen *the problem* as the Theme of the clause in order to emphasise its importance. In contrast the writer could have chosen a number of different options as the starting point of the message. For example, the writer could have chosen:

Example 3.2

You	are required to be vigilant with this problem.
Theme	Rheme

Each choice of Theme represents a different starting point for the message conveyed in the clause. In Example 3.2, the agent *you* has thematic status within the organisation of the clause, and as the Theme of the clause it carries 'a special status'.

Rheme is everything that is not Theme: it is the part of the clause where the Theme is developed (Halliday, 1994:37). A message structure in English is comprised of a Theme plus a Rheme. There is an order to the structure: Theme comes first, followed by Rheme, and whatever is placed in initial position is Theme (Halliday, 1994:37). In many instances Rheme is related to New Information, while Theme is related to Given Information. Given refers to what is already known or predictable, while New refers to what is unknown or unpredictable. Halliday elaborates the distinction between Given and New as "information that is presented by the speaker as recoverable (Given) or not recoverable (New) to the listener" (Halliday, 1994:298). Martin (1992a) also points out that Theme is equated with "what the speaker is on about" while New is the structure which is "listener-oriented" (Martin, 1992a:448). Halliday adds that although the two pairs of clause functions, i.e. Theme/Given and Rheme/New, are similar, they are not the same thing. Theme realises the 'angle' of the story and the New elaborates the field, developing it in experiential terms (Martin, 1992a:452). Martin (1992a) also adds that Theme is generally restricted to grounding the genre of the text, while the New is not restricted in this way and is far more flexible. As interesting as the interaction between these two pairs of concepts is, an investigation into Given and New is beyond the scope of the present study.

3.1.3 Function of Theme

Although there are some disagreements between scholars regarding the boundary between the functional constituents Theme and Rheme, there is general agreement regarding both the function of Theme and its importance. As noted above, Theme gives a special status to a chosen part of the clause – it helps organise the message and plays a crucial role in the success of a text from a reader's perspective. It also helps construe the intended interpretation of the clause and the text as a whole. In addition, it is commonly understood that Theme is important since it extends the analysis of a text beyond the grammatical structure of individual clauses or sentences to the unit of text. Theme incorporates, at a higher level, the author's aims in participating in discourse. Davies (1988) points out that Theme

> may be seen at a level between the grammatical constraints on allowable sentence patterns, and the high level, goal oriented discourse constraints.
>
> (Davies, 1988:179)

This highlights not only the choices with which a writer or speaker is faced, but also the constraints that they must observe. The grammatical constraints in question are those

which structure both written and spoken English in different genres. The discourse constraints are more abstract than the grammatical constraints, and are related to the idea of the social context in which the discourse is produced. Plum (1988), Martin (1992a:453) and Fries (1995a) agree with this notion and believe that the thematic choices to some extent are influenced by a genre. Plum (1988) and Fries (1995a) both point out that Theme choices are not only influenced by the genre, but that particular stages within a genre influence the choice of Theme. Thematic choice must take generic conventions into consideration. For example, in the context of an English business letter written to an influential client in a very formal organisation within the UK, USA or Australia, it would appear very strange if the writer used Themes such as: *as my friend said, yeah it would be true to say, so sorry that I,* etc. According to McCarthy (1998), such Themes are found within the context of spoken informal English. They are not commonly expected Themes in formal written workplace texts. As Davies (1988) and Fries (1995a) comment, the writer must take into consideration the 'real world' situation in which the reader may receive the information. Concerns related to the genre and the intended audience will influence the choice of Theme.

Martin (1992b) notes that the choice of Theme "constructs a particular angle of interpretation on the topic of each text which resonates with other aspects of discourse organisation" (Martin, 1992b:12). Therefore, in the examples above, putting either *the problem* or *you* in initial position, and thus making either an abstract nominal group or a personal pronoun – both realising the Subject in their respective clauses – the starting point of the message helps construct, in combination with other features in the text, the 'angle' with which the message will be interpreted by the intended reader. Depending on the context, either of the Examples 3.1 or 3.2 may have more or less influence on the intended reader's decision whether *to be vigilant* or not.

There are many resources which help construct the angle of the intended meaning. The choice of the Subject of the main clause, which in this study is analysed as part of Theme, is one resource for organising the message. Who or what holds modal responsibility in the main clause is made clear within the clause and plays a crucial role in the construction of the meaning of the clause (Iedema, 1995, 1999, 2000). The notion of modal responsibility is discussed further in Section 3.4.3. Textual and interpersonal Themes, discussed in detail in Sections 3.4.1 to 3.4.3, also influence the reader's interpretation of the text. A Theme

can either be a simple Theme where only the Subject realises the Theme, or what Halliday (1994:52-54) terms a 'multiple Theme', where a textual and/or interpersonal Theme is placed before the topical Theme.

Another feature which affects the way in which the Theme is interpreted is 'markedness', e.g. by choosing to place a(nother) Theme before the Subject of the main clause, this Theme becomes a 'marked' Theme (since the clause Subject is always considered the unmarked Theme; see Section 3.5 for examples). These marked Themes may be realised by a variety of grammatical elements, namely Circumstantial Adjunct, hypotactic enhancing clause, projecting clause and Complement. The Complement is a nominal group that is not functioning as Subject, but could be the Subject if the order were changed (Halliday, 1994:44). Theme, then, is seen to contribute to the construal of a text's meanings, to the organisation of the ideas in a text, and to a reader's interpretation of the message.

Theme enhances the understanding of language at various levels:

clause	–	Theme helps in understanding the starting point of the message.
text	–	Theme helps us understand the way in which the message is organised, and it is a major device that helps us understand a text as coherent.
genre	–	Theme helps us understand some of the generic conventions which exist in a given genre. For example, Coffin (1997:218-9) cites hyper-Theme choices such as "One major effect of World War II", "Another effect of the war", "A third consequence of the war" as hyper-Themes of a history text.

Theme is valuable both as an analytical tool and a pedagogic resource. As Matthiessen points out, Theme is "a resource enabling the ideational construction of 'knowledge' organized into instantial ideational systems" (Matthiessen, 1995:20). At the same time, the textual metafunction acts as an 'enabling' resource so that it is possible for each clause to be interpreted (Matthiessen, 1995:20). The analysis of the choice of Theme and, by default, the choice of Rheme, allows the analyst to discuss linguistic choices which are crucial to the organisation, interpretation and construal of meaning.

While Theme has been investigated in a range of genres, only limited research has been carried out at a lexico-grammatical level into authentic workplace texts, the examples being Davies (1994, 1997), Berry (1995, 1996), Iedema (1995, 1997) and Stainton (1996).

Workplace texts, as pointed out in Chapter Two, play a central role in the language taught at primary, secondary and tertiary levels. Training in workplace English, and the production of texts of workplace English, is also an expanding market. In applied linguistics, discussions of the language, communication patterns and discourse of workplace occupy a prominent place. However, not much is known about the lexico-grammar of workplace texts.

3.2 Theme and Rheme

3.2.1 Halliday's definition of Theme

The most common approach to identifying Theme in a clause is based on Halliday (1994), who states that "Theme extends from the beginning of the clause and up to (and including) the first element that has a function in transitivity" (Halliday, 1994:53). Thus, according to Halliday (1994), the Theme of a clause "ends with the first constituent that is either participant, circumstance, or process" (Halliday, 1994:52) and Rheme is "the remainder of the message" (Halliday, 1994:67), i.e. everything which is not Theme. Examples 3.3 and 3.4 illustrate the way in which Halliday identifies Theme and (by implication) Rheme in the clause:

Example 3.3 Unmarked Theme

China	started its massive programme of tax reform as part of an overall economic restructuring in January 1994.
Theme	Rheme

Example 3.4 Marked Theme

In January 1994,	China started its massive programme of tax reform as part of an overall economic restructuring.
Theme	Rheme

Report 6, Clause 4

We may interpret Example 3.4, following Halliday, as the writer having made the date the Theme of the clause – perhaps to remind the reader of action which occurred previously. In Example 3.4, the first element with a 'function in transitivity' is not the Subject, but a Circumstantial Adjunct of location: time, *in January 1994,* and because it has ideational force, Halliday identifies this element as Theme. (A discussion of Circumstantial Adjuncts occurs in Section 3.5.2.) Furthermore, since Halliday considers any clause element coming before the Subject in the clause a 'marked' Theme, the Circumstantial Adjunct *in January*

1994 is a marked Theme in this clause. In this example, it follows that the Subject in this clause, *China*, is part of Rheme (rather than part of Theme) since the function of Theme is not merely realised by the Circumstantial Adjunct but 'exhausted' by it. On the other hand, in Example 3.3, the Subject of the clause, *China,* is the first element with a 'function in transitivity' in the clause, and thus it is not only Theme but also considered the 'unmarked' Theme. The present study diverges from Halliday in the identification of Theme and the reasons for this are given below. In the corpus texts marked Theme features quite prominently and a more detailed discussion of marked Theme is presented in Section 3.4. Findings related to marked Theme in the present data are presented in Chapters Five and Six.

3.2.2 Alternative definitions of Theme

Although most scholars follow Halliday (1994) in their analysis of Theme, alternatives do exist and these are discussed below.

Building on Halliday's work on Theme, Berry (1995, 1996) argues that Theme need not necessarily be only the first ideational element in a clause. If only the first ideational element is analysed as Theme, Berry (1996) suggests, then some co-referential elements will not be captured by an analysis of Theme in a text. She claims that "the priority concerns, discoursal or causal, of a speaker or writer need not be ideational" (Berry, 1996:19), and that the writer may choose to select a feature as Theme because it relates to the surrounding text, or the concerns of the immediate clause, or something more closely related to the reader's concerns. Berry states that when conducting an analysis of the thematic choices in a text, she is more interested in its interpersonal and textual features and that extending the boundary of Theme aids her understanding of such features. In some cases, she argues that the Theme can be seen to act as an interpersonal Theme at a discourse level, and that such interpersonal Themes will influence the meaning of a number of clauses or a paragraph. Therefore Berry, along with Davies (1988, 1994, 1997), Stainton (1993), Ravelli (1995) and others, argues that the boundary of Theme needs to be extended to include some elements relegated to Rheme in Halliday's style of analysis.

Stainton (1993) argues not only for the Subject to be included in Theme but also the auxiliary verb. Berry's position (1996) takes her further still, proposing that the lexical verb may be included as part of Theme as well. She argues that by including the lexical verb

within the Theme, the Theme will then include prioritised interpersonal meaning. Berry adds that by including the lexical verb, the Theme is seen to represent "the part of the clause associated with the speaker's/writer's main communicative concerns" (Berry, 1996:46). However, to date little support has been given to the proposal that the boundary of Theme should be extended to include the auxiliary and/or lexical verb. The case for the inclusion of the auxiliary verb is stronger than that for the lexical verb, because as argued by Halliday (1994), in an interrogative clause the auxiliary verb is included as part of Theme. Berry took a different position on this issue in an earlier paper (Berry, 1995), where she argued that Theme should be extended up to and including the Subject. However, most SFL scholars have been content to advance arguments as to whether or not the boundary between Theme and Rheme should be moved to include the Subject or not, with Davies (1988, 1994, 1997), Matthiessen (1992), Berry (1995), Ravelli (1995), Martin and Rose (forthcoming) all suggesting that Theme should include the Subject.

3.2.3 Subject as an obligatory element in Theme

The main argument in favour of analysing the Subject as part of Theme is that the thematic development of a text may be more easily understood (Davies, 1988, 1997; Matthiessen, 1992; Berry, 1995, 1996; and Ravelli, 1995). Berry (1995) argues that it is only when one starts to analyse everything before (but not including) the main verb as Theme that one can clearly show how a text fits together. The writer may wish to include more than one element as the start of the message. Matthiessen (1992) agrees with Berry that "... experiential Adjuncts may pile up at the beginning of the clause and the effect is clearly one of successive Thematic contextualisation" (1992:50). By including the Subject as part of the Theme, Berry and Davies argue that this 'piling up' of ideational meaning in the initial part of the clause should be investigated further.

The views put forward by Berry, Matthiessen and Stainton are supported by Thompson (1996), and Martin and Rose (forthcoming), in addition to Davies, who argues that non-Subject Themes are 'framing elements' (Davies, 1994:172; 1997:55). Martin (1992a), Davies (1994) and Thompson (1996) among others believe that these elements are used as a signal for showing a step or a stage in the progression of the text, or as a change in focus, whereas Subjects are seen as 'recurrent elements'. Thompson (1996:122) states that an Adjunct in thematic position tends "to serve a particular function in signalling textual organisation". Martin (1992a), and Martin and Rose (forthcoming) agree and state that

marked Theme choices occur at important stages in the text. The recurrent (Subject) elements continue the lexical chains and cohesion throughout the text and marked Themes, called 'framing elements' by Davies (1988, 1994, 1997), generally show a change in topic or progression.

These 'framing elements', which Davies calls 'Contextual Frames', help establish the context of the clause. Davies (1988) points out that non-Subject thematic elements

> ...are seen to serve the distinct function of providing **different frameworks or contexts for the development of the topic** as the discourse proceeds.
>
> (Davies, 1988:177, bold in orig.)

Davies argues that while the Subject of the clause is an obligatory element of Theme, a contextual frame is "optional and is seen to serve the function of signalling changes in the real-world, fictional, or discourse circumstances" (Davies, 1997:55). Davies adds that by considering the Subject as part of the Theme, we can show that Theme has the two potential functions of the "identification of *Topic*, realised by Subject, and provision of *Contextual Frame*, realised by elements preceding the Subject, i.e. Circumstantial Adjunct and/or modal or conjunctive adjuncts and conjunctions." (Davies 1997:55; italics in orig.).

In arguing for a dynamic view of Theme, Ravelli (1995) also argues that what is identified as the Theme of a clause should always include the Subject of the clause. She believes that the Subject is an important element in understanding thematic development and is a necessary part of Theme. In her work on modelling the textual system, Ravelli presents a view of Theme which makes thematic choices clearer. She recommends that "Synoptic and dynamic perspectives need to be interwoven, and both should be applied simultaneously to data to achieve full understanding of text", and that such a model would be of benefit to SFL theory (Ravelli, 1995:191). She views the linguistic choices in a text as being dynamic where whatever is chosen as the Theme, and consequently the Rheme, of a text will affect the way in which the text unfolds. She argues by looking at the decisions that lead to, or follow, the specific point at which the choice of Theme is made, i.e. the *path* leading to the Theme, that the choice of Theme can be understood. Moreover, factors which occurred before or after the decision are seen to affect the decision made at the point of making the choice of Theme. The choices of Theme at particular places in the text can be understood by establishing the factors influencing the decision-making point. Certain paths may lead to a marked Theme being chosen above an unmarked Theme, and

understanding the successive choices, and the local contexts for each choice, would be extremely informative. In part, this is what happens when conducting an analysis of thematic development. Ravelli is calling for a more in-depth analysis related to successive choices; such an investigation would reveal interesting findings, but would be impractical if analysing large corpora.

An analysis of a text which allows the Subject to be considered part of Theme, whether it is preceded by a marked Theme or not, makes it easier to see its thematic development (and to some extent its lexical chains and cohesive patterns), whereas in Halliday's mode of analysis, the Subject Theme in cases of a preceding marked Theme is 'lost' and consequently, at times, so too is the text's line of development. Fries, in reviewing the different approaches concerning what should be included in Theme, posits that the inclusion of the Subject "finesses the issue of exactly how Theme and Subject interact" (Fries, 1995a:15). Fries adds that this interaction is difficult to separate in a number of instances where the Subject and Theme are conflated. Ghadessy (1995) argues that since marked Themes, especially Circumstantial Adjuncts in initial position, are frequently New Information, considering these to constitute all of the Theme obscures the development of the text. An analysis of lexical chains and cohesion does not depend on an analysis of Theme as such an analysis can be carried out without analysing Theme. However, when conducting an analysis of Theme, including the Subject as part of Theme allows the researcher to see the lexical chains, cohesion and all other choices in the Theme which may have occurred, such as a marked Theme choice. Analysing the Subject as obligatorily part of Theme allows us to always see both. The argument in the present study is that Theme can include more than one topical element and that the choice of a second topical element within the clause is a meaningful one which needs to be investigated further.

3.2.4 Topic, Subject and Theme

The discussion so far has involved investigating the different ways in which scholars identify and analyse Theme. Downing (1991) points out that often topic or Subject are equated with Theme and, as Thompson cautions, "it is easy to confuse Theme and Subject since we can say that, in some sense, the clause is about both" (Thompson, 1996:121). Topic also refers to two distinct elements according to Halliday (1994:38) – Theme and Given. As already noted, Theme and Given have two distinct functions. However, these

three terms – topic, Subject and Theme – are not synonymous, and this section attempts to clarify the way in which the terms are used in the present study.

Topic, Downing (1991:121) states, is a "rather elusive category", pointing out that there appears to be a great deal of confusion concerning the notion of 'topic'. A topic can occur at different places within a clause and may even be interpreted differently by different readers. Halliday points out that "The label 'Topic' usually refers to only one particular type of Theme ... ; and it tends to be used as a cover term for two concepts which are functionally distinct, one being that of Theme and the other being that of Given" (Halliday, 1994:38). Topic then is seen as a difficult element to identify as readers may interpret a text differently and disagree about the topic of a particular clause, or a particular clause complex.

While topic may be not be easily defined or identified in a clause, let alone a text, the grammatical Subject is both more easily defined and recognised. This study will not make use of the term topic, and will instead limit itself to the concepts clause grammatical Subject and Subject/Theme. Halliday condenses the history of the different interpretations of Subject over the course of the 20th Century, and summarises the three different functions for Subject: 'psychological' Subject - "that which is the concern of the message"; 'grammatical' Subject - "that of which something is predicated"; and 'logical' Subject - "doer of the action" (Halliday, 1994:31). In some instances all three functions can be conflated, as shown in Example 3.5.

Example 3.5

The duke	gave my aunt this teapot.
psychological Subject grammatical Subject logical Subject	

Example 3.6

This teapot	my aunt	was given	by the duke.
psychological Subject	grammatical Subject		logical Subject

(examples from Halliday, 1994:32)

In other instances, the three functions of Subject can be assigned to more than one participant, as shown in Example 3.6. For the purpose of the present study the grammatical Subject of a clause, whether in a single clause (a 'simplex' to contrast it with a clause

complex) or in the α clause of a clause complex, will be referred to as Subject/Theme, as shown in Examples 3.7 and 3.8:

Example 3.7

The major change of the audit report	is to clearly spell out the respective responsibilities of the auditor and the auditee for the financial statements.
Subject/Theme	Rheme

Memo 27, clause 5

Example 3.8

Whilst City Council do have responsibilities for Environmental Health,	they	do not have responsibilities for the delivery of primary health care services to the people of the City.
marked Theme	Subject/Theme	Rheme

Letter 3, clause complex 2

Example 3.9

but	at that time,	of course,	we	will follow Personnel's guidance as always, to make sure we are doing everything fairly.
textual Theme	marked Theme	Interpersonal Theme	Subject/ Theme	Rheme

Memo 2, clause complex 23

The term Subject/Theme has been borrowed from Martin and Rose (forthcoming) who use it in their discussion of marked Theme (see Section 3.5). Subject/Theme is distinct from textual and interpersonal Themes, which precede it and which, together with Subject/Theme, constitute a multiple Theme. Halliday points out that the unmarked Theme is the default choice and the Subject is usually "chosen as Theme unless there is a good reason for choosing something else" (1994:4). He continues to define marked Theme as "a Theme that is something other than the Subject", that is, when an ideational realisation is chosen in initial position which is not the Subject. In the present study, the term marked Theme will be used to refer to ideational elements which precede Subject/Theme, but the Theme of the clause/clause complex may include more than one ideational feature as Theme will always include the Subject. As shown in Example 3.9, there are two ideational elements realised in the Theme: a Circumstantial Adjunct of location: time, *at that time*, and the Subject/Theme, *we*. A distinction needs to be made in the discussion of Theme between the possible elements which can be realised in Theme, as Theme may include far

more than Subject alone. The thematic choices of Subject/Theme, textual Theme, interpersonal Theme and marked Theme and how they relate to the present study are discussed in more detail below.

3.2.5 Theme in the present study

Within SFL there is general agreement about the function and definition of Theme. However, there appear to be differences in the identification of Theme, and especially in the identification of subcategories of Theme. As always, it is possible for an analyst to adopt a working identification of Theme which will vary with the purpose of the analysis, and also to some extent with the type of text being analysed. The identification of Theme and thus the resulting analyses will also vary if Theme is analysed at different ranks or rather for different lexico-grammatical units, i.e. clauses vs. clause complexes. The researcher needs to designate the unit of analysis and establish clear criteria for identifying Theme, as different methods of identification of Theme will result in different findings.

According to Halliday (1994), Theme is realised by the first element of the clause up to and including the first ideational element. Departing from this, in the present study the 'special status' assigned to the starting point of the message may include more than one ideational element, which means by definition the Subject of the main clause will be included in the Theme. In addition, Subjects which are found after the verb of the independent clause will not be analysed. If the Subject of the independent clause has been ellipsed, then the ellipsed Subject will be noted and analysed as ellipsed.

In assigning the Subject and all that precedes it to the category of Theme, certain nuances of the text may be overlooked. For instance, as noted in Example 3.4, Halliday and others argue that a Circumstantial Adjunct coming first in the clause constitutes its ideational Theme and the Subject following it constitutes part of Rheme. Scholars adhering to this position argue that if the Subject is not in initial position in the clause, then this demonstrates a choice by the writer or speaker to highlight another element of the clause as its Theme. However, by analysing Theme up to and including the Subject, other elements such as Circumstantial Adjunct, which may occur before the Subject, along with the Subject are all classified as Theme. This interpretation of Theme takes into consideration this loading of ideational elements in the choice of Theme. This study adopts the position

advanced by Davies (1994, 1997), Ravelli (1995) and Berry (1996), who identify as Theme any ideational element up to and including the Subject.

Any analysis that varies from those of other scholars in what it recognises as Theme will produce different results, but as the main function of an analysis of Theme is to show the way in which the text makes meaning through its choice of Theme, such variation in modes of analysis has to prove its worth by the results it achieves. The position adopted in this study is that by making the Subject obligatorily (part of) Theme, we will be able to more clearly show the way in which a text is structured. It may be that authors of memos often put Circumstantial Adjuncts of location: time before the Subject or, as Matthiessen (1992:50) points out, certain text types may produce a 'loading' of Circumstantial Adjuncts in the Theme. As Thomas and Hawes (1997) state, "an item in Subject position serves as a more effective prompt for what a passage is about than another item which is not the Subject of the sentence ... This suggests that the grammatical Subject is closely associated with what the message is about" (Thomas and Hawes, 1997:35). In other words, if an element is in Subject position, it is highly relevant to the meaning of the clause, i.e. to the 'aboutness' of the clause, and to the structuring of the message. Such meanings are the (textual) focus of the present study. The meanings construed in the Rheme are essential meanings conveyed by 'new information'; they may well be the message itself, but they are not the focus of the present study.

Moreover, Cope and Kalantzis (1993:9), in presenting a history of the genre movement and its application to pedagogy, point out that "the divergences are the essence of the vitality of the genre literacy movement" (Cope and Kalantzis, 1993:9). They argue that sometimes it is just a matter of talking about different things, or looking at something from a different perspective. However, the fundamental aim of SFL has been to offer a theoretical and pedagogic resource which goes beyond the traditional and progressive models. Keeping SFL constantly in touch with other approaches, or looking at texts from different SFL perspectives, necessarily adds to this theory of language. Thus, by adopting a method of analysis where Theme includes Subject, SFL takes on another perspective in the understanding of texts and the way in which they are structured. This study does not propose that Davies, Berry and others are necessarily 'right' in their description of Theme, but adopts their approaches as 'another way of looking at the same coin', bringing to bear multiple perspectives on our understanding of the meaning of text. Berry, Davies and

others who stretch the boundaries of SFL strongly believe in SFL as a theory of language – they are simply arguing for space within that theory.

3.3 Unit of analysis

Theme can be analysed as an element of either the clause or the clause complex. Martin advocates analysing Theme in relation to the clause, clause complex, paragraph and text (Martin, 1992a). Whichever unit one chooses to analyse, Fries and Francis (1992) recommend that "the choice of unit must be governed by the purposes of the investigator" (Fries and Francis, 1992:47). The purpose of the present research is to provide information which can later inform pedagogy. Whittaker (1995), whose analysis was also pedagogically motivated, believes that the clause complex or "orthographic sentence" was the best choice for the unit of analysis as it was easily recognisable by students with little or no knowledge of grammar (Whittaker, 1995:107). She added that research into reading considers the sentence as the main unit used by readers to process written texts. The fact that readers with no grammatical background can recognise the sentence as a complete unit is critical, and has led to the adoption of the clause complex as a unit of analysis.

Fries and Francis (1992), Berry (1995), Fries (1995c), Whittaker (1995), Thompson (1996) and Davies (1997) argue for the independent clause to be the unit of analysis. For example, Fries and Francis argue that

> if one chooses to examine only the 'main' clauses within a clause complex (i.e. paratactic sequences and primary clauses in hypotactic sequences, with beta clauses forming part of Rheme), then it becomes easier to discern the method of development and thematic progression of the text.
>
> Fries and Francis (1992:47)

The clause complex, in the present study, refers to an independent clause which may be followed or preceded by one or more dependent clauses, i.e. a clause complex with either an alpha ^ beta (α^β) or a beta ^ alpha (β^α) structure in the notation introduced by Halliday (1994). In a clause complex where there are two or more paratactic clauses, for example an alpha ^ alpha (α^α), or alpha ^ beta^ alpha (α^β^α), each alpha clause has been analysed separately for its thematic structure. In this study, following Fries and Francis, the approach taken is to "ignore the Themes of hypotactically related (subordinate clauses)" (1992:47) if they follow the independent clause, as shown in Example 3.10:

Example 3.10

Alternative arrangements	must be considered	if the unit cannot service their needs.
independent clause α		dependent clause β
Subject/Theme	Rheme	

The dependent clause in such a clause complex is considered part of the Rheme. Although of course it still has its own thematic structure, in practice the reason for not analysing the dependent clause is that, as Fries and Francis (1992:47) point out, "the structure of beta clauses, including their thematic structure, tends to be constrained by the alpha clauses", and we are thus justified in ignoring a dependent clause following the independent clause on which it depends. Halliday's claim that "the main contribution comes from the thematic structure of independent clauses" (Halliday, 1994:61) also supports the position adopted in this study.

On the other hand, in a clause complex where the dependent clause is followed by the independent clause on which it is dependent, i.e. a beta ^ alpha (β^α) structure, the dependent clause plus certain elements of the following independent clause will be identified as Theme, as shown in Example 3.11:

Example 3.11

If the unit cannot service their needs then	alternative arrangements	must be considered.
dependent clause β	independent clause α	
extended Theme		Rheme

Report 3, clause complex 100

In a β^α clause complex, then, the dependent clause is considered the (marked) Theme of its clause complex, following Halliday (1994) in this regard, and the elements in the following independent clause up to and including the Subject (itself considered an obligatory part of the clause Theme) are considered the Theme of the clause. In support of Halliday, Thompson (1996) points out that the analysis of the text "emerges more clearly if dependent clauses in initial position are taken as the point of departure for the whole clause complex" (Thompson, 1996:132). In this study both the Theme of the clause complex, i.e. the dependent beta clause, and the Theme(s) of the independent alpha clause, i.e. Subject and any marked clause elements preceding it, (including Circumstantial Adjunct,

Complement, conjunctives and relatives), are considered 'one' Theme, and identified as 'extended Theme', as shown in Example 3.11.

In analysing the Theme of independent or alpha clauses, one exception is made to the way in which projecting and projected clauses are analysed. Projecting clauses found in initial position in the clause complex, it is argued, should be considered as interpersonal Themes in the clause complex because such clauses are seen to be construing writer viewpoint. It should be noted that this thesis is only concerned with discussing projecting clauses which are in initial position and which are hypotactically related to the projected clause. Therefore, from this point onward, unless stated otherwise, all references to projecting clauses refer to projecting clauses in initial position which are followed by a hypotactic projected clause. When a projecting clause is followed by the projected clause, the projecting clause and the Subject (and anything preceding the Subject) of the projected clause constitute the Theme of the clause complex, as shown in Example 3.12:

Example 3.12

I can assure you that	the Government	share your concern about violence at football matches
projecting Theme	Subject of projected Theme	Rheme
extended Theme		

Letter 12, clause complex 2

The rationale and justification for this is presented in detail in Chapter Six.

In the case of a clause which has no relation to any other clause in an orthographic sentence or clause complex, the Theme is considered to include all elements up to and including the Subject, as shown in Examples 3.13 and 3.14:

Example 3.13

The library	cannot meet the present increasing level of demand from existing resources.
Subject/Theme	Rheme

Report 3, clause 67

Example 3.14

As part of our internal library study	a questionnaire	was sent out to UK Higher Education libraries.
Circumstantial Adjunct	Subject	Rheme
marked Theme	Subject/Theme	
extended Theme		

Report 3, clause 68

Following the approach taken with a single clause, in the case of paratactic clause complexes each clause will be analysed with respect to its own thematic structure, as shown in Example 3.15:

Example 3.15

The County Council	are now appealing on the decision of the Court of Appeal to the House of Lords [sic]
and the hearing	is scheduled for 12th June 1995.
Theme	Rheme

Report 4, clauses 52 and 53

Clauses 52 and 53 in Example 3.15 are independent but linked paratactically, and are thus analysed as each having their own Theme.

In this study, therefore, the unit of analysis is:

- a single clause structurally unrelated to any other
- where the clause complex comprises of two or more independent clause (α^α structure), the Theme of each independent clause will be analysed for its own thematic structure
- where the clause complex comprises a dependent clause preceding an independent clause (β^α structure), both clauses, i.e. β and α clauses
- where the clause complex comprises an independent clause followed by one or more dependent clause(s) (α^β structure), only one clause, i.e. α clause
- where projecting clauses of a hypotactic nature are found in the Theme position, the projecting clause and the Subject of the projected clause

Both the clause and the clause complex have thematic structures appropriate for analysis. The departure in this study from some other approaches lies in analysing a dependent clause in a β^α clause complex as part of a larger Theme that encompasses both the independent β clause and the independent α clause on which the β clause is dependent, such a Theme being defined as 'extended Theme'. In this way it is hoped that thematic patterns of interest for pedagogy may be revealed.

3.4 Textual, interpersonal and topical Themes

3.4.1 Textual and interpersonal Themes

The Theme of a clause includes an obligatory topical Theme and may also include optional features such as textual and interpersonal Themes. Textual Themes help structure the text by developing links to other clauses and are realised by Conjunctive Adjuncts, e.g. *and*, *however*, conjunctions, e.g. *before*, *after* and relatives, e.g. *how*, *which*. Interpersonal Themes function to explicitly construe writer viewpoint and are realised by Modal Adjuncts, e.g. *unfortunately*, *in my opinion*, *generally*. The one feature they have in common, Halliday notes, is that they do not exhaust the potential of Theme and cannot be counted on their own as the Theme of a clause.

Textual Themes are typically thematic since they relate the clause to the preceding text and thus usually come first in order to realise this linking role. Textual Themes such as Conjunctive Adjuncts (*however*, *in conclusion*, *as a result*) are typically thematic, although they can occur other than in initial position in a clause. They signal the coherence of the text, being concerned with the way in which the meaning expressed in one clause is related to that expressed in another, and are thus textual in nature. Halliday (1994:49) presents a list of Conjunctive Adjuncts, together with text examples, as shown in Table 3.1. In the first column, Halliday groups the Conjunctive Adjuncts into three groups: I, II and III. Although he does not explicitly state the rationale for this numbering, from the grouping it can be inferred that the three groups realise elaboration (I), extension (II), and enhancement (III).

Table 3.1 Conjunctive Adjuncts

	Type	Meaning	Examples
I	appositive	'i.e., e.g.'	that is, in other words, for instance
	corrective	'rather'	or rather, at least, to be precise
	dismissive	'in any case'	in any case, anyway, leaving that aside
	summative	'in short'	briefly, to sum up, in conclusion
	verifactive	'actually'	actually, in fact, as a matter of fact
II	additive	'and'	also, moreover, in addition, besides
	adversative	'but'	on the other hand, however, conversely
	variative	'instead'	instead, alternatively
III	temporal	'then'	meanwhile, before that, later on, next, soon, finally
	comparative	'likewise'	likewise, in the same way
	causal	'so'	therefore, for this reason, as a result,
	conditional	'(if ...) then'	in that case, under the circumstances, otherwise
	concessive	'yet'	nevertheless, despite that
	respective	'as to that'	in this respect, as far as that's concerned

(Halliday, 1994:49)

Textual Themes also include conjunctions and relatives, which commonly occur in thematic position. Conjunctions are different from Conjunctive Adjuncts as they not only establish semantic relationships between meanings, but are grammatical in that they "construct two parts into a single structural unit" (Halliday, 1994:50). Relatives also relate one clause to the previous clause, and may function as Subject, Adjunct or Complement within the clause. They are not a separate word class; they are nouns or adverbs.

Modal Adjuncts are intrinsically interpersonal in nature, adding information that reflects the writer's or speaker's judgement. Interpersonal Themes are not necessarily obligatory elements of Theme as they can occur in other positions in the clause. However, as Halliday points out, they are commonly in thematic position because "If the speaker includes within the message some element that presents his or her own angle on the matter, it is natural to make this the point of departure: 'I'll tell you what I think'" (Halliday, 1994:49). Modal Adjuncts have two sub-types, Comment Adjuncts and Mood Adjuncts. Comment Adjuncts are realised by expressions which comment on the clause as a whole, such as *generally*, *unfortunately* (this can be compared to the traditional term 'disjuncts' by Quirk et al. (1985:612-31)). Mood Adjuncts are more commonly linked to the Finite within the clause, for example *of course*, *in my opinion*, *in general*. Examples of Modal Adjuncts following the list outlined by Halliday (1994:49, Table 3(3)) can be found in Table 5.3, Section 5.2.

If a textual Theme, Modal Adjunct, Conjunctive Adjunct, conjunction or relative occurs thematically, it "may not exhaust the thematic potential of the clause" (Halliday, 1994:52), and is thus considered only part of the Theme in the clause. Therefore a Theme may comprise several Themes, i.e. textual, interpersonal and topical Themes, and such a composite Theme is referred to as 'multiple Theme' by Halliday (1994).

The present study follows Halliday (1994) in that Modal Adjuncts, Conjunctive Adjuncts and relatives occurring thematically are not considered marked Themes (what is meant by marked Theme is discussed in Section 3.5). Following Halliday (1994:54), Conjunctive Adjuncts and relatives are considered to add textual value, and are thus considered textual Themes, while Modal Adjuncts are considered interpersonal Themes within a multiple Theme. While these Adjuncts may be part of the Theme, they do not exhaust the potential of Theme; instead, along with the Subject, they are considered to be a part of a 'multiple Theme' comprising textual, interpersonal and topical Themes.

A topical Theme is an obligatory part of Theme. Following Halliday (1994), Theme will include everything up to the first topical (ideational) element. In the present study, as previously noted, Theme will include everything up to and including the Subject. A topical Theme can be realised by a Circumstantial Adjunct, e.g. *in October*, *after the meeting*, *tomorrow*, etc., a participant, e.g. *The Director of Housing*, *the programme*, or a process, e.g. *decide*, *to be examined*, *obtain*. Generally for a process to be the Theme, i.e. for a process to be the first ideational feature in a clause, it is part of an imperative structure, e.g. *please ensure*. In this example, as is usual in imperative clauses, the Finite *will* and Subject *you* have been ellipsed. Topical Theme is a term used to refer to any or all of the above features which are found in the Theme of a clause or clause complex.

3.4.2 Is the Theme interpersonal or topical?

In many cases, topical and interpersonal Theme are realised simultaneously by the same word or phrase. For instance, *we* typically represents the views of the participant, an animate Subject, as in *we - the company*, where *we* is experiential and topical Theme. On the other hand, if *we* refers to both author and reader, i.e. it is an inclusive *we*, then it should be considered interpersonal in nature, as suggested by Berry (1995, 1996). Personal pronouns which refer to both the reader and the writer, such as *you* and *we*, which are commonly analysed as topical Theme if in initial clause position, could also be analysed as interpersonal Theme (Berry, 1995:64).

Personal pronouns commonly straddle the line between the interpersonal and the ideational metafunction; examples of either ambiguity or true double encoding are *you*, *your*, *our* and *us* in *let's*. Here both the intended reader and the writer are the topic and are thus functioning as ideational elements, but simultaneously the pronouns contribute to the development of an interpersonal strand in the text.

Other grammatical choices also play an interpersonal role in the linguistic realisations of shared knowledge; the use of imperatives, for example, is inherently interpersonal. In the present study, it is argued that projection is also functioning in an interpersonal manner, by construing writer viewpoint either in an explicit manner, e.g. *I believe*, where the personal pronoun *I* explicitly marks the writer's viewpoint, or in a more implicit manner, e.g. *it is believed*, where the *it*, to some extent, appears to be more objective. Projection and its relationship to interpersonal meaning is discussed in depth in Chapter Six. This study aims

to discuss in detail the way in which the writer influences the intended meaning of a text through their choice of Subject – not only through the use of personal pronouns but also through other features chosen as Subject.

For the purpose of the present analysis, although it is understood that these personal pronouns construe interpersonal meanings, these items have been coded as meta-functionally ideational and thus as topical Theme. For example, when personal pronouns are the Subject of an independent clause, they function both ideationally and inter-personally within the clause complex. The interpersonal characteristics of such linguistic choices are returned to in the discussion of the texts and the findings in Section 5.3. It is noted that these personal pronouns are seen to be performing two functions at the same time, namely realising both the interpersonal features and the ideational topic.

In addition, as pointed out by Thompson and Thetela (1995), personal pronouns not only subsume both interpersonal and ideational meanings, they also 'project' and 'enact' roles for the reader. Personal pronouns are one method of assigning certain roles to the two (or more) people involved in the text. These assigned roles are called 'enacted roles' by Thompson and Thetela (1995:108). The writer, through their choice of declarative, inter-rogative or imperative, and depending on the context, establishes the role for the speaker / reader, i.e. whether the clause and the clause participants are giving/demanding information or giving/demanding services. In a memo, for example, the participants could be placed either in the role of giver or demander of information by the writer's selection of a declarative or interrogative clause. Projected roles refer to the explicit labelling of the interlocutors. In Thompson and Thetela's (1995:108) example *you can use it to guarantee cheques up to £100*, the enacted and projected roles combine in that the *you* is a participant both in the clause and the language event, i.e. *you* is the reader and also the Actor in the process of guaranteeing a cheque. This clearly demonstrates that the writer may choose both the type of role they wish to project for the reader and who will be enacting the role instantiated in the clause.

3.4.3 Subject/Theme

The enacted role and projected role chosen as the Subject/Theme are influential in deter-mining the inscribed meaning and the interpreted meaning of a text. The Subject/Theme, as established above, refers to the grammatical Subject of the α clause (with the exception of

projecting Themes). Subject/Theme may include realisations such as personal pronouns, e.g. *I, you, we, they*; reference items, such as demonstratives and anaphoric nouns, e.g. *this, that*; Subjects that have been ellipsed from the clause, such as in imperative clauses, e.g. *you, in [you should]*, see Appendix II; Subjects, such as *what* in *What is the best way forward?*; and nominal groups, e.g. *the Landlord, the incinerator.*

Included in the analysis of Subject/Theme is its possible expansion through resources which add further descriptive information to it, e.g. through post-modification. Some examples of post-modification are: *the role of the unit [[in serving the teaching needs of faculties not based at the Frenchay Campus]], the amount of waste [[disposed of via this route]], the Hotel owners, [[Messrs Cheung and Foo]].* The double square brackets here show that the information inside these brackets is postmodifying the noun. The Subject/Theme can include any or all of the following functions: Deictic, e.g. *any* in *any of the institutions*; Numerative, e.g. *all* in *all gain on capital tax*; Epithet, e.g. *fantastic, great,* Classifier, e.g. *the school association* in *the school association of Nicholas Comprehensive* and Qualifier, e.g. *splendid, fantastic* can all modify the noun chosen as Subject (Downing and Locke, 1992:438-449; Halliday, 1994:180-186). The Subject/Theme can be modified by both pre- and postmodifiers, with both adding supplementary information about the Subject/Theme but not new information (Halliday, 1994:191-196). Modification can be used to encode the writer's viewpoint in their choice of Subject, as in the following example:

Example 3.16

some	very	important	issues
Deictic	Epithet	Classifier	Thing
Subject/Theme			

If this were the Subject/Theme of a clause, it would be clear that the writer was encoding a particular viewpoint in this message. Martin (1997, 2000a) proposes an 'appraisal system' to interpret the interpersonal linguistic features of a text. In this study the interpretation of interpersonal features of the Theme draws to a limited extent on the work on appraisal.

The range of lexis realising Subject/Theme is extensive. A closer examination of the type of lexis used to realise Subject/Theme of the main clause in workplace texts may reveal interesting information which can aid our understanding of this particular genre. As argued by Iedema, meanings can be distanced from the here and now through various linguistic

resources and, as they become more distanced, they become "less-negotiable" (Iedema, 1995:134). The choice of Subject/Theme reflects this move of dislocating the proposal from the here and now. Table 3.2 shows how the Subject/Theme choice moves the modal responsibility from the personal *I* and the less personal *the company*, where it is clear who is doing the *requiring*, to the proposee in *you are required.* The modal responsibility of a clause is related to the choice of predicated Subject, which in the present study constitutes part of the choice of Theme. Modal responsibility is where the onus of the proposition advanced in the clause is placed on the writer, the institution, and the intended reader. Iedema (1995, 1997, 1999, 2000) discusses how the modal responsibility placed on the Subject affects the meaning and interpretation of a directive. Modal responsibility is therefore an issue directly relevant to the present study.

Table 3.2 Changing the modal responsibility realised by Theme

Subject/Theme	Rheme
I	require you to be vigilant with this problem.
The company	requires continued vigilance in relation to this problem.
You	are required to be vigilant with this problem.
The problem	requires continued vigilance. (Letter 12, clause 14)
The requirement	is that you remain vigilant with this problem.
Continuation of vigilance	is required with this problem.

In the Subject/Theme examples *the problem*, *the requirement* and *Continuation of vigilance*, the proposer and proposee roles are de-emphasised in the choice of the Theme. Each of these choices represents a different starting point for the message conveyed in the clause or clause complex. In the last two examples in Table 3.2, *The requirement* and *Continuation of vigilance,* the Theme is depersonalised, the modal responsibility of the clause has been 'objectified', and the proposer and proposee have been de-emphasised. This de-emphasis is what Iedema (1995, 1997, 1999, 2000) refers to as "demodulation". Demodulation is used in administrative texts to suppress the proposer (of the proposition) and to make the source of the utterance sound more objective and 'fact-like'.

Nominalisation is one form of demodulation. Nominalisation is where a congruent verb is used metaphorically and changed into an incongruent noun. For example, in Table 3.1 above, the verb *to require*, which usually has an Agent (who is asking someone to do something) and an Actor (who is responsible for carrying out the action), is transformed into a noun, *the requirement*. The participants involved become implicit and the *requiring*

becomes an objectified packaged statement. Hartnett (1995:206) states that nominalisation is presented in a manner where the writer wants the reader to accept the information "without a challenge". Halliday (1994) adds that the writer holds greater control over the intended meaning of a text if nominalisation is used as the meaning is clear to the writer, but due to the linguistic complexity of nominalisation the meaning may not necessarily be completely clear to the reader. It is therefore seen as a complex packaging of information which in workplace texts is used as a mark of prestige and power. Iedema argues that

> To appreciate the constructive power of administration and its language, we need to 'unpack' the discourse, i.e. go into the grammar and show how the features of administrative language contribute to its power over social organisation.
>
> (Iedema, 1995:134)

By 'unpacking' the influential choice of Subject/Theme, which in some cases may include nominalisation, workplace texts can be understood in relation to the power, identity and status construed in the choice of Subject/Theme.

3.4.4 Existential Themes as one choice of topical Theme

As noted by Thompson (1996), when analysing Theme "you will certainly find that you run up against some problems, some more serious than others" (1996:138). The question of what is the Theme in existential 'there' clauses is one such problem. Since *there* does not realise a participant in the transitivity of an existential clause, i.e. it has "no representational function" (Halliday, 1994:142), the question is whether *there* can in fact be considered Subject/Theme. In other words, since Halliday (1994) identifies Theme as the first ideational element in a clause, it is difficult to understand why *there* should be considered Theme. As shown in Table 3.3 below, Halliday adds that *there* is the starting point of the clause, and that the referent comes later in the clause (Halliday, 1994:44). Martin (1992b) supports this view and adds that *there* realises the existential feature and sets up the presentation of the Existent later in the clause. Martin adds that

> existential clauses... are ideally designed for introducing participants as unmarked news at the end of the clause... and reinforcing their introduction by taking their existence as the point of departure
>
> (Martin, 1992b:164)

The Theme *there* makes prominent the feature that will be introduced later; it makes space, in an unmarked manner, for a referent that will come later.

Thompson (1996) argues that *there* in existential clauses can be analysed as Theme, but that in existential clauses the Theme should be extended to include the process (Thompson, 1996:138). However, this approach raises the question: if the process is to be included in Theme in existential clauses, then why not in other types of clauses?

Table 3.3 Different interpretations of existential Theme

There	will be	a parallel run	of 1 week before implementation.
existential Theme	Process: Relational	Existent	Circumstantial Adjunct location: time
Theme	Rheme		(Halliday, 1994)
Theme	Rheme		(present study)
Theme		Rheme	(Thompson, 1996)
Theme			Rheme (Davies, 1997)

Memo 6, clause complex 10

As shown in Table 3.3, Halliday, Thompson and Davies draw the boundary between Theme and Rheme at different places. Davies (1997) suggests that in existential clauses the Theme should include both *there* and also the Existent that is set up by the introducing *there.* Davies (1988) adds that by choosing *there* as Theme, the writer "presents their own viewpoint as established fact". The author's viewpoint becomes hidden and information is presented in an existential manner. Although this appears to be a more convincing argument than Thompson's, problems persist with this account of existential Themes. If a writer has explicitly chosen an existential *there* in thematic position, it may be, as Berry (1995) suggests, worth considering *there* as a 'negative option' where the writer chooses as Theme "a **pass** option, an option *not* to make use of the thematic slot to foreground any particular type of meaning" (Berry, 1995:66, bold and italics in orig.). By choosing an existential Theme, the writer has chosen to remain 'hidden' and to pass over the option of placing something interactional (interpersonal) or informational (topical) in initial position. It should be noted that existential Themes are different from everything else which is referred to as Subject/Theme as they are the grammatical Subject but not the true topic of the main clause in the analysis. However, other alternatives for extending the analysis of existential Themes to include more than just *there* are not completely convincing and in the present study *there* will be analysed as Subject/Theme but also considered, following Berry (1995), a 'pass' option from the writer's perspective.

3.5 Marked Themes and the concept of 'extended' Theme

In the typical clause pattern, the Theme is conflated with the Subject. Such a Theme Halliday refers to as 'unmarked Theme', stating that "The Subject is the element that is chosen as Theme unless there is good reason for choosing something else" (1994:43). A Theme that is not Subject Halliday (1994) refers to as 'marked Theme'; the most common types of marked Theme are:

- Circumstantial Adjuncts (*today, currently, on 13 August, at the meeting*)
- Complements (*that meeting we could not attend*)

Halliday (1994) posits a cline of markedness, capturing the likelihood of any of these elements occurring in initial position in the clause. The most common form of marked Theme is an adverbial group or prepositional phrase functioning as Circumstantial Adjunct. The least likely, and thus the most marked, is a Complement, which is a nominal group that could have been chosen as Subject but was not (Halliday, 1994:44).

Regarding the order of clauses in a clause complex, Halliday argues that the default order of clauses is independent clause followed by dependent clause, while a dependent clause in initial position constitutes a marked choice of Theme (Halliday, 1994).

In the present study, marked Theme is analysed in the clause as well as in the clause complex. As outlined in Section 3.5.3, if Theme is analysed to comprise everything up to and including the Subject of the independent clause, the question as to whether a Theme can be 'marked' arises, as Theme will always include the Subject, which is 'unmarked'. Martin and Rose (forthcoming) overcome this problem by identifying the marked Theme and the Subject of the α clause, as shown in Example 3.17:

Example 3.17

after about three years with the special forces	our hell	began
Marked Theme	Subject/Theme	New

(Martin and Rose, forthcoming)

However, they do not propose a term which can be used when discussing the combination of marked Theme and Subject/Theme. For the purpose of the present study, as introduced above, where the combination of marked Theme and Subject/Theme is used to realise a

thematic choice, the term 'extended Theme' is adopted to refer to this combination, as shown in Example 3.18:

Example 3.18

In the event of the contract being terminated by either party,	Universal	will not buy back the original stockholding,
marked Theme	Subject/ Theme	Rheme
extended Theme		

Letter 14, clause 8

Example 3.19

If anyone can see a better way or advise improvements	please	[you]	feel free to speak to me or Pete
marked Theme	Interpersonal Theme	Subject/ Theme	Rheme
extended Theme			

Memo 4, clause complex 50

In an independent clause that is not part of a clause complex a marked Theme, i.e. any topical element(s) preceding the Subject, plus the Subject itself are analysed as extended Theme. In Example 3.19, the extended Theme includes a marked Theme, an interpersonal Theme and the Subject/Theme. In a clause complex with a projecting clause in initial position, the projecting clause and everything up to and including the Subject of the projected clause are also analysed as an extended Theme. The projecting clause is categorised as an interpersonal Theme and constitutes the 'marked' part of the Theme. Exemplification is provided in Chapter Six.

3.5.1 Function and importance of marked Theme as part of extended Theme

A marked Theme is said to be a Theme where the writer consciously or unconsciously affects the organisation of the text by choosing something other than the Subject for the starting point of their message:

> If Theme is *everything located at the beginning of the sentence as a result of choice*, then markedness of Theme or use of special resources to put Complements/Objects and Verbs in initial position betrays a deliberate choice; by contrast the default use of Subject as Theme may be quite automatic.
>
> (Goatly, 1995:166, italics in orig.)

Goatly's point is supported by a number of writers (Downing, 1991; Martin, 1992a; Berry, 1996; Stainton, 1996; Thompson, 1996; Davies, 1997; Martin and Rose, forthcoming), who agree that the choice of marked Theme is important, and that it plays a crucial role in the interpretation of the message. Discussing Circumstantial Adjuncts as an example of a marked Theme, Downing (1991), Berry (1996) and Davies (1997) agree with Halliday that Circumstantial Adjuncts are important to the message as they add further ideational detail and information, but are optional in that the message would be coherent without them. However, Davies and Berry disagree with Halliday's view that circumstantial elements "typically, ... occur freely in all types of process, and with essentially the same significance wherever they occur" (Halliday, 1994:149). Downing (1991), Martin (1992a), Berry (1996), Davies (1997) and Martin and Rose (forthcoming) argue that when a Circumstantial Adjunct occurs in first position it has greater importance than if it occurs elsewhere in the clause. A Circumstantial Adjunct in initial position constitutes a marked choice and a marked Theme is seen as a "deliberate choice" made by the writer, according to Goatly (1995).

Research on marked Theme by Stainton (1996) suggests that it is not only important because it is a 'motivated' choice by the writer, but also that it is important for the success of a text. Stainton found that in 22 technical reviews there was a higher proportion of "marked themes in the most successful texts" (Stainton, 1996:53). Davies (1997) analysed 14 texts covering a wide range of text types, e.g. novel, historical survey, prospectus, children's writing, editorial, letter to the editor, textbook, gardening magazine article, and research article, while Berry (1996) analysed three texts functioning as a university department's introductory guides, namely a departmental guide, the registrar's guidelines, and university guidelines. Even though their motivations and starting points are different, Davies and Berry agree that marked Theme functions in some way to guide the reader or, as Davies (1997) puts it, to act as a 'Contextual Frame'.

However, very little research has been conducted into marked Theme in workplace texts, with Iedema (1995) and Stainton (1996) being the only notable exceptions. In addition, it appears that few studies have analysed and discussed Circumstantial Adjuncts, dependent clauses and projecting clauses found in thematic position in workplace texts.

Davies (1994, 1997) suggests a framework for analysing marked Theme at the level of discourse. She believes that the marked/unmarked distinction of Theme is too simplistic a

categorisation, and she suggests three categories of Theme as introduced previously in Section 3.4.1. These three categories, i.e. interactive, informational and organisational Themes, Davies believes, could be applied to all Theme types. The categories introduced by Davies directly reflect the interpersonal (interactive), ideational (informational) and textual (organisational) aspects of discourse. Interactive Themes basically negotiate the relationship between the writer and reader expressing the interpersonal function, e.g. *in my view, if you wish to be considered.* Informing elements are related to the ideational metafunction and are predominantly realised by topical or informational units, e.g. *in 1997, over the last few weeks*. Organising Themes are where the writer selects a Theme which is related to an earlier or later part of the text, e.g. *in this section, in view of the above*, and as such they are closely related to the textual metafunction. For Davies (1994), all Themes can be classified using these three categories. In a later paper, Davies (1997) suggests that the categorisation of these Contextual Frames is driven by semantic as well as grammatical criteria. Davies' semantic categories are discussed below in relation to marked Theme and particular grammatical features found in marked Theme, i.e. Circumstantial Adjuncts and hypotactic enhancing clauses.

Martin (1992a), Davies (1994:174) and Fries (1995a) all believe the Subject is recurrent and enhances the coherence of the text, while the marked Theme, the Contextual Frame, is not recurrent but rather signals "changes/shifts or stages in the progression of the discourse" (Davies, 1997:55). Davies views the grammatical Subject as the topical Theme and if other elements precede the Subject of the independent clause then they are viewed as framing elements.

A further departure from Halliday (1994) is proposed by Davies (1994, 1997) in what she classifies as marked or unmarked Theme. Although Halliday and Davies would agree that the function of 'markedness' is to give a special status within the clause to something other than the Subject of the clause, Davies extends what Halliday would identify as a marked Theme, arguing that Modal Adjuncts, Conjunctive Adjuncts, existential *there* and anticipatory *it* should all be considered as marked Themes. She believes that existential *there* and anticipatory *it* should be analysed as interpersonal projections of writer viewpoints in relation to the 'Existent' they introduce. The writer is exploiting the thematic structure of the clause by choosing such features. Existential Themes and anticipatory *it* are not the true Subjects; instead, they are place holders for what will follow as Subject. The

present study follows Davies here only partially in that *there* in an existential clause will not be considered a marked Theme as it does not convincingly fulfil interpersonal roles in the same manner as *it*. For example:

Example 3.20

There is ample spare capacity.

Report 1, clause 4

Example 3.21

The Design Team have recommended that a re-tender exercise be undertaken following substantial redesign of the project.

Report 2, clause complex 10

In Example 3.20, the existential Theme *there* is followed by a relational process which may not necessarily be encoding interpersonal meaning. However, as shown in Example 3.21, a projecting clause is realised by a mental, verbal or factual type of projection and according to Martin (1995), Thompson and Thetela (1995) and Thompson (1996), projection is taken to be inherently interpersonal. The position taken in the present study regarding existential Themes is to only count the existential *there* as the Theme, as outlined in Section 3.4.4. The position taken with regard to anticipatory *it* clauses within projecting clauses is to include the whole projecting clause as an interpersonal Theme. When it is used in a cleft sentence, as presented in Section 6.3.2, only the *it* will be classified as Theme.

3.5.2 Extended Theme: Circumstantial Adjuncts

Circumstantial Adjuncts can occur freely in the clause, as noted above. When a Circumstantial Adjunct occurs in clause-initial position, it is considered by Halliday as a marked Theme, with the unmarked Theme always realised by the Subject of the independent clause. Together, the marked Theme of a Circumstantial Adjunct and the unmarked Theme constitute what has been called an 'extended Theme', as shown in Example 3.22:

Example 3.22

<table>
<tr><td>As of today</td><td>we</td><td rowspan="2">have ordered a large consignment of items from yourselves on a BMS Purchase Order and await the delivery.</td></tr>
<tr><td>marked Theme</td><td>Subject/Theme</td></tr>
<tr><td colspan="2">extended Theme</td><td>Rheme</td></tr>
</table>

Letter 13, clause 6

Circumstantial Adjuncts are considered part of the ideational metafunction in SFL. They are frequently realised by an adverbial, e.g. *today*, *currently*, *tomorrow*, or as a prepositional phrase, as shown in Example 3.22 *as of today*; other examples include: *on 25 July*, *as an investment* (Downing and Locke, 1992:556; Halliday, 1994:44). Circumstantial Adjuncts do not have the potential to become the Subject or take on the modal responsibility within the clause (Halliday, 1994:150). However, the words that make up the Circumstantial Adjunct may become Subject, and if they do, then they can no longer be functioning as an adjunct; for example, compare *today is my birthday* with Example 3.22. In *today is my birthday*, *today* is no longer an adjunct but the Subject of the clause. Halliday identifies nine types of Circumstantial Adjunct: location, extent, manner, cause, contingency, accompaniment, role, matter and angle (Halliday, 1994:152-158). Circumstantial elements usually answer questions such as 'when?', 'where?', 'how?' and 'why?' and they are generally linked to, and expand upon, the process or participant in a clause. Halliday's nine types of Circumstantial Adjunct are illustrated in Table 3.4 with examples from the corpus of workplace texts in the present study or from Thompson (1996), or Martin et al. (1997); the Circumstantial Adjunct is shown in italics. The examples marked with '*' in Table 3.4 are taken from Martin et al. (1997) or Thompson (1996), as no examples were found in the corpus.

Table 3.4 Types of Circumstantial Adjunct

Circumstantial Adjunct	Example	Probe
location		
- time	*Every Monday afternoon*, representatives from the recycling company will come to our office.	When?
- place	*After Gothenburg*, the container is usually shipped to Hamburg in Germany, more delays are likely here.	Where?
extent		
- time	As you know, *over the last few weeks*, smoking breaks have been taken outside of the building…	How long/often?
	every step*	
- space	in the yard, miles away*	How far?
manner		
- means	*With the present methods of off-air recording* there is always the possibility of human error and of last minute programme change.	With what/ By what means?
- quality	*In its simplest form,* the chemical waste producer would pay a charge for the collection and disposal of his wastes.	How?
- comparison	It's OK, she went out *like a light.**	What … like?
cause		
- reason	*Because of the size of CL*, all loading has to be planned a number of days in advance.	Why? As a result of what?
- purpose	*For the purpose of this review*, C&A homes refer to those C&A homes receiving government subventions.	What for?
- behalf	*For those reviewers* who are using Cabs pro, you are expected to ensure that your time sheets are correct and complete.	Who for? On whose behalf?
contingency		
- condition	*As the requirement for engineering increases*, engineers will need the facility to draft concepts of SAC and then to send to the DAC operator for detailing.	Under what conditions?
- concession	in spite of the rain*	Despite/in spite of what?
- default	in the absence of proof*	Lacking what?
accompaniment		
- comitative	*With Gary's post and registration*, it is short term and the range of duties is fairly limited…	Who/what with?
- additive	the Director of Housing has added *that in addition to departmental vehicles*, the HAHQ building has to provide…	And who/what else?
role		
- guise	*as a concerned parent**	What as?
- product	(smashed) *into pieces* [sic]*	What into?
matter	*With regards to Select feed plus pricing* I understand that Tariff 1 is to be replaced with another pricing structure…	What about?
angle	Basically, *under BVI law*, surplus of the company is anything over and above the capital and liabilities of the	From what point of view? Says who?

Circumstantial Adjunct	Example	Probe
	company.	

(Adapted from Thompson, 1996:105, and Martin et al., 1997:104)

However, despite the neatness suggested by this coding scheme, "circumstances frequently seem to combine two different types of meaning", as pointed out by Thompson (1996:105). He adds that frequently time and cause, along with manner and reason, may both be present in one Circumstantial Adjunct. He also suggests that the use of metaphor may also confuse the meaning of a Circumstantial Adjunct. Thompson sums up his description of Circumstantial Adjuncts by stating:

> Whichever set of categories you rely on, you are likely to find that they will not easily account for all examples of circumstances that you come across in texts.
>
> (Thompson, 1996:105)

A limited number of Circumstantial Adjuncts found in the corpus could have been 'doubly' coded, as pointed out in Section 4.4.5.

As noted above, the analysis of Circumstantial Adjuncts in thematic position differs from Halliday (1994) in that Halliday's analysis considers a Circumstantial Adjunct coming first in a clause as constituting the total Theme, while in this study the Subject following the Circumstantial Adjunct will be included in an 'extended' Theme. Example 3.23 contrasts the two styles of analysis:

Example 3.23

In 1994 and 1995,	the tax authorities	were focusing on the introduction of the tax reform and the formation of a new system of tax administration.
Circumstantial Adjunct	Subject	
Theme	Rheme	(Halliday, 1994)
extended Theme	Rheme	(present study)

Report 6, Clause 105

While in Halliday's style of analysis the Circumstantial Adjunct *in 1994 and 1995* constitutes all of the (marked) Theme, in the style favoured in this study *in 1994 and 1995, the tax authorities*, i.e. the Circumstantial Adjunct together with the following Subject, constitute the 'extended Theme' of the clause. The Circumstantial Adjunct, following Davies (1997:58), is believed to frame "real world entities" within the discourse of the text, and the Subject to provide information about the topic or 'content' of the clause. In the

present study, the extended Theme may include one or more Circumstantial Adjuncts directly preceding the Subject.

Circumstantial Adjuncts which occur before the main verb are referred to as "additional ideational" information by Berry (1995:76). This is in partial agreement with Halliday (1994) who clarifies the status of the Circumstantial Adjunct by saying

> what is important is the notion of the 'circumstance' as a kind of additional minor process, subsidiary to the main one, but embodying some of the features of a relational or verbal process, and so introducing a further entity as an indirect participant in the clause.
>
> (Halliday, 1994:152)

It could therefore be argued that as Circumstantial Adjuncts embody only 'some' of the features of a process or participant they, like other linguistic elements, do not exhaust the potential of Theme.

In support of this view Downing (1991) provides three reasons why a Circumstantial Adjunct should not be counted as Theme on its own. Circumstantial Adjuncts

- "do not represent participant roles in the semantic structure … They can never, in 'congruent' representation, be topics … they are not identifiable as 'what the clause is about'";
- do not disturb the mood structure and do not therefore "affect the predictability of which way the clause is going";
- are not directly related to what the clause is 'about', but rather provide a "spatial, temporal or other circumstantial framework within which the ensuing message can develop."

(adapted and quoted from Downing, 1991:126)

In this sense, Downing's view of Circumstantial Adjuncts as a constituent within Theme supports Davies' arguments, presented above.

3.5.3 Extended Theme: dependent clauses

A marked Theme may be realised by a whole (dependent) clause acting as the Theme of a clause complex, or by one of the elements discussed above, i.e. a Circumstantial Adjunct or a Complement in clause-initial position. This section discusses why dependent clauses may be Theme in a clause complex but independent clauses may not.

The justification for analysing the Them of the independent clause in a clause complex is provided in Section 3.6. At the level of the clause complex, the clauses exist as 'bundles' of clauses which have some direct structural relation with each other. In written language a clause complex is typically identified by the conventions of marking sentence boundaries, i.e. the first word in the sentence is written with initial uppercase and the sentence ended with a full-stop, while a clause complex is not as easily identified in spoken language. In a coherent written text, a sentence may be presumed to be co-extensive with a clause complex or a single independent clause (a clause 'simplex'), but beyond this there is little reliable information found in conventional punctuation concerning the relationship of clauses within the clause complex.

Halliday (1994:218) posits two dimensions to the interpretation of clause relations. These are shown below in Table 3.5:

Table 3.5 Basic types of clause complex

		(i) paratactic	(ii) hypotactic
(1) Expansion	(a) elaboration	John didn't wait; 1 he ran away. =2	John ran away, α which surprised everyone =β
	(b) extension	John ran away. 1 and Fred stayed behind +2	John ran away, α whereas Fred stayed behind. +β
	(c) enhancement	John was scared, 1 so he ran away x2	John ran away, α because he was scared xβ
(2) Projection	(a) locution	John said: 1 "I'm running away" "2	John said α he was running away. "β
	(b) idea	John thought to himself: 1 'I'll run away' '2	John thought α he would run away. 'β

(Halliday, 1994:220, Table 7(2))

Halliday describes the interdependency of clauses in terms of 'hypotactic' and 'paratactic' relations, giving us dependent and independent clauses, and the logico-semantic relationships between clauses in terms of 'expansion' and 'projection', both of which may be realised through either parataxis or hypotaxis. The concept of interdependency is discussed in Section 3.5.3.1, and that of expansion in Section 3.5.3.2.

3.5.4 Clause relations: interdependency

Relationships between clauses, especially dependent relationships, are central to the analysis presented in this study. The study focuses on the way in which hypotactic clauses function as Theme in the clause complex. According to Halliday (1994:56), the typical order of clauses in the clause complex is independent clause followed by dependent clause, and when the order is reversed and the dependent clause comes first, the "motive is thematic". The clause and clause complex can both be analysed for Theme, as Halliday demonstrates:

Example 3.24

If	winter	comes	can	spring	be far behind?
$Theme_1$			$Rheme_1$		
structural	topical		Finite	topical	
$Theme_2$		$Rheme_2$	$Theme_3$		$Rheme_3$

(Halliday, 1994:57, Fig 3-16)

Halliday states that while it is acceptable to analyse a dependent clause as Theme when initial in the clause complex, each clause also has its own thematic structure. As shown in Example 3.24, there are three possible interpretations of Theme. $Theme_1$ is the Theme of the clause complex, while $Theme_2$ and $Theme_3$ are the Themes of the dependent and independent clauses respectively. In support of Halliday, Fries (1983), Housman (1967, quoted in Goatly, 1995), Berry (1996) and Davies (1997) agree that a hypotactic clause (which is by definition dependent) occurring in initial position in a clause complex should be analysed as marked Theme.

When carrying out an analysis of data, the test applied to decide whether a clause was hypotactic was whether it was dependent on the other clause or not, in line with (Halliday, 1994:221): "Hypotaxis is the binding of elements of unequal status. The dominant element is free, but the dependent element is not". Paratactic clauses do not fit this test as both (or

more) clauses are free and neither clause is dependent on the other. Halliday, as shown in Example 3.25, illustrates the hypotactic relationship between clauses in a clause complex:

Example 3.25

John thought	he would run away.
α	β

(Halliday, 1994:220)

Similar examples can be found in the corpus of workplace texts:

Example 3.26

Although no details have been confirmed yet,	the proposed elimination of exemptions for the importation of goods forming part of foreign invest-ments seems to be a certain move.
β	α

Report 6, clause complex 61

In both examples the β clause is dependent on the α clause. In Example 3.26 the independent clause *the proposed elimination of exemptions for the importation of goods forming part of foreign investments seems to be a certain move* could stand alone while the dependent clause *Although no details have been confirmed yet* could not. If one were to remove the α clauses in both examples, the β clauses would not make sense on their own. These two examples demonstrate a relationship between two clauses in which one is dominant and the other dependent. When the dependent clause is in first position in the clause complex, it constitutes a marked Theme. In the present study the Theme of the clause complex is analysed to include the dependent clause and anything up to and including the Subject in the following clause, provided it is both an independent clause and the dominant clause in the clause complex, as illustrated in Example 3.27:

Example 3.27

Although no details have been confirmed yet,	the proposed elimination of exemptions for the importation of goods forming part of foreign investments	seems to be a certain move.
dependent clause	Subject/Theme (of α clause)	Rheme (of α clause)
β	α	
extended Theme		Rheme

Report 6, clause complex 61

Therefore, when discussing relationships between clauses, hypotaxis is an important feature as the meaning potential of one clause is only realised if another clause is present.

In addition, hypotaxis is important in the analysis of Theme in a clause complex, since it is only dependent clauses which have the potential to be marked Theme.

As established above, as the Theme includes everything up to and including the Subject of the independent clause, following Davies (1994, 1997) and Berry (1995), if a dependent Theme is in initial position then this, as well as the Subject, will be taken to be the Theme. The function of marked Theme is not relevant to paratactically related clauses as these clauses may occur in any order. Paratactic clauses are independent units and they have been recognised as such in the analyses of Theme.

3.5.3.2 Clause relations: expansion

According to Halliday (1994), a dependent clause may be related to another clause by a relationship of either 'expansion' or 'projection', collectively referred to as logico-semantic relationships. These two types of relationship capture the way in which any two clauses in a clause complex are related semantically while their logical relationship is captured by those of 'taxis', i.e. hypotaxis or parataxis.

Halliday posits three different types of expansion:

i. elaboration
   One clause is used to specify or describe another clause.
ii. extension
   One clause adds information to another clause to extend its meaning.
iii. enhancement
   One clause qualifies the meaning of another clause by time, place, manner, cause or condition.

(adapted from Halliday, 1994:220)

The logico-semantic relationship most frequently found in this study's corpus in relation to Theme was enhancement. Frequently, enhancing clauses were found in initial position, thus constituting a marked Theme. All hypotactic clauses of expansion can be realised through both Finite and non-finite clauses.

The Finite and non-finite hypotactic clauses analysed as marked Themes in this study tend to be enhancing clauses. The enhancing clause has "a circumstantial feature incorporated into it" according to Halliday (1994:232). Additionally, in hypotactic (rather than paratactic) enhancing clauses, "the conjunction serves to express both the dependency (the hypotactic status) and the circumstantial relationship" (Halliday, 1994:238). As there

is such a clear relationship between the circumstantial nature of hypotactic enhancing clauses and Circumstantial Adjuncts, the markers of hypotactic enhancing clauses are very similar to those of Circumstantial Adjuncts illustrated in Table 3.1. In the present study, dependent clauses functioning as marked Themes have been analysed following Halliday (1994:237), reproduced as Table 3.6, which includes an exemplification of some of the conjunctions and prepositions associated with hypotactic enhancing clauses. In this table, adapted from Halliday, the symbol '#' signals that no marker was provided by Halliday or found in the corpus; and '*' signals an example not given by Halliday, but found in the corpus.

Table 3.6 Principal markers of hypotactic enhancing clauses

	Finite conjunction	Non-finite conjunction	preposition
(i) **temporal**			
same time: extent	as, while	while	in (the course/process of)
same time: point	when, as soon as, the moment	when	on
same time: spread	whenever, every time	#	#
different time: later	after, since	since	after
different time: earlier	before, until	until	before
(ii) **spatial**			
same place: extent	as far as	#	#
same place: point	where	#	#
same place: spread	wherever, everywhere	#	#
(iii) **manner**			
means	#	#	by (means of), as (e.g. as spoken)*
comparison	as, as if, like, the way, however*	like	#
quality*	whilst*	#	for*, in*
(iv) **causal: conditional**			
cause: reason	because, as, since, in case, seeing that, considering	#	with, through, by, at, as a result of, because of, after*
cause: purpose	in order that, so that	#	(in order/so as) to; for (the sake of) with the aim of, for fear of
condition: positive	if, provided that, as long as	if	in the event of
condition: negative	unless	unless	but for, without,
condition: concessive	even if, although	even if, although	despite, in spite of, without

(adapted from Halliday, 1994:237, Table 7(7))

To summarise, an extended Theme comprises any marked Theme together with the unmarked Theme of the main clause. The marked Theme can be a Circumstantial Adjunct, or a Complement at clause level, or a hypotactic (dependent) clause in initial position at

clause complex level, together with the Subject of the following dominant (independent) clause.

3.6 Concluding remarks

From the research and through the above discussion, it has been shown that choice of Theme appears to be a key factor for the success or otherwise of clause and text alike. In relation to the general question of the function Theme performs in written workplace texts, one function of Theme would seem to be the organisation of the message. In the present study, an additional role is explored, viz. that of expressing an interpersonal message or viewpoint. Two particular thematic choices appear to serve this function, viz. marked Theme and projecting clauses in thematic position in a clause complex. Projecting clauses are discussed in detail in Chapter Six.

A number of methods for identifying Theme have been reviewed in detail, and a rationale for selecting the method used in the present study provided. The boundary between Theme and Rheme adopted for the present study diverges from Halliday's identification of Theme in that Theme is considered to extend up to and including the Subject of the first independent clause in the clause complex. The reasons for analysing Theme in this manner are that it allows the text analyst and others who are users of the texts to understand the way in which a text is constructed and the role played by the Subject and features other than the Subject in organising the message. Davies (1988, 1994, 1997), Berry (1995, 1996), Fries (1995a) and Ravelli (1995) all support the view that including the Subject as part of Theme aids the understanding of the thematic development of a text.

In the present study, Theme is made up of the Subject of the main clause plus anything preceding the Subject. Theme may therefore include textual Themes, interpersonal Themes, as well as more than one topical Theme. The term Subject/Theme has been adopted in order to establish the obligatory topical Theme. When the Subject is the only thematic element, it is also the unmarked or default choice of Theme. When other topical features are found to precede the Subject/Theme, these are referred to as marked Theme. The distinction made between marked and Subject/Theme, and the idea that marked Theme plays a special role different to the default unmarked Theme have been established. The category of extended Theme, which includes additional topical Themes other than the Subject/Theme, such as clause elements, e.g. Circumstantial Adjunct, Complement, as well

as dependent enhancing clauses, was introduced in a departure from Halliday's concept of marked Theme.

As argued above, the choice of Theme will always affect the viewpoint, or as Martin (1992b) calls it, the 'angle' of the message presented in a text. Extended Themes are one way in which interpersonal meanings within the choice of Theme are construed. Another feature which it is possible to analyse and investigate in depth is the choice of Subject. As pointed out by Iedema (1995, 1999, 2000), the modal responsibility assigned by the choice of Subject can explicitly emphasise the personal or depersonalised nature of a text and its meaning. The choice of Subject as part of Theme is an area which will be scrutinised in detail in the following chapters. The range and choice of Theme, according to Martin (1992a), Davies (1994, 1997) and Fries (1995a) will be constrained to some extent by the genre in which the writer is operating. However, the extent and level of constraint needs to be investigated further.

After considering the theoretical concerns and establishing the remit of the present study, the procedures and application of the theory to the data need to be explicated. The methodological considerations adopted for the analysis of the present study will be presented in the following chapter.

Chapter 4:
Research Design and Analytical Approaches to Identifying Choice of Theme

The aim of the present research was to investigate Theme choices in memos, letters and reports and to uncover the linguistic resources a writer employs in their particular choice of Theme. With this in mind, two research tools were adopted in the present study: a text analysis following an SFL approach and informant interviews. The methodological concerns related to informant interviews will be outlined in Chapter Seven. This chapter introduces text analysis as an analytical tool and presents the rationale, procedures and concerns which emerged in the course of the investigation.

The research questions addressed in Chapter Three are repeated below:

1) What function does Theme perform in written workplace texts?
2) Where should the boundary between Theme and Rheme be drawn?
3) What, if any, are the major issues related to establishing this boundary?
4) How can different Theme choices be labelled?
5) What are the constituent elements of Theme and what function does each perform?
6) How does extended Theme function in the texts?
7) What evidence is there that the choice of Theme is genre-related?
8) What linguistic resources are used to construe interpersonal realisations through choice of Theme?

Before discussing the research tools which were employed to address these questions, in Section 4.1 the background to the study and its relationship to two larger research projects, the Effective Writing for Management Project (EWM) and the Communication in the Professional Workplace Project (CPW) is presented. The corpus used as the basis for the present study is comprised of data gathered in the EWM and CPW projects. Understanding the source and context of the data is crucial to understanding the present study. The theoretical paradigms and the appropriateness of the research paradigms underlying these projects in relation to the present study are discussed in Section 4.2. The field of corpus linguistics and the criteria for selecting the present corpus are outlined in Section 4.3. The procedures, processes and considerations guiding the lexico-grammatical analysis of the texts are outlined in Section 4.4. A discussion related to the value of conducting a study based on more than one research tool and the way how studying data from multiple perspectives improves the validity and credibility of research findings is presented in

Section 4.5. In the final section, Section 4.6, the key concerns and procedures adopted in the present research will be drawn together and concluding remarks will be presented.

4.1 Background to the present study

As noted previously, the data for the present study were taken from two research projects: The Effective Writing for Management Project (EWM), situated at the School of Education, University of Bristol, UK and the Communication in the Workplace Project (CPW) situated at the English Language Centre, University of Hong Kong, Hong Kong. Both projects aimed to investigate the principal writing requirements of sample populations of members of the business world (Davies and Forey, 1996; Nunan et al., 1996). Both the UK and Hong Kong data involved informants who were employed in the workplace, specifically managers from a range of different backgrounds in the EWM project and managers who were all accountants in the CPW project. The specific aims of both studies were to investigate the writing processes and the documents produced in the business environment, and to assess the extent and nature of training needs within the workplace. Questionnaires and interviews were used in both studies with the principal aim of eliciting from managers their views about the process of writing, the importance of writing and the effectiveness or otherwise of the texts they produced or received in the course of their day-to-day work. In addition, the respondents' opinions and views related to the type of written communication training and support which they believed was needed in the workplace were also elicited.

However, there was a distinct difference in the sample populations of the UK and Hong Kong studies. The UK population included representatives of managers from a range of different industry backgrounds, including media, local council, government, information technology, construction, engineering, aeronautics, nursing, and banking and finance among others, throughout the UK. These respondents were in the workforce while also undertaking part-time studies towards a Master of Business Administration degree at the time of the survey (Davies et al., 1999). Questionnaire data were collected from 202 managers, representing a response rate of 18.9%. In addition, interviews were conducted with 30 managers who, as part of their participation, brought to the interview texts from their workplace which they thought were either effective or ineffective. These texts were discussed as part of the interview.

The Hong Kong data were restricted to business people in the field of accounting. In the accounting profession there are two distinct sets of professional accountants: those

working within a public auditing company, who are involved in auditing the accounts of organisations, and accountants working in commercial organisations. Public auditing accountants included accountants from what used to been known world-wide as 'The Big Five' public auditing firms, as well as other smaller auditing organisations. Accountants from the commercial sector worked in a wide range of industries, including transport, hospital, government, hospitality, wholesale, retail, other merchandising companies, and banking and finance sectors. The CPW project data comprised 1,007 questionnaire responses, 30 interviews (Forey and Nunan, 2002:206-207) and approximately 20,000 words (Nunan and Forey, 1996).

The data collected through interviews also involved the development of a corpus of texts, i.e. the respondents brought examples of texts they believed were either effective or ineffective and these texts were discussed as part of the interview. During the interviews the respondents discussed the importance of writing and the positive influence from both an organisational and individual perspective of being able to write well. At an organisational level "the image of a firm is conditioned in important ways by the quality of written products" (Forey and Nunan, 2002:209). At an individual level "writing skill was one of the main criteria used to appraise an individual's performance, and the ability to write well was highly correlated with both promotion and popularity" (Forey and Nunan, 2002:227). Such issues related to writing and the importance of writing in the workplace dominated the discussion in the interviews (Davies and Forey, 1996; Nunan et al., 1996; Davies et al., 1999; Forey and Nunan, 2002). The texts that the informants brought to the interview tended to be discussed in the final part of the interview. (The term 'respondents' is being used to refer to participants involved in the EWM and CPW project, which is differentiated from 'informants', which refers to the participants involved in the focus group interviews discussed in Chapters Seven and Eight). The comments related to these texts were sparse and sporadic. Some informants supplied the interviewer with the texts and offered no commentary about the chosen texts. Others offered a commentary which was limited to observations about grammar and sentence structure. Two differences between the projects should be noted: the EWM managers were all native speakers of English and those who volunteered to be interviewed were highly articulate about most issues, with the exception of the discussion related to the language and meaning of the sample texts they brought to the interview. The CPW sample included a limited number of native English speakers, with the majority being native Cantonese speakers and these were not as forthcoming in their discussion about language in the workplace as the EWM

respondents. For these reasons, the EWM and CPW interviewee comments have not been included as part of the present study. Instead, a new set of informant views about texts was collected, and this is discussed in Chapters Seven and Eight. Two groups, business and teacher informants, were involved in the study at this particular stage. These informant group interviews focused on specific linguistic features and provided insight into the way in which the language of the texts was interpreted. By focusing on the analysis of texts and informant interpretations, this study extends certain aspects of the work carried out in both earlier projects. The data in the informant interviews were focused on the language of the texts and a detailed discussion which could be related explicitly to specific realisations in the texts ensued. This provided a rich source of information, which could be used to support, or question, the linguistic analysis carried out. It revealed the way in which linguistic resources were seen to influence multiple interpretations, with different readers interpreting the same text in different ways. It also shed light on some issues related to organisational culture, as a number of opposing views surfaced where the teachers and business people, who operate in very different environments, interpreted the texts differently in a number of salient ways. The findings also call into question the role that cultural factors play in the interpretation of meaning construed through linguistic choices.

The distinct differences between the UK and Hong Kong data may raise a number of questions about the compatibility of the data sets. However, in the present study it is assumed, as argued by Scollon and Scollon (1995), that there are greater gender and generational differences in the discourse used by people in the workplace than there are cultural differences between countries:

> Ultimately we will argue that the cultural differences between people in professional communication are likely to be rather less significant than other differences which arise from being members of different gender or generational discourse systems, or from the conflicts which arise between corporate discourse and professional discourse systems.
>
> (Scollon and Scollon, 1995:4)

As argued by Scollon and Scollon (1995), the differences in the discourse between the UK and Hong Kong data are likely to be limited, and workplace English is virtually an 'international language'. In both studies, English was the recognised medium of written communication, regardless of the mother tongue of the writers and their geographic location (Forey and Nunan, 2002).

The data collected in the EWM project tended to be from large and, in many cases, multi-national organisations, whereas virtually all the texts collected in the CPW data were from multi-national organisations. As pointed out by Scollon and Scollon:

> Hong Kongers' culture is quite flexible in that they can relate their behaviour either to the old fashioned conservative Chinese aspect of culture, or on the other hand the business man has the option to present Hong Kong as a modern centre from the international business culture, "the most progressive leading edge of Asian internationalisation".
>
> (Scollon and Scollon, 1995:128)

International business is the economic cornerstone, which drives the viability of Hong Kong as a competitor in the fierce South East Asian and worldwide market. The present study does not totally deny the fact that intercultural differences exist, rather it focuses on the notion of culture as incorporated within the lexico-grammatical choices in the language (Painter, 2001). A study of intercultural issues related to communication in the workplace would possibly result in interesting findings, but this is not the focus of the present study. Thus, it was predicted that the generic variation of the memo, letter and report texts was more salient than the organisational context of the respondents.

4.2 Selecting a research paradigm

4.2.1 Differing research paradigms

Before discussing the particular methodology followed in this study, it is essential that the theoretical perspectives motivating the research be discussed. Many educational researchers believe that the theory adopted for a study acts as the foundation and helps gather the data into "a coherent conceptual framework of wider applicability" (Cohen and Manion, 1994:7). Lynch (1996:13) states that the epistemology which is used as the basis of the research explains "how we know what we claim to know". Thus, in all studies the epistemological foundations affect what is viewed and counted as knowledge (Hammersley, 1992; Cohen and Manion, 1994; Lynch, 1996; Scott and Usher, 1996; Guba and Lincoln, 1998). The researchers' interpretations are therefore reported through "their own conceptual and perceptual lens" (Scott, 1996:67). Scott (1996) asserts that researchers need to discuss and clarify the epistemological basis of their research. Moreover, the theoretical paradigms on which the research is based will also have direct implications for the methodological concerns of the research (Cohen and Manion, 1994:7). Thus, this section attempts to briefly discuss the research paradigm in which the study is situated.

Positivist/empiricist research emphasises 'determinacy' and is also 'unreflexive' as it focuses on the methods and outcomes and asks no questions about the research process (Usher, 1996:13). The positivist/empiricist research paradigm is based on the 'hard sciences' model where ontological features can be explained by means of observation and experimentation. However, for the purpose of this research, a study of authentic language use, such a model is inappropriate.

The theoretical model adopted for this study is more aligned with social research where, as Usher points out, "knowledge is concerned not with generalisations, prediction and control but with interpretation, meaning and illumination" (1996:18). In the present study interpretation occurred at a number of different levels: The texts forming the corpus were selected by informants on the EWM and CPW projects. During the EWM and CPW projects, managers were interviewed and supplied the researcher with sample texts. From the full EWM and CPW corpus, a random selection of memos, letters and reports was taken to form the corpus analysed in the current study. The texts were analysed at a lexico-grammatical level based on the SFL theory of language. Text analysis is unavoidably interpretative, as a text may be analysed in many different ways depending on the linguistic theory, the researcher's purpose and the socio-cultural background of the researcher. The two texts used as a basis for collecting teacher and business informant interpretations, discussed in Chapter Eight, were carefully chosen from the corpus of texts with regard to their suitability to elicit views about textual and interpersonal meaning. The data collected from the teachers and business informants involved the informants giving their interpretations and personal opinions of the two texts and the way in which they viewed written meaning within the context of the two texts. In addition, the informant interview data were analysed by the researcher following an inductive method.

The data used for this study cannot be viewed as 'truth', 'hard' or 'objective', terms used in the positivist/empiricist model; the data in this research are seen as representing only a partial story of the social context in which the texts were constructed. Varying interpretations influence the data collected throughout this study. The data in this research cannot be taken as 'indisputable evidence'; rather, they aim to 'persuade' and 'illustrate' certain human behaviours which were caught and dissected through the lens of the researcher (Guba and Lincoln, 1998:202). The study thus attempts to understand examples of written text constructed within the context of the workplace in order to inform pedagogy at a later stage.

The collection and interpretation of the data reflect the researcher's own perspective (Usher, 1996:21). The researcher should be the 'essential starting point' for acquiring data, which predates knowledge. Thus, an attempt to describe the 'starting point' of the present research entails a brief description of the researcher's perspective. The researcher is an English female in her early forties, who has been involved in education for over 14 years. For the researcher, the purpose of applied linguistics in general, and of this study in particular, is "to discover the unconscious rules which govern our behaviour and to make them explicit – to make the invisible visible" (Martin, 1984:21). In the collection and interpretation of the data certain issues related to the researcher's background, such as her cultural reading of the way in which meaning is construed through linguistic choices, her experience of working with constructed workplace materials in the classroom and her involvement with the EWM and CPW projects, will affect the outcome of the study.

The study aims to make some of the implicit language choices found in workplace texts explicit. As noted in Chapter Two, an important motivating force behind the study is the possibility that the outcomes of this study may be used later to help inform language pedagogy.

As noted by Scott (1996:70-71), in research there is always a 'gap' between the accounts given and reality, as the accounts are snapshots that are interpreted and reported by the researcher. The researcher and informants report the data from their own perceptions and as such they approximate and retell what they believe has happened. If research is understood in this manner, then it is far more honest than if it is presented as 'truth' and 'factual'.

4.2.2 Ethical considerations

In the process of data collection, ethics were a major consideration. Gaining the trust of the respondents who provided the texts and informants who offered their interpretation of texts, as well as ensuring confidentiality was maintained in the texts in the corpus, was paramount. Ethical considerations related to data collection involved the decision whether to reveal to the participants the aim and purposes of the research. Throughout the research, the study aimed to incorporate an open and transparent research model, where the aims and purpose of the research were shared with the subjects. All subjects were informed in detail about the purpose of the research. The subjects were audiotaped and sent copies of their transcripts, allowing the participants the right to veto any data they did not wish to reveal.

Simons (1984) suggests five democratic ethical procedures which need to be addressed throughout data collection. These five procedures and the way in which they relate to the present study are outlined below:

1) The researcher should attempt to act "impartially", i.e. "withhold their judgements" and represent a range of views.

   In fact, wherever possible, the researcher tried to remain impartial. The text analysis was carried out on the basis of an established theory of language, an SFL model of analysis. During the interviews, the respondents/informants were encouraged to control the pattern of the discussion, with only minimal prompts from the researcher.

2) Participants should have control over release of their data at every stage of the research.

   The parameters of the research and the interview were carefully explained to all participants. The respondents who provided the texts in the EWM and CPW projects self-selected the texts they wished to give to the interviewer. They were also encouraged to delete sensitive information found in the texts. The teacher and business informants were given the option whether they wished to be audiotaped or not and a signed consent form was obtained. The transcripts were returned to respondents/informants to allow them the opportunity to veto and/or amend their transcript in any way.

3) There should be a control mechanism over the fairness and accuracy of what is being reported, which should be negotiated between the researcher and participant.

   The EWM and CPW interviews in which the texts were collected and the informant interviews in the present study were all set up in an informal, open and friendly environment where participants were encouraged to comment, question and interrupt at any time. Respondents and informants all had the opportunity to amend and edit the sample texts they donated and the transcripts from their interview.

4) Participation should not be compulsory.

   All respondents and informants were volunteers. Both the UK and Hong Kong respondents were contacted prior to the interview and the aim and purpose of the research were discussed.

5) The researcher should be accountable not only to the participants, but also to other parties who have an interest in the research.

   In both the EWM and CPW projects a steering committee, made up of academics in the field of business and applied linguistics and influential members of the business community, was established. The steering committee oversaw, questioned and guided the CPW and EWM research projects. Beyond the time frame of this project, the researcher's supervisor was also closely involved in overseeing the direction of the study.

The anonymity and confidentiality of all participants has been protected. All names, dates and sensitive information in both the interview and corpus data have been changed. At the time of data collection every effort was made to establish and maintain equity in status and equity in the interpretation of the data between researcher and respondents/informants.

4.3 Establishing a corpus of authentic workplace texts

The corpus of the present study consists of texts which were selected by the managers and junior managers who volunteered to be interviewed as part of either the EWM or the CPW project. The specific criteria for selection were that the sample texts should be used within the workplace, and that they should be considered, by the respondent, to exemplify either effective or ineffective texts. This was consistent with the basic aim of both surveys, namely to establish the criteria respondents use when evaluating or producing text. In the event, this aim was not achieved; no clear pattern of responses was discernible and responses were fragmented and could not be verified in any way. The respondents' responses tended to be centred around issues related to grammar, or what the respondents believed to be grammar, which commonly referred to points such as spelling and sentence structure (Davies and Forey, 1996; Nunan et al., 1996), which is similar to Berry's experience (Berry, 1996). However, one feature which did emerge during the interviews was the extent to which managers revealed a deeply personal commitment to writing, as shown by respondents' comments that "writing is an essential part of the organisation" and that writing is "an opportunity to impress" (Davies et al., 1999:298). Many of the issues related to different writing practices and processes were investigated in both the EWM and CPW projects, such as the amount of time spent writing, the process of writing (which included drafting and redrafting), who was involved in the writing process (i.e. other colleagues, secretaries, etc.), whether their written texts were reviewed by others, and so on. In addition, a number of questions were asked with respect to perceived strengths and weaknesses, preferences and views about writing. The findings of both the EWM and CPW projects also discussed issues related to how the managers learnt to write, as well as the provision and need for training related to written texts. These and many other issues related to both projects are discussed in the respective reports and published papers (Davies and Forey, 1996; Nunan et al., 1996a/b; Davies et al., 1999; Forey and Nunan, 2002).

The EWM data in particular identified the three key genres used in the workplace, viz. letters, memos and reports. Memos, letters and reports were selected as they not only represent the most frequently written workplace texts, they are also the texts most commonly included in business communication text books. In a random sample of nine business communication text books, all nine books dedicated a great deal of space and time to information related to memos, letters and reports (Guffey, 1991; Thill, 1991; Treece,

1994; Chandler, 1995; Baugh et al., 1996; Ewald and Burnett, 1996; Lahiff and Penrose, 1997; Lehman and DuFrene, 1998; Inkster and Kilborn, 1999; Krizan et al., 2002).

A preliminary reading of the corpus data suggested that although these texts serve a basic informing function, they also frequently have an interpersonal function. As the present research progressed, this interpersonal aspect of language, which was initially seen to be merely textual, became increasingly important. For example, in Letter 12 the writer reassures the reader by stating *I am sure you will be pleased to learn that these measures appear to be having an effect.* In this clause complex it is clear that the writer is stressing interpersonal choices in their choice of linguistic resource in order to reassure the reader.

It was thus that the more specific aims of the present study became established. The aims were to investigate the range and extent of common features existing in the choice of Theme in the memos, letters and reports. As the study progressed, the analysis became increasingly sensitive to the ways in which interpersonal meaning was established and the linguistic devices employed by the writers that influence the interpersonal meaning of a text in the choice of Theme.

4.3.1 A small corpus

In seeking to achieve these aims the present corpus would appear to meet three of the four criteria outlined by Biber et al. (1998). The four basic characteristics of a corpus are that it

> i is empirical, analysing the actual patterns of use in natural texts;
> ii utilizes a large and principled collection of natural texts, known as a "corpus", as the basis of analysis;
> iii makes extensive use of computers for analysis, using both automatic and interactive techniques;
> iv depends on both quantitative and qualitative analytical techniques.
>
> (Biber et al., 1998:4)

The present corpus is 'empirical' as it analyses the natural patterns at a lexico-grammatical level; is based on natural texts; and incorporates both qualitative and quantitative analytical techniques. However, the present study differs from Biber et al. (1998), and from what is commonly known as 'corpus linguistics', in the use of computers for analysis. In the present study the lexico-grammatical analysis of Theme has been carried out manually, rather than by "subjecting the texts to quantitative analysis using readily available software and from which the human analyst can interpret the results" (Ooi, 2001). Frequently in corpus linguistics the data are tagged and studies, for example of collocation, are carried out on millions of words through software such as WordSmith (Scott, 2001), Vocabprofile

and RANGE (Nation, 2001). As Stubbs (2001:317) points out, "millions of running words can be searched for patterns which cannot be observed by the naked eye". Sinclair (1997) adds that corpus linguistics uses authentic texts to verify what was previously often left to the researcher's intuition, to inspect co-text collocations within different contexts and to identify the distinction between form and meaning. Because corpus linguistics frequently deals with large sets of data, the output of such studies, i.e. the results of searches within the corpora, is often reliable.

Within the field of SFL there are few resources for conducting a computerised lexico-grammatical analysis. Only recently have resources of this sort become available, for example, O'Donnell's 'Systemic Coder' (2002), or Judd and O'Halloran 'Software for Research and Teaching SFL' (http://courses.nus.edu.sg/course/ellkoh/Overview.html). However, these resources were not available in a tried and tested form when the analysis was undertaken.

Against this background the term corpus is used in the present study to refer to the small, specialised corpus of a modest 31,883 words. (See Section 2.2.2 for a brief summary of similar-sized small corpora). The analysis of Theme has been carried out manually in a comprehensive and exhaustive manner. The texts were scanned and converted to a digital form, then checked for accuracy. Finally all names, figures, and identifying traits were changed to make the texts anonymous. Therefore, when these texts are read as part of a research study, it should be noted that the original name or organisation would perhaps elicit slightly different interpretations by the reader. However, in the present context this cannot be avoided. The corpus texts were manually subdivided into 1,486 main clauses or, where a main clause was accompanied by dependent clauses, into clause complexes within the boundary of the orthographic sentence. (The unit referred to as the main or independent clause is also referred to as α (alpha) clause in a clause complex. A definition of this type of clause is presented in Section 3.5.3). A more detailed description of the unit of analysis is given in Section 3.3. The analysis was recorded in a tabular format which was used to display the type of Theme chosen. This analysis is shown in Appendix II.

4.3.2 Details of the corpus of the present study

As previously established, the corpus of the present study consists of texts from the EWM and CPW projects. The details of size, number of α clauses and number of words of the corpus are presented in Table 4.1. In developing the corpus it was hoped that half the data

would come from each of the UK and Hong Kong studies. However, due to availability of texts, the balance between the texts from the UK and Hong Kong is not exactly half each.

In total there are 62 texts, comprising 30 memos, 22 letters and 10 reports. Of the 62 texts, 33 (53.2%) originate from the UK project and 29 (46.8%) from the Hong Kong project. In total there are 1,486 α clauses analysed for Theme. The 30 memos comprise 504 main clauses and 9,788 words, the 22 letters 248 main clauses and 5,652 words, and the 10 reports 734 main clauses and 16,403 words.

A full list of each text, illustrating its origin, the reference used, the title of the text, the number of clauses, the number of words and comments, is found in Appendix I. In this appendix the column labelled *Ref* represents a coding system, which is used to recognise the source of the individual texts, as shown in Figure 4.1. The title listed in the second column is the title used in the document; if no title was provided a suitable title was added in the table in order to help recognise individual texts. In addition, in the column labelled *Comments* there are notes related to whether the text was effective or ineffective are recorded and in total seven (11.1%) texts were labelled ineffective. The reason for including a small number of ineffective texts is that the corpus then is perhaps more reflective of the type of texts written in the workplace. All texts termed ineffective included in the corpus were included after they had been written and circulated in the workplace.

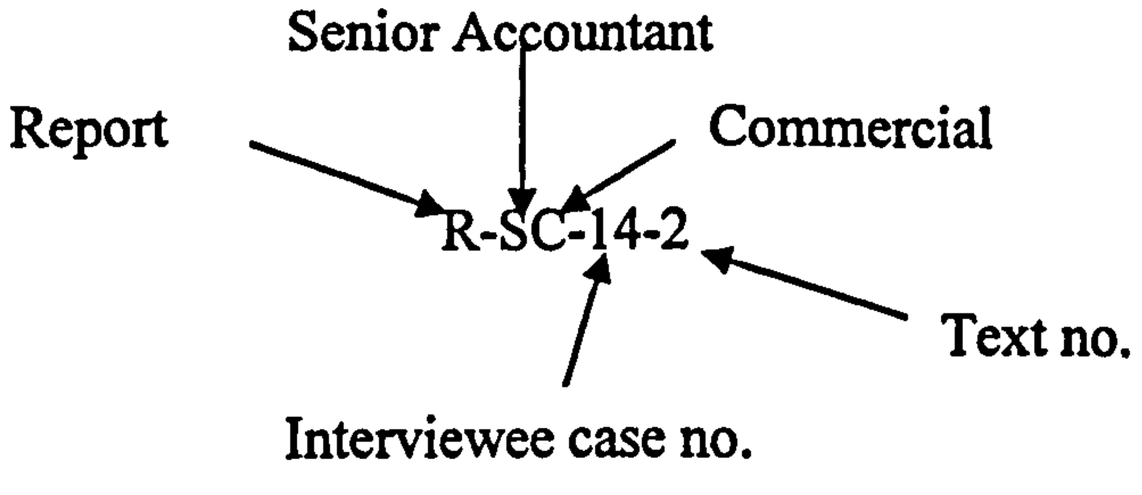


Figure 4.1: Coding system for text identification

Figure 4.1 illustrates the coding adopted for recording the origins of the texts. For ease of discussion this identification label is restricted to texts in Appendix I and II only. A prefix of *R, L* or *M* identifies the text as a report, letter or memo. The second digit (*E, S* or *J*) identifies the source: *E* means that it is from the Effective Writing for Management project, UK; *S* and J refer to the status of the manager from the Hong Kong corpus; *S* and *J* refer to senior and junior. This is followed either by a *C* or a *P*, indicating a commercial

organisation or a Certified Public Accounting organisation. The first number identifies the case number of the interviewee, and the final number identifies the text number. As noted previously, this coding system is used in Appendix I and II; in addition all texts are labelled Memo 1, Memo 2, etc. This is the term used to discuss individual texts throughout the thesis.

The procedure of analysing the texts leading to an understanding of the common lexico-grammatical features will be discussed in the following section. Although the focus of the present study is on interpersonal features found in the choice of the textual metafunction, all three metafunctions, textual, interpersonal and ideational, will be presented in brief below in order to provide relevant background information. As noted previously, the meta-functions together simultaneously combine to create the meaning in the message.

4.4 Lexico-grammatical analysis and the metafunctions

4.4.1 The metafunctions

The present study focuses on an analysis of the textual metafunction and more specifically on the way in which interpersonal meaning is construed in the choice of the textual meta-function. However, the focus on the textual metafunction and related discussions through-out the study draws heavily on the role of the interpersonal and, to a limited extent, ideational choices within the Theme of the main clause. In order to provide background information, a discussion of all three metafunctions is presented.

Each metafunction, and the choices within that metafunction, is concerned with one particular area of meaning (as discussed in Section 2.7.2). The ideational metafunction relates to the linguistic coding of things, and events of experience. This system is known in SFL as transitivity, and includes the following features:

- process type (material, e.g. *go*, *do*; mental, e.g. *believe*, *hope*; verbal, e.g. *say*; relational, e.g. *be*);
- Circumstantial Adjunct (time, place, manner, cause, etc.);
- participation (transitive vs. intransitive).

The interpersonal metafunction relates to the way in which the relationship between the writer and reader is realised. This is known as the Mood system and includes features such as:

- mood (declarative, interrogative, imperative);

- modality (degrees of probability and obligation, e.g. *must*, *should*); polarity (positive / negative);
- vocation (terms of address, e.g. *sir*, *John*);
- person (e.g. *I*, *you*, *your*, *his*, *she*, *they*);
- speech function (statement, question, answer, offer, etc.);
- attitude (Modal Adjuncts, e.g. *unfortunately*) (Painter, 2001:177).

The textual metafunction is seen to organise the ideational and interpersonal choices into a coherent message. The components of the textual metafunction have been presented in Chapter Three. Many of these systems and terms will be referred to later in the study.

In addition to the lexico-grammatical analysis, certain standard symbols used within SFL have also been applied in the analysis of the data. The symbols used are (after Halliday, 1994:65):

[ ] - ellipsis, e.g. *Please [you] contact Sylvie Robinson TT5, for meal tickets which are six pounds per person.* (Memo 7, clause complex 8)

[[ ]] - downranked or embedded clause; it 'defines' the identity of a feature without entering into a relationship of hypotaxis or parataxis, e.g. *The equipment [[being used for off-air recording]] could be improved.* (Report 3, clause complex 64). Embedded clauses are not analysed; as Martin et al. (1997:177) point out, "they should be ignored".

<<>> - clause boundary for an included clause, e.g. *the annual operating cost, <<including the waste collection service>>, would be about $38 million.* (Report 8, clause complex 11). The included clause interrupts another clause, but is not embedded in it, and is not part of the clause. In the present analysis embedded clauses have been included as part of the clause complex.

α - independent clause (a detailed description and examples can be found in Section 3.5.3)

β - dependent clause (a detailed description and examples can be found in Section 3.5.3)

These symbols have only been applied to the Theme analysis of the data. This means that such features may be present in the Rheme of the clause, but the symbols have not been used to identify such realisations.

4.4.2 The analysis of Theme in the corpus

As the focus of the present study is thematic choices, more specifically the way in which the interpersonal is realised through a range of resources in the textual metafunction, a rigorous analysis of Theme was undertaken. The emerging direction of the study led to a focus on the choice of textual, explicitly interpersonal, topical and extended Themes.

Extended Themes include those realised by Complements, Circumstantial Adjuncts, enhancing hypotactic clauses or projecting clauses in initial position.

The terms, concepts and systems used in the analysis of Theme are presented in detail in Chapters Three and Six. The unit of analysis used to analyse Theme is outlined in Section 3.3. Chapter Three focuses on general features related to Theme, and Chapter Six is specifically concerned with projecting clauses found in thematic position. In Chapter Three four key constituents of Theme were introduced and these key constituents were then applied in the analysis of Theme in the corpus. Firstly, Theme in the entire corpus was analysed following Halliday's distinction between textual, interpersonal and topical Themes. Topical Themes were subdivided into Subject/Theme and marked Theme. Halliday (1994) states that the Subject is typically the unmarked Theme of the clause where the two functions Subject and Theme are mapped onto each other. With the exception of textual and interpersonal Themes, anything other than Subject in initial position is referred to by Halliday as a marked Theme. In the present study, in an independent clause, the Subject has been labelled Subject/Theme. Ideational elements in thematic position that are not mapped onto the Subject have been termed marked Theme. Details and arguments related to the identification of Subject/Theme and the reasons for including the Subject of the main clause as part of Theme are presented in Section 3.2.3. Secondly, in the present study, extended Theme was sub-divided into three main groups, viz. Circumstantial Adjuncts, dependent clauses and projecting clauses. In the corpus there were only two examples of complement found, and although these have been recognised as marked Theme they have not been included in the analysis as they constitute only 0.1% of all thematic choices. The system of analysis adopted for Circumstantial Adjuncts, dependent and projecting clauses as well as various aspects of Theme is outlined below.

4.4.3 The representation of the analysis

As noted above, the texts were analysed according to the Theme of the independent clause and everything up to and including the Subject of the independent clause was categorised as Theme. Appendix II presents the analysis of Theme in all texts in the corpus. As shown in Appendix II, the Theme of the main clause was analysed through reference to the roles which the Theme performed, i.e. textual, interpersonal, marked and or Subject/Theme. Anything not considered Theme was considered Rheme. The tables in Appendix II are organised as follows:

Table 4.1 Example of tables used in Appendix II in the analysis of Theme

	THEME					RHEME
	textual Theme	marked Theme	interpersonal Theme	marked Theme	Subject/ Theme	
74	Accordingly		you may assume, [[subject to fine-tuning adjustments]], that		your investments costs on imported capital goods	would increase by about 50%.

As illustrated in Table 4.1, tables presenting the analysis of Theme in Appendix II are divided into seven columns. The headings given for each column indicate the aspect of Theme identified. Due to size constraints, the first column does not have a title but indicates the number assigned to each clause. Five different columns are used to identify the type of Theme, viz. textual Theme ^ marked Theme ^ interpersonal Theme ^ marked Theme ^ Subject/Theme. It was necessary to include two columns for marked Theme because on occasion, as shown in Appendix II, marked Themes may be realised before or after interpersonal Themes. For instance, in the data there are occasions when a textual Theme is realised after a marked or interpersonal Theme and this is indicated by the use of {}. As shown in Example 4.1, the conjunction *however* is realised after a Circumstantial Adjunct.

Example 4.1

	In ILLs, however, {however = textual}			it	is possible to cover all the hours within the team, by people already in the posts.
textual Theme	marked Theme	interpersonal Theme	marked Theme	Subject/ Theme	
THEME					RHEME

Memo 2, clause 12

In addition, as shown in Appendix II, headings and sub-headings have been included in the analysis and are recognisable by having no clause number and no sub-divisions within the row (for an example, see Appendix II, Report 2). In some instances these headings and sub-headings indicate that the following text is either a *note*, *other points of interest*, *appendix* or *P.S.* (for an example, see Appendix II, Memo 8, clause 17). If they were complete clauses, these additional linguistic features of a text were included and analysed as part of the text as they were seen to be an integral part of the text and its meaning.

However, in the case of Report 4 the notes were not complete clauses and were not included in the count of alpha clauses for that text.

4.4.4 The analysis of textual Themes

As established in Section 3.4.1, textual Themes are realised by conjunctions, relatives and Conjunctive Adjuncts, and while they are commonly found in initial position, they do not exhaust the potential of Theme (Halliday, 1994:53). In order to clarify the method of analysis adopted, a number of textual Themes are presented for further discussion, viz. *in fact*, *this way*, *and*, *so*, *so that*, *i.e.*, *e.g.* and the use of punctuation. For example, the textual Theme *in fact*, as shown in Example 4.2, could arguably be classified as an interpersonal Theme if the analyst believed that the wording *in fact* is an assertion of the writer's view-point.

Example 4.2

In fact	it	may even be possible to add hours to the existing posts on a longer term basis without recruitment
textual Theme	Subject/Theme	Rheme

Memo 2, clause complex 6

However, although this is a possible interpretation the present study follows Thompson and Zhou (2000) and Martin and Rose (forthcoming), who categorise all Conjunctive Adjuncts as textual Theme. However, these authors argue that Conjunctive Adjuncts perform two roles: a textual role semantically linking ideas and an interpersonal role as they express the writer's viewpoint. Although Conjunctive Adjuncts are analysed as textual Theme, their interpersonal function is also recognised. Halliday (1994) classifies *in fact* as a "verifactive" Conjunctive Adjunct, functioning in a manner similar to *actually* and *as a matter of fact* (Halliday, 1994:49). Conjunctive Adjuncts, such as *in fact*, in the present study have been classified as textual Themes, although they are recognised as carrying interpersonal meaning.

Similarly, *and* can function either as an additive Conjunctive Adjunct or as a co-ordinating conjunction. The difference between a Conjunctive Adjunct and a conjunction is that "while Conjunctive Adjuncts set up a semantic relationship with what precedes, conjunctions set up a relationship which is (not only semantic) but also grammatical" (Halliday, 1994:50). The conjunction *and* was analysed as a textual Theme and in many cases seen to indicate parataxis, as illustrated in Example 4.3:

Example 4.3

	I	refer to John Lui's visit to your office for the period 4-8-1-95
and	[I]	enclose herewith a copy of his report for your perusal.
textual Theme	Subject/ Theme	Rheme

Memo 22b clauses 1 and 2

In certain contexts *and* is used as a co-ordinator in a verbal group complex to link two processes, such as in *sign and return* (Letter 11, clause complex 8). Instances of this type are analysed as verbal group complexes – with *and* linking two processes but not two clauses – and the conjunction here does not function as a textual (clause) Theme.

The conjunction *so* may signal either a paratactic or hypotactic relationship between two clauses. The type of taxis is an important consideration in the present study. In some instances *so* acts to join two paratactic clauses, as shown in Example 4.4:

Example 4.4

		we	have also included dodgem cars as well as clay pigeon shooting
so,	as you can see	it'	[i]s a varied programme.
textual Theme	marked Theme	Subject/ Theme	Rheme

Memo 7, clauses 14 and 15

In Example 4.4, both clauses are of equal status and neither clause is dependent on the other for meaning. For example (*so as you can see) it's a varied programme* is a free clause and can be understood without depending on another clause for meaning. In addition, *we have also included dodgem cars as well as clay pigeon shooting* is also an independent clause. However, in Example 4.5, the conjunction *so that* is used to link a hypotactic clause to a main clause:

Example 4.5

and	when this happens	I	will type another note similar to this one so that we are all clear
textual Theme	marked Theme	Subject/ Theme	Rheme

Memo 4 clause complex 53

The clause *so that we are all clear* is not able to stand alone and is dependent on another clause for meaning. The conjunction *so that* generally signals a hypotactic relationship. In addition *so*, *so that* and *this way* are generally understood to be signalling a causal

conjunction. The conjunction *this way* has been interpreted, in the context used in Memo 4, clause complexes 19, 22 and 31, to construe a similar meaning to *therefore* and *thereby*.

Punctuation marks such as the hyphen, and common Latin abbreviations such as *i.e.* and *e.g.* have been categorised as "appositive" Conjunctive Adjuncts (Halliday, 1994:49). Generally, they signal a paratactic relationship, unless contextual features indicate otherwise – as in the case of a colon, the interpretation of a hyphen and of *i.e.* and *e.g.* is based on the function of this form in the text.

The information following a colon has been treated in two different ways. Firstly, if the colon is used as part of the lead-in clause for a following set of independent clauses, each of these clauses will be analysed separately, with the usual potential for Theme and Rheme, as shown in Example 4.6:

Example 4.6

5.	The current project status	can be summarised as follows:
6.	Auto reconciliation systems function	needs to be rectified and tested before UAT sign-off on ISIS-CIS Interface [sic],
7.	and [Auto reconciliation systems function]	is critical for CIS pilot [sic] to commence.
8.	MIDAS/CIS conversion	includes implementation of GMIS for CIBL.
9.	Reports UAT	will start on 4 September 1995, lasting for 4 weeks.
10.	There	will be a parallel run of 1 week before implementation.
11.	CAD Functional Specification	will be delivered by 30 June 1995.
12.	CAD UAT	is scheduled to run from 1-31 October 1995 with the possibility of a modular approach.
13.	There	is no contingency available in the current plan for the CAD project
14	There	is no spare resource capacity in CIBL Operations for additional UATs during June-August period for general ISIS enhancements.
	Subject/Theme	Rheme

Memo 6, clauses 5-14

Secondly, if the colon is followed by a list of non-finite clauses, these non-finite clauses will considered part of the Rheme of the lead-in clause, as shown in Example 4.7:

Example 4.7

The involvement of PQM in the CIBL Programme	has focused on three key areas: - Facilitating communication across the projects to highlight immediate and potential inhibitors. - Offering general assistance to projects to help resolve current issues. - Keeping senior management (i.e. CIBL Board and PAS Committee) informed of progress and current issues.
Subject/Theme	Rheme

Memo 6, clause complex 16
(upper case in orig.)

As shown in Examples 4.6 and 4.7, the structural relationship between the lead-in and the items is fundamentally the same. However, the difference is the grammatical status of the list items and this is the reason for treating clauses differently.

4.4.5 The analysis of interpersonal Themes: Modal Adjuncts, modal finites, Vocatives and wh- interrogatives

Interpersonal Themes in the data were either realised by Modal Adjuncts (*fortunately, please*, etc.), modal finites (*would, could*, etc.), Vocatives (*Tom*, etc., as in *Tom, please [would you] pass a copy of this to your people*, Memo 8, clause 17), wh-interrogatives (*what*, as in *what is the role of the Production & Accounting Steering Committee in this process?*, Memo 6, clause 26, where *what* functions both as interpersonal Theme and as Subject/Theme). In order to represent the fact that an interrogative is functioning both as an interpersonal Theme and as Subject/Theme, the linguistic item, in the analysis in Appendix II, is shown in both boxes with ellipsed brackets [*what*] used in the Subject/Theme column. Another type of interpersonal Theme in the data was realised by projecting clauses in initial position. The method of analysis used to identify such clauses is discussed below in Section 4.4.6.

One major query which surfaced was how to analyse clauses such as *I would be grateful if.* The decision was made that such clauses, and others like it, were best treated as interpersonal metaphors functioning simply as *please do...X*, and thus as dependent clauses. If found in initial position, their analysis would be as follows:

Example 4.8

We should be grateful if	you	would refund the total amount of HKD665.00 to the office account accordingly
Interpersonal Theme	Subject/ Theme	Rheme

Memo 20, clause complex 2

In Example 4.8, *we should be grateful if* is a formulaic, polite way of introducing a request, or in this case a strong request, for the intended reader to refund outstanding money. Such phrases are common in workplace memos and letters and rarely found in reports. Based on this analysis, phrases such as *we should be grateful* have been analysed in the same manner as *please*, i.e. as a modal Adjunct of 'entreaty'.

4.4.6 The analysis of interpersonal Themes: projecting clauses acting as Theme

Projecting clauses found in Theme position play a crucial role in realising the interpersonal (see Section 6.5), and are therefore analysed and discussed separately from other types of extended Themes in Chapter Six. Concepts of Theme related to projection are presented in detail in Section 6.1; the literature related to projecting clauses, as relevant to the present study, is reviewed in Section 6.2; and the position adopted in the present study related to projecting clauses in thematic position is outlined in Section 6.3. However, in what follows the analytical system adopted for the analysis of projecting Themes is introduced.

When analysing the data, three categories of projecting Themes emerged, namely 'thematised subjective viewpoint', 'thematised comment' and 'thematised obligation / inclination'. These categories are based on previous work in the area by Halliday (1994) and Thompson (1994, 1996). It is suggested in the present analysis that a cline exists between the three categories of projection as follows:

1) Thematised subjective viewpoint
   This category is derived from Halliday (1994:358). Following Halliday, subjective viewpoint is viewed in terms of both explicit and implicit subjectivity. Subjective explicit is where *I, you* and *we* are used as Subject within the projecting clause e.g. *I hope that the foregoing information provides the appropriate clarity but please do not hesitate to contact me if further details are required.* (Memo 11c, clause complex 23)
   Implicit subjective is when a 'human participant' nominal group is used in the projecting clause. This categorisation is made regardless of whether the nominal group is referring to an individual such as *the Director of Housing* or as in the following example where the nominal group is referring to an institution comprised of humans, e.g. *The library is also concerned that all students on distance learning courses properly understand the implications of studying for a degree by distance learning.* (Report 3, clause complex 22)

2) Thematised comment
This category is derived from Thompson (1996:129), where a proposition is encoded in what appears to be an objective viewpoint. Thematised comment is found in the form of a factual projecting clause in initial position, e.g. *it would appear that there has been no progress or further feedback to your letter of 24 May 1995 regarding the above.* (Memo 11b, clause complex 1) This type of projecting clause, according to Thompson (1996:209), is frequently realised through the use of an anticipatory *it.*

3) Thematised obligation/inclination
This category is based on Halliday (1994:358). The distinction is not based on the choice of Subject but rather the choice of modularity compared to modality where the projecting clause is encoding as an imperative type of modality. In modularity there is some form of obligation or inclination embedded within the projecting clause in thematic position, e.g. *we must therefore take the view that the activation was caused by a genuine smoke incident.* (Memo 11c, clause complex 20) In this example the use of *must* indicates an imperative meaning attaching to the projecting clause. In other instances of thematised obligation/inclination the tense indicates that a decision or action has become an obligation, for example, *it has been decided therefore [that] all staff [[who are called upon to assist in these non-scheme activities]] maintain time sheets showing clearly the time devoted to non-scheme activities.* (Memo 19, clause complex 6). The projecting clause is no longer used to realise probability, as suggested by the other two groups of projection, but construes meanings of modularity; i.e. the decision has been made and is no longer up for negotiation.

A complete list of projecting and projected clauses found in the data is provided in Appendix VI. In this appendix the clause complexes found in the memos, letters and reports have been separated into the three categories outlined above.

4.4.7 The analysis of marked Themes

The theoretical position adopted in respect of marked Theme, and the approaches followed for the identification of marked Themes, are established in Section 3.5. As pointed out, a marked Theme may be realised by a Circumstantial Adjunct, Complement or dependent clause preceding the Subject of the main clause. In the data, marked Themes comprised Circumstantial Adjuncts and dependent clauses in initial position, and the method of analysis adopted for these two types of marked Theme is discussed below. Together marked Theme and Subject of the independent clause constitute an extended Theme.

An extended Theme may comprise Circumstantial Adjunct ^ dependent clause ^ Subject/Theme, or Circumstantial Adjunct ^ projecting clause ^ Subject/Theme. Therefore in conducting the analysis it was decided that Circumstantial Adjuncts would be analysed as part of Theme if they occurred first in a dependent clause which was itself in initial position, i.e. occurring before the independent clause in the clause complex. In such cases the dependent clause, including of course its Circumstantial Adjunct, is analysed as part of an extended Theme, as shown in Example 4.9:

Example 4.9

Accordingly,	at first sight,	it may appear that	the cancellation of duty	is only a matter for the domestic companies
textual Theme	Circumstantial Adjunct	inter-personal Theme	Subject/Theme	Rheme
extended Theme				

Report 6, clause complex 89

The analytical system followed to identify Circumstantial Adjuncts is presented in Table 3.4. However, as mentioned above, Thompson (1996:105) points out that Circumstantial Adjuncts can combine "two different types of meaning". This raises the problem of whether to code Circumstantial Adjuncts with reference to just one meaning or in some cases to two possible meanings. A limited number of Circumstantial Adjuncts were 'doubly' coded, as shown in Example 4.10:

Example 4.10

Following the recent decision [[to carry out a review of the QMS procedures set]],	please	[you]	find attached a list of all the registered procedures relevant to your respective departments.
Circumstantial Adjunct of matter / cause	inter-personal Theme	ellipsed Subject/ Theme	Rheme
extended Theme			

Memo 11a, clause complex 1

The Circumstantial Adjunct *following the recent decision [[to carry out a review of the QMS procedures set]]* could be analysed both as a Circumstance of matter in that it refers to *a recent decision*, as well as a Circumstance of cause in that it is because of *the recent decision* that the writer is writing the memo. It could be argued that each Circumstantial Adjunct should only be coded once in order to avoid confusion and that the coding should be an intuitively satisfying one. However, by only coding once the analyst would be ignoring one of the meanings of a given Circumstantial Adjunct, and therefore in the present study Circumstantial Adjuncts with more than one meaning have been 'doubly' coded in order to reflect their full meaning potential.

The analysis of dependent clauses in initial position involved the identification of the dependent clause as finite or non-finite, followed by its categorisation by clause type. A non-finite clause is a clause which has no Subject and whose main verb has no reference to time or person. Non-finite clauses are always dependent "simply by virtue of being non-finite" (Halliday, 1994:240). They have no Theme and if analysed as a clause, the whole

non-finite clause would be Rheme. In an analysis of Theme in the clause complex, however, a non-finite clause in initial position in the clause complex realises a marked Theme, as shown in Example 4.11:

Example 4.11

<table>
<tr><td>To ensure successful completion,</td><td>we</td><td>have adopted the 'programme' approach, - a flexible structure with project managers liasing [sic] closely with the Programme Manager to co-ordinate activities and manage project dependencies.</td></tr>
<tr><td>non-finite clause</td><td>Subject</td><td rowspan="3">Rheme</td></tr>
<tr><td>marked Theme</td><td>Subject/ Theme</td></tr>
<tr><td colspan="2">extended Theme</td></tr>
</table>

Memo 6, Clause Complex 15

To ensure successful completion is a non-finite, dependent clause and *we* is the Subject of the following finite, independent clause. The Theme of this clause complex is thus *to ensure successful completion, we*, i.e. an extended Theme. In the analysis of dependent clauses in thematic position, the Themes of these clauses have been separately accounted for as finite and non-finite marked Themes respectively.

Nearly all of the dependent clauses found in initial position in the clause complex were hypotactic enhancing clauses. As noted above in Section 3.5.3, hypotactic enhancing clauses have a circumstantial quality and the categories developed by Halliday for these clauses are very similar to those of Circumstantial Adjuncts. The analysis of hypotactic enhancing clauses into semantic groups follows the criteria established by Halliday (1994), and exemplified in Halliday (1994:237) – and in Table 3.6 in Chapter Three – where Halliday presents a list of different types of hypotactic enhancing clauses and introduces the conjunctions and prepositions typically used to identify the hypotactic enhancing clause.

The analysis of Circumstantial Adjuncts and hypotactic enhancing clauses as part of extended Theme is shown in Appendix III. The source of the data and the analysis of the type of Circumstantial Adjunct(s) found in the marked Theme are indicated below the table with the analysis, as in Table 4.2:

Table 4.2 Example of labelling system used in Appendix III

	Marked Theme	Subject/ Theme	Rheme
23	but at that time, of course,	we	will follow Personnel's guidance as always, to make sure we are doing everything fairly.

Memo 2, location: time

As shown in Table 4.2, the tables are divided into four columns. The first column indicates the clause number, the second the marked Theme, the third the Subject/Theme and the fourth the Rheme. In these tables the column labelled 'marked Theme' may include more than one type of Theme. In Table 4.2, the marked Theme includes a textual Theme *but* and a marked Theme, a Circumstantial Adjunct *at that time*. This extended Theme, and others like it, will be included in the column labelled 'marked Theme' and the Circumstantial Adjunct will be shown in bold to differentiate it from the other aspects of Theme. This method of representation has also been applied to the analysis in Appendix VI of projecting Themes and of the example texts in Chapter Five, Tables 5.11-13.

4.4.8 The analysis of Subject/Themes

Based on the data it appears that the Subject/Theme can be subdivided into six different lexico-grammatical categories. The criteria and categories developed are as follows:

a) nominal groups; these refer specifically to lexical nominal groups, e.g. *the landlord, the specific assistance, the issue of off-air recording and housing managing video collections*. In order to simplify the discussion, all future references to lexical nominal groups will be to 'nominal groups' and although personal pronouns are also a nominal group, they will be referred to as 'personal pronouns' as in a separate category.

b) personal pronouns, *I, you, we, he*, etc.;

c) ellipsed Subjects, for example the Subject *you* is typically ellipsed in an imperative clause: *[you] See Appendix 2*;

d) referential items, these refer to anaphoric or cataphoric references being made within the text, via demonstratives and pronouns such as *that, this,* and *it,* (cf. Halliday, 1994:314). In addition, referential items also include the anticipatory *it* which functions as Subject and as a placeholder; e.g. the *it* in Example 4.12 would be classified as a referential item.

Example 4.12

However	it	would not be prudent to charge on this basis for Period 1 & 2 because of the following reasons:
textual Theme	Subject/ Theme	Rheme

Memo 10, clause complex 3

However, anticipatory *it* was treated differently when realised in a projecting clause found in thematic position (see Section 6.3.3):

e) *wh*-items, for example *how* and *what* in the following interrogative clauses: *How can we best co-ordinate...?*, *What are the expectations among project managers...?*;

f) existential *there*, where *there* is used as a 'pass' option and the writer chooses to not select an interpersonal or ideational topic as Theme (Berry, 1996), but to indicate that the Existent is introduced later in the clause (discussed in detail in Section 3.4.4).

Initial findings revealed that the most frequently occurring category was that of the nominal group and this also seemed the most interesting. Again following an inductive approach, categories for the nominal groups realising the Subject/Theme emerged from the data (Bogdan and Bilken, 1992; Creswell, 1998).

4.4.9 Validating the types of nominal group

In order to establish the credibility of the nominal group categories a validation process for the suggested categories was carried out and this process is described in brief below. Following Hyncer (1999) three judges from the applied linguistic community, lecturers in the English Department of the Hong Kong Polytechnic University, were asked to participate in a validation process to verify the semantic basis of the categories.

Judges were presented with a draft of the following categories, definitions and exemplars of the nominal groups:

1) Human Participant

This group is subdivided into two categories:

i. *Human participant: personal reference*, where one person is identified personally by name, e.g. *Steve*, *Paul*, *Patrick.*
ii. *Human participant: institutional reference*, where the lexical item refers to an individual or a group through an institutional reference such as *the Building Facility Manager*, *Banco Santander*, *the Working Group*, *the Housing Department*, etc.

In all instances, human participants refer to an individual, a group of people or an organisation. A distinction between the two groups was made, as 'personal reference' identifies an individual in a personal manner and 'institutional reference' identifies an individual through their role in the institution. Human participants should not be confused with participants within the transitivity system as participants in the transitivity include a far wider group such as personal pronouns, objects and places, etc. (Halliday, 1994:107-9). Personal pronouns function in a similar manner to proper nouns but have not been included in this category as the focus here is solely on nominal groups.

2) Material Entities

This group is subdivided into five categories:

i. *Products* - The nominal group is used to refer to concrete phenomena which may vary in the level of generalisation by capturing a complete system such as *expenditure* and *the operating costs tendered*, or by narrowing the field to represent a finer point within the system, e.g. *this reference no*, *electricity costs for bulk supply contracts.* In each case a 'product' can be tied down to some kind of material entity or outcome. For example, the nominal group *the Sales proceeds* [sic] in Letter 18, clause 16, is referring to a concrete object – a sum of money generated from the sale of certain property. The material entity is wholly recoverable from within the text.

ii. *Documents* - This category refers to nominal references made to the present text or other texts, e.g. *this report*, *time sheets*. This category also includes internal references within the text such as *the following.* This category was included as a material entity because a document refers to a written product which represents planning, thoughts, ideas, etc.

iii. *Location: Place* - The nominal references are made to a particular place, e.g. *the back-up warehouse*, *both properties*, *new C&A homes.*

iv. *Location: Time* - The nominal reference is made to a particular time, e.g. *all the hours*, *the due date for submission*, *smoking breaks.*

v. *Action* - This refers to nominal groups which incorporate some form of nominalisation of a process within the nominal group and when some 'real world' activities are captured within the nominalisation, such as *the estimated amount of capital cost* and *the demand for video material in the library*. In both examples a verb has been turned into an element within a nominal group and presented in a non-congruent manner. In the example *the cancellation of duty privileges*, the congruent form would be *the amount of capital cost has been estimated*; however, the verb *to estimate* has been changed to an adjective and has become part of the nominal group. The realisation is presented in a manner where the action of estimating has been completed and settled and it is presumed that the reader will understand what is being talked about. Halliday refers to such instances as grammatical metaphor (Halliday, 1994:242-353).

Nominalisation allows for the complex packaging of information and "tends to become clearly a mark of prestige or power" (Halliday, 1994:353). Halliday adds that the writer knows exactly what is meant, but the interpretation by the reader is more complex due to the non-congruent packaging of information. The use of nominalisation allows the writer to present information in what may appear to be an authoritative manner.

'Action' is not the only distinguishing feature of nominalisation; nominalisation is also found in 'concepts'. 'Action' is distinguished from 'concept' by being far more concrete and restricting the nominal group to a particular activity or product, e.g. *the cancellation of duty privileges* which clearly associates and incorporates the process of *cancelling* with the product of *duty privileges*. This is a far more concrete nominal group when compared to something like *the current thought*, which again uses nominalisation to convert the process of thinking into a noun, although this nominal group does not necessarily establish a

connection between a process and a clearly identified product. Thus, the Subject/Theme *the current thought* and other nominal groups, such as *these proposals*, *negotiations* and *the short term strategy*, would not be classified as a material entity but would be included as a 'concept'.

3) Concepts

   This type of Theme is used to construct concepts, ideas and information in the text in order to enable language and in particular the Theme choice to represent ideational features related to less concrete products, as well as action or people. Such Themes are, for example, used to make reference to institutional actions, products, or abstraction, e.g. *negotiations*, *these proposals*, *the current thought*, *the alternative*, etc. Frequently this category is used to encapsulate and synthesise institutional actions or products which are less concrete things compared to the 'material entities' identified above. This form of Subject/Theme is commonly associated with and/or typically found within workplace English texts.

Using the list above, judges raised questions and made comments about the definitions which were discussed with the researcher, who took notes and recorded key points from the discussions. Then the judges were asked to sort a random sample of 30 nominal groups extracted from the data into the three categories. When a judge could not place a given nominal group, the researcher probed to establish why she/he found it difficult. This process was repeated with the other two judges and the notes and comments from all three judges were consolidated. The process of the judges discussing and sharing ideas with the researcher about the definitions of the categories and the categorisation of the nominal groups led to rejection, modification and acceptance of the categories and their definitions as the basis for analysing nominal groups.

It should be noted, however, that the analysis was not always straightforward. For instance, certain nominal groups could potentially be categorised as either 'material entity' or 'concept', e.g. *these proposals* – if such a nominal group realised Subject/Theme, the text would be re-read to ascertain whether a clear referent to the *proposals* was included. If a description associated with the *proposal* was given, the nominal group would be classified as 'material entity'. If no referent was found, then the nominal group would be classified as 'concept'. Sometimes this distinction was difficult to make due to the complex nature of the text or the specialist nature of the subject matter.

When establishing the categories, it was questioned whether the category labelled 'concept' could, if a certain term was used again later in the text, then become more established as an ideational participant within the text and due to its established nature change its categorisation from 'concept' to 'material entity'. The answer to this question is

that the category of 'concept' has been assigned to a nominal group because the nominal group refers to institutional phrases where the intended meaning is not fully recoverable from within the text. Therefore even though a certain nominal group may be used on a number of occasions in the text, the label 'concept' would continue to be applied unless the exact meaning of this nominal group could be determined.

With this categorisation of nominal groups, the descriptive system for the analysis of the corpus is complete. In Chapter Five the results of the analysis are reported.

4.5 Validity and triangulation of the research tools

Unlike notions of validity in the positivist paradigm, where validity is assessed by applying four standard criteria, viz. internal validity, external validity, reliability, and objectivity, the social constructivist paradigm differs. The constructivist's notion of validity is established in terms of "trustworthiness and authenticity" (Denzin and Lincoln, 1998:277).

Validity is and should be built into a study by, as Lynch (1996) points out, the use of interpretative, theoretical and generalisable evidence. The approach taken in this study to ensure validity is to voice the possible interpretative bias which may surface in the study. This is achieved by honesty and explicit disclosure of the researcher's political and personal views. The personal orientation of the researcher is outlined in Section 4.2.1. Guba and Lincoln (1999), in a similar manner to Lynch, have interpreted the positivist terms of internal and external validity, reliability and objectivity to mean credibility, transferability, dependability and confirmability. With respect to these terms the present study is seen to be:

credible as it incorporates a range of texts. The range includes a variety of workplace texts, memos, letters and reports; these comprise the three main text types in work-place communication. Davies et al. (1999) and Forey and Nunan (2002) both establish through surveys that memos, letters and reports are the most frequently written texts from a UK and Hong Kong perspective, respectively. The study also incorporates triangulation, as discussed below. Data are checked and corroborated with informants, as outlined in the discussion of the findings in Chapter Eight. Data analysis and categories found within the data were also corroborated by checks with knowledgeable and informed informants.

transferable as the analytical system applied to the data is grounded in an established theory of language. Definitions and descriptions of the data follow an SFL theory of language and as such the analysis could be applied to other data sets.

dependable as overlapping methods which produce complementary results were applied. The data were analysed from a corpus perspective where generalisable results were reached. Secondly the data were approached from a more qualitative perspective where individual texts were analysed in detail. Thirdly, informants who are involved in working with such texts on a daily basis were interviewed in focus groups and asked to discuss their interpretation of the texts. The informant interpretations were then compared to other methods of analysis.

confirmable, which was achieved by using triangulation, discussed in detail below. In addition Guba and Lincoln (1999) also suggest that confirmability can be achieved by showing throughout the reporting of the study the reason why certain definitions and directions were taken throughout the course of the research.

Incorporating multiple methods and perspectives from which the topic can be investigated is an indication that the study is "confirmable" and "credible" (Creswell, 1994; Denzin and Lincoln, 1998; Guba and Lincoln, 1999; Sturman, 1999). As pointed out by Denzin and Lincoln:

> The combination of multiple methods, empirical materials, perspectives and observers in a single study is best understood, then as a strategy that adds rigor, breadth and depth to any investigation...
>
> (Denzin and Lincoln, 1998:4)

Rigour in the present study was achieved by approaching the analysis of the workplace texts from multiple perspectives. Triangulation, another term used for incorporating multiple methods, is "central to achieving credibility" (Sturman, 1999:110). Sturman (1999) adds that triangulation is the holistic way of dealing with validity and reliability as applied to survey research. Creswell (1994:174) points out that the concept of triangulation is based on the assumption that if data are collected from multiple perspectives and the results from differing methodologies are scrutinised, then this will delimit and neutralise inherent bias.

The evidence collected in the present study was amassed from three different perspectives. The three main perspectives discussed in this thesis are a quantitative analysis of the data, a qualitative analysis of selected texts and an analysis of the data from an informant's perspective. The data are investigated from a quantitative and qualitative position and the findings are reported in Chapters Five and Six. In these chapters the Theme choices in the memos, letters and reports are discussed from the perspective of what is happening in the corpus as well as what is happening in individual texts. In contrast, the informants' interpretations of texts are discussed in Chapter Eight. This provides a perspective on language and meaning that transcends lexico-grammatical

perspectives and offers the opinions related to language and meaning of more than just the researcher. The informants' views concerning the way in which Theme is functioning in the texts are discussed in detail. The procedures adopted to elicit informant interpretations are outlined in Chapter Seven.

4.6 Concluding remarks

The background to the present research and how it grew out of two funded projects, the EWM and CPW projects, have been outlined. This chapter has also outlined and described the procedures adopted in selecting the appropriate research paradigm and the appropriate methodological tools which were used to conduct an analysis of the memos, letters and reports. The procedures involved and the development of the corpus which forms the data for the lexico-grammatical analysis were described. The systems of analysis have been presented in detail. The analytical systems were applied to the analysis of Theme in the memos, letters and reports. Based on the findings a comparison of the linguistic resources found in the three different text types was possible. In what follows in Chapters Five and Six, the findings related to the different aspects of Theme are presented and comparisons are made between the similarities and differences of the text types.

Chapter 5
Findings and Discussion: Theme in Workplace English Texts

The core research questions of the present study were outlined and discussed in detail in Chapter Three. At the most general level the research addresses the question:

1) What function does Theme perform in written workplace texts?

After an initial analysis of the data, subsequent and more focused questions were developed. These more specific questions were theoretically oriented and focused primarily on identifying the boundary between Theme and Rheme, and the issues arising from decisions in this respect. A discussion of these questions, providing the theoretical grounding for the study, is presented in Chapter Three. A detailed account of the methodology for investigating the questions and the procedures for analysing the data is presented in Chapter Four. In this chapter, the findings of the analyses of the data are provided and discussed.

As described in Chapter Three, within the unit of Theme, a distinction is made between textual, interpersonal and Subject/Theme. The most common (unmarked) order for these three types of Themes in a clause is textual^interpersonal^topical; the presentation of findings will follow this order. The fourth category of Theme discussed is extended Theme and the discussion is subdivided into extended Themes realised by a Circumstantial Adjunct and extended Themes realised by a hypotactic enhancing clause.

The findings related to textual and interpersonal Themes are reviewed in Sections 5.1 and 5.2 respectively. Topical Theme and particularly findings related to the choice of nominal groups realising Subject/Theme are examined in Section 5.3. Other topical Themes realised as part of an extended Theme, including Circumstantial Adjuncts and hypotactic enhancing clauses, are discussed in Section 5.4. A more qualitative approach where the discussion of the quantitative findings are framed in a qualitative manner by referring to the linguistic choices and meanings construed in three texts selected from the corpus is presented in Section 5.5. These sample texts provide a framework for the discussion of the findings, which are responding to the following research questions:

2) What are the similarities and differences in thematic choices in the memos, letters and reports?
3) How does extended Theme function in the texts?
4) What evidence is there that the choice of Theme is genre-related?

5) What linguistic resources are used to realise and construe interpersonal realisations through choice of Theme?

Concluding remarks related to the choice of Theme in the corpus texts are offered in Section 5.7. Throughout this chapter, the findings compare the lexico-grammatical features found in the Theme of the three text types, highlighting the way in which writers construe their position, viewpoint and the nature of their world of work through their choice of Theme.

5.1 Findings: Textual Themes

This section presents the findings related to the realisations of textual Theme in Conjunctive Adjuncts and conjunctions in the corpus letters, memos and reports. While a textual Theme is any combination of Conjunctive Adjunct, conjunction and/or relative (as pointed out in Section 3.4.1), Conjunctive Adjuncts and conjunctions are particularly significant as Theme since they are an important means for expressing logical links between the ideational content of the messages in a text and thereby helping the reader understand the text. In fact, we may say that they are crucial in the successful expression of meaning, and Martin and Rose (forthcoming) even argue that they are so important to the meaning that a discourse semantic system is needed for conjunctions. Thompson and Zhou (2000) argue that conjunctions are also inherently interpersonal as they explicitly express an opinion in relation to a previously stated proposition. Textual Themes such as *however*, *but*, *in addition* and *and* at the start of α clauses either tell the reader (or listener) that this message is contrary to the previous message, or that its meaning is additional. Thus, as suggested by Thompson and Zhou (2000), textual Themes provide both logical links between clauses and interpersonal assistance to help the reader interpret the meaning of the message.

Textual Themes are found in 311 (20.9%) of the 1,486 of the α clauses in the corpus. (A complete list of all textual Themes found in α clauses in the corpus can be found in Appendix IV.) There is little difference in the frequency of occurrence of textual Themes in the three text types, ranging from 19.3% in reports, to 23.4% in letters, and 22.0% in memos, as shown in Table 5.1:

Table 5.1 Frequency of occurrence of textual Themes by text type within the corpus

	Memo *(n=504)*	Letter *(n=248)*	Report *(n=734)*	Total *(n=1,486)*
Textual Themes	111 (22.0%)	58 (23.4%)	142 (19.3%)	311 (20.9%)

The data in this table and all subsequent tabulations stem from the same corpus. The data are based on a sample of authentic texts collected as part of the EWM and CPW projects (Davies and Forey, 1996; Nunan et al., 1996)

Based on the findings in Table 5.1, it seems as though there is a distinct uniformity in the frequency of the textual Theme even when compared to the differences in the number of α clauses in the three text types. Two textual Themes, *and* and *however*, occurred far more frequently than any other textual Theme. The conjunction *and* occurred 132 times (including *and* in the combinations *and also*, *and that*, etc., accounting for 42.4 % of all textual Themes realised by either a conjunction or a Conjunctive Adjunct) and the Conjunctive Adjunct *however* (including *however that*) and *but* occurred 34 and 29 times respectively (accounting for a total of 11.3% and 9.3% of all textual Themes realised by either a conjunction or a Conjunctive Adjunct).

The most interesting finding concerns the frequency of the semantic type to which a Conjunctive Adjunct or conjunction realising a textual Theme belongs. Adopting Halliday's (1994:49) categorisation of Conjunctive Adjuncts, as illustrated in Table 5.2, they have been divided into three groups (elaboration, extension and enhancement) and sub-divided into 14 semantic types. Conjunctions of similar meaning have been grouped together with Conjunctive Adjuncts, and their frequency is compared against the different types, as shown in Table 5.2.

The findings shown in Table 5.2 illustrate that the most common function of textual Themes is to signal an additive relationship, where the textual Theme is used to link a previous message with additional information. This frequently occurs in a text to link two paratactic clauses. Additive textual Themes occurred 47.6% (148 occurrences) of the time, realised by *and* (122 occurrences of only *and*, plus 10 other occurrences of *and also*, *and that*, *and then*, *and therefore*), *also* (8 occurrences), *in addition* (3 occurrences), *furthermore* (3 occurrences), and *on top of that* (1 occurrence).

Table 5.2 Frequency of occurrence of semantic types of Conjunctive Adjunct & conjunction realising a textual Theme

	Type	No	%	Realisations in the corpus
I	appositive	20	(6.4%)	for example, that is, i.e.
	corrective	11	(3.5%)	or, nor
	dismissive	4	(1.3%)	not withstanding the above, neither
	summative	6	(1.9%)	in short, thus
	verifactive	2	(0.6%)	in fact
II	additive	148	(47.6%)	and, and also, and that, and then, and therefore, also, in addition, furthermore, on top of that
	adversative	65	(20.9%)	however, but, though, conversely
	variative	2	(0.6%)	instead, alternatively
III	temporal	12	(3.9%)	firstly, first, finally, currently, in the meantime, since
	comparative	0	(0.0%)	whether, whereas, whether or not
	causal	28	(9.0%)	therefore, as a result, accordingly, hence, so, so that
	conditional	3	(1.0%)	as, otherwise
	concessive	3	(1.0%)	nevertheless, although, even so
	respective	7	(2.3%)	in the former, in that event, in the latter, in this respect
	Total	311	100%	

(The percentages here are taken from *n=311*, the number of Conjunctive Adjuncts and conjunctions)

The second most frequent conjunction or Conjunctive Adjunct is an adversative relationship between clauses, with the textual Theme introducing a contrary point of view to that previously presented. Of the 65 instances of adversative textual Themes in the corpus, constituting 20.9% of all textual Themes, *however* (34 occurrences), *but* (29 occurrences) and *conversely* (1 occurrence) are the realisations of adversative textual Themes. Overall, the Type II semantic group of textual Themes, which includes additives, adversatives and variatives, is used to realise extension in 69.1% (215 occurrences) of all textual Themes, far outnumbering textual Themes realising Type I, enhancement (43 occurrences), and Type III, elaboration (53 occurrences). Enhancement and elaboration are realised by elements other than a textual Theme in the α clauses. This helps to explain the high frequency of occurrence of marked Theme realised by a hypotactic enhancing clause.

According to Field and Mee Oi (1992:22), the Conjunctive Adjuncts *and* and *however* are commonly found in the EAP writing of native and non-native English speakers, and adversatives tend to be used more frequently by native English speakers than non-native English speakers. Field and Mee Oi (1992) analysed a total of 96 scripts, 29 from Australian native English-speaking students and 67 from three different schools in Hong Kong. Moreover, Green et al. (2000:107) found that additive and causal conjunctions were more frequent than adversative conjunctions in a corpus of 600,000 words from non-native English-speaking freshmen students' academic writing, compared to a similar corpus of native English speakers' expository writing. The native English speakers' corpus of

600,000 words comprised three different corpora, LOB, BROWN and Cambridge Syndicate Examination corpus (Green et al., 2000:104). Green et al. only show the output of non-native English speakers' textual Themes (they use the term "thematised logical connectors" (Green et al., 2000:107)), which show that *and*, *also*, *because* and *therefore* were the most frequent textual Themes. The Conjunctive Adjunct *and* was the most popular in the present corpus and supports Green et al.'s findings. However, the use of the Conjunctive Adjunct *however* raises some interesting points. The Conjunctive Adjunct *however* was not even ranked in the top 26 of the textual Themes in Green et al.'s investigation. It could tentatively be suggested that there is a distinct difference in the textual Theme choices in workplace texts compared to academic writing. Another tentative link could be drawn between the native English speakers in Field and Mee Oi's (1992) study and the writers in the present study, who used adversative textual Themes more frequently than other textual Themes, regardless of text type.

5.2 Findings: Interpersonal Themes

Interpersonal Themes in written texts (that is, primarily monologic texts) are largely realised by Modal Adjuncts in thematic position (Halliday, 1994:338), whereas in spoken texts interpersonal Themes are commonly realised by Vocatives and markers of the mood of the clause, i.e. the Finite of the verb group and the elements fronted in interrogatives (*wh*-items, *do*, *be* and *have*). (A description of Modal Adjuncts is given in Section 3.4.1.) Halliday distinguishes between two types of Modal Adjunct, namely Comment Adjuncts and Mood Adjuncts. A Comment Adjunct provides "an attitude towards or comment on the exchange itself or the information being exchanged", while a Mood Adjunct "construes meanings closely related to those of the Finite" (Martin et al., 1997:63). However, the findings of the present study show that there is a distinct lack of Modal Adjuncts in the corpus texts.

Modal Adjuncts were found to realise interpersonal Theme in only 70 α clauses in the corpus of 1,486 α clauses, meaning that only 4.7% of all α clauses have an interpersonal Theme realised by a Modal Adjunct. There are seven Mood and 63 Comment Adjuncts found as Theme in the corpus, as shown in Table 5.3. This low frequency of occurrence compares with 20.9% (311 occurrences) of Conjunctive Adjuncts and conjunctions realising a textual Theme. However, despite their low frequency of occurrence, Modal Adjuncts are considered to be potentially important, as they are an explicit way for writers

to express their viewpoint. They were thus further analysed in terms of the distinction made by Halliday (1994:49) between Mood and Comment Adjuncts.

These two sub-types of Adjunct are discussed as 'disjuncts' by Quirk et al. (1985) and Thompson and Zhou (2000). Quirk et al. (1985), who work outside the SFL model, define disjuncts as a means for the writer to comment on the accompanying clause, through the use of *unfortunately* and *clearly*, for example. Thompson and Zhou (2000) argue that not only do disjuncts express interpersonal meaning but these items also share a role in signalling ideational meaning and that they thus function very similarly to Conjunctive Adjuncts. Modal Adjuncts found in the data are considered to include all the lexical items identified by Thompson and Zhou (2000) as disjuncts. Following Thompson and Zhou (2000), Modal Adjuncts are seen to perform two roles within a text: presenting the interpersonal viewpoint of the writer and signalling the intended meaning. In addition, as they are found in the Theme, they also play a textual role. The writer chooses to thematise these grammatical items thus giving 'special status' to the Modal Adjunct.

The Modal Adjuncts were assigned to categories following Halliday's semantic types. As shown in Table 5.3, of the four different Mood Adjuncts 'typicality', 'obviousness', 'probability' and 'usuality', suggested by Halliday (1994:49), only 'typicality' and 'obviousness' are represented in the corpus.

Table 5.3 Frequency of occurrence of semantic types of Modal Adjunct within the corpus

	Memos	Letters	Reports	Total	
Mood Adjunct					
typicality	2	1	1	4	(5.7%)
obviousness	2	-	1	3	(4.3%)
probability	-	-	-	-	-
usuality	-	-	-	-	-
Comment Adjunct					
opinion	2	1	-	3	(4.3%)
admission	-	-	-	-	-
persuasion	1	-	-	1	(1.4%)
entreaty	34	14	-	48	(68.6%)
presumption	-	-	-	-	-
desirability	2	1	2	5	(7.1%)
reservation	-	-	-	-	-
validation	1	-	1	2	(2.9%)
evaluation	1	-	3	4	(5.7%)
prediction	-	-	-	-	-
Total	45 (64.3%)	17 (24.3%)	8 (11.4%)	70	(100%)

(The percentages here are based on the number of Modal Adjuncts and not text type.)
(Modal Adjuncts, after Halliday, 1994:49, Table 3(3))

Generally, in the present corpus Modal Adjuncts are realised very infrequently, and when they are realised they construe meanings of 'typicality' and 'obviousness'. There are only 4 (5.7%) realisations of typicality (i.e. *generally* and *originally)* and 3 (4.3%) of obviousness (i.e. *of course* and *clearly)*.

Moreover, Mood Adjuncts are never used to talk about what is probable or usual. The absence of such Mood Adjuncts is a significant finding, as this means that perhaps other features are being used to express 'probability' or 'usuality', if in fact there are occasions where such interpersonal meanings are expressed.

There are nearly nine times as many Comment Adjuncts as there are Mood Adjuncts. However, Comment Adjuncts are still extremely limited in the data, with only 63 occurrences (4.2%) in the 1,486 α clauses. Comment Adjuncts such as 'opinion' (3 occurrences), i.e. *in my view*, *in my opinion*, 'persuasion' (1 occurrence), i.e. *very seriously*, 'desirability' (5 occurrences), i.e. *regrettably*, *unfortunately*, *fortunately*, validation (1 occurrence), i.e. *in general*, and 'evaluation' (4 occurrences), i.e. *more importantly*, are found in limited numbers in the present corpus. By far the most common realisation of a Comment Adjunct is 'entreaty'. In the corpus, 68.6% of all Modal Adjuncts are realisations of 'entreaty'. These realisations are construed by the Modal Adjuncts *please* and *kindly*, *I shall be grateful if* (the rationale for labelling this a Modal Adjunct is given in Section 4.4.5). By far the most frequent entreaty Adjunct was *please* with 40 occurrences or 83.3% of all entreaty Modal Adjuncts.

The entreaty Adjunct *please* was discussed in detail by informants who offered their interpretation of two memos (Section 8.1). The use of *please* was interpreted interpersonally in various ways: in a positive manner, i.e. as a polite request; in a negative manner, i.e. as a display of sarcasm; and in a formulaic manner having no real interpersonal content. Such interpretations of the term *please* would be difficult to discern unless the readers were asked for their interpretation. It is therefore suggested that *please* may not necessarily reflect its literal meaning nor enhance interpersonal relationships; in some instances *please* even construes negative interpersonal meanings. In other contexts, where used formulaically, it may be interpreted as an *empty* lexical item.

It is worth noting that entreaty Comment Adjuncts were not realised at all in the Theme of α clauses in reports. This finding is to be expected in a text type that is intended to be objective and mainly concerned with presenting ideational features. It suggests that the

writer of the report does not have the same need to include entreaty Modal Adjuncts in the manner usually adopted in memos or letters.

Furthermore, as shown in Table 5.3, among the 10 different categories of Comment Adjunct, there were no examples of Comment Adjuncts of 'admission', e.g. *to be honest, frankly*; 'presumption', e.g. *evidently, apparently*; 'reservation', e.g. *at first, tentatively*; and 'prediction', e.g. *surprisingly, as expected.* From the 14 different semantic types of Mood Adjunct, 6 (42.9%) are not realised at all in the 1,486 α clauses. This is a significant observation as it means that either such meanings are being realised by different linguistic resources or that they are not being realised at all in the Theme of these α clauses.

To summarise, Modal Adjuncts in Theme position were very limited in number (70 or 4.7%) and semantic type. The general absence of Modal Adjuncts suggests that either the writer is not prepared to explicitly express an interpersonal viewpoint through such choices or that other features are used to express the writer's viewpoint in a more implicit manner. The findings suggest that features such as extended Theme and the choice of the Subject/Theme are key in construing interpersonal meaning within the Theme of the α clause. Extended Theme and its importance in the construal of interpersonal meaning is outlined below.

5.3 Findings: Subject/Theme

5.3.1 Unmarked Themes

Halliday states that the realisation of Theme by a Subject (simple Theme), or a Subject plus an interpersonal and/or textual Theme (multiple Theme) is classified as an unmarked Theme choice. As would be expected, the highest frequency of occurrence of Theme choices in the present corpus were unmarked Themes, and the majority of these were simple Themes.

As pointed out in Section 3.4.3, one type of topical Theme in the present study is identified as the Subject/Theme, the Subject of the α clause. If other topical Themes precede the Subject of the α clauses they are classified and referred to as marked Theme. They construe ideational meaning but are recognised as functioning to create a 'marked meaning', and together with the Subject/Theme constitute an extended Theme. As suggested by Martin and Rose (forthcoming), the choice of Subject/Theme is pertinent

because the writer may include evaluation within their choice of Subject. The choices for Subject/Theme are outlined in detail below.

5.3.2 Categories and identification of Subject/Themes

Every clause has a Subject/Theme even if it is an ellipsed Subject/Theme. In the present study, the initial analysis of the data indicated the need to establish both lexico-grammatical and semantic categories to identify the various types of Subject/Theme construed in the texts. The analytical system adopted for the purpose of analysing the types of Subject/Theme which emerged from the data is outlined in Sections 3.4.3 and 4.4.4. As noted previously in Section 4.4.8, the six semantic categories identified together with exemplification are:

a) nominal groups, e.g. *the landlord, the specific assistance, the issue of off-air recording and housing managing video collections.* In order to simplify the discussion, all future references to lexical nominal groups will be to 'nominal groups' and although personal pronouns are also a nominal group they will be referred to as a separate category.

b) personal pronouns, e.g. *I, you, we, he*

c) ellipsed Subjects, e.g. *you* in *[will you] (See appendix 2).*

d) referential items; as noted previously, refer to pronouns and demonstratives which are used with anaphoric or cataphoric reference, e.g. *it, this, that* (cf. Halliday, 1994:314)

e) *wh*-questions, e.g. *how* and *what* in: *How can we best co-ordinate...? What are the expectations among project managers ...?*

f) existential *there*; *there* is classified as a 'pass' option, as discussed in detail in Section 3.4.4.

The different types of Subject/Themes were counted, and the results are shown in Table 5.4:

Table 5.4 Frequency of occurrence of Subject/Theme in nominal groups by text type

	Memo *(n=504)*	Letter *(n=248)*	Report *(n=734)*	Total *(n=1,486)*
nominal groups	208 (41.3%)	131 (52.8%)	539 (73.4%)	878 (59.1%)
personal pronouns	152 (30.2%)	61 (24.6%)	33 (4.5%)	246 (16.6%)
ellipsed Subject	72 (14.3%)	38 (15.3%)	69 (9.4%)	179 (12.0%)
referential item	46 (9.1%)	10 (4.0%)	57 (7.8%)	113 (7.6%)
existential	19 (3.8%)	7 (2.8%)	31 (4.2%)	57 (3.8%)
wh-questions	7 (1.4%)	1 (0.4%)	5 (0.7%)	13 (0.9%)
Total	504 (100%)	248 (100%)	734 (100%)	1,486 (100%)

The most frequent choice for Subject/Theme across all text types was the nominal group (59.1%). This high frequency and the wide variation in the choice of nominal group led to a more detailed investigation of this particular type of Theme, discussed in Sections 5.3.5 and 5.3.6. The findings relate to the other five categories: personal pronouns, referential item, ellipsed Subjects, existential *there* and *wh*-questions are presented in brief.

5.3.4 The types of Subject/Theme found in the corpus

a) Personal pronouns

When analysing the personal pronouns there may be some confusion over the use of the personal pronoun *you*, as this could refer to *you* the individual reader or *you* a group of readers. A return to the text was necessary to establish the context in which the text was produced. For example, in Memo 13, clause 2, when the writer states ***you*** *should not delegate responsibility of your time sheets to somebody else*, it is understood from the context that the writer is talking to the *you*, 'a group of people'. However, each recipient is also addressed to as *you* the individual reader. In some cases, as in Memo 13, the *you* is referring to more than one reader. The memo is addressed to a number of recipients and there are other textual clues in the memo to help the analyst reach this assessment. However, in Letter 4, clause complex 3, *May I suggest that* ***you*** *keep an eye out for a weekly publication called "Environmental Health News"*, it is clear that the *you* is one particular person as the letter is addressed to an individual and the writer, in an earlier Rheme, made a personal reference to *no suitable employment opportunities for you*, which is plainly a reference to an individual seeking employment. The personal pronoun *we* was

taken to always refer to more than one participant, as it was not possible to establish otherwise from the context.

As would be expected, personal pronouns were used far more frequently in memos and letters, 30.2% and 24.6%, respectively, compared with the personal pronouns found in reports (4.5%). In general, all personal pronouns were directly linked to 'human participants', for example:

Example 5.1

I intend to send the following note round tomorrow morning unless I hear otherwise from you [...] You might want to do the same for Cardiff.

Memo 1, clause complex 1 and clause 5

In Memo 1, clause complex 1, the *I* is the writer, a manager of one office, and in clause 5 the *you* is the reader, a manager in the Cardiff office.

The writer, in choosing a personal pronoun, has chosen a Theme which functions explicitly to construe an interpersonal relationship between the writer and intended reader. Ivanič and Simpson (1992) point out some of the consequences of such choices within an EAP context. They suggest that it is the convention in academic genres to avoid using personal pronouns. They argue that the use of the personal pronoun *I* in an academic essay is far more honest than using other implicit methods which hide the writer's viewpoint. Moreover, Iedema (1995, 1997, 2000) suggests that writer viewpoint has become depersonalised and implicit in workplace texts. This notion of implicitness and honesty of writer viewpoint is something explored in depth in the thematic choices of the corpus. The findings show that personal pronouns are limited in the corpus. It is possible to suggest that generally the writer's viewpoint remains present but is hidden through more objectified and implicit choices. Personal pronouns are more frequently found in memos and letters and there is a marked difference in the frequency of occurrence of personal pronouns in these two text types compared to reports.

To sum up, it appears that the *you* realised in the business texts identifies a particular readership, even if it is a multiple readership; those who the text is addressing are on the whole known to the writer. This is quite different to instantiations where the *you* is referring to a general readership, for example in a newspaper article, where *you* could be used to refer to the general public, e.g. *you can catch a cold in aeroplanes*.

b) Referential items

In memos and reports, the use of referential items reflected similar proportions of all clauses: 9.1% and 7.8% respectively. Referential items construe meaning through a cataphoric or anaphoric reference, for example:

Example 5.2

The equipment [[being used for off-air recording]] could be improved.
This could save staff time.

Report 3, clauses 64 & 65

In this example, the Theme of the second clause *this* is an anaphoric demonstrative referring to the whole of the process of *improving the equipment,* a type of text reference. The anaphoric pronoun is simply referring to previous information which is recoverable from the text.

Referential items did not occur as frequently in letters (4.0%) as in memos and reports. The reason for this may be that letters were generally far shorter than memos. On average there were 16.8, 11.3 and 73.4 independent clauses in memos, letters and reports respectively.

c) Ellipsed Subjects

In ellipsis, the "Subject, and often also the finite verb, is 'understood' from the context" (Halliday, 1994:63). Ellipsis is inherently interpersonal as the ellipsed Subject/Theme is "part of the listener/reader's expectations" (Martin and Rose, forthcoming). In imperative clauses the ellipsed Subject/Theme is *you* the reader, and *you* are involved in some form of action or request. In imperative clauses the Subject and Finite are frequently ellipsed, as shown in Example 5.3:

Example 5.3

If you can see a better way or advise improvements	please	[you]	feel free to speak to me or Pete
marked Theme	interpersonal Theme	Subject/ Theme	Rheme

Memo 4, clause complex 50

In Example 5.3 the personal pronoun *you* has been ellipsed. The ellipsed Subject/Theme *you* is being asked to perform some action – to *feel free to speak to me or Pete*, if they have any *advice*, etc.

Table 5.5 Frequency of occurrence of ellipsed Subject/Themes by text type

	Memo *(n=504)*	Letter *(n=248)*	Report *(n=734)*	Total *(n=1,486)*
imperative	42 (8.3%)	17 (6.9%)	7 (1.0%)	66 (4.4%)
declarative	30 (6.0%)	21 (8.5%)	62 (8.4%)	113 (7.6%)
total	72 (14.3%)	38 (15.3%)	69 (9.4%)	179 (12.0%)

The findings in Table 5.5 show that ellipsis occurred 179 times (12.0%) throughout the corpus. Table 5.5 also shows that in memos, ellipsis tended to occur more frequently in imperative clauses compared to declarative and interrogative clauses. However, it should be noted that a major distinction is that in imperative clauses the ellipsis is always an exophoric *you*, whereas in declarative clauses the ellipsed item could be a nominal group, or personal pronoun and is generally anaphoric.

The finding that ellipsis is more frequent in imperative clauses in memos and letters suggests that in memos and letters ellipsis is associated with requests for action, or giving an order, as shown in Example 5.3, *please feel free to speak to* (Memo 4, complex 50).

In reports, ellipsed Subject/Themes were more frequent in declarative α clauses (56 occurrences) than in imperative α clauses (7 occurrences). Example 5.4 presents an illustration of an ellipsed Subject/Theme in a declarative clause. The ellipsed items are shown by the use of square brackets, e.g. [*the adoption of these procedures*].

Example 5.4

The adoption of these procedures is part of our accreditation to BS 5750 and [the adoption of these procedures] must be maintained if we are to make the right product at the right time.

Memo 4, clause complex 3 and clause complex 4

As shown in Example 5.4, the Theme of clause complex 4 is the same as in the previous clause. There is one Theme and two branches from that Theme. The clause may be analysed as a whole structure, with one Theme or as two paratactic clauses with two Themes. In the present study the procedure followed is to analyse paratactic clauses as independent structures. In addition, ellipsis is commonly used in memos and letters to express thanks, for example:

Example 5.5

[I] Thank you for your co-operation.

Memo 4, clause 57

To summarise, ellipsis functions to construe interpersonal meanings regardless of whether it is realised in declarative, imperative or interrogative clauses.

d) Existential *there*

As shown in Table 5.4, for all three text types existential *there* as the Subject/Theme of the main clause was not a frequent choice. In the whole corpus only 57 (3.8%) Subject/Themes were existential *there*. In memos, letters and reports there were roughly equal proportions of realisations, 3.8%, 2.8% and 4.2%, respectively. As pointed out earlier in Section 3.4.4, *there* is viewed as a 'pass' option by the writer (Berry, 1995:66) as the Existent which the existential *there* is pointing to appears later in the clause. Due to the limited number of realisations and their function as a 'pass option', a more detailed analysis of existential Themes is not pursued further in the present study.

e) *Wh*-Subject/Theme

In all three text types, *wh*-Subject/Themes occurred on average in less than 1% (0.9%) of all α clauses, with only 13 realisations. When looking at the overall figures it is useful to keep in mind that seven of the *wh*-Subject/Themes occurred in one particular memo, Memo 6. *Wh*-interrogatives are clearly an indication that the writer is manipulating interaction. However, as interrogatives in thematic position are statistically insignificant they are not discussed further in the present study.

5.3.5 The types of nominal group realising Subject/Theme

In the data, nominal groups are the most frequently occurring and the most varied set of Subject/Theme. As shown in Table 5.4, 59.2% of all Subject/Themes were nominal groups. Based on the findings in Table 5.4, 73.6% (540 occurrences) of all Subject/Themes in reports are nominal groups. Reports tended to have a higher proportion of nominal groups as Subject/Theme compared with the proportion of the same feature found in memos (41.5%) and letters (52.8%). The proportion of personal pronouns realising the Subject/Theme in memos (30.6%), letters (24.6%) and reports (4.5%) was not as frequent as the nominal groups realised in these texts. Perhaps in reports the choice of Theme relies far more heavily on the topic and content of the report rather than reference to the writer (*I*,

we, *Company X*, etc.) and the intended reader (*you*, etc.) of the text. Nominal groups are therefore very influential as a point of departure in all text types and especially in reports.

The type of nominal group appearing in the text was extremely field dependent (field as part of register is discussed in Section 2.7). For example, in the case of Letter 19, which realises the field of property and the purchasing of property, the nominal groups for the Subject/Themes were related to this particular field, e.g. *both vendors and purchasers*, *the [[above mentioned]] properties*, *the properties*, *the purchase [[of above mentioned properties]]*; or as in Memo 13 (discussed below in Sections 7.2.3, 8.1 and 8.2), which is related to the completion of accurate time sheets, the Subject/Themes were: *time sheets*, *all columns and rows [of the time sheets]*, *any incorrect or incomplete time sheets*, etc. However, the findings show that although there is an extensive range of nominal groups in memos, letters and reports, it is possible to suggest that a pattern does exist in the choice of the nominal group. As nominal groups are the most frequently occurring type of Subject/Theme and function as an influential and integral part of the Theme choice by embodying the main ideational content of the Theme, a more detailed investigation was conducted.

As noted in Section 4.4.8, the final categories were (1) 'human participants', (2) 'material entities' and (3) 'concepts' (the collated data can be found in Appendix V), and these categories were outlined in Section 4.4.9. To restate, the categories and subcategories are as follows:

1) Human Participant
    i. *Human participant: personal reference*
    ii. *Human participant: institutional reference*
2) Material Entities
    i. *Products*
    ii. *Documents*
    iii. *Location: Place*
    iv. *Location: Time*
    v. *Action*
3) Concepts

5.3.6 Nominal groups chosen as Subject/Theme

Table 5.6 illustrates the frequency of occurrence for each of the categories of nominal group. The findings are discussed below.

Table 5.6 Frequency of occurrence of nominal groups as Subject/Theme

	Memo *(n=504)*	Letter *(n=248)*	Report *(n=734)*	Total *(n=1,486)*
Human Participants				
Personal reference	12	1	0	13
Institutional reference	27	44	143	214
Sub total	39 (7.7%)	45 (18.1%)	143 (19.5%)	227 (15.3%)
Material entities				
Product	69	39	174	282
Document	35	9	23	67
Location: Place	4	11	35	50
Location: Time	9	1	2	12
Action	23	4	29	56
Sub total	140 (27.8%)	64 (25.8%)	263 (35.8%)	467 (31.4%)
Concepts	29 (5.8%)	22 (8.9%)	133 (18.1%)	184 (12.4%)
Total	208 (41.3%)	131 (52.8%)	539 (73.4%)	878 (59.1%)

1) Human participants

In memos, letters and reports there were few realisations of personal references, 12, 1 and 0 occurrences respectively. Proportionally more of the human participant references in the letters were 'institutional references'; only once in a letter is a 'personal reference' to someone's name realised, as shown in Table 5.6. In the letters, the institutional references tended to concern the people either directly involved, i.e. the writer and the recipient (e.g. *the company*), or the topic of the letter (e.g. *the FA),* where the letter is a response to a complaint to the government about the Football Association (FA). However, in reports, 'institutional references' referring to human participants were external to the dialogue. The function of these types of human references was to identify an individual, external to the writer or recipient, who will be the topic of the discussion. In reports, 19.5% of the Subject/Themes were realised as 'human participants' at an institutional level.

Unlike reports, where there were no 'personal references', in memos people were referred to by name, as illustrated by Example 5.6:

Example 5.6

Andy Phillips, the Building Facility Manager, has agreed to be the BIC until the building closure. [...] It has been emphasised that Andy Phillips (0171 569 5214) must be the initial point of contact and then the BSCC. Andy is planning for a fire drill during the next few weeks.

Memo 11C, clause 5, clause complex 9 and clause 10

In Example 5.6, there are three different 'personal references' Subject/Themes. In clause complex 5, *Andy Phillips, the Building Facility Manager* is introduced by the individual's given and family names and by job title. In clause complex 9, his name and telephone number are included, and then in clause 10 the writer moves to a more informal style and refers to *Andy* by his first name only. The contextual factors undoubtedly influence linguistic choices, for example memos are generally internal texts which are sent and received within an organisation and letters generally are sent to clients outside of the organisation. In addition, perhaps in memos, 'personal references' are used because certain people are being named as people to contact or to carry out some form of action. Naming someone saves confusion as the directive or instruction is referring to a named party who should carry out the action. The writer knows to whom the memo will be addressed and is able to refer to the participant(s) involved. The participant(s) receiving the memo may all know each other and the use of proper nouns identifies individuals within a group. In addition, it may also help develop a better relationship with the reader if the memo is personalised.

2) Material entities

This was by far the most frequent realisation of a nominal group as a Subject/Theme was 'material entities' (31.4%). This is quite a difference when compared to 'human participants', 15.3%, and 'concepts', 12.4%. The choice of 'material entities' was quite varied and five different groups were identified: products, documents, location: place, location: time and action.

i. *Products* - In the present study, nominal groups referring to 'products' were more numerous in reports than in memos or letters. In reports, 263 (35.8%) of all thematic choices of Subject/Theme were 'material entities'. Of these Subject/Theme choices 173 realisations were of a 'product' as a nominal group (32.3% of all nominal groups in reports). Therefore, a large percentage of all Subject/Themes in reports realise a 'product' and the point of departure for many of the α clauses in the reports is therefore concrete. By contrast, there were fewer nominal group 'products' in letters (39 occurrences) and in memos (69 occurrences). The social context influencing the construction of the texts will play a role in the choices of Subject/Theme. As noted above, memos are generally internal as opposed to letters and to some extent reports which are frequently intended for readers outside of the organisation. Therefore, in reports, for instance, the focus is not on staff but on the product which is the topic of

discussion in the report. This perhaps illustrates the possibility that although the concrete 'product' is important, it is not the only choice for the Theme of the α clauses.

ii. *Documents* - In memos, letters and reports there were 35 (16.8%), 9 (6.8%) and 23 (4.3%) realisations of nominal groups referring to documents, respectively. Such realisations function according to Devitt (1991), to construct a dialogue or intertextuality with other texts. She points out that all the texts, in her study of accounting texts, "refer to one another, draw from one another, create the purpose for one another" (Devitt, 1991:336). For example, in a memo or a letter there are a number of intertextual references to other documents or issues which are part of the history of the text. The findings support Devitt (1991) as memos and letters are seen to be dialogic: they request action or information; a response to the request is frequently required; and a reference to a previous or related document may help substantiate the request. This may help to understand the higher proportion of realisations of this feature in memos and letters compared to reports. In addition, as suggested by Iedema (1995), the reference to a previous document is a means of legitimising the directive of the text.

iii. & iv. *Location: Place & Time* – Nominal groups referring to time were not numerous in memos (9 occurrences), letters (1 occurrence) or reports (2 occurrences). Location: place nominal groups were also very infrequent in memos (4 occurrences). However, in both letters (11 occurrences) and reports (35 occurrences), the frequency of occurrence was a little higher. To reiterate, this may be related to contextual factors such as memos being issued within a confined time and space where such nominal groups may not be required as the time frame and places of references may be jointly understood by readers. Moreover, this is perhaps an outworking of the subject matter of the particular texts found in the corpus. Three of the longer letters in the corpus, Letters 18, 19, and 20, were concerned with issues relating to property and were responsible for the number of location: place Subject/Themes. Five of the nominal groups that occurred in the entire corpus of reports were realised by a Subject/Theme of location: place. However, the majority of these location: place Subject/Themes (42.3%) were found in Report 7, which is a report written by the Hong Kong Housing Authority in relation to an audit review on the provision and utilisation of space in the head office. Based on the field of this report, a reader would expect to find nominal

groups of location: place. Reports 1, 3 and 9 are also closely related to a field where a building or space of some sort is commonly the topic for discussion. The fact that there appears to be a certain pattern in the type of location: place and time Themes would extend Davies's (1997) work in this area. Davies' findings relate to a mixed corpus of 14 texts and she suggests that location: place and time Themes are more likely to be found in gardening texts and other specific genres. The type of Subject/Theme can perhaps be used as an indicator of genre type.

v. *Action* - Nominalisation reflecting 'action' was more common in memos (23 occurrences) and reports (29 occurrences) than it was in letters (4 occurrences). The findings from the data suggest that the nominalisation of 'actions' in the Subject/Theme in the memos is associated to some extent with commands and directives. Nominalisation is used to realise certain things that are expected to be done, whereas the reason for choosing an 'action' as the Subject/Theme in reports is because reports are dealing with synthesising actions which have taken place or suggesting future actions. Letters, by contrast, are related to responses to or requests for information, and there is far less need to use a nominalised 'action' as the Theme.

The findings show that the nominal group of 'action' offered the opportunity for the writer to express some form of evaluation. For example, *the entrance of experienced quality market players* (Report 6, clause 100), the action is realised by the phrase *the entrance*. The evaluation is construed in the form of post-modification where *of experienced quality market players* is used to indicate that the writer believes that there is a positive side to the *new players*. Or in another example, *the possibility of re-negotiating existing contracts* (Report 4, clause complex 79), the modal operator *possibility* is used to express a form of evaluation. In all instantiations of 'actions', the nominal group is "packaged" in a way, which constructs a particular view and a particular representation of an action in a manner that appears on the surface to be more objective and conclusive. Evaluative terminology additional to the lexical items referring to the action can emphasise the writer's viewpoint.

3) Concepts

The nominal group 'concepts' does not predominate in the proportion of occurrences. The present study argues that these 'concept' Themes perform an important function by enabling the writer to make references within the text to meaningful issues, and to capture

concisely some of the ideas, information and concepts which are pivotal to the intended message.

For example, in Example 5.7, there are three Themes that would be classified as 'concepts', these being *the most controversial changes, the proposed change* and *this issue* (all shown in bold type in the extract).

Example 5.7

Adjustments to implementation details

The most controversial changes have actually been in the area of fine-tuning details such as the denial of export refunds for pre-1994 foreign investment enterprises, the general reduction of VAT refund rates for exporters and the utilisation of input VAT in respect of 1994 opening stocks.

For the purpose of curbing duty evasion arrangements, there was a proposal that the importation of materials by certain export-orientated joint ventures would be dutiable in the first place at the time of import and then the duty collected would be refunded at the time of export. Such imports have been treated as bonded goods. **The proposed change** would have put a lot of pressure on the cash flow for the running of such businesses. Fortunately **this issue** has been resolved satisfactorily.

Report 6, clause / clause complexes 45-50

The three nominal groups classified as 'concepts' all share the same characteristic, which is that in only a small number of words, through the use of nominalisation in the first two instantiations, they manage to condense a great deal of information. For example, the nominal group *the most controversial changes*, the choice of the adjective *most* signal a particular viewpoint on behalf of the writer. The writer is suggesting that one or more of the changes is particularly *controversial*. In this example, perhaps the writer is expressing the viewpoint of others, which is especially likely to be the case since, almost by definition, controversy requires multiple parties to dispute or debate particular points of view.

In the second of these Subject/Themes, *the proposed change,* the verb *to propose* has been converted to a participle and the changes are realised in a way that summarises the details found in the previous clause. The final Subject/Theme from this example is another method of 'packaging' a great deal of information in a small number of lexical items, where *this issue* includes a demonstrative reference. The term *this* is used as a reference to mean in full *this issue [of the proposed change].* In addition, this Subject/Theme is preceded by a Modal Adjunct *fortunately* which directly represents the viewpoint of the author.

The complete analysis of Subject/Theme in this extract would be as follows:

Table 5.7 Analysis of Theme in Report 6, α clauses 45-50

	textual Theme	marked Theme	interpersonal Theme	Subject/Theme	
45				The most controversial changes	have actually been in the area of fine-tuning details such as the denial of export refunds for pre-1994 foreign investment enterprises, the general reduction of VAT refund rates for exporters and the utilisation of input VAT in respect of 1994 opening stocks.
46		For the purpose of curbing duty evasion arrangements,	there was a proposal that	the importation of materials by certain export orientated joint ventures	would be dutiable in the first place at the time of import
47	and then			the duty [[collected]]	would be refunded at the time of export.
48				Such imports	have been treated as bonded goods.
49				The proposed change	would have put a lot of pressure on the cash flow for the running of such businesses.
50			Fortunately	this issue	has been resolved satisfactorily.

The two Themes in this example which are not 'concepts' function in a different manner. In clause complex 47, the extended Theme is comprised of a Circumstantial Adjunct, *For the purpose of curbing duty evasion arrangements,* and a projecting existential Theme, *there was a proposal that.* The Circumstantial Adjunct is one of cause: reason, and it is establishing why a certain proposal was suggested. The use of the existential *there* as Theme in this instance is distancing the writer from making the proposal in the projecting clause *there was a proposal that* (projection is discussed in more detail in Chapter Six). In clause 48 *such imports* is a 'product' where the demonstrative *such* is summarising the detailed description of the type of *imports* referred to in the previous Themes and Rhemes.

To summarise, the 'concept' Subject/Themes in Table 5.7 move from a Subject/Themes of *controversial changes,* to one particular *proposed change,* to a more factual reference *this issue,* to New information in the Rheme revealing that everything has been *resolved.*

The writer at different points uses specific lexico-grammatical choices to construe their viewpoint or indeed the organisation's viewpoint, e.g. the use of the Modal Adjunct *fortunately*, and the use of *most controversial* to classify the changes. Projection and Circumstantial Adjunct in Theme position helps to legitimise the action which is being suggested. It could be argued that *the changes* are concrete phenomena. However, at no point in the Theme or in the text is the *change* or the *issue* specified in a clear and congruent manner. It is therefore suggested that the writer has chosen to use nominalisation and vague terminology to present a situation where information is presented in an 'expert' manner as Given information and the precise details have not been stated.

From a simple count of Subject/Themes it is easy to demonstrate that the most frequent form for Subject/Themes are nominal groups. However, a simple count tells very little about the way in which the Subject/Theme, or in this instance how the Subject/Theme as a nominal group, functions within the context of the text. A more qualitative interpretation of the findings is presented in the Discussion Section. The analysis to this point suggests that:

- different patterns in the choice of Subject/Theme are likely to be realised in memos, letters and reports
- 'material entities' are the most common choice for a nominal group realised as Subject/Theme
- the writer has the opportunity to construe their viewpoint in the choice of Subject/Theme and in particular through the choice of the nominal group
- 'concepts' as a category of nominal groups function to capture a great deal of information in a short space. They are perhaps characteristic of written genres found in workplace texts

Finally the analysis indicates that it is possible to recognise and identify the type of Subject/Theme realised in the three text types. It is thought that applying Martin's appraisal system (1997, 2000b) to a closer analysis of the choice of nominal group realising Subject/Theme would reveal evaluative judgement encoded in the choice of the nominal group.

In many instances, the Subject/Theme was not the only element which realised the Theme. To a limited extent a textual and/or interpersonal Theme, or a marked Theme, preceded the Subject/Theme. The following section, Section 5.4, discusses extended

Themes, which contains more than one topical (ideational) Theme. Many of these extended Themes appear to be implicitly marking a form of interpersonal meaning.

5.4 Findings: Extended Themes

The category of extended Theme, outlined in Section 3.5, is identified by combining Halliday's (1994) marked Theme and the Subject/Theme (Subject) of the main clause. Martin and Rose (forthcoming) also recognise Theme in the same manner since "the most common choice for the Theme of a clause is the Subject. Ideational meaning that comes before the Subject is referred to as **marked Theme,** and has a different discourse function from the ordinary Subject/Theme" (bold in orig.). A marked Theme is realised as Complement, Circumstantial Adjunct or a hypotactic enhancing clause occurring in initial position. The unmarked part of the Theme choice is realised by the Subject of the main clause plus any optional textual or interpersonal Theme which precedes the Subject. The extended Theme choices found in the data have been collated in Appendix III and VI. In these appendices, the marked part of the Theme is found in the left-hand column, and the unmarked Theme in the middle column followed by the Rheme.

In the present study, 489 occurrences (32.9%) of all Themes were extended Themes, which means that there were nearly one and a half times as many extended Themes as there were textual Themes (textual Themes occurred 311 (20.9%) times). Table 5.8 illustrates the types of extended Themes found in the corpus.

Table 5.8 Frequency of occurrence of extended Theme by text type

	Memo *(n=504)*	Letter *(n=248)*	Report *(n=734)*	Total *(n=1,486)*
Circumstantial Adjuncts	55 (10.9%)	20 (8.1%)	92 (12.5%)	167 (11.2%)
Hypotactic Enhancing Clauses	43 (8.5%)	35 (14.1%)	41 (5.6%)	119 (8.0%)
Projecting clauses	49 (9.7%)	42 (12.9%)	112 (15.3%)	203 (13.7%)
Total Number	147 (29.1%)	97 (39.1%)	245 (33.4%)	489 (32.9%)

The findings show that the two most frequent expressions of extended Theme took the form of projection and Circumstantial Adjuncts. As projection seems to incorporate inter-personal meaning, it is dealt with separately in Chapter Six. In the data there were only two examples of Complement as Theme and due to the limited number, no further discussion of Complement as marked Theme will be pursued. The following discussion focuses on

the choice of extended Themes realised by Circumstantial Adjuncts or hypotactic enhancing clauses in initial position plus the Subject of the main clause.

5.4.1 Circumstantial Adjuncts in initial position

There were 489 extended Themes in the corpus, representing 32.9% of all clauses in the three text types. Of these, 167 (34.2%, over one third of all extended Themes) were realised by Circumstantial Adjuncts in an initial position. In some instances an extended Theme incorporated more than one Circumstantial Adjunct. In the calculation of the number of extended Themes, each extended Theme was counted only once regardless of the number of Circumstantial Adjuncts present. For example, in Example 5.8 although there are two Circumstantial Adjuncts it constitutes one extended Theme.

Example 5.8

Further to our meeting on Friday morning,	regarding your Reuter Services	I	am pleased to enclose a quote for Reuter Financial Television
Circumstance: matter	Circumstantial Adjunct: matter	Subject/ Theme	Rheme
extended Theme			

Letter 11, clause 1

In calculating the frequency of occurrence of extended Themes, if the extended Theme was a hypotactic enhancing clause or projecting clause which included a Circumstantial Adjunct, the extended Theme was only counted once as an extended Theme. In such instances, the clause complex was coded as either a hypotactic enhancing or projecting clause because the Circumstantial Adjunct was seen to construe ideational meaning as part of the hypotactic enhancing or projecting clause, as shown in Example 5.9:

Example 5.9

I noted however that	in other government departments,	this 10% additional space	was applicable only to cellular offices but not open-plan offices.
projecting clause	Circumstantial Adjunct location: place	Subject/Theme	Rheme
Extended Theme			

Report 7, clause complex 35

Example 5.9 is a clause complex where the extended Theme is realised by a projecting clause, Circumstantial Adjunct and the Subject/Theme. In the calculations Example 5.8 would be counted as having one extended Theme realised by three Circumstantial Adjuncts; similarly, Example 5.9 would also be counted as having one extended Theme

realised by a projecting clause, a textual Theme, *however*, and a Circumstantial Adjunct. However, when calculating the type and frequency of Circumstantial Adjuncts, each Circumstantial Adjunct was counted separately, e.g. Example 5.8 has one extended Theme, but two Circumstantial Adjuncts. This explains why the total number of Circumstantial Adjuncts in Tables 5.8 and 5.9 are different.

Davies (1994, 1997), as pointed out in Section 3.2.3, proposes three basic Contextual Frames, all of which were applicable to the data of the present study. The three types of Contextual Frames she introduces are interactive, organisational and topical. Davies adds that the choice of Contextual Frame as Theme is closely related to the genre, which she demonstrates with 14 extracts from different texts (see Section 3.5.1). It appears from the findings in the present study that there is a great deal of consistency in the choice of Theme in the workplace corpus. For example, in relation to the extended Theme choices in the present corpus where the writer selects a Circumstantial Adjunct as marked Theme, it appears that, on the whole, Circumstantial Adjuncts will be related to real world events. The Circumstantial Adjunct is establishing the background for what is to come, contextualising what has happened and/or reminding the reader of past events. The findings would, therefore, support Davies's view that the choices are driven by genre-specific motivations. The choice of Circumstantial Adjunct as marked Theme in most cases performed an 'informational' function, providing contextual information related to the time, the matter or the situation within which the latter information should be contextualised. Of the 169 Circumstantial Adjuncts marked Theme choices, none were organisational marked Themes.

It seems that the writers included in the workplace corpus were using options other than Circumstantial Adjuncts to realise interpersonal and organisational Themes. Table 5.9 shows the frequency of occurrence of Circumstantial Adjuncts construing the marked Theme choices. As shown in Table 5.8, a similar proportion of Circumstantial Adjuncts in the Theme occurred in all memos (8.1%), letters (10.9%) and reports (12.5%). An average of 11.4% of all the 1,486 α clauses incorporated a Circumstantial Adjunct as part of its Theme. The table below shows the types of Circumstantial Adjunct realised in the corpus and compares frequency of occurrence across text type and type of Circumstantial Adjunct.

Table 5.9 Frequency of occurrence of Circumstantial Adjuncts realising Theme by Circumstantial Adjunct type

Circumstantial Adjunct	Memo *(n=55)*	Letter *(n=20)*	Report *(n=94)*	Total *(n=169)*
Location				
- time	18	3	37	58 (34.3%)
- place	4	1	3	8 (4.7%)
Extent				
- time	1	1	8	10 (5.9%)
- space	-	-	-	- -
Manner				
- means	-	-	1	1 (0.6%)
- quality	7	1	8	16 (9.5%)
- comparison	-	-	-	-
Cause				
- reason	4	-	6	10 (5.9%)
- purpose	3	2	2	7 (4.1%)
- behalf	2	2	4	8 (4.7%)
Contingency				
- condition	6	1	5	12 (7.1%)
- concession	-	-	-	- -
- default	-	-	-	- -
Accompaniment				
- comitative	-	-	1	1 (0.6%)
- additive	4	-	-	4 (2.4%)
Role				
- guise	-	-	-	- -
- product	-	-	-	- -
Matter	3	8	13	24 (14.2%)
Angle	3	1	6	10 (5.9%)
Total	55 (32.5%)	20 (11.8%)	92 (54.4%)	169 (100%)

(The percentages here are based on the number of Circumstantial Adjuncts and not text type.)

The function of many of the Circumstantial Adjuncts in thematic position appears to be to focus the discussion on real-world entities. In doing this the writers tend to refer to previous events by selecting a Circumstantial Adjunct of location: time. These were the most common of the Circumstantial Adjuncts found in the data. Of the 169 Circumstantial Adjuncts identified as marked Theme, Circumstances of location: time comprise more than one third (34.3%), as shown in Table 5.9.

Examples of Circumstances of location: time are: *at that time*, *this year*, *on 14th July*, *currently*, *as at the balance sheet date*, *during this period*, etc. These Circumstantial Adjuncts seem to assist the reader by making a reference to information about these events which has been previously shared. Along with the Subject/Theme, they offer additional ideational information, contextualising and establishing what will follow in the rest of the clause or clause complex.

The second most frequently occurring Circumstantial Adjunct is matter. This occurs 24 times in the corpus (14.2% of all Circumstantial Adjuncts found in initial position). Again this realisation, like most of the Circumstantial Adjuncts chosen, is making reference to a real-world event which represents some shared knowledge between the writer and intended reader. As shown in Table 5.9, Circumstances of angle, of cause: reason and of quality are also instantiations where the writer chooses to select a Circumstantial Adjunct as part of the extended Theme. At this point it must be remembered that the present corpus consists of 1,486 α clauses, so the frequency of a particular Circumstance is still quite low when compared to the overall corpus. However, when focusing particularly on extended Theme and looking at the type of extended Theme realised in the texts, the type of Circumstantial Adjunct becomes relevant.

It is interesting to note that in the total corpus there were no Circumstantial Adjuncts of extent: space, manner: comparison, contingency: concession, contingency: default, role: guise or role: product found as part of an extended Theme (examples of each Circumstantial Adjunct are given in Table 3.4).

In letters especially, Circumstantial Adjuncts tended to appear as the macro Theme which introduced the letter. In five letters, a Circumstantial Adjunct of matter was found in a macro-Theme position (Martin, 1992a). These particular Circumstances were only found as part of the macro-Theme of three memos and two reports. However, what is interesting in the findings relates to the fact that often there was more than one Circumstantial Adjunct realising the macro-Theme, as shown in Example 5.10:

Example 5.10

Further to our meeting on Thursday,	regarding your Reuter Services	I	am pleased to send you a Client Order Form for the 7 position Dealing 2000 service.
Circumstance: matter	Circumstance: matter	Subject/ Theme	Rheme
extended Theme			

Letter 9, clause complex 1

The implication of such Theme choices is that a tremendous amount of contextual information is provided before moving onto the Subject/Theme. As would be expected, the findings suggest that Circumstantial Adjuncts in an initial position tend to take on a highly ideational role. They function to introduce or remind the reader of relevant information and perhaps even shared information.

5.4.2 Hypotactic enhancing clauses in initial position

As discussed in detail in the previous chapter, a hypotactic clause cannot 'stand alone'; it only makes sense when read with its accompanying independent clause. Placing a hypotactic clause in initial position is a 'motivated' Theme choice. The writer, whether consciously or subconsciously, chooses to emphasise the dependent clause by increasing its status and placing it first.

Hypotactic enhancing clauses in Theme position occurred less frequently than projecting clauses or Circumstantial Adjuncts. The extended Themes identified in the corpus can be found in Appendix III. As shown in Table 5.8, 119 of the 489 extended Theme choices were hypotactic enhancing clauses (this proportionally equals 24.3%), whereas 167 (34.2%) were Circumstantial Adjuncts, and 203 (41.5%) projecting clauses. In the analysis, a distinction was drawn between Finite and non-finite realisations. The reason for this was that throughout this study, grammatical choices have been taken as the entry point to understanding the meanings made. Therefore, as there is a distinct grammatical difference between Finite and non-finite clauses, analysing the data in this manner was thought to be a means of shedding light on some of the choices being made. The following section will discuss these findings in more detail.

Halliday's (1994) description of the principal markers involved in identifying hypotactic enhancing clauses was used in analysing the present data (Halliday, 1994:237, Table 7(7)). The results of this analysis are summarised in Table 5.10.

Table 5.10 Frequency of occurrence of hypotactic enhancing clauses by type

	Memo *(n=54)*	Letter *(n=34)*	Report *(n=38)*	Total *(n=126)*
temporal:				
- same time: extent	-	-	3	3 (2.5%)
- same time: point	2	2	1	5 (4.2%)
- same time: spread	-	-	-	-
- different time: later	1	1	1	3 (2.5%)
- different time: earlier	-	3	-	3 (2.5%)
spatial :				
- same place: extent	-	-	-	-
- same place: point	1	-	-	1 (0.8%)
- same place: spread	-	-	-	-
manner	-	3	5	8 (6.7%)
means	1	-	-	1 (0.8%)
comparison	-	-	3	3 (2.5%)
causal: conditional				
- cause: reason	12	6	10	28 (23.5%)
- cause: purpose	8	9	8	25 (21.0%)
- condition: positive	15	9	7	31 (26.1%)
- condition: negative	-	1	-	1 (0.8%)
- condition: concessive	3	1	3	7 (5.9%)
total	43 (36.1%)	35 (29.4%)	41 (34.5%)	119 (100%)

(The percentages here are based on the number of hypotactic enhancing clauses)

Hypotactic enhancing clauses acting as part of Theme occurred in the corpus on 119 occasions (81 Finite and 38 non-finite realisations). There seems to be little parity in the proportional amount of realisations of hypotactic enhancing clauses in the memos, letters and reports. In a proportionate sense, letters have far fewer hypotactic enhancing clauses acting as part of Theme than either memos or reports. Perhaps one reason for this is that the brevity of letters.

There were no spatial hypotactic enhancing clauses in Theme position in the corpus. The most frequent of the hypotactic enhancing clauses in thematic position were conditional: positive clauses (generally, a Finite clause where *if* introduced the dependent clause), accounting for 26.1% of the hypotactic enhancing clauses, as in Example 5.11:

Example 5.11

If you agree to the above arrangements,	I	will contact the banks and start to work on all formalities like seeking Board's approval, appointing a lawyer, giving the mandate, applying for Hong Kong Monetary Authority's approval, rating on the issue, documentation etc.
β clause conditional: positive	Subject/ Theme	Rheme
extended Theme		

Memo 24, clause complex 20

All except one of the conditional: possessive clauses were introduced with something other than *if*. Generally these clauses, like the cause: reason hypotactic enhancing clauses, are used to legitimise an action/decision which is introduced in the Rheme or elsewhere in the text.

The second most frequently occurring type of a hypotactic enhancing clause is cause: reason. There were 28 realisations of cause: reason in the data, accounting for 23.5% of hypotactic enhancing clauses. The writer typically uses this linguistic feature to legitimise and present the reason for a certain action, as illustrated by the following example:

Example 5.12

In the event of the contract being terminated by either party,	Universal	will not buy back the original stockholding, but will invoice the original quantities at the costs ruling on the date of termination.
β clause condition: positive	Subject/ Theme	Rheme
extended Theme		

Letter 14, clause complex 8

In this example, as in many others, the reason for an action or a decision is presented as an introduction to what action/decision will be taken. This is very similar to Iedema's (1995) generic stage of 'legitimisation'. The writer is legitimising, or justifying, taking an action and, as such, chooses in certain instances to legitimise their action by using a hypotactic enhancing clause.

However, unlike the findings for circumstances, where there were no Circumstantial Adjuncts used to realise conditional: concessive meanings, hypotactic enhancing clauses were used construe this type of meaning in 5.9% of all hypotactic enhancing clauses, as in Example 5.13:

Example 5.13

Whatever strategy is decided upon,	the effective and efficient management of video collections	has to be considered.
β clause conditional: concessive	Subject/ Theme	Rheme
extended Theme		

Report 3, clause complex 101

In this example, the hypotactic enhancing clause is acting in a restrictive manner where the β clause is stating something that is the case *despite* (or *in spite of*) a particular situation (Halliday, 1994:237).

In analysing the distinction between Finite and non-finite clauses, the findings show that non-finite clauses tend to be used more frequently than Finite clauses to realise hypotactic enhancing clauses of cause: purpose. The total number of both Finite and non-finite clauses realising cause: purpose, as shown in Table 5.10, was 25, of which 17 occurrences are realised by a non-finite clause. Therefore, although the information contained is ideational, it is functioning, to a limited extent, in an interpersonal manner to legitimise what will follow.

5.5 Discussion

In the findings above a detailed description of the choice of Theme across the corpus of memos, letters and report has been presented. In discussing these findings the arguments presented will draw upon the collated findings from the corpus, exemplified by three selected texts used to illustrate particular points. This discussion is presented in two parts: the first part introduces the selected texts (a memo, a letter and an extract from a report) which will be used to illustrate particular arguments. The second part will respond to the research question posed at the beginning of the present chapter and will supplement the arguments with evidence both from the selected texts and the rest of the corpus.

5.5.1 Texts used as a basis for discussion

The first text, Memo 15, on the topic of wastepaper disposal, was sent from a manager in an accounting firm to all staff. Iedema (1995) suggests that every memo has a nucleus: a command or statement requiring compliance. The command represents the purpose for writing the memo. The command in Memo 15 is that if staff throw confidential paper away they need *to make sure [they] ... rip it up so that it cannot be read.*

Text 5.1, Memo 15

To: All Personnel, AA & AC, Hong Kong
From: Jane Woods, Hong Kong
Date: March 25, 1995
Subject: Paper Recycling/Confidential Information

Currently, many of you are throwing your waste paper in the garbage cans. This garbage is then picked up by the cleaners and thrown out. However, much of this waste paper may contain confidential information about our clients that should not be thrown out in readable form (e.g. photocopies of draft tax returns, working paper file memos, etc.) Though there are shredders on all the floors, not everyone uses them.

It is very important that our clients' information remain confidential. If you throw paper of that nature away, make sure you rip it up so that it cannot be read. Alternatively, we have arranged for a confidential shredding and recycling company to pick up paper waste each Monday afternoon. Though this service has been in place for a while, I do not think that you are aware of it. Here is how it works.

There are large green garbage bags located in the following locations on the floors:

23rd Floor	Next to the main conference room
	Next to the Copier machine near Accounts
24th Floor	Utility Room - Opposite to Filing Room
	Utility Room - Opposite to Typing Pool
	Printing Area - Next to Mr. James Foster's Office
25th Floor	Library
	Staff Area - Opposite to Mr. Y. H. Lum's Office

These bags are in bins/boxes with the words "Recycling Box" written on them. You may put your confidential waste paper in these bins. This paper will not be picked up by the cleaners. Every Monday afternoon, representatives from the recycling company will come to our office. One of our Administrative Assistants will accompany this person through our offices to collect the garbage from the recycling bins. These bags will be sealed before leaving the building to ensure the confidentiality of the information.

We encourage you to use these bins to help us to be more environmentally conscious.

Thank you for your cooperation.

Jane Woods

An analysis of the Themes in α clauses (illustrated in Table 5.11) indicates that there are six extended Themes in the 18 α clause/clause complex text.

Table 5.11 Extended Theme in Memo 15

	Extended Theme		
	Marked Theme	Subject/Theme	Rheme
1.	Currently,	many of you	are throwing your waste paper in the garbage cans.
2.		This garbage	is then picked up by the cleaners and thrown out.
3.		However, much of this waste paper	may contain confidential information about our clients that should not be thrown out in readable form (e.g. photocopies of draft tax returns,

	Extended Theme		Rheme
	Marked Theme	Subject/Theme	
			working paper file memos, etc.)
4.	Though there are shredders on all the floors,	not everyone	uses them.
5.	It is very important that	our client's information	remain confidential.
6.	If you throw paper of that nature away, make sure	you	rip it up so that it cannot be read.
7.		Alternatively, we	have arranged for a confidential shredding and recycling company to pick up paper waste each Monday afternoon.
8.	Though this service has been in place for a while, I do not think that	you	are aware of it.
9.		Here	is how it works.
10.		There	are large green garbage bags located in the following locations on the floors: 23rd Floor Next to the main conference room Next to the Copier machine near Accounts 24th Floor Utility Room - Opposite to Filing Room Utility Room - Opposite to Typing Pool Printing Area - Next to Mr. James Foster's Office 25th Floor Library Staff Area - Opposite to Mr. Y. H. Lum's Office
11.		These bags	are in bins/boxes with the words "Recycling Box" written on them.
12.		You	may put your confidential waste paper in these bins.
13.		This paper	will not be picked up by the cleaners.
14.	Every Monday afternoon,	representatives from the recycling company	will come to our office.
15.		One of our Administrative Assistants	will accompany this person through our offices to collect the garbage from the recycling bins.
16.		These bags	will be sealed before leaving the building to ensure the confidentiality the information.
17.		We	encourage you to use these bins to help us to be more environmentally conscious.
18.		[I]	Thank you for your co-operation.

The analysis of Memo 15 demonstrates that although there are limited interpersonal Themes and no Modal Adjuncts, the writer's viewpoint nevertheless emerges. The writer construes a viewpoint through choices in the construction of Theme. This is realised not

only through linguistic features such as the use of personal pronouns, but also through the use of Conjunctive Adjuncts as part of a textual Theme and through the construction of extended Themes. These features will be discussed in detail below.

The second text is Letter 11. The purpose of this letter is to provide a quote to a client. During the EWM study, the interviewees indicated that they considered this to be a standard letter to a client (Davies and Forey, 1996). In Letter 11, there are seven α clauses and four have extended Themes. These extended Themes, as in Memo 15 above, are being used to highlight the relevant points of the letter and to add what Davies (1994) would call 'informing Contextual Frames'.

Text 5.2, Letter 11

Further to our meeting on Friday morning regarding your Reuter Services, I am pleased to enclose a quote for Reuter Financial Television and an upgrade of your current Reuter Terminal.

As requested we have removed your graphics package and two additional British Telecom lines. The cost saving per month is as follows:

	$pm
1 x Graphics Forex	270.00
2 x BT Analogue line @ 66.31	132.62
TOTAL	392.62

Current credit notes total $523.83 and an additional credit of $270 will be forwarded for April.

To replace the existing Reuter Terminal with an upgraded PC and Reuter Financial Television the monthly cost will be $380, which will represent a saving of $22.62 per month. There is an additional once off installation charge of $600.

If you would like to go ahead with this proposal I would be grateful if you could sign and return the enclosed Client Order Form.

In general, extended Themes are found more frequently in the letters, where 39.1% of Themes are extended Themes, compared to 32.9% in the full corpus (as shown in Table 5.8). Extended Themes tend to occur in the initial clause of a letter and thus perform an important function as a macro-Theme in contextualising the material world which is the focus of the letter, e.g. *further to our meeting, regarding your Reuter Services* and reference to other intertextual information, e.g. *on Friday morning*. An analysis of α clauses is presented in Table 5.12.

Table 5.12 Extended Theme in Letter 11

	Extended Theme		
cl	Marked Theme	Subject/Theme	Rheme
	Further to our meeting on Friday morning regarding your Reuter Services,	I	am pleased to enclose a quote for Reuter Financial Television and an upgrade of your current Reuter Terminal.
1.	As requested	we	have removed your graphics package and two additional British Telecom lines.
2.		The cost saving per month	is as follows: $pm 1 x Graphics Forex 270 2 x BT Analogue line @ 66.31 132.62 TOTAL $932.62
3.		Current credit notes	total $523.83
4.		and an additional credit of $270	will be forwarded for April.
5.	To replace the existing Reuter Terminal with an upgraded PC and Reuter Financial Television	the monthly cost	will be $380, which will represent a saving of $22.62 per month.
6.		There	is an additional once off installation charge of $600.
7.	If you would like to go ahead with this proposal	I would be grateful if you	could sign and return the enclosed Client Order Form.

The third text, Text 5.3, is an extract from Report 6. For reasons of space, only an extract and a brief interpretation of findings are given. The complete report and analysis can be found in Appendix II. Report 6 is a public report produced by one of the "Big Five" accounting firms. Its final production looks very professional and suggests that the document was well edited before being printed. It is a report about the tax situation in China and is comprised of 127 α clauses. The text was produced in the period leading up to the handover of Hong Kong from British colonial rule to China, when the financial situation in what is now the Hong Kong SAR, and the People's Republic of China, was uncertain. The report has an air of optimism, for example, *even so this bold move was commendable* (clause complex 6), and *foreign investors will be attracted to China if they can operate in an efficient environment to yield profits and not just because of tax savings* (clause complex 13). It encourages investment and paints a positive picture of a situation that was, at that point in history, unpredictable if not volatile. The reason for the positive outlook is that the accounting firm can directly profit from the situation, by encouraging investment in China.

Text 5.3, Report 6 (Extract)

China Tax Report
Tax Reform in the People's Republic of China
IMPLICATIONS OF CURRENT TAX CHANGES IN CHINA FOR FOREIGN INVESTORS

Is China's tax policy really capricious? How should foreign businesses navigate themselves through the changes?

Let's take a look at the recent changes and their effect on the foreign business community in the immediate future and in the long run.

The Changes

In January 1994, China started its massive programme of tax reform as part of an overall economic restructuring. The reform package was only half-baked when it was launched. Even so this bold move was commendable because it required a lot of courage for the government to take on the challenge and face the implementation difficulties. Against this background subsequent changes were bound to occur in the light of experience.

Changes in the China tax system are now taking place on all fronts: from long-term policy, legislation and administration to the fine-tuning adjustments of practical details.

Policy changes

It has been the policy of China to use tax incentives to attract foreign investment. Recently, this policy has been under reconsideration.

The principal argument for a change in this policy is that both foreign and domestic enterprises should be conducting their businesses on a level playing field, and giving special incentive to a selected group of market players is inconsistent with fair trade. Another argument is that China's tax environment is only a part of the overall investment climate comprising the effectiveness of infrastructure, labour force, management resources, market functions and government agencies.

Foreign investors will be attracted to China if they can operate in an efficient environment to yield profits and not just because of tax savings. To foster such an environment requires strong government support and spending, and hence matching revenue programme.

Measures reflecting this change include the gradual elimination of import exemptions for foreign investment enterprises and processing trades. Also, incentives available to foreign investors in the special economic zones may be phased out; however, the speculation that foreign enterprise income tax incentives may also be abolished has been denied by PRC officials. This does not mean, however, that such incentives will remain indefinitely in the future.

While the above measures may be harmful to foreign investors in the short run, some other measures will certainly be welcome in the long run, For example, the PRC has announced a significant cut of import duties across the board by about 3 per cent in conjunction with a policy of trade liberalisation for foreign businesses. In two years' time, the government intends to lower the weighted average of the duty rate to 15 per cent. It is also understood that the proposed reduction in duty rate will be coming along with the cancellation of certain duty privileges being enjoyed by some domestic enterprises. Thus they are levelling the playing field, at least at the point of importation of goods.

Legislative changes

Regarding legislative changes, a new regime of individual income tax is under active consideration. The tax authorities are aiming at a unified system of taxation for individuals, as opposed to the present schedular system. It was contemplated that the change could be effected in 1996, but now it may have to be postponed to 1997.

With respect to corporate taxation, the unification of the two enterprise income tax systems applicable to foreign and domestic businesses has long been overdue but there is no sign of immediate change.

Some new taxes mentioned when the tax reform package was proposed, such as Estate Duty, Gift Tax and Securities Tax, will be enacted, although no specific time table for their enactment has been announced.

Also under consideration is the expansion of the charging scope of the value added tax (VAT) system to include the value of services now within the scope of business tax. Business tax is a local tax, whereas VAT is a shared tax, a source of revenue which is under central government control but is shared with the local governments.

Analysis of the Report, showing clauses and clause complexes, is presented in Table 5.13:

Table 5.13 Extended Theme in Report 6

	Extended Theme		Rheme
cl	Marked Theme	Subject/Theme	
1.	Is	China's tax policy	really capricious?
2.	How should	foreign businesses	navigate themselves through the changes?
3.	Let'	[u]s	take a look at the recent changes and their effect on the foreign business community in the immediate future and in the long run.
The Changes			
4.	In January 1994,	China	started its massive programme of tax reform as part of an overall economic restructuring.
5.		The reform package	was only half-baked when it was launched.
6.		Even so this bold move	was commendable because it required a lot of courage for the government to take on the challenge and face the implementation difficulties.
7.	Against this background	subsequent changes	were bound to occur in the light of experience.
8.		Changes in the China tax system	are now taking place on all fronts: from long-term policy, legislation and administration to the fine-tuning adjustments of practical details.
Policy changes			
9.		It	has been the policy of China to use tax incentives to attract foreign investment.
10.	Recently,	this policy	has been under reconsideration.
11.		The principal argument for a change in this policy	is that both foreign and domestic enterprises should be conducting their businesses on a level playing field, and giving special incentive to a selected group of market players is inconsistent with fair trade.
12.		Another argument	is that China's tax environment is only a part of the overall investment climate comprising the effectiveness of infrastructure, labour force, management resources, market functions and government agencies.

	Extended Theme		Rheme
cl	Marked Theme	Subject/Theme	
13.		Foreign investors	will be attracted to China if they can operate in an efficient environment to yield profits and not just because of tax savings.
14.		[[To foster such an environment]]	requires strong government support and spending, and hence matching revenue programme.
15.		Measures [[reflecting this change]]	include the gradual elimination of import exemptions for foreign investment enterprises and processing trades.
16.		Also, incentives available to foreign investors in the special economic zones	may be phased out;
17.	however, the speculation that	foreign enterprise income tax incentives may also be abolished	has been denied by PRC officials
18.	This does not mean, however, that	such incentives	will remain indefinitely in the future.
19.	While the above measures may be harmful to foreign investors in the short run,	some other measures	will certainly be welcome in the long run.
20.		For example, the PRC	has announced a significant cut of import duties across the board by about 3 per cent in conjunction with a policy of trade liberalisation for foreign businesses.
21.	In two years' time,	the government	intends to lower the weighted average of the duty rate to 15 per cent.
22.	It is also understood that	the proposed reduction in duty rate	will be coming along with the cancellation of certain duty privileges being enjoyed by some domestic enterprises.
23.		Thus they	are levelling the playing field, at least at the point of importation of goods.
<u>Legislative changes</u>			
24.	Regarding legislative changes,	a new regime of individual income tax	is under active consideration.
25.		The tax authorities	are aiming at a unified system of taxation for individuals, as opposed to the present schedular system.
26.	It was contemplated that	the change	could be effected in 1996,
27.	but now	it	may have to be postponed to 1997.
28.	With respect to corporate taxation,	the unification of the two enterprise income tax systems applicable to foreign and domestic businesses	has long been overdue
29.		but there	is no sign of immediate change.
30.		Some new taxes [[mentioned when the tax reform packages was proposed, such as Estate Duty, Gift Tax and Securities Tax,]]	will be enacted, although no specific timetable for their enactment has been announced.
31.		Also under consideration	is the expansion of the charging scope of the value added tax (VAT) system to include the value of services now within the scope of business tax.

	Extended Theme		Rheme
cl	Marked Theme	Subject/Theme	
32.		Business tax	is a local tax, whereas VAT is a shared tax, a source of revenue which is under central government control but is shared with the local governments.

The Theme choices found in Memo 15, Letter 11 and Report 6 are discussed in what follows.

5.5.2 Responding to the research questions

It is now possible to return to the questions driving the research and respond to them on the basis of the findings from the analyses. The responses overlap to some extent, for example, issues related to the choice of an extended Theme are also relevant in the discussion of generic constraints. In order to minimise repetition, each response will focus on one particular feature.

5.5.3 What are the similarities and differences in thematic choices in the memos, letters and reports?

With respect to thematic choices, there are a number of common features across the three text types. The most obvious is the strong connection between the choice of Theme and material entities within the workplace. Through thematic choices the workplace is construed primarily as a place of ideational meaning: a world of 'things' and 'activity'.

In all three text types, the writers most commonly choose a nominal group as Subject/Theme, with a 'material entity' being more frequently used than a 'human participant', as illustrated in Report 6.

Table 5.14 Nominal groups in Report 6 (extract)

Human participants	Material entities	Concepts
China Foreign investors the PRC the government The tax authorities the government	foreign businesses The reform package Business tax the proposed reduction in duty rate a new regime of individual income tax Some new taxes [[mentioned when the tax reform packages was proposed, such as Estate Duty, Gift Tax and Securities Tax,]] incentives available to foreign investors in the special economic zones	China's tax policy this bold move subsequent changes Changes in the China tax system under consideration this policy Another argument such incentives Measures [[reflecting this change]] foreign enterprise income tax incentives the change The principal argument for a change in this policy the focus

Human participants	Material entities	Concepts
	the unification of the two enterprise income tax systems applicable to foreign and domestic businesses	some other measures These two key changes the tax administration focus Some measures in this respect The tax administration focus in 1994

The material entities include nominal groups of 'product', e.g. *the reform package*, *VAT*, and 'action', e.g. *the unification of the two enterprise income tax systems applicable to foreign and domestic businesses*. These nominal groups of 'action' encapsulate detailed information in a short space, where there has been a proposal to reduce the duty rate, and the two tax systems which are applicable to foreign and domestic business have been unified. The nominal group *the proposed reduction in duty rate* is an example of nominalisation. As Halliday (1994) points out, in nominalisation the nominal group is changed into an incongruent presentation of information where the verb has become a noun. For example, the congruent form would be *it has been proposed that the duty rate be reduced* or alternatively, depending on how you unpackaged this information, the congruent form could be *the reduction in duty rate has been proposed*. However, by realising the information in a more objectified form, the verb *reduce* becomes a noun, viz. *reduction rate*. Nominalisation presents information in what would appear to be a more objective form and is, according to Halliday (1994), Martin (2000a) and Unsworth (2000) a mark of prestige and power. Through nominalisation the writer is able to present a great deal of information through the Subject/Theme and to include their viewpoint by pointing out the uncertainty of the proposal.

The use of nominalisation, or 'demodulation' as Iedema (1995, 1997, 1999, 2000) calls it, raises many concerns which should be incorporated into pedagogy. As Brown and Herndl (1986) point out, based on their findings teachers training clients in the workplace discouraged their students from using nominalisation. However, the employees viewed nominalisation as an integral part of workplace written communication. The students believed that it raised the level of comprehension in the text, as nominalisation is a complex packaging of information. This non-congruent form of information is far more complex for the reader to unpack than a congruent message (Martin, 2000a). In addition, nominalisation reinforces the status quo of hierarchy as the language reflects the status, knowledge and power of the writer and the reader. Nominalisation conspires "to construe reality in certain ways" (Unsworth, 2000:255). The 'agency' or modal responsibility of the

clause is translated from a congruent into a non-congruent form and processes are realised as nominal groups instead of verbs (Halliday, 1994; Iedema, 1995, 1997; Martin 2000a). Nominalisation presents information as objective and is a "radical retexturing" of information (Martin, 2000a:294). As argued by Iedema (2000), this is one method used to suppress the negotiability of a text. For example, in memos, which although written are frequently equated with a more spoken-like form (similar to Gimenez's (2000) argument, although he is referring to e-mails), the congruent form tends to predominate; the language in such texts is less objectified and less definite and issues can be negotiated. In contrast, in more formalised written texts such as reports, information becomes less negotiable as a means of projecting decisions, representing the outcomes and formalising the company's position.

The 'concept', realised as a nominal groups shown in Table 5.14, appear to construe vagueness and speculation. The purpose of the report appears to be to discuss the future 'concepts' and potential benefits in an unknown situation and the use of 'concept' nominal groups helps to achieve this goal. It seems as though the writer wants to attract, or 'hook' the reader's attention into taking the first step to discuss the matter further and that using Themes such as *changes*, *environment speculation* and *reform package* serve as the required 'hook' without providing the exact details.

Another major area where similarities are noted is the use of Theme to construe interpersonal meaning. In the workplace, according to Iedema (1995, 1997, 1999, 2000), interpersonal features construed through the choice of Theme are used to depersonalise issues. The findings in the present study support Iedema's argument that in many cases thematic choices tend to be presented in non-negotiable representations of meaning, i.e. the choice of Theme becomes factual and permanently inscribed as part of workplace practice. Iedema's (1995, 1997, 1999, 2000) argument is that demodulation occurs where the human participant is suppressed in the realisation of the choice of Theme (see Section 2.8.2). Thus, the choice of Theme becomes more related to institutional practices and material needs. Although Theme was used to construe interpersonal meaning, the use and range of human participants within the Theme choice is limited. Human participants are more frequent in memos than in letters and reports. However, even though human participants are limited, there are a range of other choices, more depersonalised ones such as thematised comment, which are used to realise writer viewpoint and interpersonal meaning. The findings show that as the text types move from what appears to be a more

dialogic form memos) to a more written-like form (reports), there is an increase in the depersonalising of Theme choices. The number of personal pronouns tends to decrease from memos (29.7%) to letters (24.2%) and reports (4.6%). In memos the interlocutors are frequently in close contact or at least known to each other. This is in contrast to letters, which although often considered to be dialogic in the workplace, are written to parties external to the organisation therefore formality or distance is typically maintained. As suggested by Iedema, "the interactional manoeuvring and the power relational struggles are excluded" as the text moves more to a written non-negotiable form (Iedema, 1999:58). While personal pronouns do not occur frequently in reports, other more implicit linguistic features, such as projecting clauses acting as Theme, appear to be construing the inter-personal meaning.

To some extent, this move from the personalised (human) to the depersonalised (inanimate material objects) in the choice of Theme reflects the findings of Iedema (1998, 2000), and Davies et al. (1999), who argue that complexity and the ability to control linguistic resources increases as one moves up the promotional ladder. Davies et al. (1999) reach this position based on the way in which the informants talked about the role of writing in the workplace. Iedema's (1995, 1997) position is arrived at through a lexico-grammatical analysis and data collected during an ethnographic study. Both Davies and Iedema highlight the fact that there are a number of implicit linguistic resources which need to be made explicit, and the present study corroborates this position. A number of lexico-grammatical choices illustrate the prominence of ideational and interpersonal meaning construed the choice of Theme.

5.5.4 How does extended Theme function in the texts?

Extended Theme appears to be performing a 'special' role in that it is used at important stages in the text Davies (1988, 1994, 1997), which is supported by the work of Martin, (1992a), Martin and Rose, (forthcoming), argues that extended Themes function to foreground three ways of meaning, namely ideational (informing), interpersonal (interactive), and textual (organisational).

The findings suggest that informational extended Themes dominated choices of textual and interpersonal Themes. Informing Themes are realised by thematic choices where Circumstantial Adjuncts and hypotactic enhancing clauses are found in initial position. In general, Circumstantial Adjuncts and hypotactic enhancing clauses predominantly realised

informational and interpersonal meanings. There is only one extended Theme explicitly functioning in an organising manner.

Circumstantial Adjuncts realising an extended Theme, in many cases, appear to draw upon intertextual references to previous information. Devitt (1991) believes that such intertextual references are common in workplace text. For example, in the initial clause complex of Letter 11 there is a clustering of ideational content: two Circumstantial Adjuncts are realised before we reach the Subject of the main clause. The Circumstantial Adjuncts contextualise past events and state the point of the letter. There are two Circumstantial Adjuncts of matter *further to our meeting on Friday morning* and *regarding your Reuter Services*. Matter is the most frequent Circumstantial Adjunct found in letters (8 occurrences (40% of all Circumstantial Adjuncts in letters), as shown in Table 5.9.

Informing contextual frames are also realised through hypotactic enhancing clauses. In a number of clause complexes there is a clustering, or heavy loading, of ideational information in the Theme. This is achieved through hypotactic enhancing clauses which frequently function to legitimise the information introduced in the Rheme. This clustering or front loading of information constructs densely packed information which may present difficulties in the deconstruction for novice readers.

Extended Themes also construe interpersonal meaning. The findings suggest that extended Themes occur at key stages in the text to foreground writer viewpoints. The three extended Themes found in Text 5.1, Memo 15 are a conditional hypotactic enhancing clause and two projecting clauses: *though there are shredders on all floors*; *if you throw paper of that nature away*; *though this service has been in place for a while*. They are used to augment the negative foundation and effects of the action. The reader is placed in a position of assumed wrong-doing in these instances. Through the choice of extended Themes the writer emphasises that the errors being made are errors that could be avoided, and is thus construing interpersonal meaning in this respect.

Interpersonal meaning in extended Themes is also construed by hypotactic enhancing clauses. Projection was the most frequent extended Theme found in letters, and is discussed in detail in Chapter Six. A proportion (approximately one third of all clausal: conditional β clauses) are introduced by *if* clauses, where the writer or reader is involved in some way in the outcome of an action, e.g. *if you haven't heard from us by 4 July* (Letter 8, clause complex 19), *if I can be of any other assistance to you* (Letter 3, clause complex 8).

Most of the hypotactic enhancing causal: conditional β clauses construe interpersonal action and reaction on behalf of the writer or reader. Other conditional hypotactic enhancing clauses establish a reason or purpose which was used to rationalise or justify the following ideational content.

Hypotactic enhancing clauses are sometimes found in initial position, as they legitimise or even justify the ideational content to follow (Iedema, 1995). As shown in Table 5.12, there are two conditional hypotactic enhancing clauses which function to provide the reason for removing the graphics package – a*s requested* – and the future action to be taken by the reader *if you would like to go ahead with this proposal*. This latter example is a hypotactic enhancing clause of condition: positive, where the onus for future action is laid clearly on the intended reader. Both of these hypotactic enhancing clauses incorporate action on behalf of the recipient: the action of asking for the graphics package to be removed and the action the recipient should take in order to go ahead with the proposal. They develop the ongoing dialogic relationship between the writer and intended reader, and thus realise a degree of interpersonal meaning. The hypotactic enhancing non-finite clause of condition: purpose *to replace the existing Reuter Terminal with an upgraded PC and Reuter Financial Television* contextualises and justifies the cost of the package.

The hypotactic enhancing clause realising the extended Theme in Text 5.3, *while the above measures may be harmful to foreign investors in the short run* (Report 6, clause complex 19), also appears to be adding to this notion of 'cajoling' and 'persuading'. It represents 'bad' news followed by 'good' news, and the circumstance of *in the short run* appears to be enticing the reader into wanting to know what the 'long-term' effects/ benefits will be.

As noted previously, there were no extended Themes which explicitly realised an organisational function. However, the findings suggest that other features are acting to organise the text. For example, in Report 6 it is possible to argue that some of the extended Themes, although not explicitly signalling an organising function, are in fact assisting in the organisation of ideational content. In total in Report 6, there are nine Circumstantial Adjuncts of location: time in Theme position (clause/clause complexes 4, 10, 21, 27, 34, 66, 105, 108 and 113). The examples of time in Text 5.3, *in January 1994*, *recently* and *in two years' time*, help organise the message chronologically. They signal a change in focus and highlight the specific period which is relevant for the ideational information. As noted previously, Davies (1994) argues that the type of contextual frame realised reflects some of

the constraints of the genre. It is possible, therefore, based on the findings to argue that in memos, letters and reports the distinct lack of organisational contextual frames reflects generic constraints.

The lack of organising contextual frames suggest that the writer is depending on other linguistic features to structure and organise the message. Due to the relative size of many memos, letters and reports (on average the memos, letters and reports included 16.8, 11.3 and 73.4 number of clauses respectively) a reader may not necessarily expect to see organising units as part of the Theme choice. The generic structure of a memo, letter or report plays a major role in organising a text. The opening heading or title, frequently referred to as *Subject* in memos, or highlighted by the use of *Re:* in letters, organises the text through intertextual references and places the text within an historical and contextual framework by referring to other features or actions. For example, in Letter 5, where the opening title is *Re: Consultation on Spent Battery Collection*, the heading makes reference to a previous consultation. This information is then used to contextualise and organise the ideational content of the text to follow. If the analysis were of longer texts, such as academic research articles, academic books and novels, then the findings might be very different.

The findings support Stainton (1993), Davies (1994, 1997), Goatly (1995), Thompson (1996) and Martin and Rose (forthcoming) that marked Themes are important as they function to signal meaningful points in the development of the text. In addition, the present study argues that the writer, through their choice of Theme and in particular their choice of Subject/Theme, Conjunctive Adjuncts, hypotactic enhancing clauses and Circumstantial Adjuncts as part of Theme or extended Theme, is able to either pack the front of a clause / clause complex with ideational meaning or present an 'angle'/viewpoint for the intended reader. Such information relating to the patterns and range of thematic choices would be an invaluable asset with which to inform pedagogy.

5.5.5 What evidence is there that the choice of Theme is genre-related?

Much of the discussion presented above is directly relevant to this question since many of the similarities and differences noted provide evidence that Theme and genre are related. For example, the dominance of extended Themes supports Davies's (1997:62) contention that Circumstantial Adjuncts reflect genres. Davies illustrates her argument with reference to a gardening book where the dominant Circumstantial Adjunct is one of extent: location.

The Circumstantial Adjuncts guides the reader around the garden and refers to specific features in the garden. Circumstances of time are frequently used in history textbooks to structure the discourse in the correct chronological time, e.g. *when the Europeans arrived in 1788, in 1790, in 1794, in 1797, in that year*, and *by 1801* (Coffin, 1997:204). The findings provide evidence that the dominant Circumstantial Adjunct found in the three text types is location: time.

Generic constraints also affect the choice of textual and interpersonal Themes. Interpersonal Themes are limited in number; indeed, there was a distinct absence of such Themes, which is a significant finding. It is argued that explicit interpersonal realisations are not the norm and are not expected in the text types memos, letters and reports.

The findings relating to textual Theme also reflect generic conventions. They occur at a consistent frequency across the three text types, and the range of realisations is also relatively consistent. The findings related to textual Themes were representational and were based on all textual Themes found in Appendix II. Adversative and additive textual Themes are common, while other textual Themes are not. Such results could be compared to other genres. For example, the textual Themes in workplace texts could be compared to Field and Mee Oi's (1992) findings relating to textual Theme choices in academic texts. However, Field and Mee Oi's focus is not differences in Theme choices, but a comparison of native and non-native English speakers. It seems likely, however, that the similarity in the frequency and range of textual Themes in the three text types is more indicative of genre than of the variable 'speaker', i.e. native vs. non-native speaker. This suggestion is supported by the findings of Green et al. (2000), who focus on the variation of textual Themes found in native English speakers' academic English texts. In the workplace texts of the present study, *however* was by far the second most common textual Theme; in the academic texts the Conjunctive Adjunct *however* was not in the top 26 textual Themes. This perhaps reflects generic constraints, and indicates that students' academic texts require a certain type of textual Theme, whereas workplace texts require another.

5.5.6 What linguistic resources are used to realise and construe interpersonal realisations through choice of Theme?

It has been established that the choice of Theme is the starting point for the message. Thus, the power, status, identity and ideational meaning constructed through the choice of Theme are crucial considerations for those involved in producing workplace texts. The linguistic

resources used to construe the interpersonal in the Theme are crucial features which should be understood by those wishing to project competent control of the ideational and interpersonal factors of a text. As pointed out by Davies et al. (1999), at times logical thought is correlated with the ability to write well. In addition, Davies et al. (1999) report that the ability to write well is also directly linked with promotion and reputation. As argued by Brown and Herndl (1986), in a workplace 'good' writers are explicitly identified as such by their colleagues and superiors. Thus, there are strong implications that a 'good' writer requires the control of skills which construct the coherence of message, the interpersonal and ideational meanings construed through the choice of Theme. Becoming a good writer involves understanding many different issues. One of the main concerns is the ability to express an appropriate tenor. In addition, the writer should be able to convince and persuade the reader through the manner in which the message is structured and the construal of the intended meaning of the message. In establishing the tenor, the hierarchical relationship of reader and writer is in part strongly dependent on the choice of Theme. One factor which influences the intended meaning of the message is the way in which the logical connections between clauses are established. Textual Themes are one means for influencing the intended message.

The hierarchical relationship constructed through the choice of Theme can perform different functions. The writer can construct a dyadic relationship of unequal or equal power depending on the choice of Theme. For example, the interpersonal message construed in Memo 15 is very different from that of Report 6. Hierarchy and the manipulation of status and power are illustrated by the Subject/Theme choices in Memo 15. The recurrent Themes throughout the text are *waste paper*, *you* and *we*. The *we* used in this memo is not an inclusive *we* as it represents either *we* the management or *we* the company. Whichever instantiation is correct, the *we* acts to demonstrate some form of hierarchy, i.e. *many of you*, the recipients, have been making an error and *we*, the company / management, have made arrangements to deal with this problem. Memo 15 is representative of the full corpus of 30 memos in the frequency of personal pronouns realising the Subject/Theme with 27.3%. In the full corpus of memos, personal pronouns, such as *you*, *I* or *we* make up 29.7% of all Subject/Themes found in memos. In Table 5.11, clause complex 6, an imperative with a personal pronoun, realises the Theme *make sure you*. As stated previously, this is the explicit Command at the heart of the text, and an explicit realisation of power and status.

In addition to the hierarchical stance of the writer in Memo 15, the writer's status and evaluation is also expressed by the use of the Numeratives *many* and *much* in the Theme choices *many of you* and *much waste paper*. The Numerative emphasises evaluation on behalf of the writer: it indicates that there is more than one member of staff involved and that a lot of the information inscribed on the paper is confidential. Also the negative polarisation of *not everyone* adds a negative evaluation of the staff.

However, the writer in Report 6 is construing a very different interpersonally friendly relationship. The first three α clauses are comprised of two interrogatives and an imperative. In all ten reports (734 α clauses), there are only five (0.7%) realisations where a *wh*-interrogative is found in Theme position. Imperatives and interrogatives are inherently interpersonal as they involve the reader in the dialogue or suggest some form of action the reader should take. In this instance the reader is being asked to think about the topic *is China's tax policy really capricious? How should foreign business navigate themselves through the changes?* The reader is here consciously invited to predict the content of what will follow in the report. Then, as if the writer is holding the business partner's hand, the writer follows these questions with an imperative *let's take a look at the recent changes and their effects*. Tadros (1985) points out that the writer does not simply present facts, but rather through a varied choice of resources presents the material in a manner that "tries to persuade, cajole, convince and win the reader to his side" (Tadros, 1985:63). Persuasion and cajolery appear to be the function of the first three Themes in Report 6. In addition, in these first few α clauses, the writer is establishing a non-hierarchical, friendly but knowledgeable, dyadic relationship where the writer is 'convincing' and 'persuading' the reader that they can help the reader understand and perhaps be successful in business in China.

In Text 5.1, the textual Theme, the Conjunctive Adjuncts *however*, was used to highlight action that staff need to improve. For example, to paraphrase, *waste paper is being thrown out by you, however, confidential paper has been thrown away in an incorrect form, we provide services and facilities to deal with this paper though the proper procedure is not followed by all*. The Conjunctive Adjuncts act as pivotal points to link the proactive behaviour of the company to the poor behaviour of the staff. Thus, following Thompson and Zhou (2000), although the Conjunctive Adjuncts are ideational in nature, they create interpersonal meaning by signalling how the ideational content related to the "company's procedures and services" and "bad action" should be interpreted. Following Thompson and

Zhou (2000), the present study asserts that Conjunctive Adjuncts along with Modal Adjuncts contribute to what Thompson and Zhou, referring to terms used by Bakhtin, believe are the "dialogic overtones of a text" (Thompson and Zhou, 2000:140). Modal Adjuncts contribute to the text in an ideational, interpersonal and textual manner, and Conjunctive Adjuncts offer logical connections between clauses, which help the reader interpret the intended meaning. Textual Themes explicitly represent the writer's viewpoint as well as link the clause to a previous or following clause. The findings support Matthiessen (1995), Thompson and Zhou (2000) and Martin and Rose (forthcoming) who suggest that textual Themes do far more than simply structure a text. Textual Themes are seen to create "interactive negotiation between the writer and reader, rather than simply reflect objective logical relations between propositions" (Thompson and Zhou, 2000:140). In addition, as pointed out by Matthiessen (1995:20), the textual metafunction is seen to create interpersonal meaning by providing a medium wherein the interpersonal and ideational can be understood by the reader and writer.

The Theme of the α clauses is crucial in representing the 'angle' of the intended meaning (Martin, 1992b; Fries, 1995c). The findings lend strong support to the proposition that interpersonal meanings are realised in part by Theme. Excluding the explicit markers of interpersonal Theme, i.e. Modal Adjuncts, personal pronouns, interrogatives and Vocatives, a number of other specific features are also identified as thematising interpersonal meaning. The choice of nominal group is seen to include some form of evaluation on behalf of the writer and is thus recognised as realising the interpersonal. Certain nominal groups also incorporate some form of nominalisation and, as pointed out by Halliday (1994:353), the use of nominalisation is seen to demonstrate "a mark of prestige or power" where the writer 'packages' information into a non-congruent form. In addition, interpersonal meaning is identified in the three different types of extended Theme found in the corpus, namely Circumstantial Adjuncts, hypotactic enhancing clauses and projecting clauses.

An understanding of the generic conventions and a manipulation of appropriate choices of Theme in the workplace text, it is argued, will affect the interpretation by the reader and thus their perception and understanding of the field and tenor of the text. The specific linguistic resources that a good writer needs to understand and manipulate include the use of textual Themes, extended Themes, nominal groups and nominalisation. The ability to construe meaning which stabilises the workplace and reinforces the "control and

procedure" through written texts without alienating the intended reader is a skill which is highly regarded by many (Iedema, 1998, 1999, 2000).

5.6 Concluding remarks

In drawing a conclusion to this chapter, the discussion reverts to the initial general research question introduced in Chapter Three:

What function does Theme perform in the workplace texts?

The findings reflect Iedema (1995, 1997, 1998, 1999, 2000) and Fairclough's (1992) argument that the language of the workplace emphasises depersonalisation. Moreover, the choice of Theme emulates this position and construes notions of status, identity, and power alongside the textual role of organising the message. However, even within this 'depersonalised' context, it seems that writers of workplace texts encode their viewpoint by using implicit methods such as Subject/Theme and extended Theme. One way for evaluation to be introduced in the choice of Subject/Theme was through the use of nominalisation. Nominalisation created an environment in which the writer could construe a particular viewpoint.

Extended Theme allows the analyst to consider everything preceding the Subject of the main clause as Theme and reveals interesting insights which expose the loading of ideational features in the initial part of the clause/clause complex. The loading of ideational information emphasises, contextualises, and rationalises the need for the workplace to be construed through material, depersonalised terms. Some of the informants indicate that they prefer to receive depersonalised messages, as this allows them to act and respond to matters in a professional and formal manner (as discussed further in Chapter Eight).

Extended Theme appears to signal an important stage in the text and frames interpersonal meaning. The analysis has revealed that extended Theme is a useful resource. It can be used to reveal the way in which the writer highlights certain features in the text. The findings suggest that extended Theme is used to realise certain interpersonal meanings. Circumstantial Adjuncts in the text are used to frame shared experiences or some reference to past events or times. In this manner they are construing 'shared' meanings, and it is argued that although their main function is ideational, they also incorporate some element of interpersonal meaning. Hypotactic enhancing clauses in an initial position frequently

legitimise, through a conditional clause, the information in the main clause. The conditional element in a hypotactic enhancing clause is, to some extent, also viewed as functioning to restrict or define a situation and in some cases this is directly linked to the reader's actions. Theme choice is seen to play a key role in constructing and stabilising the status quo of the workplace. Therefore, in a number of ways the choice of Theme is found to be crucial not only as a tool for organising the message, but also for realising the ideational and interpersonal features of a text.

The most frequent and perhaps the most explicitly interpersonal extended Theme is projection. The following chapter will study the form and function realised by projection in the English workplace texts.

Chapter 6:
Projecting Clauses as Theme in Workplace Texts

Based on the discussion of Theme as outlined in the previous chapter, this chapter focuses specifically on one particular type of extended Theme, namely projection. There is very little explicit writer evaluation in Theme position in the texts. Modal Adjuncts, which Halliday (1994) classifies as interpersonal Theme, only occurred in 4.7% of all texts (see Table 5.3). However, it is evident when reading the texts that the writer viewpoint is present and a certain 'angle' on the topic is construed.

The findings show that 32.9% of all Themes in α clauses were extended Themes (see Table 5.8). The extended Themes found in the present study were either realised by a Circumstantial Adjunct, a hypotactic enhancing clause or a projecting clause in thematic position. This study suggests that one way in which writer viewpoint is construed is through the choice of extended Themes. Projection (41.5% of all instances of extended Theme) and Circumstantial Adjuncts (34.2%) were almost equal in frequency and enhancing clauses (24.3%) were only a little less frequent. Although there was little difference in the frequency, projection seems to function far more interpersonally than Circumstantial Adjuncts as part of the extended Theme, and is potentially therefore an interesting concept to explore further.

Projection, where the writer represents through a mental, verbal or factual clause something that someone else has "said or thought at a different time from the present", is viewed by many as realising an interpersonal function (Thompson, 1996:206). This chapter argues that projection should be viewed as interpersonal, that it inherently reflects the writer's viewpoint, and that the writer can manipulate the choice of projecting clauses to realise viewpoint either in a subjective or more objective manner. In what follows, these considerations constitute the basis for the exploration of certain general research questions relating projecting clauses found in thematic position, viz.:

1) Are there any particular patterns in the memos, letters and reports of projecting clauses found in thematic position?
2) What is the particular function of projecting clauses found in thematic position?
3) To what extent are projecting clauses found in thematic position in the memos, letters and reports?

It is suggested that the writer, through the use of projecting clause in thematic position, is able to use viewpoint as the starting point for what will follow. Projection will affect the way in which the reader interprets the following and perhaps even the preceding clause and to some extent beyond the clause. A writer's viewpoint can be made explicit through the choice of a projecting clause, e.g. *I believe entirely [that] Mr Woo has ordered his air ticket in good faith* (Letter 21, clause complex 6). The writer in this example is stating what he thinks and uses the Modal Adjunct *entirely* to emphasise his viewpoint. This projecting clause is used in an interpersonal manner to establish the sincerity of what the writer has to say about *Mr Woo*. As discussed below, projection is not always as explicit; at times it appears more objective, e.g. *it was understood that* and *it was contemplated that*. Here, the projection of ideas *understanding* and *contemplating* are presented in a more objective manner, with no human participant taking on the modal responsibility for the thought process. Thus, an investigation into projection was undertaken not only because it was the most frequent of the extended Themes, but also because of its inherently interpersonal nature. The argument proposed in this study is that projection in letters, memos and reports, which may appear to be factual texts, is always interpersonal, and that through the choice of projection the writer can invest a significant amount of interpersonal meaning in the choice of Theme.

The chapter focuses on projecting clauses and the way in which the writer constructs their identity when using projecting clauses to make meaning. In Section 6.1, the meaning of the term 'projection' is established. Relevant research in this particular area is reviewed in Section 6.2. The approach adopted towards projection in the present study is outlined in Section 6.3. During the analysis three categories for projecting clauses as Theme were developed; these categories and the related findings are presented in Section 6.4. The pattern and function of projecting clauses within the corpus are discussed in Section 6.5. The discussion that projecting clauses in thematic position are important and relevant in construing writer viewpoint and identity within a text is summarised in Section 6.6.

6.1 What is projection?

The following section introduces the terms and parameters adopted when investigating projection in the memos, letters and reports. Projection involves a specific relationship

between clauses. Therefore, before discussing projection the different types of relationships found in a clause complex are introduced.

6.1.1 The logico-semantic relationship of projection

When analysing clauses within the clause complex, Halliday (1994:216) distinguishes between dependency (taxis) and logico-semantic relations. Clause relations of dependency are presented in Chapter Three, Section 3.5.3. Logico-semantic relationships are briefly discussed in this section. According to Halliday, in projecting clauses the α clause expresses the ideational component of either locution, mental or factual projection; and the β clause carries the ideational realisation of the projection. In a clause where the relationship between the projecting and projected clause is hypotactic, the projected clause is dependent on the projecting clause, and the projected clause cannot be realised without the projecting clause. This relationship is investigated further throughout this chapter.

The present study supports Halliday's position that the projected clause, in a projecting/ projected clause relationship, realises the ideational component of the clause complex and that the meanings construed by projecting clauses need to be investigated further. The analysis of projecting clauses in the present study follows Halliday's view of a hypotactic relationship, in that there is an independent clause, in this case the projecting clause, and a dependent clause, in this case the projected clause, and that the projected clause cannot stand alone but is dependent on the projecting clause for meaning to be made. As shown in Example 6.1 the main ideational element of the clause complex is realised in the projected clause *that additional staff would be required in view of the scale.* In the present study it is suggested that the projecting clause, in the case of Example 6.1 *he envisages*, should be considered as construing interpersonal meaning. The extent and range of interpersonal meanings realised through the choice of a projecting clause in initial position is analysed in detail throughout this chapter.

Example 6.1

He envisages that	additional staff	would be required in view of the scale of the feasibility study and the subsequent implementation of the proposal.
α	β	
interpersonal Theme	Subject/ Theme	Rheme

Report 10, clause complex 29

Projected clauses can occur in both paratactic and hypotactic clauses. In certain projected clauses they are independent and there is a paratactic relationship; for example, direct quote marks are used to signify what has been said: *He thought to himself "additional staff would be required"*. In this example, the two clauses are of equal status, the quoting of what is said and the reporting of who said it are related through parataxis; neither is dependent on the other. Other examples include:

Example 6.2

John thought to himself	'I'll run away'.
1	2

(Halliday, 1994:220)

Example 6.3

I met our Franchisor's Shipment and Invoicing Department staff last week	and the following is the information they require from us.
1	2

Memo 17, clause 1 & clause complex 2

As shown in Examples 6.2 and 6.3, in a paratactic clause the primary clause is the *initiating clause* (1) and the following clauses are *continuing clauses* (2). The clauses are not dependent on each other as they are of equal status and the relationship between them is one of parataxis. In both examples, clauses 1 and 2 are 'free' elements which can stand alone. As pointed out in Section 3.3, all paratactic clauses have been analysed as having their own Theme within the clause complex. There are no examples of paratactic projecting clause complexes in the present corpus. However, projecting clauses, on the other hand, occur frequently.

The logico-semantic relationship of projection is where "the secondary clause is projected through the primary clause, which instates it as (a) a locution or (b) an idea" (Halliday, 1994:219). (In this quote the term *instates* is a little odd; perhaps Halliday really means it

instantiates). Projection thus occurs when one clause projects another clause either through quoting or reporting what is said or thought. There is also a third type of projection which is realised through processes other than locution or ideas, and which has no named projector, namely projection as 'fact' (Halliday, 1994:264). This type of projection will be dealt with under the heading of thematised comment, in Section 6.4.5.

6.1.2 Modality within projecting clauses

Clauses such as *I believe* could be classified as projection where the writer is reporting something in relation to their thoughts. Alternatively, *I believe* could also be classified as an interpersonal metaphor (Halliday, 1994). Halliday states that the realisation *I think* can be interpreted as either projection (the speaker is really thinking something) or modality (the speaker is inferring some form of probability), with the interpretation depending on the context (Halliday, 1994:354). In spoken language, for example, an interpersonal metaphor will be recognised by tone and prosodic intonation. However, this is more difficult to recognise in written texts, where the analyst must refer to the surrounding context. Ascertaining whether the writer is inferring probability is thus more difficult. For the purposes of the present study, realisations such as *I think* are, if appropriate, being viewed as projecting clauses and not as interpersonal metaphors. The term projecting clause, from this point on, will be used to refer to an independent projecting clause in thematic position within a clause complex where it is followed by a hypotactic projected dependent clause. The analysis of projecting clauses presented in this chapter classifies projection under three main categories. These categories were introduced in Section 4.4.6 and the findings are discussed below in Section 6.4, but first the relevant literature in the area is reviewed.

6.2 A review of the literature related to projection

Halliday's position related to projecting clauses and the linguistic elements incorporated within projection has been summarised above. However, Thompson (1994), in an unpublished paper, challenges this account. Thompson states that the categories for reported language "were far from adequate" and that Halliday's concepts of projection "were to some extent unclear" (1994:1). In support of Thompson's (1994) argument, there have been a number of

other studies which have also argued for an extension or a revision of Halliday's categorisation of projection (Davies, 1994, 1997; McGregor, 1994; Thompson, 1996).

Empirical research based on authentic data and the notion of projection seems to be rather limited. McGregor (1994) calls for the need for more research into reported speech. Drawing from Volišinov, McGregor talks of the "extraordinary methodological interest" and "enormous general linguistic and theoretical significance of reported speech" (1994:64), where

> quotation is more than just a retelling or reporting of another person's words or meaning, as most linguists would seem to believe. It is a way of saying: a particular way of saying which distances the speaker in the SS [uttered sentences] from the framed utterance.
>
> (McGregor, 1994:87)

Thus, for McGregor, reporting "another person's words or meanings" is a 'pivotal' phenomenon in language and is a feature worthy of detailed analysis.

Following McGregor, therefore, within the business world, a study of projection at a clause complex level and the relationship between clauses is seen to have considerable potential in shedding light on the way in which writers construct viewpoint within an organisational setting. Workplace texts within bureaucratic organisations "seem primarily concerned with the formal or objective nature of their tasks" (Iedema, 2000). However, as pointed out by Tadros (1985:63), workplace texts try to "persuade, cajole, convince and win the reader to his side". Iedema (1995, 1997, 2000) asserts that organisational communication "rarely fails to realise both "subjective" and highly personal status differences as well as emphasise staff's [sic] tasks and responsibilities" (Iedema, 2000:49). Workplace texts in the form of memos are making meaning in relation to giving a directive in a social environment and, as such, depend highly on interpersonal relations. Projection is one means whereby the writer can encode status and viewpoint. The writer can inform the reader of correct procedure and also incorporate views about that procedure. As pointed out above, Iedema states that institutional communication evolves around "correct procedure and control" (Iedema, 2000:49). Through the choice of *I believe*, *the company believes* and *it is believed*, the writer can choose to demonstrate a level of control and in the projected clause the related procedure can be inscribed.

In the area of rhetorical studies, a great deal of research has been carried out on reported speech in both spoken and written discourse. Research in this area appears to focus on literary texts, narratives and occasions where instances of projection, 'reported speech', are instantiated. Baynham (1996), Buttny (1997), Maybin (1997) and Myers (2000) have all studied reported speech in relation to the transformation of direct into indirect speech within a classroom setting. Others have studied the same phenomenon and have associated reported speech with storytelling in the following contexts: interviews (Schiffrin, 1996; Rabotas and Berkenkotter, 1998); interactive storytelling (Johnstone, 1993; Shuman, 1993); and the way in which the individual situates themselves (Hamilton, 1998). Myers (2000) analyses reported speech within focus group meetings. In these meetings, the aim is to elicit opinions and understand the way in which reported speech is used to tell stories. None of the studies listed here is directly involved with workplace English. The definition of reported speech within all these studies includes a far wider range of linguistic realisations than simply projection. These linguistic realisations are not based on grammatical categories, but rather "hypothetical representations" (Myers, 2000:574). The analysis tends to focus on chunks of text within the narrative genre, does not follow an SFL approach and appears to be pragmatically driven. One commonality of the above studies and the present one is the view that reported speech (including projection) is seen to be "usually not noticed, just because they [reported speech instances] are so ubiquitous", and further that they are seen to be key "'framing' elements within the discourse" (Myers, 2000).

McGregor, in his 1994 paper, proposes a "new account" of reported speech. He adds, "there is a hiatus between structural and functional/semantic theories of quotation" (McGregor, 1994:71). He believes that neither the structuralists nor those using the SFL model, the functionalists, have grasped the essence of reported speech. His view of what he terms "reported clauses", which Halliday would refer to as projection, is compatible with work carried out previously by Clark and Gerrig (1990). McGregor, who supports his argument with examples taken from Gooniyandi (a Western Australian Aboriginal language), argues that projection is a device used to distance the speaker, and the reporting clause is a way of framing the reported clause. However, his view about the status of projecting and projected clauses within a clause complex is different from Halliday's. He argues that reported clauses are "capable of independent occurrence" (McGregor, 1994:76). He asserts that the relationship

between the two clauses, i.e. the projecting and projected clause, is not one of parataxis, or hypotaxis, but one of a "whole-whole relationship" (1994:76). He uses the analogy of a picture in a frame to demonstrate that both have distinct and different characteristics, but at the same time are part of a whole. The frame sets the picture in a particular setting, providing a context that can be interpreted differently from that of, for example, a mural. This description of indirect speech, he states, "delineates the reported clause from the surrounding clauses, and indicates that it is to be viewed or evaluated in a different way" (McGregor, 1994:77). Thus, according to McGregor, the projecting clause establishes and frames the way in which the interlocutor would interpret the projected clause.

Following the argument put forward by McGregor and others, it would appear that the nature of projection is still under debate and the dispute is yet to be fully resolved (McGregor, 1994; 1997). It is not within the scope of the present discussion to explicate such a dispute. Rather, it is worth noting that the present study follows Halliday's (1994) initial suggestions that reported clauses are not independent and that a definite hypotactic relationship exists. In the present study, it is argued that the writer through the choice of a projecting Theme, followed by a hypotactic projected clause, influences or 'frames' the manner in which the projected clause should be interpreted. If the projecting and projected clauses were paratactic in nature, in the present analysis each paratactic clause would be analysed for its own Theme structure. Therefore, the present study does partially agree with McGregor that the projecting clause establishes a frame for interpreting the message, but that this frame is related hypotactically within the clause complex. Halliday's initial theory of projection will be extended to incorporate suggestions raised by Davies (1988, 1994, 1997) and Thompson (1994, 1996). On the basis of these suggestions, the present research argues that the whole of the projecting clause and the Subject of the projected clause should be considered the Theme of the clause complex.

Studies discussing projection agree, to a greater or lesser extent, that projection encodes interpersonal meaning (Davies, 1988, 1997; McGregor, 1994; Thompson, 1994, 1996; Iedema, 1995, 1997, 2000). Davies, for example, states that the anticipatory *it* and the projecting clause "are treated as interpersonal 'projections' of the writer's message or viewpoint" (1997:56). Thompson (1996) extends Halliday's view of projection by introducing the term 'thematised comment', and that is the term adopted in this study. The term itself, thematised *comment*,

implicitly incorporates some form of interpersonal element. Thematised comment is the term adopted for the purpose of this study and it will be discussed in detail below. In addition, Thompson states that it is "revealing" to examine projection with reference to interpersonal meaning (1996:211).

McGregor (1994), like Davies (1988, 1997), views projecting clauses as framing clauses and as highly interpersonal. McGregor (1994) also states that projection falls into the interpersonal metafunction. Thus, for Davies, Thompson and McGregor, there is an undeniable link between projection and the interpersonal metafunction. Following this view of projection as creating interpersonal meaning, this study aims to show the way in which the writer influences the interpersonal meaning of the message through choice of projection as part of the extended Theme.

6.3 Projection in the present study

Davies (1988, 1994) and Thompson (1996), although approaching projection in different ways, both propose an extension to Halliday's categorisation of projecting clauses. As introduced in Section 3.2.3, Davies (1988, 1994, 1997) suggests that there are a number of different 'Contextual Frames' which will help the analyst understand the writer's moves within a text. She outlines four main Contextual Frames: location, logical relations/progression, goal and process, and evaluation. She argues that by including the 'Contextual Frame' and Subject of the main clause within the boundaries of Theme, the analyst is able to identify continuity of the 'central participant' – the Subject – as well as understand how the writer is framing the text and signalling changes in the text. Davies (1997) is motivated by the pedagogic potential of understanding these Contextual Frames within different genres. Thus, by extending the boundaries of Theme to include everything up to and including the Subject of the main clause, she believes this allows Theme to be studied "as a means of differentiating amongst Interactive and Topical Units of *Texts* as constituents of *Genres* and as means of signalling the progression of a text." (Davies, 1997:53, italics in orig.). Davies investigates the variety of Contextual Frames in 14 different textual units.

Projecting clauses are just a part of one of the Contextual Frames outlined by Davies. She does not fully discuss projection as a separate entity, preferring to see it more as part of a

wider category of interactive units within the boundary of Theme. Thompson also departs from Halliday in that Thompson believes that all of the projecting clause should be labelled Theme. For example, Thompson argues that *it is interesting* in the clause complex "*It is interesting that you should say that*", should be considered Theme (Thompson, 1996:129). He believes that this structure "allows speakers to thematise their own comment on the value or validity of what they are about to say" (Thompson, 1996:128). As noted above, he introduces the term thematised comment to describe this form of projection.

6.3.1 Projection as a representation of the gist

Thompson (1994), in a paper given at the 21st ISFC in Ghent 1994, discussed theoretical considerations in the classification of projecting clauses. However, his argument in this paper was tentative. Later, Thompson (1996) argued that the meaning represented in projection is an area worthy of more detailed investigation, as projection is implicit in nature since it has a

> double layer of representation: on the one hand, the language is signalled as, in some sense, not our own; but on the other hand it clearly differs from the original utterance (even if we quote verbatim) in that it is now incorporated into our present message rather than coming straight from the original source.
>
> (Thompson, 1996:206)

Thus projecting and projected clauses involve some form of interpretation on behalf of the author, or as Thompson puts it, projecting and projected clauses have an "uncertain status" (Thompson, 1996:139). It can be argued that the ideas or locution realised in the text may not be completely true to the ideas or words originally expressed, i.e. that "the speaker is reporting the gist of what was said and the wording may be quite different from the original" (Halliday, 1994:254). Thus, projection is complex and not necessarily an accurate representation of what was originally expressed, as it allows the speaker or writer to represent their ideas, or in fact another's locution or ideas, perhaps in a different light.

Projection in the present study is found in all three text types where the writer uses projection to express a personal viewpoint, to introduce or report the company's direction, or to report action or discussions which have taken place. For example, in the following clause complex projection is used to summarise what was discussed previously: *The Director of Housing said that after the relocation, the HAHQ Special Facilities would be allocated a net*

area of 7,000 square metres (Report 7, clause complex 14). The Director of Housing may not have used these words, and the discussion could have been contentious. However, in Report 7, the Director of Housing's words have been removed from the point when they were expressed in a meeting or a discussion and represented in a less negotiable form in a written report.

6.3.2 Projecting a fact

Halliday, in his description of projecting clauses, states that projection may be "a verbal or mental process, or a nominal group with a verbal or a mental process noun (locution or idea) as its Head" (Halliday, 1994:264). He adds that there is another type of projection: "We refer to this type as FACT" (Halliday, 1994:264). In a factual projecting clause, the process need not be verbal or mental, "but it comes as it were ready packaged in projected form" as a fact (Halliday, 1994:264). This form of projection is more objective; there is no human participant doing the projecting and the Subject is commonly *it*, for example *it is believed, it is hoped*, etc. Halliday adds that *it* is not a "participant in the projecting process but is simply a Subject place-holder" (Halliday, 1994:266). As a place-holder the real Subject can be found in the continuing clause. Halliday states that there are four sub-classes of fact: cases, chances, proofs and needs (Halliday, 1994:266). 'Cases' refer to non-modalised propositions, e.g. *it is the case that*; 'chances' refer to modalised propositions, e.g. *it may be the case that*; and 'proofs' refer to "propositions with indications, which are equivalent to caused modalities, 'this proves/implies (i.e. makes it certain/probable) that...'" (Halliday, 1994:267). The fourth type of factual projection, 'needs', is realised by instances of "nouns of modulation", e.g. *requirement, need, expectation* (Halliday, 1994:268).

Thompson (1994), however, approaches projection of facts, or what he refers to as the "packaging of facts", from a different angle. Evaluating Halliday's view of projection, he argues that there are two different things occurring simultaneously, involving both "the logico-semantic relationship and part of the outcome of that relationship" (1994:2). In Thompson's view, Halliday's description of the logico-semantic relationship between locution and mental projection is clear. However, Thompson (1994) argues that Halliday fails to fully account for factual projection. In factual projection, Thompson suggests:

> we have to resort to a relation between the projected clause and some (probably unreal) 'original' message: a fact is a fact by virtue of its relation to a meaning which might have been an independent proposition.
>
> (Thompson, 1994:2).

Thompson argues that there is a difference in that locutionary and mental projections are syntagmatic, whilst factual projection is semantically paradigmatic. This argument is supported by Martin (2001) who states that locutionary and mental projections are associated with "what you say in relation to what you said before and what you are going to say next" whereas factual projection is associated with "what you say in relation to what you could have said" (Martin, 2001:151). Thompson (1994) suggests that projected facts should be studied in relation to proposed facts and real-world things. He proposes a cline of 'proposition – fact – thing'. However, the boundaries of these categories, 'proposition – fact – thing', seem a little vague and the categories may need to be refined further before they can be applied to a corpus of data.

Davies (1988, 1994, 1997) and Thompson (1994, 1996) agree that projection of a fact is a way of packaging something said or thought by another in a form that may appear to be more objective and factual: "facts are a way of indicating to the reader that you have already begun to order and interpret the data to package the world" (Thompson, 1994:9). It could be suggested that in the findings presented below, factual projection gives the writer an option to present something as already packaged and decided when perhaps it is not yet fully formed and/or completed. For example, *It is anticipated that the growth in demand for video material from both students and academic staff will continue* (Report 3, clause complex 41). In this example, the projecting clause *it is anticipated* is basically representing an idea that has been assessed and analysed, and the projected clause is hypothesising that *the growth... will continue.*

6.3.3 What is the Subject within factual projection?

The findings suggest, in line with Davies (1988, 1997), Thompson (1994, 1996) and Harvey (1995), that when projecting a fact using the objective structure, e.g. *It is becoming apparent that*, the writer also includes their own viewpoint within the text. Thus, in the present analysis

there are a number of *it is* projecting clauses, which along with the Subject of the main clause constitute an extended Theme for the clause complex.

In opposition to this analysis, Halliday would argue that only *it* in such projecting clauses should be counted as Theme (1994:60). However, Davies (1988) and Thompson (1996) argue that within a clause complex the Theme should be extended to include not only *it*, but also the whole of the projecting clause. Thompson adds that when *it* is used in a projecting clause, although it has no meaning potential, it is not possible to conflate the projecting clause and the projected clause into one clause and still maintain the same intended meaning. For example, the initial clause in Example 6.4 is not a projecting clause and the clause complex can be rewritten as one clause with the meaning potential still maintained:

Example 6.4

It is students on distance learning programmes [[who are experiencing difficulties in getting hold of the learning materials needed for their courses]].

In the above example, *it* is a dummy Subject that can be conflated with *students on distance learning programmes*. The clause in Example 6.4 is a single clause with a predicated Theme. It can thus be rewritten, showing clearly that the *it* and the Subject *students* are the same and the meaning is not changed (Halliday, 1994:58):

Example 6.5

Students on distance learning programmes are experiencing difficulties in getting hold of the learning materials needed for their courses.

However, a clause complex with a projecting factual clause with *it* in the initial position behaves very differently, for example:

Example 6.6

It is becoming apparent that	some students on distance learning programmes	are experiencing difficulties in getting hold of the learning materials needed for their courses.
marked Theme	Subject/Theme	Rheme
α	β	

Report 3, clause complex 5

This clause complex could be written with a different Theme choice, for example:

Example 6.7

That students on distance learning programmes are experiencing difficulties in getting hold of the learning materials needed for their courses is becoming apparent.

However, the clause complex is made up of more than one clause and has a different marked Theme, with a hypotactic enhancing clause in initial position. It would be difficult to rewrite this clause complex as a single clause and still maintain the same meaning. The thematic meaning of the clauses in Examples 6.6 and 6.7 highlight the impact of different choices of Theme. In Example 6.6, it could be suggested that the *it* clause is introducing the speaker's attitude in a way that is not present in Example 6.7. As Thompson points out:

> this [the it in a projecting clause] still involves a grammatical operation (the use of 'it' as a place-holder) which serves to set up as the starting-point of the message the speaker's own comment. One's own attitude is a natural starting-point, and thematised comment is extremely common in many kinds of discourse.
>
> (Thompson, 1996:129)

Thompson claims that examples such as *it is true* and *it may be* should all be included in the Theme of a clause complex and he labels this structure thematised comment. Thematised comment, he states, allows speakers to include a personal comment or viewpoint in the initial position.

Davies (1988) states that while the potential of "empty subject offers a powerful tool... it also relieves the writer of any responsibility for the viewpoint" (Davies, 1988:197). The use of *it* in projecting clauses reduces the writer's visibility and allows the writer to put forward a viewpoint in what would appear to be a more objective manner. Davies (1988) argues that this is a common device used in academic discourse. As a tool within workplace English texts, the procedure allows the writer to express information in what appears to be company terms and practices, where the modal responsibility is depersonalised and objectified. Davies's (1988, 1994, 1997) three studies follow a particular position as exemplified by Davies (1997) where she argues that marked choices of Theme "appear to 'frame' the message by specifying discourse goals or projecting evaluation" (Davies, 1997:56).

Thompson (1996) adds that at a discourse level "thematised comment occurs at key transition points in the text and it obscures the method of development of the text if one simply labels 'it' as Theme."(Thompson, 1996:130). Davies would agree with Thompson and,

from a limited set of data, argues strongly that thematised comment is crucial to understanding the writer's viewpoint in a text. She states that "these framing elements are typically non-recurrent and as such signal changes/shifts or stages in the progression of the discourse" (Davies, 1997:55). Harvey (1995), referring to scientific reports, believes that such use of the "impersonal structure followed by a non-factive verb" – her example is *It is generally agreed that* – is a "strategic decision" that represents the merging voices of the research team involved in writing a report and the discipline (1995:197). She adds that another use of the same structure is to invite the reader to "participate in the argumentative process" (1995:197); her examples here are *it is important to bear in mind that* and *it is instructive to view that.* Here she argues that the reader *you* is implicit in the structure.

Thus, the present study argues that when using thematised comment (to adopt Thompson's term but following the argument put forward by both Davies and Thompson), the writer has chosen to use this device, and not any other, for a reason; and that reason is to express the writer's viewpoint. Davies (1988, 1997), Thompson (1994, 1996) and Iedema (1995) all stress that these links between projection and the interpersonal, and between projection and Theme choice would benefit greatly from further investigation. The aim of this chapter is to investigate projection with reference to a corpus of workplace texts. The findings presented in Section 6.4 suggest that projection could be categorised in a more sophisticated manner and three categories of projection are posited.

6.3.4 Projecting clauses as Theme

As contended in Section 3.2.3, Theme at a clause complex level goes up to and includes the Subject of the main clause. Thus, the present study follows an inductive approach where the findings emerge from the data and certain patterns appear by 'trusting the text' (Sinclair, 1992; Creswell, 1994; Thompson, 2000). One of the most noticeable patterns was the use of projecting clauses as the Theme of a clause complex. The patterns and function of such projecting clauses in Theme position will be discussed in the following section.

6.4 Findings

The categories emerging from the data, based on the theoretical considerations presented above, will be outlined in this section.

6.4.1 Projecting clauses: patterns of usage

One characteristic of the texts in the present study is that of the corpus of 62 texts, 42 texts (67.7%) have one or more projecting clauses in thematic position. In total, there are 203 (13.7%) projecting clauses in thematic position in the corpus. Although this appears to be a rather small percentage, the finding suggests that projection is a key feature involved in construing interpersonal meaning and influencing the manner in which the message is interpreted by the reader. The possible choices selected by writers in the present study have been categorised into three broad categories as outlined below.

6.4.2 Description of analytical system

The three distinct categories of projection identified and outlined in Section 4.4.6 are based on previous work in the area by Halliday (1994) and Thompson (1994, 1996). It is suggested in the present analysis that the three categories of projection should be considered part of a cline: thematised subjective viewpoint – thematised comment – thematised obligation / inclination.

All projecting clauses were extracted from the analysis in Appendix II and can be found in Appendix VI. The outcomes of the analysis in Appendix VI are subdivided into thematised subjective viewpoint, thematised comment and thematised obligation/inclination, and whether the projecting clause is projecting an idea or a locution, as defined below. The results from the analysis of each category are outlined below.

6.4.3 Brief overview of findings

Projection appears to be an important lexico-grammatical feature in all three text types. One or more projecting clauses in thematic position are found in 60.6% of memos, 57.1% of letters and 90% of reports. The average number of projecting clauses in thematic position occurring within each text type is: memos 1.63, letters 1.9 and reports 11.2. The highest number of projecting clauses in any one text is 18 (in Report 7). This text has 44 clauses/clause complexes, of which 41.9% are projecting clauses in thematic position within the clause complexes. The number of projecting clauses found in each text varies tremendously, and the number of projecting clauses does not appear to be related to the size of the text, i.e. if a text has a large number of clause complexes, this does not necessarily mean the number of projecting clauses will be high. After analysing the data, there appears to be no particular

pattern whereby one could predict where the projecting clauses would appear within each text type.

Although projection is seen to be a part of most texts, the low frequency suggests that they are used sparingly and specifically to construe a viewpoint in the text. However, it is argued that the influence of writer viewpoint, realised by the projecting clause, will to some extent affect the reader's impression and the manner in which the meaning is interpreted. Naturally, there are many choices for the writer to construe interpersonal meaning and projection is only one such possible choice.

Table 6.1 Type and number of projecting clauses by text-type

	Memo *(n=49)*	Letter *(n=42)*	Report *(n=112)*	Total *(n=203)*
Thematised subjective viewpoint	35 (71.4%)	32 (76.2%)	77 (68.7%)	144 (70.9%)
Thematised comment	11 (22.4%)	9 (21.4%)	35 (31.3%)	55 (27.1%)
Thematised obligation/inclination	3 (6.1%)	1 (2.4%)	0 (0.0%)	4 (2.0%)
Total	49 (24.1%)	42 (20.7%)	112 (55.2%)	203 (100%)

In total there are 489 extended Themes in the corpus, 203 occurrences (41.5%) of which are projecting clause complexes. The type and frequency of the other extended Themes found in the corpus are shown in Table 5.8. The type and frequency of projecting clauses appears to vary in different text types. As shown in Table 6.1, thematised subjective viewpoint is the most frequent realisation of projection in all three text types (70.9%). Letters have the most frequent realisation of thematised subjective viewpoint (76.2%), followed closely by memos and reports (71.4% and 68.7% respectively). In the three text types, thematised comment appears to be realised to the same limited extent in memos and letters, 22.4% and 21.4% respectively. Thematised comment is more frequently realised in reports (31.3%). In all text types, thematised obligation/inclination is the least frequent, occurring just 6.1% and 2.4% of the time in memos and letters, respectively, and there are no realisations of this structure in reports.

6.4.4 Findings: thematised subjective viewpoint

The first and the most prevalent form of projection, thematised subjective viewpoint, can be seen to be an explicit realisation of the writer's viewpoint. This category conforms to the description outlined above where Halliday suggests that projection is the realisation of stating explicitly or implicitly a subjective probability (1994:355). In addition, within thematised subjective viewpoint there is a more delicate division.

Thematised subjective viewpoint is subdivided into three finer groups of projection: thematised subjective viewpoint (i), (ii) and (iii). These categories make a distinction on the basis of the realisation of the Subject of the projecting clause, which is realised either by a pronoun or a noun. Thematised subjective viewpoint (i) represents the subjective explicit end of the cline, where the Subject of the projecting clause is realised by the first person pronoun *I*, as shown in Examples 6.8 and 6.9:

Example 6.8

> I do not agree with Mr Woo's statement [that] the Company has failed to meet its obligation as indicated in his appointment letter dated August 9, 1995.
>
> Letter 21, clause complex 5

Example 6.9

> I note [that] presently our China Rep Office have to pay a training service fee to Shenzen Training Centre.
>
> Memo 23, clause complex 1

Thematised subjective viewpoint (ii) has a projecting clause whose Subject is realised by the personal pronoun *you* or *we*, as illustrated in Examples 6.9 and 6.10.

Example 6.10

> On a general note we understand that the main purpose of the regulations is to establish a safety management network at all stages of a project, not just the construction phase.
>
> Letter 2, clause complex 3

Example 6.11

> We believe many investors will follow the above strategy.
>
> Report 6, clause complex 84

Thematised subjective viewpoint (iii) has a projecting clause whose Subject is realised by a common noun rather than a pronoun, as shown in Examples 6.12 and 6.13:

Example 6.12

> The Design Team have recommended that a re-tender exercise be undertaken following substantial redesign of the project.
>
> Report 2, clause complex 10

Example 6.13

> The Secretary for Works has said that with the passage of time, the weightings will change gradually.
>
> Report 10, clause complex 34

Thematised subjective viewpoint implies that there is some form of subjectivity construed in the message of the projecting clause and that the choice of Subject in the projecting clause is a distinguishing feature.

6.4.5 Findings: thematised comment

This is perhaps the most contentious category. Halliday, although stating that projection can be a projection of 'fact', would not include a projecting clause of fact as Theme. However, following Davies (1988, 1994, 1997) and Thompson (1994, 1996), thematised comment, along with the grammatical Subject, has been analysed as the extended Theme of the clause complex.

The thematised comment category, although not as frequently used as thematised subjective viewpoint, did appear frequently in the data. In total there were 55 instances of thematised comment, and they occurred in all three text types. Here the writer often used a place-holder *it* to introduce the projecting Theme. Occasionally, an objective generalisation is made using phrases such as *Experience has shown* (Report 7, clause complex 22) etc. Here *it* has been replaced by an objective phrase which makes some sort of generalisation, and the writer is stating their viewpoint through a grammatical construction which semantically signifies objectivity. The writer has chosen *it is believed* rather than *I believe* to express viewpoint, a conscious choice which would tend to infer a more objective viewpoint for the intended reader. The possible reasons or implications for these linguistic choices are discussed in the following section.

6.4.6 Factual projection within the data

Although thematised comment does not occur as frequently as thematised subjective viewpoint, there are some occurrences of this construct in each of the three text types. There are respectively 11, 9, and 24 examples of thematised comment in memos, letter and reports. (Appendix VI lists the examples of thematised comment found in the data.) However, the semantic properties of these constructions are an important issue. Thematised comment allows authors to interject their viewpoint in a manner which superficially appears to be objective. Thus, thematised comment "serves to set up as a starting-point of the message the speaker's own comment" (Thompson, 1996:129). The author could have chosen to use other devices to represent the same information, but in these instances the author chooses to start the message with an *it* projecting clause, such as *it is important*, which reveals a degree of objective modality. The question is, why is such a device selected and what is the meaning potential of this linguistic choice? Some examples of thematised comment from the corpus are given below:

Example 6.14

It is important [that] AFL ensures that all costs of such assistance be accounted for honestly.

Memo 19, clause complex 4

Example 6.15

It would appear to be the Landlord's mistake [that] they had not provided the correct plan to the other tenant.

Letter 20, clause complex 9

Example 6.16

It is unlikely that this process could be completed within the remaining life of the Council.

Report 4, clause complex 63

According to Halliday (1994), these examples are all explicitly objective, but clearly also demonstrate the writer's viewpoint. In Example 6.16 the writer chooses an objectified form, i.e. *it is unlikely that*, as well as the attribute *unlikely*, to encode a particular viewpoint in relation to a negative assessment that the process will be completed.

In addition, within thematised comment which implicitly encodes the writer's attitude, it seems natural that in such realisations there would be a number of other means adopted to

construe writer viewpoint; for example, it is possible to find Modal Adjuncts within a thematised comment. As pointed out in Sections 3.4.1 and 5.2, Modal Adjuncts are explicit interpersonal markers (Halliday, 1994:49). Some examples of Modal Adjuncts found in thematised comment in this data set are: *in my opinion*, *only*, *with this in mind*, *of course*, *almost certain* and *at first sight*. Such Modal Adjuncts are used to further emphasise the writer's viewpoint. In Section 5.2 the lack of Modal Adjuncts in the Theme of the main clause is highlighted. Although Modal Adjuncts may be infrequent in the main clause, they appear to be more frequently realised in the projecting clause. Perhaps it is at this point that the writer has chosen a projecting clause to express a viewpoint that is believed to be tenable, and the writer is able to add other evaluative language to support the particular viewpoint taken.

In Examples 6.17 and 6.18, there are two examples of Modal Adjuncts found within the projecting clauses. These are *only* and *please* in Examples 6.17 and 6.18, respectively.

Example 6.17

It was only subsequent to that, when [sic] the Landlord had negotiated with the other tenant a certain rent because of the (mistaken) belief that the pedestrian flow would be higher because of the position of the escalator.

Letter 20, clause complex 8

Example 6.18

With regard to the karaoke entertainment [[held in Citic Plaza Hotel on 27 Aug. 93]] please be advised that our share of the cost for the karaoke entertainment was KK100.50.

Memo 20, clause complex 5

Letter 20 is discussed in detail in Section 6.5.5 below.

6.4.7 Findings: Thematised obligation/inclination

As pointed out above, Halliday distinguishes between modalisation, which is associated with probability and usuality, and modulation, which is associated with a more imperative type of modality. Thematised obligation/inclination applies Halliday's notion of modulation, where some form of obligation or inclination is embedded within the projecting clause (Halliday, 1994:354).

Within the corpus there are very few examples of projecting clauses of obligation/inclination. In coding these items, Halliday's view of modulation has been followed (Halliday, 1994:357).

In the corpus of nearly 32,000 words, there are only four examples of modularity in projecting clauses. All four examples are given below:

Example 6.19

We must therefore take the view that the activation was caused by a genuine smoke incident.

Memo 11c, clause complex 20

Example 6.20

It has been decided therefore that all staff who are called upon to assist in these non-scheme activities maintain time sheets showing clearly the time devoted to non-scheme activities.

Memo 19, clause complex 6

Example 6.21

The Government has decided that there should be no tax liability for the year.

Memo 27, clause complex 39

Example 6.22

Please note that under the Companies Ordinance, a company's balance sheet must be approved by two directors before it may be issued, circulated or published.

Letter 17, clause complex 2

The obligation or inclination expressed in these examples represent, in one way or another, the reporting of a decision. They either state that something has been *decided* or, in the case of the last example, i.e. *note*, remind the recipient to take account of action which is company policy. In most instances the obligation is stated from a subjective viewpoint. It must be added, however, that the obligation is subjective; it is not stated from an individual, but rather from an organisational perspective. This suggests that if a writer in the workplace context is stating an obligation or inclination, linguistic choices other than thematised obligation/inclination are selected.

Even in the full CPW and EWM corpora, few examples of modulation were found. Those that were discovered were usually clauses used to express regulations or official policy. For example, in a memo related to a company's policy on advertising, modularity was used to express the restrictions imposed by a bank: *It is not allowed to imply or indicate the "ability" of the corporation* and *it is not allowed to construe an "offer" to acquire or dispose of securities*. These examples are more consistent with legal English and it could be that they are more common in legal text types than in general workplace texts (see Bowles, 1995; Feak et

al., 2001). They could also perhaps be found in texts which serve the purpose of stating company regulations or policies.

6.5 Discussion

The discussion section is divided into two main parts. The first part, Sections 6.5.1 to 6.5.4, discusses the findings in relation to results found in each of the three types of projection. The discussion draws upon example texts to illustrate the points under consideration. The second part, Section 6.5.5, draws together discussion points and generalises some of the relevant issues identified.

6.5.1 Identity, status and power within projecting clauses

With respect to projecting clauses in thematic position, there is a difference between saying *I believe* and *we believe* and *Company X / Person X believes*. Iedema (1995) points out that this movement, where the proposer moves from the subjective *I* to *Company X*, is a way of shifting the modal responsibility for the proposal (1995:137, 1998, 2000).

If the projecting clause is coming from a specific individual then it may perhaps be less powerful than if the weight of the whole company were behind the proposition being put forward. Thus, when a person or a group of people are writing within the workplace, the writer establishes their identity, status and power within the text (Fairclough, 1992; Ivanič, 1998). As noted previously, Fairclough (1992), Iedema (1995, 1997, 2000), Ivanič (1998) and others support the view that discourse is socially constitutive and that status and relations are reflected in the language chosen.

With reference to memos and letters where the writer and reader generally know one another, the written word can be very influential in determining the social identity of the writer and the relations between the reader and writer. The reader will react to the identity constructed by the writer. Sometimes in the case of memos or letters, just knowing the identity of the writer can cause a certain reaction in the reader. For example, it could be suggested that if a memo were headed with the name of two very different writers the identity of the writer may change the way the recipient reacts to the discourse encoded in the written message in the memo. Or, as one informant interviewed on the CPW project stated, she would change her writing style to suit the person to whom she was writing (Nunan et al., 1996). She stated that when she wrote

to her American superior, her style would be markedly different from that used when writing to her English superior. Thus consideration of the role, position, ethnic background and 'identity' of a writer and the intended reader greatly affect the language chosen, and writers frequently change register to accommodate different readers.

6.5.2 Projection and the use of explicit - subjective *I* in workplace texts

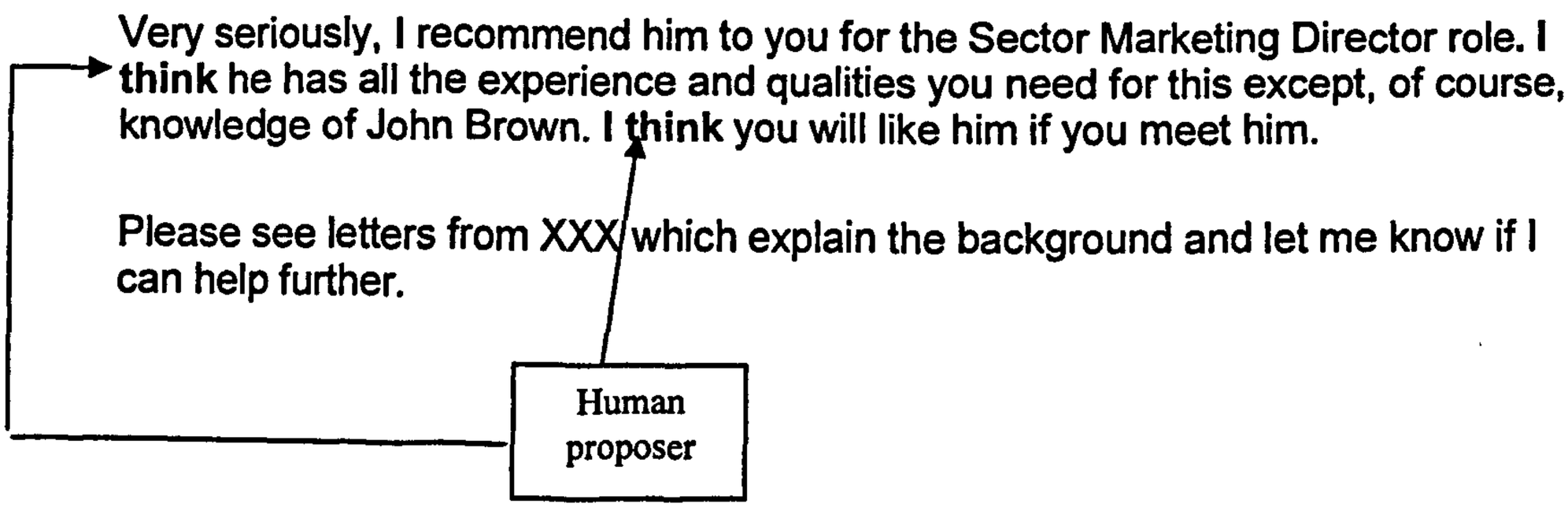
This argument can be more clearly demonstrated with regard to memos and letters, since the author and intended reader of these texts are usually known and regularly named. In contrast, reports are frequently written collaboratively and are often anonymous. The intended audience of a report generally tends to be far wider than that of an internal office memo or letter. An annual report may be sent to all shareholders, who are often 'faceless' and unknown. The writer of a report, or indeed the company which issues a report, views the 'image' or 'identity' embodied in the report as being a very important aspect (Davies et al., 1999).

The writer's decision to use *I* or *we* or *Company X* is often a conscious one. As noted above, the choice of the way in which the individual or group wishes to construct their identity within the text will affect the subsequent relations developed through the discourse of the text. The choice and power invested in the selection of *I* or *we* or *Company X* may vary depending on the individual status of certain members of a company. "Writing not only conveys a message about content but also conveys a message about the writer." (Clark & Ivanič, 1997:143). For example, with reference to projecting clauses, if the projecting clause is written by a senior executive who holds an extremely powerful position within the company, then the power of using *I* in a proposal is far greater than if it were someone less senior. In addition, it is clear that if the writer is using *I* to project an idea or locution, then the writer is taking on the modal responsibility for their proposal (Iedema, 1995, 1997), as shown in the example from Memo 3 below.

Text 6.1

Memo 3

I am uncertain whether or not you know J E Jones. We would have considered him for the FRD (UK) marketing role but he was unavailable because of a new attractive assignment with SSB in Switzerland. This has now miscarried, so he is available.



Here, the proposer feels confident and is able to put forward a personal viewpoint when recommending Jones for a position. The writer uses the two projecting clauses highlighted above to support the idea that the candidate is suitable. However, if the writer here were to use *we (at company X) think he has all the experience*, then the writer would be demonstrating support within the company and the projected information could possibly be more influential. The use of *we* in workplace and technical writing is used to "endorse corporate goals" (Couture, 1992:19). However, the context and situation are not available. Therefore, it could also be suggested that in this example, the writer's choice to use *we* could in fact be indicating a distancing from the opinion being expressed, and therefore the recommendation would be less influential. It could be argued that whichever identity the writer chooses to project, whether *I*, *we* or *Company X*, the writer presents an important selection in 'role identification' or, as van Leeuwen (1996:54) puts it, "belonging to a company or organisation begins to play an important role in identification".

However, the discussion of the writer's identity in these data is difficult to substantiate since any discussion is typically conducted from the position of the text analyst and not from those directly involved in constructing the texts. The interview data collected in both the EWM and CPW research projects revealed that in interviews very little discussion focused on specific lexico-grammatical structures. However, it is clear from the perspective of a text analysis and

from data collected in focused interview groups (Chapter Eight) that linguistic choices do affect interpersonal relationships greatly. A writer's choice to use *you should* or *please ensure* creates a noticeable difference in the reaction of the reader (a more detailed discussion is presented in Chapter Eight), although it should be remembered that a text analyst may in fact interpret texts rather differently from authentic users of the text (Bhatia, 1993a; Berry, 1996).

6.5.3 Explicit - subjective projection in reports

It should also be noted that even though reports are often viewed as more formal text types, they do, to some extent, include projecting clauses where there is a human proposer. There were 17 occurrences where *I* was found within the projecting clauses of reports in the present data. In her research, Harvey (1995) points out that personal use of *I* seldom occurs in scientific reports. Based on the literature in this area, *I* should be found infrequently in reports. Some examples of *I* found in projecting clauses in reports are repeated in Examples 6.23 and 6.24:

Example 6.23

I have recommended to the Secretary for Planning, Environment and Lands that in future a re-submission to the ExCo should be made before the award of a contract if the cost has increased significantly,

Report 8, clause complex 95

Example 6.24

I have expressed my concern to the Director of Social Welfare that the present provision of 6.8 C&A places per 1,000 elderly persons fails even to achieve the previous planning ratio of 8 per 1,000 elderly persons adopted six years ago.

Report 9, clause complex 51

The use of *I* here, it is suggested, is chosen to explicitly realise the writer's involvement and viewpoint in relation to estimation and an expression of concern.

In the corpus reports, more than four times as many verbal projections (63) were identified compared to mental projections (14). One reason for this may be that the purpose of a report is multi-functional. A report is a macro genre which combines different genres; a report can include provision, recount, exposition, argumentation in favour of a point, or a combination of these (Iedema, 1995:239). Harvey (1995) supports this argument in her case study of scientific reports, where she found that the macro-acts of a report include introducing, informing,

describing, stating, appraising, asserting, reasserting, challenging, contending, assuming, estimating, warning, exhorting, suggesting, and recommending (Harvey, 1995:196-7). Thus, since the purpose of a report is multi-functional, there is a possibility that there would be a wide range of projecting clauses.

However, this does not explain why there are 63 locutionary projecting clauses compared to 14 mental projections in the reports analysed. Perhaps one answer is that a report is summarising activities and events which have occurred, and in doing so is required to state what others have said in relation to those activities and events. Another possible answer is the fact that two of the reports are involved in discussing the actions and activities of a particular individual, e.g. *the Director of Housing* (Report 7) and a range of individuals, e.g. *Secretary for the Treasury*, *the Director of Works*, *the Director of Environmental Protection* and *the Secretary for Planning*, who are all named in the projecting clauses in Report 8. These two reports are not completely representative of reports in general, although it would appear that the writer chooses to project what was said and suggested by the people involved. As pointed out by Halliday (1994) and Thompson (1996), by reporting the 'gist' the writer has the opportunity to add their own interpretation.

6.5.4 Locutionary projection in reports

A report generally draws upon background details from events and previous actions. As pointed out by Iedema (2000:47), meetings lead to minutes of meetings, which provide information for more communication, and the notes are incorporated into reports which in turn lead to other linguistic and non-linguistic outcomes. Therefore, it is not surprising that sometimes quotes or paraphrasing of previous events, communication or actions are incorporated into a report. An understanding of the intertextuality of a text and the function of locutionary projections to construe meanings of past discourse can assist in explaining why locutionary projection is the most frequent type of projection realised in reports.

The findings, though, may be a bit misleading. When looking at the texts individually and the projecting clauses within each text, it can be seen that a majority of the verbal projections are found in only two or three of the reports. The main purpose of these reports appears to be to describe the present situation of a particular matter, and verbal processes realise what someone else has said. For example, in Text 6.2, a report from the CPW corpus collected from

an accountant at the Housing Authority of Hong Kong, a number of locutionary projections occur where the Director of Housing is reported to have made a number of points.

The extract from the report demonstrates a dependency by the writer on locutionary projection to express their viewpoint. The writer exploits locutionary projection in thematic position in order to establish a particular stance on the topic discussed and to summarise/ present previous decisions and statements. The projecting clauses are shown in bold.

Text 6.2, Report 7

Report of the Director of Audit on the results of value for money audits

Housing Department 9 Provision and utilization of space in the Housing Authority Headquarters (HAHQ) Building [EXTRACT ONLY]

9.5 **The Director of Housing proposed that some HAHQ Special Facilities (2,346 square metres net)** should be relocated to a commercial complex at the Homantin South Development. **He also proposed** that- the Applications Section and Commercial Properties Division (3,645 square metres net) should be relocated to the Wang Tau Hom Estate Phase, 12 Development. Both the new developments were scheduled to be completed in 1999. **The Director of Housing said** that after the relocation, the HAHQ-Special Facilities would be allocated a net area of 7,000 square metres. With regard to the Applications Section and Commercial Properties Division, after ions the relocation, all units related to applicant' and commercial properties (some of which are now situated outside the HAHQ Building) would be combined so as to provide a "one-stop" service to the public. These proposals were approved by the Establishment and Finance Committee of the Hong Kong Housing Authority.

9.6 **An audit examination of the Director of Housing's May 1993 submissions to the Establishment and Finance Committee of the Hong Kong Housing Authority revealed** that no reference was made to the designed capacity for accommodation, 3,927 staff in the HAHQ Building. As a result, no explanation was given as to why, despite the fact that there were only 2,770 staff working in the HAHQ Building in 1993, additional space was required. **I have expressed my concern to the Director of Housing** that this information was not included in the submissions to the Establishment and Finance Committee of the Hong Kong Housing Authority.

9.7 In response to my observations, **the Director of Housing has said** that while he accepts that the HAHQ Building was planned on the basis of a projected HQ staff of 3,927 staff in 1994-95, this was only a preliminary design concept in 1985 when detailed space requirements had yet to be firmed up. For example, space

requirements for the HAHQ Special Facilities were still under consideration within the Department. **Experience has shown** that more space was needed for these special facilities than had been anticipated in 1985. As a result, less space could be set aside for office use.

9.8 **The Director of Housing has also clarified** that the office space to [sic] staff working in the HAHQ Building, a net floor area of 3,466 square metres would have been saved. **I have therefore recommended to the Director of Housing** that he should adopt government standards in allocating office space to his staff.

9.11 In response to my observations, **the Director of Housing has explained** that the allocation of office space in the new HAHQ Building, when it was occupied in 1990 was generally on a par with the approved government standards then prevailing, whereas the standards referred to by me were new standards revised by the Government which were not promulgated for implementation until March 1992. By that time, the Housing Department has already moved into the new HAHQ Building. **The Director further pointed out** that when the revised standards were promulgated there was no requirement for all government departments to revise their existing office layouts to conform to the new standards.

9.12 Notwithstanding the above, **the Director of Housing accepts** the need to explore ways and means to achieve greater economy and **[he] states** that this is an on-going exercise within the HAHQ Building. Some revision of the office layout has already been carried out by and within the Administration and Policy Branch recently and as a result, 20% additional staff have been accommodated in the space allocated without requiring additional space outside the building. Similar reviews will be carried out in the Construction Branch and the Housing Management Branch to see whether there is additional room for economy in the use of office space in those areas.

Within this very short extract from a larger text there are a number of projecting clauses. Nearly all of the processes in the projecting clauses are locutionary, and include *inform*, *propose*, *say*, *express*, *clarify*, *recommend*, *explain* and *accept*. There are two instances of *reveal* and *show*, which are not typically projecting processes. However, in this instance *reveal* is referring to a report 'revealing' information which is similar to locutionary projection; the words in the report are *informing* and *telling* the reader. In addition, in the wording *experience has shown that* where what could be analysed as a relational process *show* is closely associated with *experience*, i.e. *knowledge teaches us that*, and as such, the process

show is projecting, in a metaphorical sense, what we know from our *experience*. Here, the writer either reports what the Director of Housing said, realised through verbal processes, or believes through his own disagreement with, or displeasure about, what has happened by adding his personal opinion, e.g. *I have expressed my concern to the Director of Housing that this information was not included in the submissions to the Establishment and Finance Committee of the Hong Kong Housing Authority.* In two cases the writer uses a Circumstantial Adjunct of Contingency, *in response to my observations*, prior to a projecting clause as a 'Contextual Frame', as background to the Director's response and to emphasise his involvement. Circumstantial Adjuncts act as framing elements as part of an extended Theme, as discussed in Section 5.4.1. By using thematised subjective viewpoint projection, the writer is choosing to construe his personal interpretation of the situation in initial position before reporting the 'gist' of what was said by the Director of Housing. In this text it is quite obvious that the writer is unhappy with the present situation and has decided, whether correctly or incorrectly, to place a great deal of the responsibility for what has happened on the Director of Housing. He continually construes the Director of Housing's suggestions and words in order to create a negative impression, i.e. that what the Director of Housing has suggested happened does not match what happened in reality. There are a variety of other possible linguistic choices that the writer could have selected to make meaning, but it seems the writer wanted to place the modal responsibility, in part if not totally, on the Director of Housing. The writer positions himself on the basis of how participants address themselves and others and the way in which their ideas are represented (see Iedema, 1995:14).

The words being reported may not be exactly what was said by the Director of Housing. The fact that someone else is reporting his words, in a less-negotiable written form compared to a less formal written or spoken discourse where these points were presented prior to the written report, allows a different interpretation to be instantiated (Thompson, 1996). The writer here manipulates his authority, as author, by being able to add his own personal opinion. The writer also uses certain linguistic features such as Circumstantial Adjuncts to establish and embellish a context related to the way in which he, the writer, perceives what is happening.

6.5.5 Discussion of findings in thematised comment: an example text

The discussion below illustrates how projecting clauses in Text 6.2 add to the meaning of the message. The text is a letter to Furnish Ltd., a furniture retail store, from their legal advisors. The issue discussed in the letter is whether Furnish Ltd. is liable to their landlord and other tenants for indemnity incurred during the construction of a set of escalators. The discussion of the linguistic choices found in this letter will be limited to the function and purpose of the projecting clauses in thematic position. The projecting clause and Subject which together act as the Theme for the independent clauses are shown in Table 6.2. The projecting clauses are shown in bold in Text 6.3.

Text 6.3, Letter 20

Dear Elaine,
2/F & 3/F, Sun Building
Further to my letter of 30th November 1995 and as spoken, I wish to advise as follows:
Under a contract of indemnity, the holder of the indemnity (i.e. the Landlord) is generally entitled to recover the amount payable by him by virtue of any judgement recovered against or compromise reasonably made by him in any legal proceedings in respect of any matters comprised by the indemnity, including costs (Halbury's Laws of England 4th Edition).
Therefore, generally, the Landlord is entitled to claim under the indemnity as soon as his liability to the other tenant has arisen and it may be before he has actually made payment.
However, the Landlord has to act reasonably and if he does, and the other tenant's claim is legitimate and can be related to the matters covered by the indemnity, Furnish Ltd. would be obliged to pay.
The question is of course whether the other tenant's claim is "in respect of any matters comprised by the indemnity".
Based on our conversation, **you informed me** that the other tenant had not yet signed the lease with the Landlord when the Landlord had allowed Furnish Ltd. to do contract work as stated in paragraphs (a) to (d) of the Indemnity.
It was only subsequent to that, when the Landlord had negotiated with the other tenant a certain rent because of the (mistaken) belief that the pedestrian flow would be higher because of the position of the escalator. **It would appear to be the Landlord's mistake** that they had not provided the correct plan to the other tenant.
Based on the information you have given me, Furnish Ltd. would have a good case to argue, firstly, that in terms of timing, the approval was given before any agreement was reached with the other tenant.
In any event, even if the lease had been concluded before the Landlord gave Furnish Ltd. their consent, the indemnity should not extend to the knock-on effect of such relocation of an escalator because with a reduction in rents in one area, will be an increase in rents to another wherever the escalator has been moved to, so the Landlord suffers no loss. If the relocation is for the benefit of Furnish Ltd., then

presumably the benefit has been factored in to the rent that FURNISH pay.
Also, the indemnity given by Furnish Ltd. in clause 3, by its wording, implies that Furnish Ltd. will indemnify the Landlord and/or the management company against all losses "that may arise directly or indirectly as a result of our carrying-out such A&A works".

In my opinion, it is during the Period when the works are being carried out when MEA has the obligation to indemnity if losses, claims etc. are made. Once the works are completed, there is no further obligation.

Furnish Ltd. cannot be expected to indemnity the Landlord for any impact the relocation of the escalators will have on the rentals. That is a separate issue not covered by this indemnity. The Landlord had given their consent to relocate the escalators.

Please clarify whether the building of the column by Furnish Ltd. has any impact on the tenant at shops 123C? This may be a separate factor especially if the column was without approval.

Also, at the time the indemnity was being negotiated, was there any discussion that Furnish Ltd. would have to bear losses in rents due to the relocation of the escalator.

As spoken the Landlord cannot expect Furnish Ltd. to satisfy any claims made against them by simply taking the Landlord's word that they have suffered certain losses. To an extent, they are put to strict proof but that does not mean that the other tenant must necessarily commence legal proceedings against the Landlord before the Landlord can claim from Furnish Ltd. But the other tenant's claim has to be related to the indemnity give and the Landlord can only compromise reasonably.

As stated in my earlier letter, there may be a variety of reasons why the rent has been revised and one factor may be due to Furnish Ltd. works and Furnish Ltd. may be liable for loss of rent for the period when the works were being carried out because of disruptions etc. However, **I was given the impression** that the centre has not even officially opened yet so the other tenant's sales might not in any event have been affected by Furnish Ltd. works.

My advice is not to admit any loss suffered by the Landlord and require the Landlord to show (from the other tenant or otherwise) that they have indeed incurred such losses.

Their claim is very substantial in the circumstances, and potentially amounts to several millions of dollars! **I believe** Furnish Ltd. have a good arguable defence and if the matter cannot be resolved amicably, the matter may have to proceed to litigation albeit Furnish Ltd. may have to incur increased legal costs (for Furnish Ltd., the Landlord and possibly the other tenant) if the Landlord is able to prove their losses.

Please keep me informed of the progress of your discussion with the Landlord.

The letter commences by setting the background and the intertextuality within which the contents of the letter are communicated, i.e. *Further to my letter* and *As spoken*, and also states the purpose of the letter which is to advise (an analysis of such Circumstantial Adjuncts is given in Section 5.4.1). In the first five clauses/clause complexes, the writer presents back-ground information about the present situation, the contract and the parties involved. In clause

complex 6, *the question is whether the other tenant's claim is "in respect of any matters comprised by the indemnity"*, the real issue of whether the other tenant has a claim is realised. It is only after this point, when the context is set, that the writer uses projection to report previous discussions, and offers a viewpoint on the matter.

In order to discuss the aspect of marked Theme further, a simplified version of the analysis of Theme in Appendix II is presented. The presentation of data in these tables follows the model provided in Martin and Rose (forthcoming) where Marked Theme includes the marked Theme and any textual or interpersonal Theme which precedes it. The marked Theme goes up to and includes the projecting Theme and the lexical item *that*, if present. This subsequently means that the Subject/Theme may include other aspects of Theme such as a textual or interpersonal Theme which is not categorised as part of the marked Theme. For example, in clause complex 7 in Table 6.2, there are two marked Themes *based on our conversation*, and *you informed me that*, and both are included in the column marked Theme. In clause complex 8 the Subject Theme includes a textual Theme *when*.

Table 6.2 Projecting Theme in Letter 20 (projection in bold)

Clause no.	Marked Theme	Subject/Theme	Rheme
7.	Based on our conversation, **you informed me that**	the other tenant	had not yet signed the lease with the Landlord when the Landlord had allowed Furnish Ltd. to do certain work as stated in paragraphs (a) to (d) of the Indemnity.
8.	**It was only subsequent to that,**	when [sic] the Landlord	had negotiated with the other tenant a certain rent because of the (mistaken) belief that the pedestrian flow would be higher because of the position of the escalator [sic].
9.	**It would appear to be the Landlord's mistake that**	they	had not provided the correct plan to the other tenant.
13.	Also, **the indemnity given by Furnish Ltd. in clause 3, by its wording, implies that**	Furnish Ltd.	will indemnify the Landlord and/or the management company against all losses "that may arise directly or indirectly as a result of our carrying-out such A&A works.
21.	Also, **at the time the indemnity was being negotiated, was there any**	Furnish Ltd.	would have to bear losses in rents due to the relocation of the escalator.

Clause no.	Marked Theme	Subject/Theme	Rheme
	discussion that		
22.	As spoken **the Landlord cannot expect**	Furnish Ltd.	to satisfy any claims made against them by simply taking the Landlord's word that they have suffered certain losses.
24.	**but that does not mean that**	the other tenant	must necessarily commence legal proceedings against the Landlord before the Landlord can claim from Furnish Ltd.
29.	However, **I was given the impression that**	the centre	has not even officially opened yet
32.	**and [my advice is to] require the Landlord to show (from the other tenant or otherwise) that**	they	have indeed incurred such losses.
35.	**I believe**	Furnish Ltd.	have a good arguable defence

As shown in Table 6.2, it is in clause complex 7 that the first projecting clause is realised. At this point the writer, a solicitor, chooses to add further background information *based on our conversation you informed me that the other tenant*. This Circumstantial Adjunct of cause: behalf is a 'Contextual Frame' situating and referring to previous discussions, which is followed by a subjective locutionary projection *you informed me that*. A thematised subjective viewpoint is realised as the writer needs to establish the intertextuality for the present text, i.e., *we spoke, you told me X* and *this is how I read what you have told me in the eyes of the law*. Then the first example of thematised comment is used to project an objective point which occurred, *it was only subsequent to that, when the Landlord* (clause complex 8). Here the writer elects not to start with *the Landlord* as the Theme of the message, but rather chooses to explicitly objectify the issue *it was only subsequent to*. This choice of projecting clause is very similar to a textual Theme, e.g. *after that*. However, the projecting clause is realised, perhaps to reflect legal jargon, to sound more factual, more objective and to illustrate the point that the *Landlord* entered into negotiation after the indemnity with their client was signed. There are issues here related to the ungrammatical structure of this sentence which cannot be resolved through an analysis.

The writer continues with a projection of thematised comment, *It would appear to be the Landlord's mistake that they*, and the solicitor uses a modal finite *would* in order to avoid making a definite statement. In the projecting clause 9, and in the following projecting clause 13, *would appear* and *implies* are definite choices selected to demonstrate the writer's attitude,

so that the writer is seen to support the client's argument and at the same time indicate that support is offered in a modalised form.

The projecting clause 13 is stating a fact by projecting a legal clause from the indemnity itself, i.e. *by its wording implies that.* The legal document here is projecting that Furnish Ltd. are covered by the stipulations set down in their contract. Using legal texts to project what has been said is a very powerful type of projection as the legal text is used as a tool of adjudication, and in this instance the words of the legal texts state that someone else is liable. The projection in clause complex 21 is an indirect question *was there any discussion that*, the aim of which is to establish exactly what had been discussed.

The letter then continues to list details and request further details about the present situation. The two instantiations of projection in this text, in clause complexes 29 and 35, are both explicit thematised subjective viewpoint*s* projecting ideas, *I was given the impression*, and *I believe Furnish Ltd.* Again the choice of a projecting clause appears to be a conscious one by the writer and in this text these projecting clauses are used to show the writer's viewpoint and support. In clause complex 32, there are two projecting clauses: one is ellipsed *[my advice is to]* and the other is *require the Landlord to show*, where the writer is involved in projecting their *advice* that *the Landlord show* the losses incurred. In the clause complex *However, I was given the impression that the centre has not even officially opened yet so the other tenant's sales might not in any event have been affected by Furnish Ltd. works*, the projecting clause could quite easily be removed and the clause complex could simply state *The centre has not even officially opened yet so the other tenant's sales might not in any event have been affected by Furnish Ltd works.* But by including *however I was given the impression that* the writer is shifting modal responsibility to an unnamed other party. Note the use of the Modal Adjuncts *yet* and *even* in this clause, *has not yet even officially opened*, which adds to the negative impact of the Landlord's claim.

It is worth noting that within this context thematised comment has been used to give advice and to support the views of the intended reader. However, whether this is a common feature of thematised comment is questionable, as it is highly likely, following Davies's (1994, 1997) suggestion that it may be the case that thematised comment is used for different purposes in different genres.

6.6 Drawing together the discussion

6.6.1 The need for a detailed analysis

To date, in workplace English pedagogy and in general English pedagogy, little attention has been given to projecting clauses. Davies (1988, 1997), Nesbitt and Plum (1988), Thompson (1994, 1996), Iedema (1995) and Harvey (1995) have all discussed projection to a limited degree. However, there needs to be continued and extended research into authentic data to draw out linguistic practices and examples on which a better understanding of language in use – and a more robust approach to language pedagogy – can be based.

It is highly likely that projecting clauses play a significant role in many other discourse communities. Davies (1988) uses some examples from academic English to introduce and establish her theory of 'writer viewpoint' and 'Contextual Frames'. She believes that the Contextual Frames, in which she includes projecting clauses, are important features which help to establish the interaction of a text. She adds that such Contextual Frames allow the writer to express viewpoint in both an explicit and implicit manner and that it is very important that such linguistic features are taught to writers:

> the visibility dimension is presented as a feature of the language to which students will need to be sensitised if they are to recognise and evaluate the viewpoints of other researchers, and ultimately to present their own research viewpoints
>
> (Davies, 1988:182)

Here, Davies is talking about projection and Contextual Frames and the way in which they embody the writer's viewpoints. She refers to academic English where clauses such as *It is suggested by X that*, or *X argues that Y is* ... are often found in the introduction, literature review and discussion sections of papers (Davies, 1988). Even in academic English, however, there has been little inquiry into the construction of projecting clauses. Projection is seen to be important in aiding the understanding of writer viewpoint. Most of the research here focuses on the types of reporting verb used (Thompson and Ye, 1991; Hunston, 1994) and what Hyland (1996, 1997) calls hedging and boosting. The only report of such occurrences in work-place English are found in Iedema (1995), whose data are restricted to directives, and Harvey (1995), who mentions this construction only briefly. It seems, as will be argued below, that

projection is an important feature in workplace English texts and perhaps in other discourses, and that it thus deserves greater attention.

Applying an inductive approach to the analysis of the data, allowing categories and issues of interest to emerge from the data, showed that a detailed analysis needed to be carried out. Thus, during the process of analysis, the data lead to an extension of work already carried out by Davies (1988, 1997), Thompson (1994, 1996) and Iedema (1995). These categories are not new and are drawn from separate theoretical descriptions. The present study used the categories in an analysis of Theme in the corpus and has investigated the way in which they construe viewpoint in a corpus of memos, letters and reports.

6.6.2 The three types of projection identified

Thematised subjective viewpoint represents the implicit or explicit subjective involvement of the named author/s within the text. Here the writer uses *I, you, we*, or a nominal group with a proper noun as Head, e.g. *the Design Team* or *the Secretary for Works*. It seems that if the writer is using a projecting clause as a precursor for what they want to say, they generally use *I, we* or the name of the person or company they are referring to. This use of the thematised subjective viewpoint to either implicitly or explicitly project what the writer wishes to report is the most common type of projecting clause and is found in all three text types analysed. There were both mental and verbal projections, although mental projections, which used *I* in the projecting clause, were most common in memos. Projecting clauses such as *I know, I believe and I think*, were also very common in memos. Here, the writer was usually addressing a known audience and so used the first person to establish the identity of the individual who generated the idea. This study provides evidence that writer viewpoint is evident through the use of thematised subjective viewpoint.

It seems that thematised subjective viewpoint projecting clauses are realised in a very different manner in reports. Here the findings show that an overwhelming number of the projecting clauses in thematic position are verbal projections. The findings show that mental projections in reports are far less frequent and are generally realised through the use of a second person pronoun. Often the Subject of the projecting clause is *he*, e.g. *he believes that, he envisages that*. Occasionally the company or part of the company is doing the projecting, for example, *the library is also concerned that* (Report 3, clause complex 22), or *the Exco also*

noted that (Report 8, clause complex 32). As outlined above, projection in reports is far more frequently realised by using a verbal process where someone is being reported for saying something, for example *he proposed that* (Report 7, clause complex 4). On a number of occasions, the person who is being reported is named, e.g. *the Director of Housing has said that* (Report 7, clause complex 37). The purpose of the text determines the use of projecting clauses. To summarise, projecting clauses with *I* are present in all three text types, but are far more common in memos. Projecting clauses with *he* or a named person are far more common in reports.

The second category, thematised comment, although not as frequently used as thematised subjective viewpoint, appeared quite often in the data. In total, there were 42 instances of thematised comment, and thematised comment occurs in all three text types analysed. The writer often uses a place-holder *it* to introduce the projecting Theme, and occasionally an objective generalisation is made by using phrases such as *experience has shown* (Report 7, clause complex 22), *the speculation that* (Report 6, clause complex, 17), etc. Here, *it* is replaced by an objective phrase, usually a nominal group, which makes some sort of generalisation. The writer has chosen *it is believed* to express their viewpoint in what appears to be a more factual manner. The possible reasons for, and the implications of, these linguistic choices will be discussed in the following section.

Based on the findings so far, it is possible to respond to the first of the three questions posed at the beginning of the chapter:

1) Are there any particular patterns in the memos, letters and reports of projecting clauses found in thematic position?

A pattern in the choice of projecting clauses acting as Theme has emerged. In memos and reports the findings show that it is more likely that subjective explicit and implicit projecting clauses will be realised. Moreover, in reports there are typically far more locutionary projecting clauses than there are mental projecting clauses. However, the data sample is still relatively small and a more extensive analysis of a larger sample may be able to suggest that similar patterns may occur with a greater frequency. Furthermore, this study has looked only at projection in thematic position. The findings also show that there are a number of cases when projection occurs within the Rheme of clause complex.

6.6.3 Projecting clauses: identity and power

Finally, to return to the second and third questions posed earlier in the chapter:

2) What is the particular function of projecting clauses found in thematic position?
3) To what extent are projecting clauses found in thematic position in the memos, letters and reports?

The findings suggest that projecting clauses are serving a particular purpose in that they 'frame' the writer's viewpoint and allow the writer to define themselves. More specifically, the findings corroborate Davies's (1988, 1994, 1997) and Thompson's (1996) views that projection as Theme acts explicitly or implicitly to construe interpersonal meaning. In addition, the present study supports research carried out by Brown and Herndl (1986:22), who state that language choices in workplace writing are not randomly made, rather that they are "logical grammatical choices – considering their syntactic, semantic, pragmatic and phonological function" (although phonological choice is not relevant to written texts). Thus, grammatical choices such as whether to use a projecting clause are made to some extent consciously in order to encode the desired message intended by the writer. It seems that in projecting clauses, which are chosen to represent a fact or to explicitly show the writer's subjective viewpoint, the "choice is significant, communicating information about the speakers and their attitudes toward hearers, topics, contexts and so on" (Brown and Herndl, 1986:23).

Hierarchical power is generally clearly delineated within the workplace. The clearly defined hierarchical boundaries will control the writer's selection of grammatical patterns. Whether the writer chooses to use a thematised subjective viewpoint or thematised comment to project their ideas is to some extent controlled by their position within the workplace and their position in relation to the intended reader of the text. As pointed out by Winsor (1993), "writers relate to texts within a hierarchical power structure that limits the control any writer has" (1993:180). Or as Brown and Herndl point out:

> The perceived function of the writing depends upon where one stands in the production cycle.
>
> (Brown and Herndl, 1986:20)

Thus, the grammatical structures chosen by writers will in fact reflect their position within the workplace. However, an analysis of writers who choose to use projecting clauses and the type

of projecting clauses they choose in relation to their status would be very interesting, but one that is beyond the scope of the present study.

6.7 Concluding remarks

When reading texts from the business world, subtleties such as the use of projection and, at a finer level, the type of projection chosen, may cause problems for readers. For example, a non-native English speaker may not recognise the implicit nature of such realisations and this could result in a breakdown of communication. Perhaps the findings lead to concern as to whether such implicit linguistic resources should be included as part of the pedagogy in this area. Fairclough (1992) argues that one reason for such subtlety in the grammar is that the discourse of institutional practices has changed and that the overt markers of power and asymmetry have become more covert. He states that the ways of linguistically realising power are becoming "more potent, with the result that power asymmetry becomes more subtle rather than disappearing" (Fairclough, 1992:203). The findings are limited in the evidence they provide, and simply raise questions which need to be addressed. Perhaps there is a need for the principles of language and the way in which control is accomplished within an organisation to be researched and made more explicit. Furthermore, this would surely involve the need for explicit teaching of these subtle forms of language. Unless this happens, there will be a decline in the number of people who have the appropriate skills to participate in roles of any social importance, or understand the grammatical features and the social importance of linguistic choices (Martin, 1991, 1993a; Rothery, 1993). The aim, as stated previously, is to understand language better in order to inform pedagogy. Following Iedema (1995) and others, "A pedagogy aiming for critical literacy deconstructs the 'genres of power' in terms of context, choice and meaning" (Iedema, 1995:12). Once the deconstruction and analysis of context, choice and meaning have been undertaken, a major hurdle in sharing this knowledge will have been removed. Hopefully, the findings from research will find their way to teachers who can then add to their understanding that language is power, language has a cultural base, and certain contexts construct and have specialised ways of making meaning.

Chapter 7:
Methodology: Going Beyond a Lexico-grammatical Analysis

In the previous chapters the findings of an analysis of thematic choices in the memos, letters and reports are discussed. The present chapter reports on a small scale study which complements the analysis of the choice of Theme, through an exploration of informants' responses to the text, rather than the researcher's interpretation. The adoption of multiple methods and perspectives is well recognised in the social sciences, and it is believed to contribute to the validity of the present study. The constructivists' notion of validity is that

> Validity is seen as the correspondence between the researcher's "account" of some phenomena and their "reality" (which may be the participant's construction of the phenomena). Internal and external validity are replaced by descriptive, interpretative, theoretical, generalizable, and evaluative validity.
>
> (Lynch, 1996:55)

This view led to a second data collection procedure which incorporated informant interpretations. This second set of data was intended to validate and triangulate the findings of the lexico-grammatical analysis. The benefits of assessing research from multiple perspectives and through the procedures adopted in the informant data collection are presented below.

The impetus for this study derived from the classroom. In the context of an EFL (English as a Foreign Language) classroom, where the researcher was involved in teaching accountants, as part of piloting the material developed in CPW Phase II, the researcher was using as exemplars authentic texts (both 'good' and 'bad'). The ELT (English Language Teaching) materials had been specifically written for accountants as part of the CPW project Phase II (Aldred and Offard-Gray, 1998). As the students worked in discussion groups it became clear that their interpretations often diverged substantially from the researcher's and from those of the material writers. It seemed that informants, who were familiar with such texts in their professional lives, could be given a voice and that their voices should be reported and compared with the voices of EFL teachers, who are involved in developing and using pedagogic material. The aim was to collect a second set of data of 'informant' views of certain texts.

In what follows, the methodology adopted in the collection of informant interpretations is outlined. The justification for including informant interpretations is set out in Section 7.1. The data and the informants' background are outlined in Section 7.2. The procedure

adopted in collecting informant interpretations in focus group interviews is provided in Section 7.3. Concluding remarks for the present chapter are presented in Section 7.4.

7.1 Why informant interpretations?

'Going beyond' the text and collaborating with informants who are users of the texts being studied has become a recognised research tool within the field of applied linguistics (Poynton, 1993). However, there is little published work outlining methodological considerations in conducting such research. In order to understand the way in which informant views extend and enrich this research, this section raises key points concerning the potential of using specialist informants.

Poynton (1993) argues that SFL needs to develop beyond being a purely lexico-grammatical analytical framework by incorporating practices other than just text analysis, such as reader interpretation, into the research. She advocates finding new methods to represent the analysis and language of texts. In addition, Poynton stresses that there is a need to supplement grammatical analysis with social theory. Bee-Leng (1992) in his study of organisation behaviour also stresses the need to discuss more than just the language when analysing communication. He believes that 'cultural factors' need to be considered in any discussion of communication. Although cultural factors are important, an in-depth consideration of them was not possible in the present study. However, the study does attempt to analyse more than just the grammar through a consideration of the way in which a writer's viewpoint within an organisational setting is part of any text produced or read.

In the present study, informant views about language were collected from two quite different groups by eliciting reactions to and interpretations of the texts. In parallel with the collection of informant responses a generic and lexico-grammatical analysis of two memos was carried out. As suggested by Poynton, the inclusion of informant interpretations of a text incorporates "personality into its grammar" (Poynton, 1993:8). The aim is to triangulate the texts, textual analyses and informant interpretations to establish what 'thematic' meanings are key features in the construal of the text, and the way in which these meanings are realised through language choices.

Stressing the need to look outside the text and suggesting that the researcher should elicit information from specialist informants is a theme shared by a number of researchers, among them Swales (1990), Bhatia (1993a), Gibson (1993), Poynton (1993), Stainton (1993), Berry (1995, 1996), Davies et al. (1999) and Louhiala-Salminen (2002). Such a

need to consult with specialist informants arises in applied linguistic for various reasons, for example:

1) The analyst may be working with content related to another discipline, which may be outside the researcher's knowledge; if this is so, then certain general linguistic and specific discourse features in the text may require clarification or explanation.
2) There is a need to verify findings, i.e. the "need to know whether other readers perceive the same amounts, degrees, and types" of meaning that the researcher does (Berry, 1996:15). It is not enough to rely on the intuition of an individual interpreter; verification and validation need to be sought.
3) It would be useful to discover the meanings intended by the writer, and how real readers of the text actually interpreted those meanings. Thus, by discussing a text with informants who write, receive or use similar text, an interpretation related to the context of the text may be revealed. It should be noted that although all informants are from the workplace, their workplaces are different and may have different 'house styles' and corporate cultural norms. However, all informants indicated that they were familiar with such texts in the context of their own environment.
4) Gaining insights into a text from real users of such texts enhances the relevance of any findings made by the analyst. Stainton (1993) stresses that it is only by gaining insights from "users of a text that a position can be reached where the findings from such an investigation will be relevant and applicable to a real context" (Stainton, 1993:9). Their relevance is enhanced in that the results reflect the texts' context of situation in a truer light; in addition the terms used to discuss texts will constitute a "working vocabulary of the community in question" (Stainton, 1993:9).
5) By involving users of texts, or similar texts, in some way a research 'relationship', however limited, is developed and the outcome will inevitably be more relevant. The relevance gained by incorporating informants' interpretations will be useful for the researcher, for the field of applied linguistics, for pedagogy, and for the members of the workplace. If the outcomes are a true reflection of the context and the meanings made in the context, then this will benefit all. For example, if the aim is pedagogic, the potential students or some of their colleagues would have been involved from the beginning, and would have a voice in the interpretation of meaning, and the development of pedagogic outcomes. Thus, the effectiveness and appropriateness of the outcomes both from a pedagogic and research perspective will be enhanced.

For the purpose of this study, the business and teacher informants constituting the two 'groups' were considered key stakeholders (the details of the two groups are presented in detail below in Sections 7.2.1 to 7.2.3). Both groups use such texts in their daily work. For the purposes of comparison, it would have been ideal to have worked with two groups of the same size. Unfortunately this was not achievable, and thus quantitative comparisons are not possible. It does, however, provide the opportunity for individuals from both the workplace and the classroom to express their views. The composition of the groups is described in more detail below.

7.2 Informant interviews

As pointed out by Plum and Candlin (2002), a key feature of attending to the voices of participants involved in focus group interviews is "the degree of diversity between individuals on some issues and unanimity across entire groups" on other issues (Plum and Candlin, 2002:240). Ensuring that the appropriate procedures are adopted so that all individual voices in a group can be heard is a difficult task. Choosing and applying the appropriate methodology is essential for success. In the present study, the interviews followed a semi-structured model and the reasons for selecting this model are discussed below. Creswell suggests four considerations when collecting informant interview data: the actors, the setting, the events and the process (Creswell, 1994:148). These four issues will be discussed in detail below.

7.2.1 Participants: the informant sample

The actors in the present study were 'purposefully' selected; two groups of informants were approached: business and EFL teacher informants. The term 'informant' as used within linguistic literature refers to a practising member of the discourse community (in this case the members of the workplace and the teaching profession where such texts are used). The informant provides the researcher with insight into the routine language used within the workplace. Without an informant's assistance, the view of language could be distorted by the researcher (Bhatia, 1993a:34).

The informants participated in a discussion about their interpretations of two memos and the way in which the given texts construe meaning. Due to the limitation of space and time it was not possible to carry out such informant interviews for all three text types. There is unavoidably a sample bias by including only memos. However, the memos were purposefully selected to illustrate and elicit opinions about Theme and interpersonal meaning which could be relevant for written texts in the workplace in general, as the issues discussed in the informant interviews related to the choice of Subject/Theme, Modal Adjuncts, imperatives and depersonalisation are concerns which have surfaced throughout the analysis of all three text types. All informants used workplace texts such as those selected on a daily basis. However, it should be noted that the underlying purpose of use for the two groups is very different: the teachers use them as teaching tool and the business people use them as a typical means of communication in order to get work done.

The teachers, who were all teaching full-time at The Hong Kong Polytechnic University, were formally involved in using letters, memos and reports as part of their classroom

teaching. They were all employed full-time in Hong Kong. The details for both groups are presented in what follows.

7.2.2 The business informants

For the purpose of these interviews, a sample of business informants was selected who were representative of workplaces in Hong Kong. They came from a variety of different organisations. There were nine middle managers and three junior managers, according to the informants' description of their role within their organisations. When asked their job titles, these included: librarian, business unit manager, associate license operation administrator, assistant manager – retail sales, deputy manager, executive officer, executive, teacher, nurse, admin and human resource manager.

Only one of the informants worked in a small organisation of fewer than 50 employees; three worked in organisations which employed 51-100 employees, four in organisations with 101-500 employees and another four in organisations with more than 500 employees. Four of the informants worked in domestic organisations and the other eight in international organisations. Cantonese was the first language of all of the informants and all had at least a Bachelor's degree.

7.2.3 The teacher informants

For the teacher group a sample was selected that incorporated individuals with different teaching experiences and cultural backgrounds. One group was comprised of native English speakers, another group was all non-native English speakers, and two groups were a mix of native and non-native English speakers: Four were native speakers of Cantonese, three of Putonghua, seven of English and one of Hindi. From the researcher's perspective, and also indicated by the fact that they were employed full-time as EFL professionals, all teacher informants appeared fluently bilingual, and all had been working as EFL professionals for at least seven years. Indeed, six informants had been in the EFL profession for between 10 and 16 years and seven had been in the field for more than 18 years. The group had an average of more than 16 years of professional involvement in EFL, and thus a great deal of experience upon which to draw when discussing texts which were similar to those used in their classrooms. One of the reasons for including a wide range of informants from different backgrounds was to ensure that individual voices would be heard and that the interpretations of the texts would be heteroglossic. In this way, cultural interpretations relevant to the teaching environment of Hong Kong would be

embraced. English language teachers in Hong Kong come from a range of backgrounds; there are many British, American, Australian, Hong Kong Chinese, and Mainland Chinese teachers, as well as teachers from other countries.

7.2.4 The texts used in the informant interviews

As recommended by Perrett (2000), when using texts as a means for conducting analysis it is important to "plan" which texts will be used and compared. The two memos were purposefully selected as data to be used and inherent bias at this stage in the choice of the data used is a positive feature. Following Creswell's (1994) suggestions, the qualitative approach taken in this part of the study involved setting the boundaries and the researcher was involved in making a number of decisions which would influence the data collected. The boundaries guiding the selection of the texts for the study were based on the wish to validate and investigate further issues raised by the previous findings. As the focus of the study was Theme and interpersonal meaning, Memos 13 and 13A seemed appropriate texts which would elicit views about these two features. The texts had almost identical ideational content; however, their textual and interpersonal realisations were very different. The bias in the selection of two specific texts could then be used to explore features related to language and the meaning construed through the textual and interpersonal realisations. The texts were short, and general in nature; thus they would not overwhelm or confuse the informants. All informants volunteered to participate and the time constraints of such busy people were taken into consideration. Each group interview lasted a maximum of 40 minutes.

The data used in the interviews were: Memo 13, which is an authentic text from the CPW corpus, and Memo 13A, which is a memo taken from a pedagogic textbook (Aldred & Offard-Gray, 1998:41). Memo 13 was written by a Cantonese speaker based in a large public auditing firm. This memo was chosen as it incorporated interesting Theme choices which would possibly evoke interpersonal meanings for the reader. Memo 13 provided the material writers in Phase II of the CPW project with the basis for the construction of a 'better' example. Memo 13A is believed by the material writers to be a better model than Memo 13 (Aldred and Offard-Gray, 1998). These two texts were to be used as models to introduce to the students interpersonal features found in workplace texts (Aldred & Offard-Gray, 1998:41). Memo 13 was collected in Phase I of the CPW project and was included as part of the data for the present study. All findings reported in Nunan et al., (1996) and the data collected during the CPW project, were available to the research team of CPW

Phase II, and hence Memo 13 appears in the present corpus and also in the ELT accounting textbook.

The two memos, almost identical in their field, are both concerned with the correct procedure for the submission of time sheets. However, they vary considerably in the linguistic devices they employ to present the ideational content. The difference in linguistic choices and the way in which they affected the informant interpretations of the texts were explored during the informant interviews.

Text 7.1, Memo 13

Date: 11/14/96
To: All Staff
CC: Mr Chui
From: Emily Leung
RE: Time Sheets
I have spent a lot of time on time sheets because you have not properly filled them in and in some cases none were submitted by the due date.

You should not delegate responsibility of your timesheet to somebody else. If you are expected to be on leave on the due date, you should prepare one before you go on leave. If you are at the client and are not able to submit one by hand, you should fax the completed time sheet to the office no later than 1:00 pm on the due date. All time sheets should be submitted or faxed to the attention of Amy. Please note that she is not responsible for filling in time sheets over the phone and she has been instructed not to do this in future. Time sheets should contain complete information especially engagement codes. All columns and rows should be cast downward and across. It should also be signed on completion. The due date for submission is 5:30 pm on the 15th or 30th/31st of each month.

For those reviewers who are using Cabs pro, you are expected to ensure that your time sheets are correct and complete. A copy of the unconfirmed time sheet should be submitted in accordance with the above. On the next working day after the due date, you are expected to transfer the time sheet yourself or at least make available your computer in order that your time sheet can be confirmed and transferred to the system. Please ensure that Amy has your password if you are not in the office.

I would expect members of the department to fully comply with the above procedures especially for those who have been with the firm for over one year. Any incorrect or incomplete time sheets will require more of my time and your inefficiency within the department will be noted. A record will also be kept in future in order to assess your efficiency in this respect and will be discussed as part of the staff appraisal meeting

I sincerely hope that I will not have to repeat the above to you again during the busy season (January to March).
[signature]

Aldred and Offard-Gray (1998) did include a version of Memo 13 in their material but it was included as part of a cloze exercise, i.e. Memo 13 had text missing from clauses and the students had to find the appropriate verb to make the clause complete.

For the purpose of the present study, the fact that the texts were complementary, Memo 13A being based on Memo 13, was extremely fortuitous in aiding the investigation into textual and interpersonal meanings. Aldred and Offard-Gray (1998) reworded and restructured memo 13 to make the memo, according to their interpretation, appear more 'business-like'. In the redraft, i.e. in Memo 13A, the ideational content remained stable but the textual and interpersonal choices were altered. Thus, it was envisaged that informant interpretations would reveal preferences and insights into different linguistic choices related to both the textual and interpersonal characteristics of the texts.

Text 7.2, Memo 13A

Date: 11/14/96
To: All Staff
CC: Mr Chui
From: Emily Leung
RE: Time Sheets

I would like to draw attention to the correct procedure for submitting time sheets and remind staff of the importance of submitting them by the due date.

Please note the following:

(i) The due date for submission is 15th or 30/31st of the month by 5:30 p.m.
(ii) Engagement codes must be included on time sheets.
(iii) All columns and rows should be cast downwards and across.
(iv) Anyone who is visiting a client must fax completed [sic] time sheet by 1.00 p.m.

Anyone who is going to be on leave, should submit before he/she goes on leave.

Reviewers using Cab Pro must:

- send unconfirmed copy of time sheet as above
- ensure that time sheet is confirmed and transferred to the system on the next working day after due date
- ensure that Amy has your password If you are not in the office to enable transfer

All staff are expected to comply with the above in order to improve efficiency. Efficiency will be improved if the above procedure is followed. I would remind staff that inefficiency in this respect will be noted and discussed as part of the staff appraisal meeting.

Finally, please note that Amy has been instructed not to fill in time sheets over the phone as this is not her responsibility.

I trust that I will not have to remind staff of the above points again during the busy season.

(Aldred & Offard-Gray, 1998:44)

Informant interpretations of the language and meaning constructed by the different choices made in Memo 13 and 13A are discussed in Chapter Eight.

7.2.5 The informant interviews

Focus group interviews were carried out with informants who were asked to reflect on the texts and the language used in two sample memos. This approach, according to Plum and Candlin (2002:238) who conducted similar focus group interviews with psychology students in relation to writing and literacy practices, is "primarily *interpretative* and ethnographic" (italics in orig.). It is interpretative, as in fact all research is. Sturman (1999) states that:

> personal judgement forms an essential part of all science and is neither objective or subjective ... that assertion, whether it emerges from ethnographic or multivariate statistical modeling, rests on personal judgement which includes an appraisal of evidence with the tenets of acceptable practice as perceived by the research community...
>
> (Sturman, 1999:109)

Plum and Candlin's study and the present study are both 'interpretative'. The ethnographic description of the research is based on the fact that focus groups allow the researcher to describe "events that occur within the life of the group" and they allow the researcher to analyse and understand "the behaviour of individuals with respect to their group membership, and an interpretation of the meaning of these for the culture of the group" (Taft, 1999:113). However, Creswell (1994) and others would argue that in order to be truly ethnographic the "researcher studies intact a cultural group in a natural setting during a prolonged period of time" (Creswell, 1994:12).

The present study is undoubtedly interpretative, as previously suggested in Chapter Four. However, there is no assertion that the present study is ethnographic. The data from informant interviews provide an insight into the way meaning is made through linguistic choices in workplace texts. Such data are by no means experimental and the reporting of the focus interviews offers the researcher insight into the nature and motivation of certain linguistic features found in the text and in the practices of workplace discourse.

Little guidance related to conducting informant interviews is available from an applied linguistic perspective in the literature. Berry (1996) summarises her findings but does not fully explicate her procedure. Bhatia (1993a) lists informant collaboration as one of the seven important steps when analysing a genre, but goes no further. Gibson (1993) gives a

thorough description of the feedback from informant groups and a breakdown of the background information of his informants, but does not explicitly discuss the methodological considerations. Perhaps this raises issues concerning some of the limitations of the methodological approaches adopted by applied linguistics in this particular field.

Other areas of research methodology offer insights into the procedures related to focus interviews. Cohen and Manion (1994) state that there are four main differences between interviews and focus interviews. Firstly, those interviewed are known to be involved in the topic under research. The analyst enters the interview with some preconceived perceptions and issues which they wish to explore further. Generally the interview follows a semi-structured model as described below. Finally, the interview is focused on subjective experiences of the informants (Cohen and Manion, 1994:289). Focus interviews enable the researcher to validate and triangulate previous research.

Stainton (1996) uses informants in her study and stresses that the "linguist needs the insider" in order to increase the relevance and assist in the interpretation of the findings. She describes her methodology in detail and provides a reasonable blueprint for linguists who wish to use questionnaires as a method for collecting informant feedback. Stainton (1996) uses a questionnaire to asses the differences in what appears to be one genre, by asking 20 informants to label 22 different "review and technical memos". She then developed another questionnaire, which asked 20 different informants to rank the success of the 22 review and technical memos. However, as the present study aimed to collect qualitative data, interviews were preferred over questionnaires. The interviews allowed informants to voice queries relating to language, and also to elaborate, discuss and generate rich and meaningful data which could not reasonably be captured through questionnaire responses.

These informant interviews also provided an opportunity for a discussion between individuals where issues related to language and meanings were made explicit. Many of the individuals in the groups would not necessarily enter into similar discussions with colleagues or friends. The informants in the groups were able to acquire different perspectives related to the texts from their peers in the groups. They were able to exchange opinions, views, questions and comments on language and meanings with other individuals who were part of the workplace from which the texts derived. In general the informants would read such texts alone; the informant interviews thus potentially generated research input which is quite different from the 'real world'. However, continuing a theme intro-

duced in Chapter Four, the researcher's interpretations of these data are reported through the researcher's perceptions, and the researcher's perceptions are based on the informants' "own conceptual and perceptual lens" which may have been influenced in this context by their peers (Scott, 1996:67).

7.2.6 Piloting the informant interviews

In order to discover the best method for data collection, this study set out to pilot test data collection. After developing a set of interview protocols, a pilot interview was conducted with one informant. The informant then discussed the interview with the researcher and together the informant and researcher brainstormed possible methods for improving the data collection. A second pilot informant interview was conducted with a group of five informants participating in a semi-structured discussion which elicited views and opinions related to the linguistic features the informants believed to be salient in the given texts. Feedback was also collected from these informants on the methodology adopted. It was decided that five individuals discussing one text did not produce the optimum results; with five people talking at once a great deal of data would unavoidably be missed. At times, in such groups it was difficult for individuals to find a voice and certain individuals tended to dominate the discussion.

Through these discussions with the pilot informants and after reflecting on the transcripts from the pilot interviews, it was decided that the most appropriate size for the focus group interviews would be three informants. A trial with a group of three informants and follow-up discussions with them confirmed that a group of this size worked effectively to stimulate debate while still leaving space for all to find a voice and express their views. Two participants could have been a possible combination; however, with only two informants in such a situation, the issue of 'personalities' would be extremely apparent, and it was thought that there may possibly be a lot of gaps or pauses in the discussion. The option of four participants was dismissed as this could allow for the informants to pair up and not engage in a fruitful discussion as part of a group. If a group of four broke into pairs, then it would be difficult to audiotape and capture the data. However, such a discussion on the significance of variation in size and combination of focus groups can at the present stage only be speculative. The benefits and negative characteristics of informant interviews and the size of the focus groups would be an interesting area for further research.

In the present study, the informant interviews continued with three participants in each group: there were four groups of business informants and three groups of EFL teacher informants. The data from the pilot group of five teacher informants were also included in the analysis, creating a total of 12 business and 15 teacher informants.

7.3 The procedures for the informant interviews

A semi-structured interview was purposefully selected in an attempt to overcome some of the researcher's inherent bias. Bell suggests that a semi-structured interview allows

> the respondent to express themselves at some length, but offers shape to prevent aimless rambling.
>
> (Bell 1984:185)

Thus, throughout the informant interview the researcher gave shape to the interview, but allowed the informants to express what was centrally significant to them. The data that emerged directly reflected the methods used to collect the data. The method was a semi-structured set of questions and frequently the informants would discuss issues which were related but not explicitly included in the questions and prompts posed by the researcher. Often the interviewer would not fully complete a sentence, or the respondents interrupted the interviewer. This was encouraged as it meant that the power between the interlocutors was not always highly asymmetrical. It also allowed individual voices to emerge naturally.

Informants were given the option to be audio-recorded or not, and all agreed in writing to be taped. All groups were audiotaped and transcribed. The transcriptions were returned to the participants to allow them to amend them and to express their meaning more clearly. When reporting the data it was not possible to quantify the results as informants at times all spoke in simultaneously and on a few occasions the speaker was unidentifiable.

The instructions given to the informants were very simple, following Berry's data collection procedure (Berry, 1996). Even though she does not explicate her procedures in great detail, she offers a summary of the methodology. In addition, the researcher was a member of the 'Bristol writing group' where the data for Berry's paper were collected (Berry, 1996). Therefore, after playing the role of an informant, the researcher was well aware of the potential of this methodological approach. The procedure was to focus on one text at a time. The informants were asked to read the first text once and share their initial reactions to this text. Then they were asked to read the same text again, this time underlining features they felt signalled a relationship between the writer and intended reader.

The group then discussed what they had underlined and what they felt was either important or interesting about the language used in the text. A more detailed discussion about the language of the memo ensued. Although the researcher was present, she only participated in the discussion either to clarify a point, to ask a probing question, to facilitate, or to conclude the discussion.

It was envisaged that by focusing on different interpretations of a small sample of two texts that detailed information and a consensus – or some shared understanding of the way in which a text makes meaning – might be reached. Naturally, it is possible to conduct such informant interviews with more texts but perhaps then only a superficial interpretation of a large number of texts would be possible and some of the details may be lost. Thus, a qualitative approach was employed and the discussion focused on two texts.

It was hypothesised that the order in which the texts were presented might have caused different reactions from the readers. Therefore to avoid biasing the results, the order of the memos was changed. This had only a minimal effect upon the informants' responses. When the groups discussed the memos in detail, there were points of consensus raised by all groups of informants, regardless of the order in which they read the memos.

7.4 The analysis of the data

Once the data were collected they were transcribed and analysed. This section outlines the procedures adopted in the analysis of the interview data. The data from the interviews were transcribed 'raw', without incorporating any coding of pauses, tonal variation, intonation, or other speech phenomena. Then, as noted above, the informants were sent copies of the interview data in order to allow them the opportunity to amend the texts so that the recorded data more closely reflected their views. Once the transcriptions were confirmed, the analysis of this rich source of data was conducted.

Bogdan and Bilken (1992), Creswell (1994, 1998) and Guba and Lincoln (1998) all advocate similar methods in the analysis of qualitative data. They suggest getting a general feel for the data, reading it from varying perspectives and making notes. They advocate using the words and metaphors in the data to help develop categories. Then the data can be recorded and sorted through the use of diagrams, graphs and tables which are based on the established categories. Creswell (1998) also suggests frequency counts of the data. However, frequency counts were not possible or of interest in this part of present study as they would distort and misrepresent the data. In the present study, informants were

involved in reading and re-reading the texts and on a number of occasions the informant would change their opinion on a related matter. A frequency count would therefore include an informant agreeing with one feature and disagreeing with the same feature later. The numbers would then cancel each other out and would provide fruitless information.

However, all the other steps suggested by Bogdan and Bilken (1992), Creswell (1994, 1998) and Guba and Lincoln (1998) were followed to some extent and what emerged was a rich resource of information which represented the informant interpretations of different linguistic features in the texts discussed. The present study diverged slightly from the suggestions made by the above authors in that the interviews were held in light of already existing data and analysis. The study had an established set of research questions as outlined in Chapter Five. The research questions posed in Chapter Five, which relate to the function of Theme, and the relationship between genre and Theme and the interpersonal and Theme, were used as the basis for developing more detailed questions based around Theme, genre and interpersonal meanings. The data were therefore explored with respect to the following questions:

1) What are the linguistic features which different groups of informants view as being salient in negotiating the interpersonal relationship between the writer and intended reader?
2) How do different groups/individuals interpret and react as readers of the texts?
3) Were groups/individuals sensitive to any specific generic constraint which were influencing the texts?
4) In what way were the groups/individuals sensitive to the interpersonal meanings construed through the choice of Theme in the texts?

From the data it appeared that the major findings emerging from the informants' interpretation of the texts were related to interpersonal features such as the choice of modals, finites and modality (e.g. *should*, *possibly* and other words that express probability; see Halliday, 1994:354), Circumstantial Adjunct, processes (e.g. verb choice such as *think*, *ensure*) and participants (e.g. the Subject *you*), textual Themes, layout and presentation. Interpersonal meanings were, as stressed above, not solely reliant on Theme. Interpersonal meaning is realised in a text in a multiplicity of ways. There is a wealth of data from the informant interviews which provide information for further research in this area; unfortunately due to limitations of space a full discussion of these data is not possible. As the present study's focus is Theme and interpersonal meaning, only data related to these choices will be discussed in Chapter Eight.

7.5 Concluding remarks

This chapter has provided a rationale and explanation for including an additional methodological tool. It discusses some of the considerations involved when conducting informant interviews. The procedures, including a description of the informants, the background to the texts and the steps taken during the interviews, have been presented. The inclusion of informant interpretations adds another perspective to the understanding of the relationship between thematic choices and interpersonal meaning. The informant interviews offer a different perspective beyond the researcher's analysis of the texts, and in this manner the opinions and interpretations offered enhance the validity of the research. The findings from the informant interviews are discussed in detail in the following chapter.

Chapter 8:
Going Beyond the Text: Informant Interpretations of Theme

Key findings related to the theoretical considerations of Theme and the choice of Theme in the corpus have been outlined in Chapters Three, Five and Six. In this chapter, the second set of data collected in the research is reported on. The discussion of findings presented in this chapter goes beyond simply applying a theoretical linguistic model to text; instead, it combines the results of text analysis (presented above) with informant interpretations. Building on earlier work undertaken in the EWM and CPW projects, where extensive interviews were conducted with business informants, the aim was to elicit and explore informant interpretations of specific linguistic realisations within chosen texts.

The chapter illustrates the way in which users of English workplace texts perceive two such texts, and what an SFL analysis can say about the texts. This component of the study set out to investigate what users of workplace texts thought when considering the way in which the language in two texts makes meanings. More specifically it sought to discover how the choice of Theme affected interpersonal relationships in these texts, and might be expected to do so in texts generally. One text, Memo 13, is an authentic text taken from the corpus; the other text, Memo 13A, is a constructed text taken from pedagogic material developed in Phase II of the CPW project. Further details of these two texts can be found in Chapter Seven.

The need to involve participants who regularly produce, receive and implement texts of the type being studied is emphasised by Bhatia (1993a), Berry (1996), Davies et al. (1999) and Louhiala-Salminen (2002), among others. The inclusion of qualitative interview data from informants who are regular users of English workplace texts helps to support the findings of the text analyses, as well as to bring about a sensible and meaningful integration of both the data and the researcher's interpretations to facilitate analysis and derive conclusions. In order to tap the resources that informants constitute and gain an insight into their views about the way in which language makes meaning in the two texts, focus group interviews were conducted with 26 informants. By including the interpretations of informants who are familiar with workplace texts it was hoped to reach a clearer understanding of how EFL professionals and business people view the meaning-making going on in these texts, allowing the study to explore some interesting questions, such as:

1) What are the linguistic features which different groups of informants view as being salient in negotiating the interpersonal meaning between the writer and intended reader?
2) How do different groups/individuals interpret and react as readers of the texts?
3) Were groups/individuals sensitive to any specific generic constraints which were perceived to influence the texts?
4) In what way were the groups/individuals sensitive to the interpersonal meaning construed through the choice of Theme in the texts?

Through a detailed analysis of two sample texts and the analysis of data collected in informant interviews, this chapter is intended to provide responses to these questions as well as a triangulation of the findings discussed in Chapters Five and Six. (Triangulation is discussed in detail in Chapter Four). Viewing the data from multiple perspectives should enhance our understanding of the way in which meaning is made in workplace English texts. The present chapter further adds to the quantitative and qualitative approach inherent in the text analyses presented in Chapters Five and Six.

The texts and the informants' initial reactions to these texts are presented in Section 8.1. In addition, in Section 8.1 a more detailed discussion of informants' interpretations of different features related to thematic choices is presented. This is followed by the informants' views of the impact of the texts' layout on issues such as readability, which are outlined in Section 8.2. The relevance and implications of these findings in the context of the present study and for its wider ramifications are reviewed in Section 8.3.

8.1 Linguistic choices and informant interpretations

This section discusses the lexico-grammatical choices of the two sample texts from an SFL perspective, supported by the informants' comments about these specific features. As Iedema points out:

> To appreciate the constructive power of administration and its language, we need to 'unpack' the discourse, i.e. go into the grammar and show how the features of administrative language contribute to its power over social organisation.
>
> (Iedema, 1995:134)

The 'unpacking' in the discussion which follows incorporates two levels, namely informant interpretations and linguistic analysis. In the focus group interviews with the informants, systemic-functional linguistic terms were not used as many of the teachers and business informants involved were not familiar with such terms. However, for the purpose

of illustrating the way in which the language models meaning, the informants' comments are discussed in relation to an SFL theory of language. It should be noted that although Iedema (1995) above refers to administrative language, he is discussing memos, or what he calls directives, within a workplace setting.

8.1.1 Sample texts

Two texts were chosen because, as outlined in Section 7.2.4, they are similar ideationally, both being memos to office staff dealing with the issue of filling in time sheets. Memo 13 is an authentic text from an accounting firm, and Memo 13A was created as teaching material for a unit entitled "Focus on appropriacy and audience" (Aldred and Offard-Grey, 1998:40). Memo 13A was specifically written by textbook material writers to compare the language and appropriateness of Memo 13 with Memo 13A and to model "better" writing.

The related material in the textbook includes a number of tasks aimed at sensitising the student to language choice, interpersonal relations and appropriate register. In this unit Aldred and Offard-Gray state:

> The "tone" of a document should reflect the relationship between the writer and the reader. Getting the tone right is about selecting language that is appropriate to the purpose of communication and the reader.
>
> (Aldred and Offard-Gray, 1998:40)

The two texts were ideal choices since one is an authentic workplace text and the other a constructed teaching resource. The field was almost identical, so the key variables leading to different meanings being made were the language choices and the layout of the two texts. Informant interpretations of the two texts were very different and the differences may be assumed to be associated with these two variables. This made the texts particularly interesting from an analytical perspective, as it was possible to study the way in which the linguistic choices within the two texts on the same topic construed different meanings for their readers and produced different reactions in their readers.

8.1.2 Initial reactions of informants to Memos 13 and 13A

Even though the texts are similar, the effect they have on readers is very different. Both texts include a statement that acts as a Command, which in this instance is an instruction to the reader to take some form of action to ensure that time sheets are submitted by the *appropriate* date and completed accurately.

The teacher informants' initial reaction to Memo 13 indicated a high degree of consensus. On a number of occasions during the initial reading, Memo 13 induced laughter and sniggers from these informants followed by outbursts such as: *Screw it up, put it in the bin! How rude!* (TI2), *even if she's God, you still can't speak like that!* (TI5), *grumbling, she's grumbling a lot* (TI4). The teachers' general feeling about the text was that this memo would invoke a negative reaction from the intended reader, causing the reader to be alienated. One informant summed this up by saying that *on one hand, you have to assert your politics and at the same time what makes people feel OK, comfortable with you, so I think this is not a very good memo. It's a bit too negative, it's too authoritarian, and it's not very easy to read* (TI12). Another informant added that *she's threatening people just like when you are a little boy, threatening somebody to do something* (TI13).

The initial reaction by the business informants was not as clear-cut. Many of them believed that Memo 13 was not as strong as Memo 13A. On the whole the business informants believed that the procedural listing in Memo 13A created a serious impression. They emphasised that they thought Memo 13 was *too mellow* (BI6); *that the writer was trying to make them not feel bad about the memo* (BI5); *that she [the writer] is just giving us the suggestion but not an order* (BI5); and that *the tone is better [in Memo 13] than the first one [Memo 13A], so more useful, sounds like the writer can be approached if there's a problem* (BI3). The participants in three of the four business informant groups generally agreed that Memo 13 was more personal and even a little friendlier.

By contrast, the teacher informants on a number of occasions remarked that the tenor of the two memos had changed and they thought the writer of Memo 13A appeared to be more *friendly*. For example, one teacher informant commented:

> *Well it's much improved... you know a lot of the accusing and threatening text is taken out. You know... even though the content has not changed essentially, but the tone you know... is much more, you know just err... much more, you know... it's not friendly yet but it's at least business-like, you know... it's just more proper.* (TI6)

This was summed up by another teacher informant who stated that *the writer seems to want err... to signal a friendly relationship* (TI7). However, one of the business informants agreed with the teachers and stated *if I was given this kind of memo [Memo 13] I'd laugh* (BI10). The teacher informants generally felt that there was an overuse of *you should.* However, a majority of business informants thought that although the tone of Memo 13

was more positive, they preferred Memo 13A because it was more business-like, more formal, as it was more like a procedural document with a step-by-step approach. In addition, time played a deciding factor, as the business informants believed that Memo 13A was less wordy and it would not take too long to read. It should be noted that the differences in the initial reactions of the two groups could primarily be attributed to the different language backgrounds of the two groups, i.e. all the business people spoke Cantonese as their native language, whereas some of the teachers' native language was English.

The two memos obviously elicited quite distinct reactions from different readers. In summary, the general opinion of the teachers was that Memo 13 was written in an inappropriate manner for a workplace memo, whereas the business informants on the whole thought that it attempted to be friendly and that while it might take them some time to read, generally they did not have any problem with it. However, some of the business informants changed their views when focusing on the language of the memos in more detail in subsequent readings and discussions. Memo 13A on the other hand was seen to be more business-like by both groups although some of the business informants pointed out that they thought it *sounded angry*. Generally it appeared that the two texts evoked different impressions in the informants' minds, which begs the question as to what linguistic choices caused the messages to be interpreted in different ways.

After commenting on and discussing their initial reading of the memo the informants were asked to read it for a second time and to consider the way in which the relationship between writer and intended reader was established through the linguistic choices made in the texts. After this second reading the informants discussed in detail the way in which they interpreted specific features of the texts. The key findings arising out of the in-depth discussion of linguistic features by the informants will be compared with the lexico-grammatical and genre analysis of the texts.

8.1.3 How meaning is made: informants' interpretations

As noted above, ideationally the two memos are very similar, in that they are both concerned with the process and procedure that staff need to follow to complete and submit time sheets correctly and by the appropriate date. However, as shown above, the two texts produced different readings by the two groups of informants and appeared to construe different meanings for them. In this section the presentation and discussion of an analysis

of both the generic stages in the memos and the lexico-grammatical choices made in them as well as of the informants' interpretations lead us some way to understanding the way in which different meanings are made. The two texts vary dramatically in the language they use to realise their purpose, in the presentation of the information, in the layout of the memos and in the reactions they produced in different readers.

From this analysis of the texts it is obvious that there are major differences in the structure of the two memos. The initial stages of the two texts are quite different, with Memo 13 beginning with a negative tone expressing the purpose for writing, as shown in Example 8.1 below. In comparison, in Memo 13A the writer starts, as it states in the memo, by *drawing* attention to the particular issues, as shown in Example 8.2. These initial stages in the structures of the two memos appeared to strongly influence the informants, who considered the opening sentence in each an important interpersonal resource. The informants' reactions to the opening sentence is a response to what Martin (1992a) calls the hyper-Theme, defined as "an introductory sentence or group of sentences which is established to predict a particular pattern of interaction among strings, chains and Theme selections" (Martin, 1992a:437). The hyper-Themes in the two memos are:

Example 8.1

I have spent a lot of time on time sheets because you have not properly filled them in and in some cases none were submitted by the due date.

Memo 13, clause complex 1

Example 8.2

I would like to draw attention to the correct procedure for submitting time sheets and remind staff of the importance of submitting them by the due date.

Memo 13A, clause complexes 1 and 2

The informants placed considerable emphasis on the way in which the first clause complex construed the interpersonal relations for the following message. The hyper-Theme was seen to establish the tenor for the information which followed. As one business informant stated, Memo 13A *starts with drawing attention to the correct procedure* (BI2). On the whole Memo 13A is seen to be more distant and less personal than Memo 13, which was viewed as construing a tenor where *you* are in the wrong. One teacher informant noted that the memo writer communicates *I have the power here and you have mucked up! It's very clear right from the start the "I" and "you" right through, it's actually telling people right from the start what level of power they have in this*

relationship (TI5). Another teacher informant commented that in Memo 13 *everything is building up from the first sentence* (TI11) and a business informant stated that *maybe due to the effect of the introduction I know the writer is very angry* (BI11).

The comments made and the informants' continuing discussion suggest that the informants' reaction to the text was initially produced by the hyper-Theme and then reinforced by the linguistic choices made throughout the text, including of course the choices of Theme.

8.1.4 Informant interpretations and choice of Theme

The analysis of extended Theme in Memos 13 and 13A, tabulated below, shows that the personal pronouns *I* and *you* predominate in Memo 13, and although they are also present in Memo 13A, they are less numerous.

Table 8.1 Extended Themes in Memo 13

	Extended Theme	
	Marked Theme	Subject/Theme
1.		I
2.		You
3.	If you are expected to be on leave on the due date,	you
4.	If you are at the client and are not able to submit one by hand,	you
5.		All time sheets
6.	Please note that	she
7.		and she
8.		Time sheets
9.		All columns and rows
10.		It
11.		The due date for submission
12.	For those reviewers who are using Cabs pro,	you
13.		A copy of the unconfirmed time sheet
14.	On the next working day after the due date,	you
15.	Please ensure that	Amy
16.		I
17.		Any incorrect or incomplete time sheets
18.		A record
19.		and [this]
20.	I sincerely hope that	I

Table 8.2 Extended Themes in Memo 13A

	Extended Theme	
	Marked Theme	Subject/Theme
1.		I
2.		and [I]
3.	Please [will you] note	the following:
4.	[Please [will you] note]	(i) The due date for submission
5.	[Please [will you] note]	(ii) Engagement codes
6.	[Please [will you] note]	(iii) All columns and rows
7.	[Please [will you] note]	(iv) Anyone who is visiting a client
8.	[Please [will you] note]	(v) Anyone who is going to be on leave
9.		Reviewers [[using Cab Pro]]
10.	[[Reviewers using Cab Pro must ensure that]]	time sheet
11.	[[Reviewers using Cab Pro must ensure that]]	Amy
12.		All staff
13.		Efficiency
14.	I would remind staff that	inefficiency
15.		and [inefficiency]
16.	Finally, please note that	Amy
17.	I trust that	I

The personal pronouns *you* and *I* realise 44.4% of all Subject/Themes in Memo 13, whereas in Memo 13A *you* does not realise a Subject/Theme at all, and *I* only realises 18.8% of all Subject/Themes, including one ellipsed realisation. In Memo 13 the use of the personal pronouns *you* and *I*, which realise speech roles, is quite marked compared to the use of proper or common nouns such as *the due date*, *reviewers using Cab Pro*, which realise 'institutional human participants' and 'material entities', in Memo 13A. ('Institutional human participants', 'material entities' and 'concepts' are all nominal groups; these are defined and discussed in Sections 4.4.4 and 5.3.5). The writer of Memo 13 chooses to thematise *you* whereas the writer of Memo 13A thematises institutional entities. Modal responsibility, usually by the person or thing responsible for carrying out the actions, is thereby moved in Memo 13A from a real (identifiable) person onto institutional entities, such as *anyone*, *all staff*, *engagement codes* and *reviewers*. It is this linguistic perspective provided by a lexico-grammatical analysis of the texts which helps us understand the way in which Memos 13 and 13A gain the different kinds of resonance with the informant readers.

It is in institutional texts, Iedema (1995) argues, that the 'must-ness' of a text is 'back-grounded' through the use of linguistic devices such as grammatical metaphor, passive voice and nominalisation, and by using facts, both real world facts and grammatical facts, as outlined by Halliday (1994:264). All are used to realise control. These linguistic devices are also implicated in the findings reported in Chapters Five and Six, in that material

entities and other concepts were chosen as the extended Theme for many of the memos, letters and reports. Iedema (1995, 2000) refers to this process as 'demodulation', with the writer

> de-emphasising the proposer as well as the proposee by shifting modal responsibility onto institutional entities, onto metaphorical realisations of the must-ness of the Command, or by nominalising the requested action.
>
> (Iedema, 1995:137)

However, it is precisely the lack of demodulation in Memo 13 which is perhaps one of the main causes of alienation felt by some of the readers. Some informants interpreted Memo 13 as a personal attack, where the choice of *you* was signalling that the reader was put in a position of wrongdoing. On the other hand, those who held such views believed that the depersonalised choice of Themes in Memo 13A allowed the information to be presented in an un-emotive manner and the intended reader would not feel as though they were necessarily in the wrong. The teacher informants generally felt that Memo 13 was a little too personal as it included a number of personal pronouns, and modal finites mainly in the form of *you* and *should* in thematic position. As pointed out by a number of teacher informants, *along with the you there is also the repeated use of should so the two together, "you should" makes the writer sound very err... aggressive and authoritative* (TI8) or, as another informant said, *You should do this, you should do this is like pointing the finger, very directly accusing people* (TI4). The informants on a number of occasions pointed out that there were other choices available to the writer: *It's weird, people in the workplace seldom use the term you should do this* (BI10). Both groups of informants suggested that the writer could have used passive voice, for example, or displaced the modal responsibility away from an individual to a more implicit company or to procedural elements, and that such choices of Theme would have improved Memo 13. The informants here are expressing a preference for demodulation in this context. This perhaps has ramifications for discourse analysis in general, for both SFL and Critical Discourse Analysis CDA. Those preferring demodulation, it could be suggested, are happy to take a compliant role, following, as Iedema calls it, "procedure and control". Presenting information in this manner allows for texts which impart procedures to be read and acted upon speedily. Whether the readers are aware of the notion of "control' is an issue which perhaps needs to be investigated further. Within the field of applied linguistic, therefore, there may be a need to discuss such features as demodulation and to make explicit how

they are controlling the action of others. A discussion of such linguistic features in workplace language pedagogy would help readers be aware of such methods of control, as well as illustrating to writers ways in which control could be construed within the text. Perhaps in Memo 13, whose writer is a non-native speaker of English, linguistic features such as demodulation have never been introduced to the writer and this is perhaps one reason why she construes her message in this manner.

However, as noted previously, a few of the business informants believed that the use of *you* and *should* was an attempt to reduce the distance between the writer and intended reader and that the writer was trying to be more *friendly*. Referring to the use of *you should*, one business informant stated that Memo 13 was *not as strong and clear* [as Memo 13A] (BI4).

A closer look at the use of the references to *you* in Memo 13 - a plural *you* meaning *all staff* - indicates that it even includes the staff who usually complete and submit the time sheets on time. The choice of *you* appears to be over-used and perhaps contributes to what one informant called a *nagging* feeling found in this text. The choices of *you* and *I* would be the unmarked choices of Theme in Memo 13, a (pseudo) dialogic text. Many of the informants' comments as to why Memo 13 was interpreted as being *unfriendly*, *clumsy*, etc., could be linked to the choice of *you* and *I* as well as the fact that these features are commonly found in thematic position and are thus seen to be the 'point of departure' for the text. This is supported by both groups of informants who believed that *you and also the use of I is very inappropriate* (TI9), with another adding that *if you are representing the company it is not that common to put I in a sentence* (BI7). They felt that although the Subject chosen has interpersonal meaning in the choice of *you* and *I,* for this particular context the use of personal pronouns was too familiar, which resulted in a negative feeling where the *you the reader(s)* was being reprimanded. The informants were suggesting that they would have preferred a more de-personalised message, which they could perhaps read as an institutionalised text rather than a personal assault.

It was suggested by most of the informants that Memo 13A was more acceptable because the modal responsibility for the proposition expressed in the clause/clause complex is not *you* but rather *engagement codes*, *anyone*, *reviewers*, etc. In such instances the modal responsibility is therefore moved from the proposer *I* or proposee *you* to a position where the action of the verb is predicated on a Subject which takes on a more prescribed institutional entity, as suggested by Iedema (1995). The writer of Memo 13A avoids a

personal attack by choosing more depersonalised Subject/Themes, such as *efficiency* (clause complex 13) and *the due date for submission* (clause 4). Demodulation in Memo 13A leads to two of the groups referring to a lack of emotion compared to Memo 13, with one informant saying that *the relationship um, between the writer and intended reader is much better, because um, um, no more factors of that kind of emotion are included* (BI10). However, one business informant pointed out that she believed the writer in this memo appeared *very angry* (BI6), while another informant from the same group said that he thought this memo was *very strict* (BI4). However, the writer of Memo 13 chooses on a few occasions to use nominal groups which infer some form of negativity. Instead of stating the procedures, the writer uses a prefix to emphasise wrong actions and who is to blame, e.g. *a copy of the unconfirmed time sheets* (clause 12) and *any incorrect or incomplete time sheets* (clause complex 16). Both these nominal groups construe some form of negative meaning, e.g. *unconfirmed*, *incorrect* and *incomplete*, which reflect a negative evaluation by the writer. Although the majority of informants believed that Memo 13A developed a better relationship with the reader, a minority, who were nonetheless highly vocal, did not.

The choice of Theme and process (realised by the main verb) reflects a hierarchical relationship between writer and reader. The recipients of Memo 13 have expectations placed upon them in the form of mental processes, e.g. the writer is *expecting*, *noting*, *ensuring* and *hoping*. The writer here is doing all of the mental processing and the intended reader is required to comply with the writer's demands. The mental processes are related to the writer and the material processes are related to the reader, as if stating *I'll do the thinking and you do the work.* By contrast, the writer of Memo 13A places no expectations on the reader, and instead chooses rather demodalised linguistic features which are depersonalised. As summed up by one teacher informant when referring to Memo 13: *The writer seems to be assuming a lot of power in terms of relationship, perhaps she thinks that she is higher above, she has all the authority to command, I mean to threaten people and to instruct people* (TI7). Theme is thus seen to be pivotal in the development of the relationship between writer and intended reader. In addition, Theme appears to be packed with both ideational and interpersonal meaning. A more detailed analysis of the ideational metafunction would be likely to reveal a number of interesting points.

8.1.5 Textual and interpersonal Themes

Textual and interpersonal Themes (realised by Modal Adjuncts) were rare in both memos. However, although there were only two textual Themes, both in Memo 13A, the informants' comments and an analysis of the extended Theme show that certain other linguistic resources were being used to realise the interpersonal meaning.

There are two textual Themes in Memo 13A, *and*, which is part of the Theme in clause complex 2 *and [I would like to remind] staff of the importance of submitting them by the due date.* The second textual Theme is *finally* in clause complex 16, *finally, please note that Emily has been instructed not to fill in time sheets over the phone as this is not her responsibility.* As pointed out above, in Memo 13A clause complexes 1 and 2 realise the hyper-Theme, and the informants believed that this initial sentence helped establish the *tone* for the text. In Memo 13 the hyper-Theme accuses the reader of not following proper procedure, whereas in Memo 13A the hyper-Theme draws the reader's attention to certain matters and reminds them to do certain things. In Memo 13A the writer is joining two clause complexes through expansion in a paratactic clause complex with the textual Theme *and*, which on the surface appears more controlled and balanced than the clause/clause complex in Memo 13. In Memo 13 the independent clause *I have spent a lot of time on time sheets* is developed by a second and third expansion clause *because you have not properly filled them in and in some cases none were submitted by you.* The message emphasises that the reader is to blame, whereas in Memo 13A the opening clause complex seems far calmer and less accusatory.

The second textual Theme *finally* is signalling that the memo is coming to a close. However, the clause complex introduced by *finally* is not the end of the memo, as the writer adds a final reminder as the ultimate close to the memo.

There was a low frequency of occurrence of Modal Adjuncts in the full corpus; of the 1,486 main clauses/clause complexes, only 4.7% included a Modal Adjunct as part of the Theme. (Modal Adjuncts are discussed in detail in Section 5.2). While there are no Modal Adjuncts in thematic position in the main clauses/clause complexes of Memos 13 and 13A, 16.6% (Memo 13) and 12.5% (Memo 13A) respectively of dependent clauses occurring initially had a Modal Adjunct Theme. In support of the findings reported in Chapter Six, the two sample memos here demonstrate that interpersonal meaning is being construed through choices in the marked part of an extended Theme. (Extended Theme is outlined in

Section 3.5). Thus, there are instances where the dependent Theme should be a doubly coded marked Theme, firstly because the dependent clause is found in initial position and secondly because a Modal Adjunct is found in the Theme. Modal Adjuncts are far more frequent in the Theme of the dependent clauses in these two texts compared to the main clauses of the corpus in general. The informants also recognised the importance of these features and their effect on the interpersonal relationship between the writer and intended reader. This was evident in the extensive debates over the interpretations of *please*, found in the marked Themes of the two texts.

The informants suggested that the tenor of the texts was probably strongly influenced by elements such as *please*, i.e. by Modal Adjuncts. For example, the majority of the teacher informants felt that *please* in Memo 13 was *empty* and possibly *sarcastic*, whereas in Memo 13A it was seen to be purely formulaic. It was suggested that perhaps the writer of Memo 13 had added a *please* to try and temper her text: *Probably when she's writing she suddenly realises she is very, very tough, and trying to be nicer, she puts in a "please". But this really doesn't help at all because she's been scolding you for a long time, and the please is coming too late* (TI4). Similarly, in Memo 13A *please* was viewed as an empty attempt to be polite, and that rather than being polite, the word *please* was seen to be inconsequential. This interpretation was exemplified by one business informant who stated that *even though in the first memo there are some "pleases" I suppose they are kind of an angry please, but in the second one umm... due to the building up of the paragraphs the writer wants to draw our attention... therefore I think it is a neutral please* (BI11). Thus the discussion of similar linguistic items in both memos, and how these items combine with other items within the clause and beyond the clause to make meaning, shows that different interpersonal meanings are established by the system of choices made within the lexico-grammar.

8.1.6 Extended Theme and meaning

The choice of extended Theme in the two memos was very influential in determining the way in which the informants construed interpersonal meanings. Both texts have a number of extended Themes, as shown in Tables 8.1 and 8.2, with 31.3% (Memo 13) and 25% (Memo 13A) respectively of all clauses/clause complexes having an extended Theme. The proportion of extended Themes in the two memos is reflective of the number found in the main corpus (33.0%). There is quite a difference between the number of realisations in the

two memos, with Memo 13 having two projecting clauses, two enhancing clauses and one Circumstantial Adjunct, and Memo 13A having four projecting clauses, which is the only type of extending Theme occurring in Memo 13A. However, it is the role played by the extended Themes rather than the number of realisations which makes a difference in the two memos.

The most significant role in the construal of meaning in the two memos is played by the projecting clauses, which are of interest for their expression of modality. Modality is said by Halliday to refer to the "area of meaning that lies between yes and no" (Halliday, 1994:356). Halliday analyses modality as falling into two types, namely 'modalisation' (the 'indicative' type), where the modal finite refers to 'probability' and 'usuality'; and 'modulation' (the 'imperative' type), where the modal finite construes meanings of obligation and inclination. The projecting clauses in both memos, namely *please [will you] note that* and *please [will you] ensure that* (Memo 13), and *please [will you] note, I would remind staff that, finally please note that* and *I trust that* (Memo 13A), incorporate some form of modality. The modal operators *ensure*, *note*, *would*, *will* and *trust* are of the 'modulation' type, construing meanings of obligation. These projecting clauses project the writer's opinion that it is the reader's obligation to carry out the required actions.

The use of the projecting clause in Memo 13A *I trust that* was seen to carry a high negative modal meaning. *I trust* was seen to be an emphatic choice, one teacher informant stating that *I trust sounds like, you bunch of blithering idiots I don't want to have to tell you again* (TI3). The word *trust* was also equated with the sound of *a head master telling a school boy off* or, in the words of a business informant, the use of *trust* is *probably stronger or even ruder* (BI4) than the linguistic choices in Memo 13.

In addition to the projecting clauses, Memo 13A also has clauses/clause complexes that could be interpreted as having an ellipsed projecting Theme. As shown in Table 8.2, clauses/clause complexes 4-8 and 10-11 were analysed with an ellipsed projected Theme of *[please will you note]* and *[reviewers [[using Cab Pro]] must ensure that]* respectively. As pointed out by Tadros (1985), listing, for example where a colon is used to list a whole set of recommendations, is seen to be inherently interpersonal. It is particularly inter-personal in Memo 13A where a colon is used to introduce what should be *noted* or what *must* be carried out. (Listing, or numeration as Tadros (1985, 1994) calls it, is discussed in detail in Section 5.3.4). Memo 13A also has a far greater number of ellipsed Themes, represented in Table 8.2 by being enclosed in square brackets, than Memo 13. It is perhaps

these ellipsed Themes, where the writer chooses to omit a Theme, which create the less direct and less personal feel of Memo 13A.

Two of the extended Themes in Memo 13 are realised by enhancing hypotactic clauses, namely *if you are expected to be on leave on the due date* and *if you are at the client and are not able to submit one by hand.* Both of these enhancing clauses are conditional: positive, where the writer is pointing out that if you are aware of these conditions, then you should still be able to submit on time. This repetition of *if you* is perhaps what reinforces the teacher informants' view that Memo 13 sounds as if it were *nagging.*

A third extended Theme in Memo 13 is realised by Circumstances of time *on the next working day after the due date.* It could be suggested that the writer is placing the precise time in thematic position to emphasise the importance of the timing of submission, and that it is unequivocally set. If the reader then forgets to submit their form by the *due date*, it is their own fault because the date of submission has been emphasised in part through the special status assigned to it, i.e. through being Theme. However, the informants did not comment on these particular features.

8.2 Informant interpretations of text layout

All informants agreed that the layout of the two texts played an important role in aiding their understanding. Even though a few of the business informants, as noted above, thought the relationship between writer and reader was more friendly in Memo 13, when asked which version they would prefer to receive, all said they preferred Memo 13A. This memo was seen as being far more *business-like*, providing the reader with a tick list to follow, and *easy to read* (BI5); the informants commented that if the reader needed to refer to it, information could be found *quickly.* Memo 13, on the other hand, attracted fewer complimentary comments: *you'll get lost* (BI3), *takes time to interpret* (TI14), *you have to read it again and again* (BI1) and *it's more like a personal letter* (TI6). As many have pointed out, in business 'time is money' and clarity and conciseness are essential characteristics of workplace writing (Davies et al., 1999). Thus the informants' preference for a bulleted, point-form style, with the information presented in note form rather than in a complete clause/clause complex was fairly predictable. Many of the informants suggested that Memo 13 appeared *dense* and is really not what is expected in workplace correspondence today, saying that *the layout doesn't make it accessible* (TI8). They thought that Memo 13 would take time to read, whereas Memo 13A could be scanned

within minutes and the necessary information extracted. However, one business informant added that in Memo 13A *the way she presented the bullet points, it's like rules... and the second one [Memo 13] is like a letter, the tone is a little bit milder* (BI9).

To sum up, the relationship between writer and reader realised through the choice of Theme and especially the choice of the Subject/Theme demonstrates a major shift in the extent of modal responsibility placed on the reader. In Memo 13 it is the *you* who is modally responsible for *not* filling in forms properly, submitting them on time, or being in the office, and including the stern *you* are expected to *fully comply with the above procedures especially for those who have been with the firm for over one year*. This helps explain why the teacher informants see Memo 13 as being *aggressive* and *accusatory*. On the other hand, thematic choices are the reason why a few business informants viewed Memo 13 as *friendly* and *seeking sympathy*. On the whole, the business informants tended to be less concerned with the interpersonal meaning of the Themes and viewed the texts in a more pragmatic manner. While Memo 13 triggered a varied and lively discussion with opposing interpretations of the texts, Memo 13A, due to a greater degree of demodulation in the choices of Theme, was thought to be *less aggressive* by the teachers and more *neutral* and *straightforward* by both the teachers and the business informants.

8.3 Discussion

These findings suggest that there is a great deal to be learnt by working with specialist informants. One of the most revealing findings was that the business informants viewed the texts far more pragmatically as a directive than the teacher informants. The business informants appeared to be responding more directly to the ideational rather than the interpersonal features of the texts. In addition, perhaps the fact that the teacher informants are responsible for teaching and establishing 'good' writing practices, and that the language of a memo is the 'content' of their lessons, could explain why the teachers were so adamant that Memo 13 was an inappropriate text. However, there is still an anomaly since a few of the business informants believed that Memo 13 represented a writer who was trying to adopt a *friendly* style. As pointed out by Scollon and Scollon (1995), the intended meaning of a text can never be fully controlled and ethnic cultural factors are less important than others, such as gender and organisational culture. The small study emphasises issues raised by SFL, which believes that language cannot be understood without including an acknowledgement that cultural issues are an integral and implicit feature of the system of

language as meaning (Painter, 2001). The findings illustrate that there are differing views held by two distinct groups of informants. This raises concerns and highlights the fact that the audience may interpret the text differently from what the author intended because a text "is jointly constructed by participants in communication" (Scollon and Scollon, 1995:6).

The informants all agreed that the language that aided their interpretation of the texts was directly linked to thematic choices. Firstly the hyper-Theme in the two texts established a very different tenor. Secondly the use of *you* and *I* as opposed to 'material entities' *engagement codes*, *all columns and rows*, etc., reinforced the tenor established in the hyper-Theme. This in part explains why Memo 13, where the writer opens the memo with a personal statement, was by many seen to be both a *blaming* and *nagging* text. In comparison, the hyper-Theme in Memo 13A was seen to be more business-like *drawing attention* to correct procedure. The two texts construe the interpersonal very differently. The concept of hyper-Theme (Martin, 1992a), and the extent to which it establishes the interpersonal, must await another study.

Extended Theme was also seen to contribute to the interpersonal nature of the text in other ways. The enhancing clauses in Memo 13 are, at a more delicate level of analysis, conditional: concessive clauses, and 'concession' especially, reflects the negative inter-personal relations developed throughout this Memo. In addition to these enhancing clauses, the Circumstantial Adjunct in the extended Theme may also be viewed from a linguistic perspective as restrictive and creating a situation where there is no room for mistakes or questions. Finally, the Modal Adjuncts in the extended Themes were noticeably marked compared with those in the Theme of the main clause. Modal Adjuncts, an explicitly interpersonal linguistic resource, realised an interpersonal Theme in 14.7% of the marked Themes in the two memos, which is nearly proportionally four times more frequent than Subject/Theme in the entire corpus (3.6%). This finding supports the suggestion that writer viewpoint is realised in the marked part of an extended Theme.

The findings from this small study support Berry (1996), who asserts that the "most frequent judgements of professionals in business and industry have to do with (a) (im)personality and (b) clarity of text structure" (Berry, 1996:9). The discussion in this section has shown quite clearly that the informants in this study were highly motivated to discuss the feature 'personality' inherent in the language of the texts. Clarity of text structure and readability of the text, influencing how much time it would take to

comprehend a text, was the second major concern influencing the informants' views of the texts.

The amount of time it takes to comprehenda text is considered closely related to the length and layout of a text. In general there was a consensus that all informants preferred the layout in Memo 13A as it allowed quick scanning, partly through providing the reader with a *step-by-step procedure to follow*. As pointed out by Tadros (1985), listing or 'numeration' are linguistic resources which do not necessarily look interpersonal but in fact, as they involve prediction and ellipsis, they involve the reader and increase the inter-personal nature of the text. As pointed out in Chapter Five, ellipsis is used in the corpus memos and reports but only to a limited extent. Further research is needed to investigate the types of text readers prefer in a workplace context, especially regarding layout and style.

Informant interpretations of texts would appear to verify the researcher's interpretations and to add 'credibility' to the lexico-grammatical findings presented in Chapters Five and Six. The views of the informants helped to relate the findings to the intended use of such texts within the context of the workplace. The informants continually stressed the way in which the language of one or the other memo is appropriate or inappropriate in the work-place. They demonstrate in their comments that different language choice causes different readings, and they indicate their preferences for particular language choices for the genre of the memo. The discussions with informants also demonstrate that there are a variety of linguistic choices available to a writer and that different choices will resonate differently with different readers.

The findings have also raised the disparity between the extent and range of differences in the way teachers and business people interpret messages. The teachers' and the business informants' interpretations differed at certain points. Teachers and others outside the work-place, such as researchers, perhaps tend to be overly sensitive to linguistic choices whereas the business informants, who are directly involved in producing and receiving such texts, appeared to take a far more practical view of the way in which language construes meaning. Their concern that a text should be quick-and-easy to read, and their preference for a demodalised form of communication, should be considered when developing pedagogic material. In addition, the informants' views and the findings in this part of the study show that teachers and business informants both view linguistic features realising

Theme as important features in the construction of a message. Theme is viewed by the informants to play an important role textually, ideationally and interpersonally.

These findings question the extent of knowledge required to successfully critique texts and inform pedagogy, as this disparity suggests that teachers are at times oversensitive to linguistic features and more attention should be paid to the way in which the interpersonal is construed in the message. A more detailed approach to collaborating with members of the workplace, for example understanding the processes involved in the construction of texts, the extent of on-the-job training, including taking a longitudinal approach to understanding the way in which 'good' writers become 'good', may prove to be useful in the development of further research and pedagogy related to workplace English.

The inclusion of informant interviews tends to support the researcher's account of the linguistic phenomena explored in Chapters Five and Six. The informant interpretations of the texts enforce the notion of 'reality', i.e. the way in which authentic users of texts would interpret the meaning of texts (Lynch, 1996:55). The informant data in part corroborate earlier findings related to the important interpersonal role played by Theme in workplace texts, and they also point to the need for further research, e.g. for a more qualitative analysis of individual texts. Further qualitative research could take into consideration the importance of hyper-Theme, what factors informants believe are important for 'readability' in a workplace context, the way in which layout and presentation influence a reader's interpretation of a text and what an ideational and interpersonal metafunctional analysis could contribute to a better understanding of workplace English texts.

The study has shed some light on the different linguistic concerns of teachers and business people about written communication. It has also demonstrated the need for researchers to consult with business informants in order to contextualise a researcher's understanding, a point also made by Stainton (1993). Finally this chapter has demonstrated that both teacher and business informants were able to discuss the linguistic choices made in the two sample texts, despite lacking a metalanguage to do so.

8.4 Concluding remarks

In this chapter, two sample texts were analysed with reference to informant interpretations. Due to the small number of texts it was possible to discuss in detail how different linguistic choices by a writer construe different meanings for the reader. The study has focused specifically on Theme, the key system in the textual metafunction, although the systems of

Transitivity (ideational metafunction) and Mood (interpersonal metafunction) are as important in helping to understand the meanings construed in workplace texts. However, as suggested by the informants and reported in this chapter, certain features that are part of the textual metafunction are pivotal for the construction of meaning between a writer and their intended audience. This study suggests that these features are the initial elements in the clause/clause complex, the hyper-Theme of the whole text, the extended Theme and the Subject/Theme. Informant interpretations of the texts have also raised questions about the extent and knowledge required to effectively translate understanding into informed pedagogy. If pedagogy is developed, it should take informant perceptions into consideration, something that will only be achieved through further collaborative research with the workplace.

Chapter 9:
Conclusion

The general aim of the present study was to investigate the function Theme performs in workplace texts. Texts typically used in the workplace – memos, letters and reports – were the specific focus. The motivation behind conducting the research was primarily pedagogic. Workplace pedagogy has suffered, according to Martin (1985/9, 2002), Carter (1990), Berry (1997), Christie and Martin (1997), Davies (1997), Davies et al. (1999) and Swales (2000), because the language of the workplace has been under-researched. All these scholars stress that what is required is further systematic investigations into the construction of language and meaning in workplace English. Martin (1985/89, 2002), Berry (1995) and others assert that research into workplace language is an essential requirement for the advancement of knowledge and, more specifically, in the much needed enhancement of pedagogic resources.

In response to recognition of the need for further research into workplace English to enhance language pedagogy, the present study conducted research into one particular area of meaning, namely Theme in written workplace English texts. The study establishes that Theme performs an important role not only in organising the text (textually), but also in construing interpersonal and ideational meanings. Theme, it is argued, is an important device for establishing the relationship between the writer and reader. Furthermore, the findings show that Theme functions to explicitly represent the workplace as depersonalised, with special status being given in the information structuring of the clause / clause complex to inanimate material entities.

In examining the function Theme performs in written workplace texts, a number of other objectives were developed. This second tier of research questions sought to examine the relationship between genre and Theme and between Theme and interpersonal meanings. The objectives were explored through a detailed analysis of Theme in the corpus of 30 memos, 22 letters and 10 reports. In conducting the detailed analysis, different types of Theme (including textual Theme, interpersonal Theme, Subject/Theme and extended Theme) were investigated in order to explore the existence of any patterns within the three text types, and the particular function(s) each feature performed. In addition, the study also analysed in detail the linguistic resources used to thematise interpersonal realisations

through the choice of Theme and the kinds of interpersonal relations so construed. The findings show that the interpersonal was realised by similar features in all three text types. Interpersonal features found in Theme were realised by extended Theme choices and more frequently were of an implicit rather than explicit nature. The interpersonal relations construed through thematic choices were realised by projecting clauses, hypotactic enhancing clauses and Circumstantial Adjuncts found in thematic position. In addition, the choice of Subject/Theme was also found to construe writer viewpoint. All of these features aided the construal of the writer's, and in some cases the organisation's, status, identity and power within the text and within the wider context of the workplace.

The purpose of the present chapter is to assess the extent to which the aims were achieved, evaluate the procedures involved, review the relevance of the outcomes and consider the implications of these findings. In Section 9.1, the theoretical concerns and procedure adopted in the present study are reviewed. A summary of the key findings from the research is outlined in Section 9.2. The limitations of the present study are examined in Section 9.3. The final section in this chapter will consider the study's implications, both theoretical and pedagogic, and propose recommendations for further research.

9.1 Summary of theoretical and methodological issues

In responding to the question, "What function does Theme perform in written workplace texts?", the preliminary task of the present study was to develop a model for defining and identifying Theme. The theoretical issues related to the various features and functions of Theme were reviewed, and consideration given to methodological issues in the analysis.

In presenting the argument for the identification of Theme, i.e. where the boundary of Theme and Rheme should be drawn, the present study diverges from the traditional view of Theme (Halliday, 1994), and argues that the grammatical Subject should be considered as an obligatory element of Theme. The justification for adopting this position is based on the work of Davies (1988, 1994, 1997), Berry (1995, 1996), Fries (1995a) and Ravelli (1995). They all argue that the inclusion of Subject as part of Theme presents the analyst and interested parties with a clearer understanding of the thematic development of the text. By analysing Theme to include everything up to and including the Subject of the main clause, the analyst is presented with a revealing picture of the extent and importance of ideational features found in Theme position. The clustering of ideational information in the initial

part of the clause complex functions to represent the semiotic nature of the workplace as being concerned with material activities and products (see Section 5.3.4).

In the analysis of the constituent features of Theme and the function they performed, it was established that Theme is comprised of textual, interpersonal and topical components. However, due to the inclusion of Subject as an obligatory part of Theme, a need arose to distinguish between Subject as part of Theme and other ideational features which were also found in Theme. It was decided to apply the term Subject/Theme, used by Martin and Rose (forthcoming), in the identification of the Subject of the α clause. Subject/Theme then becomes an obligatory part of Theme. Halliday's term 'marked Theme' was adopted as a functional label to describe ideational features that were found to precede the Subject/Theme. When a marked Theme and Subject/Theme were realised as part of the Theme for the α clause, the combined resources were labelled 'extended Theme'.

The analysis of these constituent features of Theme was conducted as reported in Section 3.3, and the Theme of all α clauses in the corpus of 1,486 α clauses is presented in Appendix II. Establishing the boundary of Theme as described above raised a number of difficulties for trying to show the analysis in a tabular format. As shown in Appendix II, the possible combinations for extended Themes were varied. Halliday (1994) states that the unmarked pattern for Theme is textual ^ interpersonal ^ topical. However, in the present study combinations such as textual ^ marked Theme ^ interpersonal ^ topical, or textual ^ marked Theme ^ interpersonal ^ marked Theme ^ topical were identified. Such choices are indicated in Appendix II. The multiplicity of possible combinations for extended Theme posed some challenges in trying to present the analysis. But once addressed, the analysis served to illuminate the function of extended Theme and the meanings made through this resource in written workplace texts.

Some researchers tend to stop at the linguistic analysis of texts. However, as argued by Creswell (1994), Denzin and Lincoln (1998), Guba and Lincoln (1999), Sturman (1999) and others, the analysis is strengthened by the use of complementary methods. In this study the data is investigated at a lexico-grammatical level from a qualitative and quantitative perspective, and by exploring informant interpretations of texts. Thus the present study follows Berry (1995, 1996), Gibson (1993), Iedema (1995, 1997, 2000) and Stainton (1996). When striving for 'credible', 'transferable', 'dependable' and 'confirmable' research, the researcher's account is only one interpretation of the data. In the present study

the researcher's interpretations were subject to scrutiny and subsequently reinforced or modified by the incorporation of informants' views of the same phenomena.

9.2 The principal findings of the present study

The principal findings of the present study concern both theoretical and practical issues. The key theoretical issue raised by the study suggests that extending the boundary of Theme to include everything up to and including the Subject of the main clause draws attention to the weight of ideational information presented before reaching the Subject of the main clause. The principal practical outcomes relate to the identification of textual, interpersonal, topical and extended Themes. In addition, another integral theoretical issue which conditioned the methodology, was the verification and support of the findings through the inclusion of informant interpretations.

The extension of the boundary of Theme to include the Subject of the main clause reveals interesting ideational patterns in the choice of Theme. Thematic choices in workplace texts are seen to be construing a world where ideational concerns, and especially material entities, are given special status. The findings suggest that the clustering of ideational information within the Theme helps to throw light on some of the reasons why workplace texts are viewed as depersonalised and dense (Iedema, 1995, 1997, 1998, 1999, 2000).

Iedema, when discussing what he refers to as 'demodulation', states that workplace texts are "dressing it [up] as an ideational state of affairs rather than an interpersonal claim" (Iedema, 2000:50). The present study establishes that the 'dressing-up' of language is achieved in a number of ways. The clustering of Circumstantial Adjuncts, enhancing clauses in thematic position, and the choice of Subject/Theme all add to an 'ideationalised' representation of meaning in the workplace. The interpersonal tends to be made implicit in order to distance personal matters. This reflects the fundamental concerns of the workplace which are basically related to "control and procedure" (Iedema, 2000:49).

Adopting a model of Theme which includes the Subject of the main clause revealed a number of issues related to the choice of Subject/Theme in the present corpus. Primarily, Subject/Theme appeared to be dominated by choices related to material entities. This is to some extent related to modal responsibility. The present study supports Iedema's (1995, 1997, 1999, 2000) as in many cases, the modal responsibility of the Subject/Theme is depersonalised and realised by a 'material entity' or to a lesser extent by a 'concept'. The

depersonalisation and movement from human participants to material entities was reflected in the text type. Iedema (1995, 1997, 1999) states that as a text becomes more permanently inscribed and thus less negotiable, there is also a move from the personalised to the de-personalised in the linguistic realisations of the text. This is true of the present findings, as memos, the most 'spoken-like' and the more negotiable of the three text types, had a higher proportion of human participants, compared with letters and reports. Reports, the most formal and 'written-like' and the least negotiable of the three text types, revealed a dependency on 'material products' as the choice of Subject/Theme.

This 'concrete' frame, or depersonalised, contextualised, material world is further established through the dominance of material entities chosen as the Subject/Theme of the α clause. The dominance of material entities in Subject/Theme position is clearly illustrated in the findings presented in Section 5.3. The choice of a nominal group realising a material entity again emphasises the stress on depersonalisation and a loading of ideational information. The onus of the modal responsibility within the clause tends to be placed on material entities. And as argued in Chapter Five, nominalisation is one possible method the writer can use to package information in a complex, incongruent or meta-phorical form. The packaging of information through nominalisation is, as maintained by Halliday (1994), Iedema (1995, 1997, 2000), Martin (2000a) and Unsworth (2000), a demonstration of power on behalf of the writer. The writer is clear about the meaning, but due to the complex packaging of the information the meaning may be unclear to the reader. As Martin points out "nominalized language also enables writers to reframe arguments in their own terms" (Martin, 2000a:295). Nominalisation was found to not only realise information in an objectified manner, but was also one choice through which the writer could construe interpersonal meaning. The choice of Subject/Theme was seen to be a feature in Theme where the writer could add evaluative language and, by doing so, influence the interpersonal meaning of a text.

The inclusion of the theoretical term *extended Theme* allowed the present study to present and discuss data which had only been examined to a limited extent in previous studies. The present study borrowed from Davies (1994, 1997) the terms used to explain the function of different types of extended Themes. As suggested by Martin (1992a/b), Davies (1994, 1997), McGregor (1994, 1997) and Stainton (1996), the present study reinforces the

suggestion that not only do extended Themes signal key stages in the text, but they also signal key ideational and interpersonal meanings in workplace texts.

Extended Themes were more prevalent than either textual or interpersonal Themes and played an important role both interpersonally and ideationally. The interpersonal nature of extended Theme tended to be realised by projecting clauses in initial position. Projecting clauses in thematic position were the most frequent type of extended Theme. They functioned to frame the writer's viewpoint and to express either explicitly or implicitly meaning of an interpersonal nature. This corroborates Davies's (1994, 1997) and Thompson's (1994, 1996) views that projection is highly interpersonal in nature. Three different categories of projection were posited: thematised subjective viewpoint, thematised comment and thematised obligation/inclination. These categories are based on previous work in the area by Halliday (1994) and Thompson (1994, 1996).

The present study argues that projection, whether implicit or explicit, reflects the hierarchical relationship between the writer and intended reader. Moreover, the present study suggests that, in general, such subtle realisations of status and power are rarely explicitly taught in pedagogy related to writing for the workplace. The lack of reference to, and discussion of, such grammatical features could cause problems for those uninitiated with practices in written workplace English. For non-native English speakers, the importance and meaning of such grammatical constructions may be completely over-looked.

The ideational nature of extended Themes on the whole was realised by Circumstantial Adjuncts and hypotactic enhancing clauses in thematic position. Both of these grammatical features were seen to frame informational material. As argued in Chapter 5, such Themes seem to occur at key stages in the text and to add weight of an ideational nature at the front of the clause. Special status is given, for example, to Circumstantial Adjuncts of time and hypotactic enhancing clauses of purpose, which frame the argument by legitimising what is to follow. The findings in the present study support and extend the research carried out by Iedema (1995, 1997, 1999, 2000) in finding that these features add to the depersonalised nature of workplace texts. They function to position the workplace as a place where 'things' and 'actions' are emphasised and contextualised.

Extended Themes of Circumstantial Adjuncts and, to a lesser extent, hypotactic enhancing clauses, also construe interpersonal meanings. In some instances they represent

shared experiences through references to intertextual features, e.g. *as spoken, with regard to*. Such intertextual features function to realise both ideational as well as interpersonal meaning. They are framing information and shared experiences (Davies, 1997).

There was only one instance of an extended Theme realising an organisational function in the corpus of 1,486 α clauses. Although there was a relative absence of organisational frames, as argued in Section 5.4.1, Circumstantial Adjuncts as part of an extended Theme could be used to frame the structure of the discourse. In Report 6, for example, a number of extended Themes were realised by location: time, and these location: time Circumstantial Adjuncts were used to structure the text chronologically, thus reinforcing argument by Davies (1988, 1994, 1997), Martin (1992a) and Thompson (1996) that they appear at key stages of the text.

The fact that there was only one extended Theme functioning explicitly to realise an organisational contextual frame reflects specific choices within a genre. Further, that other extended Themes realised by projection, which virtually always realised interpersonal meanings and enhancing clauses, were used to present purpose or cause, i.e. a legitimisation of what would follow, provides evidence to suggest that choice of Theme and genre are integrally related. This supports Davies's (1997) argument that contextual frames are genre-specific. To illustrate this point, Davies (1997) compares the contextual frames found in gardening texts and academic texts. The findings in the present study provide evidence that the choice of Theme is closely linked to genre. This argument is evidenced by the choice, range and type of Theme realised by Subject/Themes, Conjunctive Adjuncts, enhancing clauses and Circumstantial Adjuncts as part of Theme or an extended Theme within the three text types. For example, the finding that Modal Adjuncts were absent from the present corpus sets these particular text types apart from other genres. Although findings by Eggins and Slade (1997) related to Modal Adjuncts are not strictly restricted to Modal Adjunct in thematic position, the findings of the present study can be compared to their findings, which show that Modal Adjuncts occur frequently in casual conversations.

A more convincing demonstration of the relationship between genre and Theme is the clustering of ideational information found in the extended Theme, realised by Circumstantial Adjuncts and hypotactic enhancing clauses construing a concrete frame of the world of the workplace. This is also supported by the consensus of material entities

chosen as Subject/Theme. The Subject/Theme choices appear to provide a clear link between text type and Subject/Theme type. For example, 73.3% of all Subject/Themes in the corpus of reports were realised by a nominal group. Further research into the composition of the nominal group chosen as Subject/Theme would appear to have potential for revealing distinct patterns of pre- and post-modification of nominal groups and to provide an indication of the evaluative position of the writer.

The final part of the study reports business and teacher informants' interpretations of texts. The findings in the present study returned from a focus on lexico-grammatical features to investigate the types of meaning made through choices in lexico-grammar. The findings suggest that there is a great deal to be learnt from working with informants. A lexico-grammatical analysis reveals insightful and detailed findings related to specific linguistic realisations while elicited informant interpretations shed light on contextual considerations and the wider implications of the linguistic realisations.

The informants generally agreed that the interpersonal choices of Theme were critical factors leading to their interpretation of the meaning in the text. The use of extended Theme, and particularly projection, was seen to play a key role in the tenor of a text. Many of the informants believed that the opening clause(s)/clause complex(es), referred to as hyper-Theme by Martin (1992a), were influential in their reading of a text. On the whole, the teacher informants tended to be alienated by the choice of hyper-Theme in Memo 13 and believed the text construed negative interpersonal meanings for the reader. The business informants were not as concerned about the interpersonal features of the text. From an organisational cultural background, the business informants' interpretations aimed at understanding the texts in pragmatic terms and interpreting them to construe meanings related to the 'things' the reader had to do and the 'actions' the reader had to take. A number of other findings discussed in Chapter Eight demonstrate the differences in organisational cultural background and in the reading positions of the two groups. As pointed out by Brown and Herndl, "teachers are members of a language culture and when they recommend ways of writing they are reinforcing their 'own group affiliation'" (Brown and Herndl, 1986:24). The language and the culture embedded within the language are factors which affect the interpretation of texts. The choice of Theme in Memos 13 and 13A was notably very different and elicited different interpretations from individuals within the

two groups of informants, especially in the initial reading of the texts. However, there was considerable consensus about the meaning of certain lexico-grammatical features.

The present study has presented a description of Theme from a quantitative perspective reporting the instantiations of Theme in three text types. It has provided a qualitative discussion where individual texts have been used as the point of departure to discuss the quantitative findings in relation to thematic choices in specific texts. A third perspective was also incorporated where Theme was analysed with reference to informant interpretations of two texts.

9.3 Limitations of the present study

Although a comprehensive picture of Theme has been presented with respect to the corpus of the present study, it should also be remembered that there are limitations to the findings. These limitations are related to the size and composition of the corpus, the type of analysis undertaken and the generalisability of the findings.

Although the present corpus is comparable to a number of similar sized corpora (see Section 2.2.2 for a detailed discussion of 'small' corpora) it still remains rather small. However, as Sinclair (2001) points out, small corpora are intended for early human intervention and if the present corpus were extended in size it would make the human analysis of such a corpus impractical. The present corpus analysed three of the most frequently occurring text types written in the workplace (Davies et al., 1999). There are many other texts which could be analysed and which would also provide meaningful insights for the development of pedagogy.

The analysis focused specifically on Theme; an analysis of other features such as the ideational and interpersonal metafunctions would also be of great interest. However, Theme was chosen because, as pointed out above, it appeared to play a key role in realising the other two metafunctions, the ideational and interpersonal, which were seen to be integral features within the choice of Theme. This study supports Thompson and Zhou's (2000) view that within Theme

> the emphasis is on seeing texture and structure as created by interactive negotiation between the writer and reader, rather than simply as the reflection of objective logical relations between propositions.
>
> (Thompson and Zhou, 2000:140)

Theme is seen to play a key role in organising a text, construing interpersonal meaning and constructing an ideational picture of the world.

The consideration of the limitations noted above draws into question the generalisability of the findings. The texts were eclectic in nature, and came from a very wide range of contexts. They were written by both native and non-native speakers of English, who were working in a variety of different organisational settings. The purpose and register of the texts were varied; for example, the memos ranged from spoken-like messages to formal report-like memos. However, the heteroglossic nature of the corpus should be seen as an asset and perhaps as more representative of workplace practices in general. In addition, the informants involved in the study were limited in number and ideally the business informants would have included groups of native speakers of English. However, the interpretations offered by those informants involved did offer insightful readings of the texts. Thus, although further research including more texts and more informants would be necessary in order to claim that the findings were generalisable, it is suggested that the present study does offer a judicious and prudent account of language in the workplace.

9.4 Concluding remarks: implications for workplace language pedagogy

The present study has presented theoretical and practical concerns related to Theme. The findings lend credibility to Martin's (1992a) assertion that Theme is analogous with a wave and that depending on where the boundary of Theme is drawn, the analysis results in different pictures of meaning. The present study, by including everything up to and including the Subject as part of Theme, has presented a picture of Theme in memos, letters and reports where the interpersonal nature of workplace texts, although present and highly influential, is backgrounded in order to foreground ideational concerns.

The practical concerns implicated in the present research are that there are distinguishable patterns in the choice of Theme. Patterns exist and are related to the choice of Subject/Theme, extended Theme realised by projection, Circumstantial Adjuncts and hypotactic clauses. The interpersonal features in Theme are at times made implicit through the choice of projection, nominalisation, and beta^alpha constructions. However, even though the meanings are implicit, the choice of Theme reflects the power, status and identity of the writer. The implicit nature of these meanings may create difficulties for those wishing to learn and master written workplace English. This study develops the

existing body of knowledge and offers a detailed insight into the functions and realisations of Theme in workplace texts.

Perhaps, as suggested in Chapter Eight, teachers and researchers tend to be overly sensitive about language issues. Or perhaps it is as Louhiala-Salminen suggests, namely that

> As business communication educators we should be humble enough to face reality and admit that it is sometimes totally possible to achieve good results with linguistically poor messages, but – fortunately – there still remains plenty that can be done to improve the efficiency in business writing.
>
> (Louhiala-Salminen, 1996:50)

Although Louhiala-Salminen stresses that educators overemphasise linguistic features, in many cases individuals within the workplace attending training courses, or students learning how to write reports, want to be taught how to write 'linguistically good messages'. Even if individuals within the workplace take a pragmatic view of the expected outcome of a text, many stress that the use of 'poor English' is detrimental to promotion prospects in the workplace (Davies et al., 1999).

For example, the teacher could take an active role in teaching linguistic skills such as projection, nominalisation and construing evaluation within the choice of Theme/Subject. These are just some of the findings from the present corpus that could be incorporated into workplace language pedagogy. This is especially so in the light of Brown and Herndl's (1986) findings, which illustrated that teachers on communication training programmes were deterring students from using nominalisation. Teachers themselves perhaps, as Berry (1995) suggests, need to become more aware of the linguistic realisations and patterns in workplace texts and the ways in which language makes meaning in the workplace

There is a need from an educationalist's perspective to aim for high standards. For many, the introduction of workplace texts in pedagogic environments is the first opportunity to see such texts. Also the relative safety of the educational context, excluding the examination or assessment stage, provides for discussions of workplace texts in the class-room which allow those involved to familiarise themselves with such texts, to take risks and ask questions without fear of any negative consequences. Such risk-taking and questioning may not be received in the same manner in the workplace where, as pointed out by Davies et al. (1999), success, popularity and sometimes logical thought are

frequently linked to the ability to write well. Davies et al. (1999) and Forey and Nunan (2002) suggest that a 'trial and error', 'sink or swim' atmosphere dominates learning to write in the workplace. Few courses and little support are offered to those who need to improve their writing (Davies et al., 1999).

The evidence suggests that research into workplace English is still limited and that further research is needed in order to develop better material. The present study offers insight into how interpersonal and ideational meanings are construed within written work-place texts. The emphasis on the outcome of these findings is that the subtle and sometimes hidden interpersonal meanings in workplace texts, meanings to do with status and power, need to be made more explicit for those involved in studying workplace English. In addition, a second prominent feature revealed in the present study is the dependence in workplace texts on ideational resources such as Circumstantial Adjunct, hypotactic enhancing clauses and Subject/Theme choice, which ultimately maintain and construe the workplace as a place of things and activity.

The recommendations from the present study are that further studies focusing on analysing language and meaning in the workplace are required. There is a need to analyse texts from other perspectives to focus on the other metafunctions, i.e. the ideational and interpersonal, and to encourage more textual analysis. The field would also benefit from the analysis of a wider and bigger corpus of texts. In contrast, a more detailed and qualitative explanation of the system of choices in a text would be of great benefit to educationalists and applied linguists. There is considerable applied linguistic research still to be carried out. This study takes one important step in uncovering distinguishable patterns that exist in the choice of Theme. It demonstrates the value of working with informants, and strongly recommends that further research into nominalisation, the choice of Subject/Theme and other linguistic features construing evaluation on behalf of the writer be investigated further. These subtle realisations of power, status and identity need to be explicitly taught. In addition, the present study recommends that choices of extended Theme in workplace texts are analysed further and that cross-genre comparisons be made so that the generic constraints placed on the writer can be made explicit to students and interested parties. Further research into the deconstruction of linguistic features realised by Theme and beyond Theme are crucial considerations which need to be examined further,

and any such research will be beneficial for both applied linguistic knowledge and work-place pedagogy.

References

Agar, M., 1985. Institutional discourse. *Text,* 5, 147-168.

Akar, D. & Louhiala-Salminen, L., 1999. Towards a new genre: a comparative study of business faxes. *In:* F. Bargiela-Chiappini & C. Nickerson, eds. *Writing business: genres, media and discourse*. Harlow: Longman, 207-226.

Aldred, D. & Offard-Gray, C., 1998. *Written business communication: a course for accountants.* Hong Kong: Hong Kong University Press.

Alexander, R.J., 1999. Business English in Europe: student requirements and course delivery. *In:* M. Hewings & C. Nickerson, eds. *Business English: research into practice.* Harlow: Longman, 3-13.

Barbara, L., Celani, M.A.A., Collins, H. & Scott, M., 1996. A survey of communication patterns in the Brazilian business context. *English for Special Purposes*, 15 (1), 57-71.

Barbara, L. & Scott, M., 1999. Homing in on a genre: invitations for bids. *In:* F. Bargiela-Chiappini & C. Nickerson, eds. *Writing business: genres, media and discourse*. Harlow: Longman, 227-254.

Bargiela-Chiappini, F. & Harris, S., eds., 1997a. *The languages of business: an international perspective*. Edinburgh: Edinburgh University Press.

Bargiela-Chiappini, F. & Harris, S., eds., 1997b. *Managing language: the discourse of corporate meetings*. Amsterdam: John Benjamins Publishing Company.

Bargiela-Chiappini, F. & Nickerson, C., 1999. Business writing as social action. *In:* F. Bargiela-Chiappini & C. Nickerson, eds. *Writing business: genres, media and discourse*. London: Longman, 1-32.

Baugh, L., Fryar, M. & Thomas, D., 1996. *Handbook for business writing*. 2nd ed. Lincolnwood, Ill: NTC Business Books.

Baynham, M., 1996. Direct speech: what's it doing in non-narrative discourse? *Journal of Pragmatics*, 25, 61-81.

Bee-Leng, C., 1992. The communication process. *In:* R.I. Westwood, ed. *Organisational behaviour: Southeast Asian perspectives*. Hong Kong: Longman, 319-242.

Bell, J., 1984. *Doing your research project - A guide for first-time researchers in education and social science*. Philadelphia: Open University Press.

Berry, M., 1995. Thematic options and success in writing. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 55-84.

Berry, M., 1996. What is Theme? A(nother) personal view. *In:* M. Berry, R. Fawcett & G. Huang, eds. *Meaning and form: systemic functional interpretations.* Norwood: Ablex Publishing Company, 1-64.

Bhatia, V.K., 1993a. *Analysing genre: language use in professional settings.* London: Longman.

Bhatia, V.K., 1993b. Description to explanation in English for professional communication-application of genre analysis. *In:* T. Boswood, R. Hoffman, & P. Tung, eds. *Perspectives on English for professional communication*. Hong Kong: City Polytechnic of Hong Kong, 133-157.

Bhatia V.K., 1994. ESP and the world of professions: bridging the gap or making inroads? *ESP Malaysia*, 2 (1), 19-31.

Biber, D., Conrad, S. & Reppen, R., 1998. *Corpus linguistics: investigating language structure and use*. New York: Cambridge University Press.

Bilbow, G.T., 1997. Spoken discourse in the multicultural workplace in Hong Kong: Applying a model of discourse as 'impression management'. *In:* F. Bargiela- Chiappini & S. Harris, eds. *The languages of business: an international perspective.* Edinburgh: Edinburgh University Press, 21-48.

Bilbow, G.T., 1998. Look who's talking: an analysis of 'chair-talk' in business meetings. *Journal of Business and Technical Communication*, 12 (2), 157-197.

Bogdan, R.C. & Bilken, S.K., 1992. *Qualitative research for education: an introduction to theory and methods*. Boston: Allyn & Bacon.

Bowles, H., 1995. Why are newspaper law reports so hard to understand? *English for Specific Purposes*, 19 (3), 197-220.

Brandt, D., 1986. Text and context: how writers come to mean. *In:* B. Couture, ed. *Functional approaches to writing: research perspectives.* Norwood, NJ: Ablex, 93-107.

Brown, R.L. & Herndl, C.G., 1986. An ethnographic study of corporate writing: Job status as reflected in written text. *In:* B. Couture, ed. *Functional approaches to writing: research perspectives*. London: Pinter, 11-28.

Burgess, R.G., 1984. *In the field: an introduction to field research.* Boston: Allen & Unwin.

Burns, A., 1990. Genre-based approaches to writing and beginning adult ESL learners. *Prospect*, 5 (3), 63-71.

Buttny, R., 1997. Reported speech in talking race on campus. *Human Communication*, 23 (4), 477-506.

Carter, R., 1990. When is a report not a report? Observations from academic and non-academic settings. *In:* W. Nash, ed. *The writing scholar: studies in academic writing.* London: Sage Publications, 171-191.

Carter, R., Hughes, R. & McCarthy, M., 2000. *Exploring grammar in context*. Cambridge: Cambridge University Press.

Celani, M.A.A. & Scott, M., 1997. Pinning down the meaning of business terms. *Direct working papers no. 36*. University of Liverpool, UK: CEPRIL, Puc-SP, Brazil & ELU.

Chandler, F., 1995. *Fundamentals of business communication*. Chicago: Irwin.

Charles, M., 1996. Business communication: Interdependence between discourse and the business relationship. *English for Special Purposes*, 15 (1), 19-36.

Charles, M. & Charles, D., 1999. Sales negotiations: bargaining through tactical summaries. *In:* M. Hewings & C. Nickerson, eds. *Business English: research into practice*. Harlow: Longman, 71-99.

Cheng, W. & Warren, M., 1999. A corpus-driven approach to learning spoken academic, business and social English. *In: Proceedings of the 12th World Congress of Applied Linguistics AILA,* Tokyo 1999 [CD-ROM].

Christie, F. & Martin, J.R., eds., 1997. *Genre and institutions: social processes in the workplace and school.* London: Cassell.

Clark, R.J., 1995. Developing critical reading practices. *Prospect*, 10 (2), 65-75.

Clark, H. & Gerrig, R., 1990. Quotations as demonstrations. *Language*, 66, 764-805.

Clark, R. & Ivanič, R., 1997. *The politics of writing.* London: Routledge.

Coffin, C., 1997. Constructing and giving value to the past: An investigation into secondary school history. *In:* F. Christie & J. R. Martin, eds. *Genre and institutions: social processes in the workplace and school.* London: Cassell, 196-230.

Coffin, C., 2001. Theoretical approaches to written language - a TESOL perspective. *In:* A. Burns & C. Coffin, eds. *Analysing English in a global context.* London: Routledge, 93-122.

Cohen, L. & Manion, L., 1994. *Research methods in education.* London: Routledge.

Collins Cobuild, 1990. *Collins Cobuild English grammar.* London: Collins.

Collins Cobuild, n.d. *The bank of English.* [online]. London: Collins. Available from: http://titania.cobuild.collins.co.uk/index.html [Accessed: 1 May 2002].

Collins, H. & Thompson, S., 1993. Dealing with face threats in oral presentations. *Direct working papers no. 6.* University of Liverpool, UK: CEPRIL, Puc-SP, Brazil & ELU.

Connor, U., 1999. How like you our fish? Accommodation in international business communication. *In:* M. Hewings & C. Nickerson, eds. *Business English: research into practice.* Harlow: Longman, 115-128.

Cooper, A., 1992. *Technical institute graduates, English and the workplace. Part I: research report.* Hong Kong: Hongkong Bank Language Development Fund/Institute of Language in Education.

Cope, B. & Kalantzis, M., 1993. Introduction: how a genre approach to literacy can transform the way writing is taught. *In:* B. Cope & M. Kalantzis, eds. *The powers of literacy: a genre approach to teaching writing.* London: University of Pittsburgh Press, 1-21.

Couture, B., 1992. Categorizing professional discourse: engineering, administrative, and technical/professional writing. *Journal of Business and Technical Communication*, 6 (1), 5-37.

Creswell, J.W., 1994. *Research design: qualitative & quantitative approaches.* Thousand Oaks, California: Sage Publications.

Creswell, J.W., 1998. *Qualitative inquiry and research design: choosing among five traditions.* London: Sage Publications.

Crosling, G. & Ward, I., 2002. Oral communication: the workplace needs and uses of business graduate employees. *English for Special Purposes*, 21 (1), 41-57.

Davies, F., 1988. Reading between the lines: thematic choice as a device for presenting writer viewpoint in academic discourse. *The ESPecialist*, 9 (2), 173-200.

Davies, F., 1994. From writer roles to elements of text: interactive, organisational and topical. *In:* L. Barbara & M. Scott, eds. *Reflections on language learning*. Clevedon, England: Multilingual Matters, 170-183.

Davies, F., 1997. Marked Theme as a heuristic for analysing text-type, text and genre. *In:* J. Pique & D. Viera, eds. *Applied languages: theory and practice in ESP*. Universitat de Valencia: Servei de Publications Universitat de Valencia, 45-71.

Davies, F. & Scott, M., 1992. *An aspect of training: report of the ELU/MIC/MTEC survey of communication skills needs in local organisations*. Liverpool: University of Liverpool.

Davies, F., Forey, G. & Hyatt, D., 1999. Exploring aspects of context: selected findings from the Effective Writing for Management project. *In:* F. Bargiela-Chiappini & C. Nickerson, eds. *Writing business: genres, media and discourse*. Harlow: Longman, 293-12.

Davies, F. & Forey, G., 1996. *Effective writing for management project*. Unpublished report. Bristol: The University of Bristol, School of Education.

Denzin, N.K. & Lincoln, Y.S., 1998. *Collecting and interpreting qualitative materials*. Thousand Oaks, California: Sage Publications.

Devitt, A.J., 1991. Intertextuality in tax accounting: generic, referential and functional. *In:* C. Bazerman & J. Paradis, eds. *Textual dynamics of the professions: historical and contemporary studies of writing in professional communities*. Madison, Wisconsin: The University of Wisconsin Press, 336-357.

Downing, A., 1991. An alternative approach to theme: a systemic-functional perspective. *Word*, 42 (2), 119-143.

Downing, A. & Locke, P., 1992. *A university course in English grammar*. London: Prentice Hall.

Drew, P. & Sorjonen, M., 1997. Institutional dialogue. *In:* T. van Dijk, ed. *Discourse as social interaction.* Vol. 2. London : Sage, 92-118.

Du-Babcock, B. & Babcock, R.D., 1995. An analysis of intercultural organisational communication in multinational corporations. *In:* P. Daruthiaux, ed. *Working papers of the Department of English*. Vol. 7, (1). Hong Kong: City University of Hong Kong.

Du-Babcock, B. & Babcock, R.D., 1996. Patterns of expatriate-local personnel communication in multinational corporations. *The Journal of Business Communication*, 33 (2), 141-164.

Dudley-Evans, T., 1997. Genre models for teaching of academic writing to second language speakers: advantages and disadvantages. *In:* T. Miller, ed. *Functional approaches to written text: classroom applications*. Washington: English Language Programs, 150-159.

Dudley-Evans, T. & St John, M.J., 1998. *Developing English for specific purposes*. Cambridge: Cambridge University Press.

Education Commission, 1995. *Education Commission Report No. 6.* Part 1, main report. Hong Kong: Government Printer

Ede, L. & Lunsford, A., 1985. Research on co- and group authorship in the professions: a preliminary report. *In: Paper presented at the 36th Annual Meeting of the Conference on College Composition and Communication*, Minneapolis 21-23 March 1985.

Eggins, S. & Slade, D., 1997. *Analysing casual conversation*. London: Cassell.

Eisner, E.W. 1991. *The enlightened eye qualitative inquiry and the enhancement of educational practice*. New York: Macmillan Publishing Company.

Ewald, H. & Burnett, R., 1996. *Business communication*. Upper Saddle River, NJ: Prentice Hall.

Fairclough, N., 1992. *Discourse and social change*. Cambridge: Polity Press.

Fairclough, N., 1995. *Critical discourse analysis: the critical study of language*. London: Longman.

Feak, C.B., Swales, J.M. & Feak, C.A., 2001. *English in today's research world: a writing guide*. Michigan series in English for academic & professional purposes. Michigan: University of Michigan Press.

Field, Y. & Mee Oi, Y.P., 1992. A comparison of internal conjunctive cohesion in English essay writing of Cantonese speakers and native speakers of English. *RELC Journal*, 23 (1), 15-28.

Flower, L. & Hayes, J. R., 1981. A cognitive process theory of writing. *College English*, 44, 765-77.

Forey, G. & Nunan, D., 2002. The role of language and culture in the workplace. *In:* C. Barron, N. Bruce, & D. Nunan, eds. *Knowledge and discourse: language ecology in theory and practice*. Harlow: Pearson Education Ltd, 204-220.

Francis, G., Hunston, S. & Manning, E., 1996. *Grammar patterns 1: verbs*. London: HarperCollins.

Francis, G., Hunston, S. & Manning, E., 1998. *Grammar patterns 2: nouns and adjectives*. London: HarperCollins.

Fries, P.H., 1983. On the status of theme in English: Arguments from discourse. *In:* J.S. Petofi & E. Soezer, eds. *Micro and macro connexity of texts: papers in textlinguistics*. Hamburg: Helmut Buske Verlag, 116-152.

Fries, P.H., 1995a. A personal view of theme. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 1-19.

Fries, P.H., 1995b. Themes, methods of development, and texts. *In:* R. Hasan & P.H. Fries, eds. *On subject and theme: a discourse functional perspective*. Amsterdam: John Benjamins Publishing Company, 317-359.

Fries, P.H., 1995c. Patterns of information in initial position in English. *In:* P.H. Fries & M. Gregory, eds. *Discourse in society: systemic functional perspectives*. Norwood, New Jersey: Albex Publishing Corporation, 47-66.

Fries, P.H. & Francis, G., 1992. Exploring theme: Problems for research. *Occasional papers in systemic linguistics*, 6, 45-60.

Ghadessy, M., 1995. Thematic development and its relationship to registers and genres. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 129-146.

Ghadessy, M. & Gao, Y., 2001. Small corpora and translation comparing thematic organization in two languages. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice*. Amsterdam: John Benjamins Publishing Company, 333-359.

Gibson, T.R., 1993. *Towards a discourse theory of abstract and abstracting.* Monographs in Systemic Linguistics 5. Nottingham: Department of English Studies, University of Nottingham.

Gimenez, J.C., 2000. Business e-mail communication: some emerging tendencies in register. *English for Special Purposes,* 19 (3), 237-251.

Goatly, A., 1995. Marked theme and its interpretation in A.E. Housman's A Shropshire Lad. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 164-197.

Goatly, A., 2000. *Critical reading and writing: an introductory coursebook.* London: Routledge.

Gouveia, C.A.M. & Barbara, L., 2001. Marked or unmarked that is NOT the question, the question is: where's the Theme? *Direct working papers no. 45*. University of Liverpool, UK: CEPRIL, Puc-SP, Brazil & ELU.

Green, C., Elsie, C.R., Lam, J. & Mei, K., 2000. The incidence and effects on coherence of marked themes in interlanguage texts: a corpus based enquiry. *English for Specific Purposes*, 19, 99-113.

Guffey, M., 1991. *Essentials of business communication.* 2nd ed. Boston, MA: PWS-Kent Publishing Company.

Guba, E.G. & Lincoln, Y.S., 1998. *Fourth generation evaluation.* Newbury Park, California: Sage.

Guba, E.G. & Lincoln, Y.S., 1999. Naturalistic and rationalistic enquiry. *In:* J.P. Keeves & G. Lakomski, eds. *Issues in educational research.* Amsterdam: Pergamon, 141-149.

Gunnarsson, B., Linell, P. & Nordberg, B., eds., 1997. *The construction of professional discourse*. London: Longman.

Halliday, M.A.K., 1978. *Language as a social semiotic: the social interpretation of language and meaning.* London: Edward Arnold.

Halliday, M.A.K., 1985. *Spoken and written language*. Geelong, Victoria: Deakin University Press [Republished by Oxford University Press in 1989].

Halliday, M.A.K., 1994. *An introduction to functional grammar.* 2nd ed. London: Edward Arnold.

Halliday, M.A.K & Hasan, R., 1976. *Cohesion in English.* London: Longman.

Halliday, M.A.K & Hasan, R., 1985. *Language, context, and text. Aspects of language in a social semiotic perspective.* Deakin University: Deakin University Press.

Halliday, M.A.K. & Martin, J.R., 1993. *Writing science literacy and discursive power.* London: Falmer Press.

Halliday M.A.K & Matthiessen, C.M.I.M., 1999. *Construing experience through meaning : a language-based approach to cognition*. London: Cassell.

Halliday, M.A.K., McIntosh, A. & Strevens, P. 1964 *The linguistic sciences and language teaching*. Longman: London.

Hamilton, H.E., 1998. Reported speech in survivor identity in on-line bone marrow transplantation narratives. *Journal of Sociolinguistics,* 2 (1), 53-67.

Hammersley, M., 1992. *What's wrong with ethnography?* London: Routledge.

Hammond, J., Burns, A., Joyce, H., Brosnan, D. & Gerot, L., 1992. *English for social purposes*. Sydney: NCELTR, Macquarie University.

Hartnett, C.G., 1995. The pit after the theme. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 198-212.

Harvey, A., 1995. Interaction in public reports. *English for Specific Purposes,* 14 (3), 189-200.

Harvey, N., 1993. Text analysis for specific purposes. *Prospect,* 8 (3), 24 - 41.

Henry, A. & Roseberry, R.L., 2001. Using a small corpus to obtain data for teaching a genre. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice*. Amsterdam: John Benjamins Publishing Company, 93-134.

Hewings, M., 2002. Editorial. *English for Specific Purposes,* 21 (3), 209-210.

Holliday, A., 1995. Assessing language needs within an institutional context: an ethnographic approach. *English for Specific Purposes,* 14 (2), 115-126.

Housman, A.E., 1967. *The collected poems*. London: Cape.

Hunston, S., 1994. Evaluation and organization in a sample of written academic discourse. *In:* M. Coulthard, ed., *Advances in written text analysis*. London: Routledge, 191-218.

Hyland, K., 1996. Talking to the academy: forms of hedging in science research articles. *Written Communication,* 13 (2), 251-281.

Hyland, K., 1997. Scientific claims and community values: articulating an academic culture. *Language and Communication,* 17 (1), 19-31.

Hyncer, H.H., 1999. Some guidelines for the phenomenological analysis of interview data. *In:* A. Bryman & R.G. Burgess, eds. *Qualitative research.* London: Sage Publications, 143-164.

Hyon, S., 1996. Genre in three traditions: implications for ESL. *TESOL Quarterly,* 29 (1), 38-67.

Iedema, R.A.M., 1995. *The language of administration: write-it-right industry research report stage three.* Sydney: NSW Dept of Education, Disadvantaged Schools Program, Metropolitan East.

Iedema, R.A.M., 1997. The language of administration: organizing human activity in formal institutions. *In:* F. Christie & J. R. Martin, eds. *Genre and institutions: social processes in the workplace and school*. London: Cassell, 73-100.

Iedema, R.A.M., 1998. Institutional responsibility and hidden meaning. *Discourse and Society,* 9 (4), 481-500.

Iedema, R.A.M., 1999. Formalizing organizational meaning. *Discourse and Society,* 10 (1), 49-65.

Iedema, R.A.M., 2000. Bureaucratic planning and resemiotisation. *In:* E. Ventola, ed. *Discourse and the community*. Tubingen: Gunter Narr Verlag Tubingen, 47-69.

Inkster, R. & Kilborn, J., 1999. *The writing of business*. Boston, MA: Allyn & Bacon.

Ivanič, R., 1998. *Writing and identity: the discoursal construction of identity in academic writing*. Amsterdam: John Benjamins Publishing Company.

Ivanič, R. & Simpson, J., 1992. Who's who in academic writing? *In:* N. Fairclough, ed., *A critical language awareness*. London: Longman, 141-173.

Johnstone, B., 1993. Community and context: Midwestern men and women creating their worlds in conversational storytelling. *In:* D. Tannen, ed. *Gender and conversation interaction*. Cambridge: Cambridge University Press, 62-82.

Joyce, H., 1992. *Workplace texts in the language classroom*. Sydney: New South Wales Adult Migrant English Services.

Judd, K. & O'Halloran, K., *Systemics - Software*. http://courses.nus.edu.sg/course/ellkoh/Overview.html [Accessed: 1 May 2002].

Krizan, A., Merrier, P. & Jones, C., 2002. *Business communication*. 4th ed. Cincinnati, OH: South-Western Thomas Learning.

Lahiff, J. & Penrose, J., 1997. *Business communication: skills and strategies*. Englewood Cliffs, NJ: Prentice Hall.

Lehman, C. & DuFrene, D., 1998. *Business communication*. 12th ed. Cincinnati, OH: South-Western College Publishing.

Levinson, S.C., 1983. *Pragmatics*. Cambridge: Cambridge University Press.

Louhiala-Salminen, L., 1996. The business communication classroom vs reality: what should we teach today? *English for Specific Purposes,* 15 (1), 37 - 51.

Louhiala-Salminen, L., 2002. The fly's perspective: Discourse in the daily routine of a business manager. *English for specific purposes,* 21 (3), 211-231.

Lynch, B.K., 1996. *Language program evaluation: theory and practice*. Cambridge: Cambridge University Press.

Macken-Horarik, M., 2002. "Something to shoot for": a systemic functional approach to teaching genre in secondary school science. *In:* A.M. Johns, ed. *Genre in the classroom: multiple perspectives*. London: Lawrence Erlbaum Associates, Publishers, 17-42.

Mann, C.M., Thompson, S. & Matthiessen, C., 1992. Rhetorical structure theory and text analysis. *In:* C.M. Mann & S. Thompson, eds. *Discourse description: diverse linguistic analyses of a fund-raising text*. Amsterdam: John Benjamins Publishing Company, 39-78.

Martin, J.R., 1983. Participant identification in English, Tagalog and Kate. *Australian Journal of Applied Linguistics,* 3 (1), 45-74.

Martin, J.R., 1984. Language, register and genre. *In:* F. Christie, ed. *Children writing: reader*. Geelong, Victoria: Deakin University Press, 21-30.

Martin, J.R., 1985/89. *Factual writing: exploring and challenging social reality*. Geelong, Victoria: Deakin University Press (Republished by OUP 1989).

Martin, J.R., 1991. Critical literacy: the role of a functional model of language. *The Australian journal of reading,* 14 (2), 117-132.

Martin, J.R. 1992a. *English text*. Amsterdam: John Benjamins Publishing Company.

Martin, J.R. 1992b. Theme, method of development in existentiality: the price of reply. *Occasional papers in systemic linguistics,* 6, 147-184.

Martin, J.R., 1993a. A contextual theory of language. *In:* B. Cope & M. Kalantzis, eds. *The powers of literacy: a genre approach to teaching writing*. London: Falmer Press, 116-136.

Martin, J.R., 1993b. Genre and literacy – modelling context in educational linguistics. *Annual Review of Applied Linguistics,* 13, 141-172 .

Martin, J.R. 1995. More than what the message is about: English theme. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 223-258.

Martin, J.R. 1997. Analysing genre: Functional parameters. *In:* F. Christie & J.R. Martin, eds. *Genre and institutions: social processes in the workplace and school*. London: Cassell, 3-39.

Martin, J.R., 2000a. Beyond exchange: APPRAISAL system in English. In: S. Hunston & G. Thompson, eds. *Evaluation in text: authorial stance and the construction of discourse*. Oxford: Oxford University Press, 142-175.

Martin, J.R., 2000b. Close reading: Functional linguistics as a tool for critical discourse analysis. *In:* L. Unsworth, ed. *Researching language in schools and communities: functional linguistic perspectives*. London: Cassell, 275-303.

Martin, J.R. 2001. Language, register and genre. *In:* A. Burns & C. Coffin, eds. *Analysing English in a global context*. London: Routledge,149-166.

Martin, J.R., 2002. Applied genre analysis: analytical advances and pedagogical procedures. *In:* A.M. Johns, ed. *Genre in the classroom: multiple perspectives*. London: Lawerence Erlbaum Associates, 279-284.

Martin, J.R. & Rothery, J., 1986. What a functional approach to the written task can show teachers about 'good writing'. *In:* B. Couture, ed. *Functional approaches to writing: research perspectives*. Norwood: Albex, 241-265.

Martin, J.R. & Rothery, J., 1993. Grammar: Making meaning in writing. *In:* B. Cope & M. Kalantzis , eds. *The powers of literacy: a genre approach to teaching writing*. London: Falmer Press, 137-153.

Martin, J.R., Christie, F. & Rothery, J., 1994. Social process in education: a reply to Sawyer and Watson (and others). *In:* B. Stierer & J. Maybin, eds. *Language literacy & learning in educational practice*. Clevedon, England: Multilingual Matters, 232-247.

Martin, J.R., Matthiessen, C. & Painter, C., 1997. *Working with functional grammar*. London: Edward Arnold.

Martin, J.R. & Veel, R., eds., 1998. *Reading science critical and functional perspectives on discourses in science*. London: Routledge .

Martin, J.R. & Rose, D., forthcoming. *Working with discourse*. London: Continuum.

Matthiessen, C., 1992. Interpreting the textual metafunction. *In:* M. Davies & L. Ravelli, eds. *Advances in systemic linguistics: recent theory and practice*. London: Pinter, 37-81.

Matthiessen, C., 1995. Theme as an enabling resource in ideational 'knowledge' construction. *In:* M. Ghadessy, ed. *Thematic development in English texts*. London: Pinter, 20-47.

Maybin, J., 1997. Story voices: the use of reported speech in 10-12 year olds' spontaneous narratives. *In:* L. Thompson, ed. *Children talking: the development of pragmatic competence*. Clevedon, England: Multilingual Matters, 36-48.

McCarthy, M., 1998. *Spoken language and applied linguistics*. Cambridge: Cambridge University Press.

McGregor, W., 1994. The grammar of reported speech and thought in Gooniyandi. *Australian Journal of Linguistics,* 14, 63-92.

McGregor, W., 1997. *Semiotic grammar*. Oxford: Clarendon Press.

Mulholland, J., 1997. The Asian connection: business requests and acknowledgements. *In:* F. Bargiela-Chiappini & S. Harris, eds. *Managing language: the discourse of corporate meetings*. Amsterdam: John Benjamins Publishing Company, 94-114.

Myers, G., 2000. Unspoken speech: hypothetical reported discourse and the rhetoric of everyday talk. *Text,* 19 (4), 571-590.

Nation, P., 2001. Using small corpora to investigate learner needs: two vocabulary research tools. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice*. Amsterdam: John Benjamins Publishing Company, 31-46.

Nesbitt, C. & Plum, G., 1988. Probabilities in a systemic grammar: the clause complex in English. *In:* R.P. Fawcett & D. Young, eds. *New developments in systemic linguistics* vol. 2. London: Frances Pinter, 6-38.

Nickerson, C., 1998. Corporate culture and the use of written English within British subsidaries in the Netherlands. *English for Special Purposes,* 17 (3), 281-294.

Nickerson, C., 1999. The use of English in electronic mail in a multinational corporation. *In:* F. Bargiela-Chiappini & C. Nickerson, eds. *Writing business: genres, media and discourse.* Harlow: Longman, 35-56.

Nickerson, C. & Van Nus, M., 1999. Teaching intercultural business communication research. *In:* M. Hewings & C. Nickerson, eds. *Business English: research into practice*. Harlow: Longman, 25-34.

Nunan, D., Forey, G., Fossard, R. & Foo, J., 1996. *Communication in the professional workplace project, Phase 1*. Research report, part 1. Hong Kong: Hong Kong Society of Accountants & English Language Centre, University of Hong Kong.

Nunan, D. & Forey, G., 1996. *Communication in the professional workplace project Phase 1*. Research report, part 2. Hong Kong: Hong Kong Society of Accountants & English Language Centre, University of Hong Kong.

Ooi, V.B.Y., 2001. Investigating teaching genres using the world wide web. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice*. Amsterdam: John Benjamins Publishing Company, 175-203.

O'Donnell, M., 2002. *Systemic Coder -- a Text Markup Tool Version 4.5 Users Guide* [online].WagSoft Linguistic Software: http://www.wagsoft.com/Coder/index.html [Accessed: 1 May 2002].

Painter, C., 2001. Understanding genre and register: omplications for language teaching. *In:* A. Burns & C. Coffin, eds. *Analysing English in a global context.* London: Routledge, 167-180.

Paltridge, B., 2002. Genre, text type, and the English for Academic Purpose (EAP) classroom. *In:* A.M. Johns, ed. *Genre in the classroom: multiple perspectives.* London: Lawrence Erlbaum Associates, 73-90.

Pennycook, A. 1994. *The cultural politics of English as an international language.* London: Longman.

Pennycook, A., 1998. *English and the discourses of colonialism.* London: Routledge.

Peres de Souza, M.C., 1994. The analysis of verbal interaction: A meeting. *In:* L. Barbara & M. Scott, eds. *Reflections on language learning.* Clevedon: Multilingual Matters, 195-203.

Perrett, G., 2000. Researching second and foreign language development. *In:* L. Unsworth, ed. *Research language in schools and communities: functional linguistic perspectives.* London: Cassell, 87-110.

Phillipson, R., 1992. *Linguistic imperialism.* Oxford: Oxford University Press.

Plum, G., 1988. *Textual and contextual conditioning in spoken English: a genre-based approach.* Thesis (PhD). Department of Linguistics, University of Sydney.

Plum, G. & Candlin, C.N., 2002. Becoming a psychologist: student voices on academic writing in psychology. *In:* C. Barron, N. Bruce, & D. Nunan, eds. *Knowledge and discourse: language ecology in theory and practice.* Harlow: Pearson Education Ltd, 238-266.

Poon, W., 1992. *An analysis of the language needs of accountants and company administrators in Hong Kong.* No. 12, December. Hong Kong: City Polytechnic of Hong Kong.

Poynton, C., 1993. Grammar, language and the social: poststructuralism and systemic-functional linguistics. *Social Semiotics,* 3 (1), 1-21.

Quirk, R., Greenbaum, S., Leech, G. & Svartvik, J., 1985. *A comprehensive grammar of the English language.* London: Longman.

Rabotas, D. & Berkenkotter, C., 1998. Voices in the text: the use of reported speech in psychotherapists notes and initial assessment. *Text,* 8 (2), 211-239.

Ragan, P.H., 2001. Classroom use of a systemic functional small learner corpus. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice.* Amsterdam: John Benjamins Publishing Company, 207-236.

Ravelli, L., 1995. Metafunctional interaction from a dynamic perspective: implications for the description of Theme. *In:* R. Hasan & P.H. Fries, eds. *On subject and theme: from the perspective of functions and discourse.* Amsterdam: John Benjamins Publishing Company, 187-234.

Ricoeur, P., 1991. Life in quest of a narrative. *In:* D. Wood, ed. *On Paul Ricoeur: Narrative and interpretation.* London: Routledge, 20-33.

PAGE

MISSING

IN

ORIGINAL

Sinclair, J., 1997. Corpus evidence in language description. *In:* A. Wichmann, S. Fligelstone, T. McEnery, & G. Knowles, eds. *Teaching and language corpora*. London: Longman, 27-39.

Sinclair, J., 2001. Preface. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice*. Amsterdam: John Benjamins Publishing Company, vii-xv.

Smart, G., 1998. Mapping conceptual worlds: using interpretative ethnography to explore knowledge-making in a professional community. *The Journal of Business Communication,* 35 (1), 111-127.

Stainton, C., 1993. *Metadiscourse and the analytical text: a genre based approach to children's written discourse.* Thesis (PhD). University of Manchester.

Stainton, C., 1996. The technical review as genre. *Nottingham working papers no. 3.* Nottingham: Department of English Studies, University of Nottingham.

St John, M.J., 1996. Business is booming: business English in the 1990's. *English for Specific Purposes,* 15 (1), 3-18.

Stubbs, M., 1993. British traditions in text analysis - from Firth to Sinclair. *In:* M. Baker, G. Francis, & E. Tognini-Bonelli, eds. *Text and technology, in honour of John Sinclair.* Amsterdam: John Benjamins Publishing Company, 1-33.

Stubbs, M., 1996. *Text and corpus analysis.* Oxford: Blackwell.

Stubbs, M., 2001. Computer-assisted text and corpus analysis: lexical cohesion and communicative purpose. *In:* D. Schriffin, D. Tannen, & H.E. Hamilton, eds. *The handbook of discourse analysis*. Massachusetts, Oxford: Blackwell Publishers Ltd, 304-320.

Sturman, A., 1999. Case study methods. *In:* J.P. Keeves & G. Lakomski, eds. *Issues in educational research*. Amsterdam: Pergamon, 103-112.

Suchan, J. & Dulek, R., 1998. From text to context: an open systems approach to research in written business communication. *Journal of Business Communication,* 35, 87-110.

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

Swales, J.M., 2000. Languages for specific purposes. *Annual Review of Applied Linguistics,* 20, 59-76.

Taft, R., 1999. Ethnographic research methods. *In:* J.P. Keeves & G. Lakomski, eds. *Issues in educational research.* Amsterdam: Pergamon, 113-120.

Tadros, A., 1985. *Prediction in text.* Discourse analysis monograph no. 10. Birmingham: University of Birmingham Printing Section.

Tadros, A., 1994. Predictive categories in expository texts. *In:* M. Coulthard, ed. *Advances in written text analysis*. London, New York: Routledge, 69-82.

Thill, J., 1991. *Excellence in business communication.* New York: McGraw Hill.

Thomas, S. & Hawes, T., 1997. *Theme in academic and media discourse*. Monographs in systemic linguistics no. 8. Nottingham: Department of English Studies, University of Nottingham.

Thompson, G., 1994. Propositions, projections and things. *Paper presented at 21st ISFC*, Gent 1-5 August 1994.

Thompson, G., 1996. *Introducing functional grammar.* London: Arnold.

Thompson, G., 2000. Corpus, patterns and grammar: is it enough to trust the text? *Paper presented at 11th Euro-International systemic functional linguistics workshop.* Glasgow University July 2000.

Thompson, G. & Ramos, G. 1995. Ergativity in the analysis of business texts. *Direct working papers no. 21.* University of Liverpool, UK: CEPRIL, Puc-SP, Brazil & ELU.

Thompson, G. & Thetela, P., 1995. The sound of one hand clapping: the management of interaction in written discourse. *Text,* 15 (1), 103-127.

Thompson, G. & Ye, Y.Y., 1991. Evaluation in reporting verbs used in academic papers. *Applied Linguistics,* 12 (4), 365-382.

Thompson, G. & Zhou, J., 2000. Evaluation and organisation in text: the structuring role of evaluative disjuncts. *In:* S. Hunston & G. Thompson, eds. *Evaluation in text: authorial stance and the construction of discourse.* Oxford: Oxford University Press, 121-141.

Thompson, S. & Collins, H., 1993. Grammatical aspects of roles in culturally diverse oral presentations. *Direct working papers no. 7.* University of Liverpool, UK: CEPRIL, Puc-SP, Brazil & ELU.

Treece, M., 1994. *Successful communication for business and the professions.* 6th ed. Boston, MA: Allyn and Bacon.

Tribble, C., 2001. Small corpora and teaching writing. *In:* M. Ghadessy, A. Henry, & R.L. Roseberry, eds. *Small corpus studies and ELT theory and practice.* Amsterdam: John Benjamins Publishing Company, 381-408.

Unsworth, L., 2000. Investigating subject-specific literacies in school learning. In L. Unsworth, ed. *Researching language in schools and communities: functional linguistic perspectives.* London: Cassell. 245-274

Usher, R., 1996. A critique of the neglected epistemological assumptions of educational research. *In:* D. Scott & R. Usher, eds. *Understanding educational research.* London: Routledge, 9-32.

van Leeuwen, T., 1996. The representation of social actors. *In:* C.R. Caldas-Coulthard & M. Coulthard, eds. *Texts and practices: readings in critical discourse analysis.* London: Routledge, 32-70.

Vande Kopple, W.J., 1991. Themes, thematic progression, and some implications for understanding discourse. *Written Communication,* 8, 311-347.

Veel, R., 1997. Learning how to mean - scientifically speaking: apprenticeship into scientific discourse in the secondary school. *In:* F. Christie & J. R. Martin, eds. *Genre institutions: social process in the workplace and schools.* London: Cassell, 161-195.

Ventola, E., 1990. Linguistic difficulties in institutional discourse. *In:* M.A.K. Halliday, J. Gibbons, & H. Nicholson, eds. *Learning, keeping and using language.* Vol 1. Amsterdam, John Benjamins Publishing Company, 493-508.

Weiss, G and Wodak, R. eds. 2003. *Critical discourse analysis : theory and interdisciplinarity.* Basingstok: Palgrave Macmillan.

Whittaker, R., 1995. Theme, processes and the realisation of meaning in academic articles. *In:* M. Ghadessy, ed. *Thematic development in English texts.* London: Pinter, 105-128.

White, P.R.R., 1997. Death, disruption and moral order: the narrative impulse in mass-'hard news' reporting. *In:* F. Christie & J. R. Martin, eds. *Genre institutions: social process in the workplace and schools.* London: Cassell, 103-133.

White, P.R.R., 2000. Media objectivity and the rhetoric of news story structure. *In:* E. Ventola, ed. *Discourse and the community.* Tubingen: Gunter Narr Verlag Tubingen, 379-397.

Widdowson, H.G., 1984. *Explorations in applied linguistics.* Vol. 2. Oxford: Oxford University Press.

Widdowson, H.G., 1997. The use of grammar, the grammar of use. *Functions of Language,* 4 (2),145-168.

Williams, M., 1988. Language taught for meetings and language used in meetings: is there anything in common? *Applied Linguistics,* 9 (1), 46-58.

Willing, K., 1997. Modality in task-oriented discourse: the role of subjectivity in 'getting the job done'. *Prospect,* 12 (2), 33-42.

Winsor, D.A., 1993. Owning corporate texts. *Journal of Business and Technical Communication,* 7 (2), 179-195.

Wodak, R and Meyer, M. eds. 2001 *Methods of critical discourse analysis:* London: Sage