

Evaluation in Business Discourse

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ABSTRACT

The aim of the thesis is to explore, from a linguistic perspective, the construction and maintenance of interaction in documents in which directives are conveyed in business communication correspondence, in order to input directly into the pedagogic practice in written business communication. The focus is research into ways of scaffolding relationships in documents for correspondence, an area that represents an important aspect of language use in business communication practice.

The data for the study includes letters, memoranda and savingrams in which directives are conveyed written by writers of English as a second language and following various channels of communication. Two methods are used to extract the relevant data in which evaluative meanings are conveyed. These are Wordsmith to extract evaluative lexis and patterns and a manual analysis to identify the evaluative structures of the texts.

The linguistic construal of interpersonal scaffolding is investigated drawing on the model of APPRAISAL (Martin, 2000), which is located within the Hallidayan grammar as the theoretical point of departure. The choice of language used in the texts is interrogated and interpreted with reference to the theory. The analysis focuses on the linguistic systems that appropriately serve or construe the interactive function of language and addresses issues such as kinds of semantic values that are conveyed, the patterns in which they are expressed and their texture. The objective is not to make generalizations about how writers of documents manage interaction and persuade their recipients to carry out the actions they desire. Rather the aim is to develop a theoretical framework to explain the evaluative strategies that are encoded in the texts and the implications of choosing amongst different strategies.

The thesis therefore contributes a theoretically motivated and dynamic explanation of the ways in which interaction is managed in the context of texts in which directives are communicated especially amongst Batswana writing in the English language. From a pedagogic perspective the explanations of managing interaction developed in the study provide insights and resources for teachers of business communication writing to assist them in modelling evaluative strategies in business correspondence writing and helping their students to develop effective written communication strategies.

Key words:

scaffolding relationships, evaluative strategies, interpersonal, interaction, APPRAISAL, ATTITUDE, semantic values, dialogic, texture of evaluation

OPSOMMING

Die doel van die navorsingsprojek is om ondersoek in te stel, vanuit 'n linguistiese perspektief, na die samestelling en handhawing van wisselwerking in dokumente waarin opdragte oorgedra word in bedryfskorrespondensie, om sodoende 'n direkte inset te lewer tot die opvoedkundige gebruik van skriftelike bedryfskommunikasie. Die navorsingsfokus is gerig op wyses waarop verhoudings in korrespondensiedokumente ondersteun kan word, 'n belangrike aspek van taalgebruik in die bedryfskommunikasiepraktyk.

Die studie data sluit in briewe, memorandumms en 'savingrams' waarin opdragte, geskryf deur Batswana skrywers vir wie Engels 'n tweede taal is, oorgedra word deur middel van verskeie kommunikasie kanale. Twee metodes is gebruik om die relevante data waarin evaluerende betekenis oorgedra word uit te lig: Wordsmith, om die evaluerende woordeskat en patrone uit te lig; en 'n handanalise, om die evaluerende strukture van die tekste te identifiseer.

Die linguistiese verklaring van interpersoonlike ondersteuning word ondersoek deur Martin se model van 'Appraisal', geleë in Halliday se grammatika, as die teoretiese vertrekpunt te gebruik. Die taalkeuse in die tekste word ondersoek en verklaar met verwysing na die teorie. Die ontleding fokus op die linguistiese stelsels wat die interaktiewe funksie van taal toepaslik dien of verklaar, en spreek kwessies aan soos die tipes semantiese waardes wat oorgedra word, die patrone waarin dit uitgedruk word en die tekstuur daarvan. Die doel is nie om te veralgemeen oor hoe skrywers van dokumente interaksie hanteer en hul ontvangers oorreed om hul wense uit te voer nie. Die doel is eerder om 'n teoretiese raamwerk te ontwikkel om die evaluerende strategieë wat in die tekste gekodeer is te verduidelik, asook die implikasies van die verskillende strategieë.

Hierdie studie verskaf 'n teoreties gemotiveerde en dinamiese verduideliking van die wyses waarop interaksie hanteer word in die konteks van tekste waarin opdragte gekommunikeer word, veral onder Batswana dokumente wat in Engels geskryf is. Vanuit 'n opvoedkundige perspektief gesien, verskaf die verduidelikings van die hantering van interaksie wat in hierdie studie ontwikkel is, insigte en hulpbronne vir onderwysers van skriftelike bedryfskommunikasie, ter ondersteuning van hulle modellering van evaluerende strategieë van skriftelike bedryfskommunikasie om studente te help om effektiewe geskrewe kommunikasie strategieë te ontwikkel.

Sleutelwoorde: ondersteuning van verhoudings, evaluerende strategieë, interpersoonlik, interaksie/wisselwerking, *APPRAISAL* (taksering), *HOUDING*, semantiese betekeniswaardes, dialogies, tekstuur van evaluasie

TABLE OF CONTENTS

ACKNOWLEDGEMENT.....	i
ABSTRACT.....	ii
OPSOMMING.....	iv
TABLE OF CONTENTS.....	vi
LIST OF TABLES.....	ix
LIST OF FIGURES.....	x
CHAPTER 1: INTRODUCTION.....	1
1.1 Communication in organizations.....	1
1.2 Problem statement.....	3
1.3 Rational of study.....	5
1.4 Limitations of study.....	7
1.5 Chapter division.....	8
1.6 Botswana colonial history and language use.....	9
1.7 The review of literature.....	11
1.7.1. Linguistic politeness.....	12
1.7.1.1 Politeness theory applied to business writing.....	19
1.7.2 Studies on evaluation.....	22
1.7.3 Appraisal as interpersonal meaning.....	25
1.7.4 Appraisal through text structure.....	26
1.7.5 The role of context in appraisal	30
1.8 Conclusion.....	33
CHAPTER 2: THEORY OF LANGUAGE.....	35
2.1 A fundamental view of language.....	35
2.2 Language as systems of choices.....	37
2.2.1 The syntagmatic order.....	38
2.2.2 Paradigmatic choices.....	41
2.3 Function as a fundamental principle of language.....	42
2.3.1 The three functions of language.....	43
2.3.1.1 The experiential function.....	44
2.3.1.1.1 The material clause.....	45
2.3.1.1.2 The mental clause.....	46
2.3.1.1.3 The relational clause.....	47
2.3.1.1.4 The verbal process.....	48
2.3.1.1.5 Behavioral and existential processes.....	49
2.3.2 The interpersonal function.....	50
2.3.2.1 The mood elements.....	52
2.3.3 The textual function.....	60
2.4 Systemic Functional Grammar versus Linear unit Grammar.....	62
2.5 Approaches to analysis of interpersonal meaning.....	65

2.5.1	Evaluation.....	66
2.5.2	Stance.....	73
2.5.3	Hedging.....	77
2.5.4	APPRAISAL.....	79
2.5.5	Conclusion.....	82
2.6	Language and context.....	83
CHAPTER 3: EMPIRICAL STUDY.....		97
3.1	Data collection and methods of analysis.....	97
3.1.1	The corpus.....	97
3.1.2	Collection procedures.....	99
3.1.3	Data preparation.....	100
3.1.4	Data analysis.....	101
3.2	The APPRAISAL framework.....	103
3.2.1	Types of Attitude.....	104
3.2.1.1	AFFECT.....	104
3.2.1.2	JUDGEMENT.....	110
3.2.1.3	APPRECIATION.....	116
3.2.2	Engagement.....	120
3.2.2.1	Position or Stance revealed by the resources of Engagement.	125
3.2.2.1.1	Entertain.....	126
3.2.2.1.2	Attribution.....	128
3.2.2.1.2.1	Attribution: acknowledge.....	128
3.2.2.1.2.2	Attribute: distance.....	130
3.2.2.1.3	Proclaiming or disclaiming.....	131
3.2.2.1.3.1	Disclaim: deny.....	131
3.2.2.1.3.2	Disclaim: counter.....	133
3.2.2.1.3.3	Proclaim: concur.....	135
3.2.2.1.3.4	Proclaim: endorse.....	136
3.2.2.1.3.5	Proclaim pronounce.....	138
3.2.3	Graduation.....	142
3.2.3.1	Types of resources depicting force quality.....	147
3.2.3.1.1	Adverb pre-modifying adjectives.....	147
3.2.3.1.2	Lexical items.....	147
3.2.3.1.3	Adverbs pre-modifying processes.....	148
3.2.3.2	Types of resources depicting force-quality.....	148
3.3	Local grammar.....	149
3.4	conclusion.....	151
CHAPTER 4: REALISING DIRECTIVES IN CORRESPONDENCE DOCUMENTS.....		157
4.1	Contextualisation	157
4.2	Analysis and discussion.....	160
4.2.1	Judgment.....	163
4.2.2	Affect.....	173
4.2.3.	Appreciation.....	179
4.3	patterns in which directives are expressed in correspondence documents.....	184

4.3.1	Patterns in which command is mitigated in verbal processes.....	185
4.3.2	Patterns in which command is mitigated in mental processes.....	192
4.3.3	Patterns in which the command is expressed in relational processes.....	196
4.4	Conclusion.....	200
CHAPTER 5: THE TEXTURE OF APPRAISAL IN TEXTS.....		204
5.1	Introduction.....	204
5.2	Structuring schemata for directives.....	206
5.2.1	The background-command structure.....	206
5.2.2	Nuclear-Satellite structure.....	212
5.3	The texture of Appraisal in text.....	225
5.4	Conclusion.....	236
CHAPTER 6: CONCLUSION.....		238
6.1	Introduction.....	238
6.2	Summary of major findings.....	239
6.3	Summary of theoretical innovations of the study.....	246
6.4	Recommendations.....	248
REFERENCES.....		251

APPENDIX A-G are on the CD (check inner back page)

LIST OF TABLES.

Table 1:	Partial analysis of constituents of a sentence.....	40
Table 2:	Material process (active).....	46
Table 3:	Material process (passive).....	46
Table 4:	Relational clauses with an attributive process.....	47
Table 5:	Relational process with an identifying process.....	48
Table 6:	Verbal processes.....	48
Table 7a:	Projection clause.....	49
Table 7b:	Expansion clause.....	49
Table 8:	Participant roles in behavioural process.....	50
Table 9:	Participant roles in existential process.....	50
Table 10:	Giving or demanding goods and services or information.....	52
Table 11:	The mood structure.....	53
Table 12:	Declarative statement.....	55
Table 13:	Proposal clauses.....	56
Table 14:	Offer clauses.....	57
Table 15:	Theme and Rheme.....	61
Table 16:	Types of AFFECT.....	61
Table 17:	Parameters for organising JUDGEMENT	112
Table 18:	Parameters of APPRECIATION	118
Table 19:	The dialogic role of conjunctive adjunct.....	134
Table 20:	Parsing first pattern.....	151
Table 21:	The expression of Attitude in a performative.....	165
Table 22:	The expression of AFFECT.....	175
Table 23:	Evaluation structure of an imperative clause.....	181
Table 24:	Attitude as reaction impact.....	182
Table 25:	Appreciation in terms reaction.....	183
Table 26:	Imperative in a projecting complex clause.....	186
Table 27:	Analysis clause for interpersonal loading.....	209
Table 28:	The appraisal structure of a text conveying an imperative.....	214
Table 29:	The appraisal structure of a text conveying an imperative.....	213
Table 30:	Types of relationships and Appraisal	230

LIST OF FIGURES

Figure 1:	System network for modality.....	54
Figure 2:	System network for modalisation.....	54
Figure 3:	Occurrences of Attitude in percentages in the corpus.....	162
Figure 4:	Values of Affect in commanding location.....	177
Figure 5:	Background-command schematic representation of directive.....	207
Figure 6:	Schematic structure without textual legitimating elements.....	211
Figure 7:	Schematic representation of nucleus-satellite structure.....	213

CHAPTER 1

INTRODUCTION

1.1 Communicating in organisations

Most organisations emphasise the importance of good communication as a vital activity that can lead to the growth or the collapse of an organisation. Good communication is as crucial for business as is the need for organisations to maximise their profits. Organisations are therefore concerned with positive interpersonal relationships amongst employees, in order to create and maintain an environment that is conducive to employee satisfaction and morale, as well as improved performance and service delivery. This in turn, it is believed, will lead to the creation of a positive corporate image, ensuring that the organisation 'stays ahead of the competition'.

Communication in organisations is generally viewed to occur at two levels: the operational and the personal levels (Lesikar & Flatley, 2004). Operational communication serves to enable the organisation to implement its plans and procedures, leading to the achievement of its objectives. Such communication entails the exchange of ideas and experiences that facilitate the operations of the organisation. Operational communication is categorised as external and internal. Internal operational communication is communication amongst staff at various levels of the organisation. It can be amongst or from management (superiors), amongst or from peers, and amongst or from subordinates. External communication is communication with the organisation's publics. *Publics* is a term used in public relations to refer to an organisation's clients, partners, competitors, employees, suppliers, government departments and others (Barron 1982). Organisations have both internal and external publics.

Personal communication is the exchanging of feelings and attitudes amongst communicators within an organisation. Like operational communication, it can be internal or external. This communication mainly serves to create and sustain interpersonal relationships amongst communicators.

Communication is a cooperative exercise involving the addressor and addressee (Grice, 1975; 1989), both of whom must consider or accommodate the other by avoiding messages that may cause harm to the ego of the other (Labov, 1972). It is an interpersonal matter, involving choices in semantic values that are determined by the desires of the communicators and their social context (Brown & Levinson, 1987; Nystrand, 1986; 1989). There are varying shades of meanings that communicators may discern from words, sentences or stretches of discourse. In order to ensure that the messages are acceptable, communicators adjust their contribution to reflect the social world, consisting of other communicators.

In a given interaction, the addressor might focus on the operational meaning, whereas the addressee may expect him or her to emphasise an interpersonal meaning. This lack of congruence will cause a problem in that the addressee may feel that he or she has not been taken into consideration. An addressee may attach an interpretation that the addressor did not consciously make, based on his or her own frame of reference (Goffman, 1975). Effectiveness of messages is not an internal matter, but one that is negotiated with others in a social context (Bolívar, 2001). A message may convey a covert meaning or attitude that can only be understood through a deeper analysis of the context of the communication (Malinowski, 1999). It is thus crucial that communicators exercise care, to ensure that their messages carry only those nuances that they want to be received and that work towards the

attainment of the objectives of the communication, at both the individual and the organisational levels. This position will be the central focus of this thesis.

1.2 Problem statement

In business correspondence, where the stakes are very high in terms of time, resources and interpersonal costs, evaluation is a delicate matter, which if given proper attention would bring about good returns to the organisation, the employees and the clients. According to Cacioppo and Petty (1996), when positive thoughts are elicited, the message will be received positively and change effected without resistance or resentment. When negative thoughts are elicited, however, no change will be effected and resentment will ensue. A memorandum to the staff may cause a drop in their morale if the attitude it conveys is not appropriate or acceptable to the audience. There may be a mismatch regarding the message and the contextual factors that prevail or that the message provokes.

This research project surveys the business correspondence genre and analyses the way writers of such correspondence use language to interact with readers. It identifies the way such language is loaded with only positive overtones in terms of the attitudes expressed and the efficacy of those attitudes in performing or meeting the intended functions of the texts. The study therefore reveals and describes the ways in which language may influence the reader in evaluating social and business reality in particular ways.

This research project presents a Systemic Functional Grammar (hereafter SFG) corpus analysis of the genre of business correspondence texts, which were produced in several government departments in Botswana. The study looks beyond the conceptual content of the linguistic signals in the texts and the devices of the global organisation of the discourse in

terms of information and interaction. Rather, it focuses on the way writers of correspondence documents use language to construct social relationships through the identities, attributes and attitudes they reveal in their choices of language and structure, in order to bring about effective communication.

People are often heard complaining about the style of writing of *x* or *y*, that the style is not reader oriented, or does not have a 'positive emphasis', or that it does not emphasise the principles of 'you-attitude' consistently (Ewald & Vann, 2003). Such concerns are rather simplistic and do not raise real issues that a student learning language use in correspondence writing has to grapple with, or the content of such a syllabus. Textbooks on business correspondence writing are not helpful either. They prescribe writing styles that focus on 'correct' discourse structures, or they emphasise the message or its organisation. It is posited that there are several defining features of 'effective directives' and that these include the writer's ability to monitor his or her personal involvement or investment in the message, his or her ability to predict reactions and the acknowledgement of readers' alternative views in social contexts. Put differently, an effective directive is one that displays the writer's awareness of the readers and the consequences of the writer's communication within the context of the communication. The syllabus for correspondence writing, the type in which directives are issued, should therefore have a language component that pertains to the Interpersonal function.

Fielding (2001:129) defines style as the choice of words, sentences and paragraph formats that are appropriate to the situation and to the power relations between the writer and reader, and produce the desired reaction and results. Although Fielding's definition reveals an understanding of language that is closer to the one assumed in this study, his choice of

content in talking about 'effective messages' is not. He adopts the vague approach towards what are said to be effective messages and often he gives advice and examples, whose effectiveness he does not motivate based on a linguistic analysis.

Following this view, the teaching of correspondence is often preceded by a classification of documents into subtypes based on function. Although this approach might be appropriate for the identification of a corpus, the selection of what should be taught is simplistic and not entirely helpful. Rather than focus on the linguistic and structural elements and the manner in which they contribute towards meaning or function, the focus is placed on general matters, such as the sort of information to be provided in the opening, development and closing. Although this information is useful, it does not assist the learner in acquiring linguistic structures or evaluating the semantic and rhetorical effects in appropriate contexts. The question of context and its effect on language choice and structure is not given due consideration.

The central questions the study deals with are as follow:

1. How do writers signal their attitudes?
2. What semantic values do the attitudes convey?
3. How do the discourse structures of directives combine to manage interaction?
4. Do the attitudes suit the intended functions of the communication?

1.3 Rationale for study

The writer has had experience of interacting with staff in organisations whose members felt that certain writers were rather forthright and in some cases rude in their communication. In some cases, superiors have redrafted documents assigned to junior officers because the tone

was not right or matters had not been communicated in the manner the manager approved of or simply that the message was not polite enough. Matters such as why the tone is not right and why the message is not polite, are not always made clear to a novice writer. What is however clear is that there is a need to scaffold towards maintaining relationships with the reader. Jameson (2004) talks about writing with the reader in mind. The following observations are made about the importance of language that serves the interpersonal function in business correspondence writing:

- It might turn away an important customer (Hagge & Kostelnick, 1989).
- It might work against your promotion (Fielding, 2001)
- It might spoil interpersonal relationships (Magocha, 1997)
- It might influence productivity and cooperation. (Public service Correspondence Manual)

The lack of understanding of what accounts for an effective communication style is harmful to both the teacher and student of business communication. The syllabi and the pedagogic resources used do not provide much assistance. This study intends to address one such aspect of effective communication by delineating some of the issues that are involved. The study reveals that 'effective communication' is not a value found in the language per se, but one that artfully interweaves rhetorical strategies and linguistic elements to appropriate contexts. It also provides a dimension that business communication practitioners and community of writers and researchers should be aware of regarding the manner in which language is used. It is hoped that the awareness will assist those involved in the production of business documents to be careful and use language in ways that suite the purposes and contexts in which they communicate.

A linguistic analysis is required for an SFG-supported investigation of the issues raised above and the other nuances used to describe what might generally be referred to as 'effective messages'. Such an analysis inevitably addresses such issues as appropriate details, the way the writer projects himself/herself or the audience, and the management of information and relationships in the particular context of the documents. Biber, Johnson, Leech, Conrad and Finegan (1999) conducted a quantitative investigation of linguistic patterns appearing across a variety of registers and noted that the language patterns are different across the registers. Mason and Hunston (2004:267) agree and add that programmes dealing with language development should include pattern acquisition.

The above studies and many others reveal that the study of patterns may be used to account for an investigation of language and its functions. The analysis presented in this thesis will address the interpersonal function of language, which is the function that the current study discusses in relation to 'effectiveness in language', in terms of language production, organisation, and reception. Although these aspects will be dealt with in the context of sentences that are directive, a wider context will be used in terms of the actual texts in which the speech acts occur. It is important to note that the management and maintenance of interaction (interpersonal function) will be delineated by examining the patterns of structure and semantic meanings, types of semantic meanings and the voices that the meanings present, and lastly the textual organisation of both the linguistic and semantic meanings.

1.4 Limitations of study

The first (and major) limitation of the study is that authorship of some of the data cannot be ascertained. In his study of varieties of English, Montgomery (1999) cautions that the language may not be original, particularly when dealing with written data. In the case of this

data, which was obtained from files, it is not clear whether some of the utterances or structures were copied from similar previous communication or elsewhere.

A second limitation pertains to the size of the corpus. It is noted that a corpus of 130 documents in which directives are communicated may not be sufficiently representative to warrant and sustain a claim for a language variety. This is because, although an attempt was made to select different topics in which directives were communicated, the possibility of duplication observed above still remains. A larger sample would adequately address this weakness. The small size, however, provides for an intensive analysis of the type that the corpora used by Martin and White (2005) do not enjoy. Coffin and O'Halloran (2005) caution against studies in which the researcher imposes his or her own interpretation of attitude because there is no confirmation of the exact meaning being conveyed. They suggest that intensive analysis of texts on the same topic or context, such as the one in this study, would provide a deeper insight of attitude (see also Adendorff & de Klerk, 2005).

1.5 Chapter division

Chapter 2 will discuss the theory of language that informs the study with respect to what is considered effective language for issuing directives in written business correspondence.

Chapter 3 will present the data collection methodology and the frameworks for data analysis. Two frameworks will be presented. The first one, the Appraisal Systems, describes the systems of meanings that will be used to illustrate the manner in which interaction is managed. The other, the Grammar of Evaluation, will be used to illustrate the grammar of evaluative utterances. In the context of this study, the two frameworks for data analysis

describe the semantic values and the grammar of imperative utterances, which perform the interpersonal function.

Chapter 4 will illustrate the semantic values that manage interaction in terms of Attitude types, their various classifications and rhetorical effects in the communication. It will further deal with the types of clause structures (patterns of realisation) in which Appraisal meanings are conveyed in Business directives.

Chapter 5 will describe text structure and the manner in which it contributes to and sustains the interpersonal function in the communication.

Chapter 6 will conclude the thesis and bring together the formal aspects in Chapter 1, 2 and 3. The findings in Chapter 4 and 5 will be summarised and elaborated in terms of language theory and relevance to pedagogy. The chapter will also discuss the limiting features of the research and suggest research options for the future.

1.6 Botswana colonial history and language use

The data used in the study was collected from files in the public service. These included memoranda, savingsgrams and letters written by civil servants who are Batswana (Botswana natives). Botswana is located in Southern Africa and completely landlocked between South Africa in the East and South, Namibia in the West, Zambia in the North West and Zimbabwe in the East and North East. With a surface area covering 224,710 square mile and a population averaging over 1.85 million, the country is sparsely populated. The eastern and southern strips are mainly habitable with better soils and rains. The bulk of the country is semi arid with the Kalahari Desert covering up to a third of the country. The main economic activities

are mining (especially diamonds), tourism and beef production. Crop production has over the years dwindled due to unreliable rains.

Botswana has Setswana and English as the official languages. However English is the big brother of the two because of the economic opportunities and social status that are associated to having fluency and mastery over it. The use of English as an official language can be traced to the period 1885 up to 1966 when the country was a British colony although the British themselves did not see it as a colony. Rather, they called it a protectorate since they saw their role as only protecting the Batswana from the Transvaal Boers who wanted to annex the country. Tlou and Campbell (1984) argue that it was a colony in the sense that the British had economic as well as political interest in the country. The use of English is therefore derived from the days of protection when administrators were deployed to stop the expansion of the Transvaal Boers. Some Batswana, mainly the sons and families of the chiefs later worked in the colonial administration as clerks and administrators.

It was from the group referred above that the use of English by Batswana in official correspondence first appeared. It should be noted that British English served as the norm for usage and that the Batswana tried to adhere to this norm. Research on the English language used by Batswana from the days of colonization to the present has shown a radical shift from the norm to the establishment of a variety, indicating some acculturation of English to Batswana culture and customs. Jason and Tsonope (1991) and Letsholo (1995) focus on aspects like pronunciation and change in the lexicon. Bagwasi (2002) goes further and basing on contextual usage of English in correspondences, she traces the historical development of what she confirms as a distinct variety of English of the Batswana. She also reveals the periods in the development of the variety and the processes that lead to the development of

the variety. Arua and Magocha (2000) carried a survey among the Batswana and they concluded that the indeed Batswana were aware of and could recognize the variety from native usage.

1.7 The review of literature

Success in communication has been the focus of enquiry for as long as humans have engaged with language. As part of this concern, the study of the interpersonal function of language has received attention as far back as the Aristotelian age, during which many discussions centred on the art of successful communication. Many young scholars were trained to master the skills of persuasion and argumentation. Linguistic research now studies the interpersonal function from different perspectives. Although the perspectives put forth use different terminology to refer to the same phenomenon, this has not caused any confusion for the linguist in understanding the meanings intended. The general term *evaluation* has been suggested to refer to the underlying phenomenon.

This section presents studies on linguistic resources in which the interaction reveals the expression of such evaluative meanings. A wide range of terminologies is used to refer to the phenomenon. Some of these include *politeness*, *hedging*, *modality*, *evidentiality*, *stance* and *attitude*. With politeness, the interaction is carried forward or backward by maintaining an equilibrium or disequilibrium on the evaluative meanings expressed by the linguistic strategies and aimed at the 'face' of the speaker or listener. Hedging, modality and stance are equally interactive and dialogic as they too reveal the role of the speaker-writer or audience in the text. Although each of the concepts may be said to address the expression of evaluative meaning in interaction, the studies exclude several linguistic resources and patterns that function to convey the interpersonal meaning. In addition to this deficiency of terms, the

studies do not resolve several pertinent questions pertaining to the manner of investigation of the phenomenon in actual language use. The studies are also silent on a crucial aspect of language studies, which is that theory is critical to an understanding of the way language is used. The studies are reviewed in order to describe each perspective and demonstrate the areas of convergence and divergence. The reasons that each of the terms is not adequate to serve as the underlying concept for the current study are given. In the process, the selection of evaluative meaning and the subsequent focus on APPRAISAL as a framework for analysis in this study is explained.

1.7.1 Linguistic politeness

Linguistic politeness was first expounded by Brown and Levinson (1987:1) to mark forms of behaviour or language which allow communication to take place between potentially aggressive partners. They concluded that there were principles that govern linguistic strategies in order to soften the blows of aggressive behaviour. They posited a claim that politeness was a universal principle that every language observes for successful communication.

The whole theory rests upon three notions. The first notion is that of a model person who is endowed with 'face'. The concept of face was first developed by Goffman, (1967). According to Goffman, face is a biological construct that all human beings are born with. He postulated that all human beings desire to maintain and defend their own self image. Brown and Levinson applied this concept to language use and postulated that all languages in the world have developed strategies to reduce face loss that may result from interaction (Brown and Levinson 1987:12). The application they make is valid because the need and efforts to

maintain and sustain interaction in all languages can be attributed to maintenance of the face of the individuals partaking in the interaction.

According to Brown and Levinson, face has two important aspects which are positive and negative face. They state that positive face is the desire to be appreciated and approved by others or positive self image. Negative face on the other hand is the desire of the individual to privacy and non distraction. Consequently, individuals during interaction will choose language that preserves their positive self image and avoid language that impedes on another's territory or right to privacy. Partners during interaction are therefore engaged in a process of preserving their self image and avoid imposition on the other's self image for purposes of ensuring that the interaction is smooth or enhanced.

Their application of the concept of face to politeness was probably one that attracted criticism to their theory. Their model of politeness is based on the individual and what he or she prefers rather than a social group. In this way therefore they view face as an individual construct. If it is an individual construct then it becomes problematic because it is not based on the social group or on context. This view is also expressed by Watt (2005) who adds that politeness has nothing to do with an individuals' choice but that social norms and contexts predetermine strategies of interaction. The criticism that is expressed here is significant to this study because later on I shall argue that scaffolding for relationships in the context of my data was done not based on the individual but rather on the context. I also show that the interpersonal function is not only linguistically determined but also conveyed in the texture of text.

Also related to the criticism above is that not all members of the community are consciously aware of the idea of face. The argument here is that some members are not bothered to maintain their positive self image or to avoid impeding others negative self image. This view is shared by Ide (1989) who stated that in certain societies an individual's choice does not matter but rather social norms predetermine one's place in society. In such situations, it is therefore not awareness that counts, but what is expected given one's social position.

The second notion of the theory is that all acts of interaction are intrinsically threatening to face and thus require softening strategies to reduce face loss. Brown and Levinson (1987:65-66) identify four types of face threatening acts (FTAs). The first are acts threatening to hearer's (H's) negative face and include such acts as *requesting*, *advising* and *warning*. The second include acts that are threatening to H's positive face and include such acts as *complaining*, *criticising*, *disagreeing* and *taboo topics*. The third include acts threatening to the Speaker's (S's) negative face and include an act such as *accepting an offer*. The fourth type of acts are those that threaten the S's positive face and include acts such as *apologising*, *confessing* and *accepting a complement*.

The last notion is that there are certain variables that determine the seriousness of an FTA (weight of imposition) and that speakers will reflect on these variables to determine redress strategies to be used in an interaction. Brown and Levinson do acknowledge that what accounts as a FTA and the roles of the variables are culturally and contextually determined. These are as follows:

1. The social distance (D) between S and H based on the degree of formality and solidarity they share. The smaller the distance then the FTA is not serious. If the distance is however wide then the FTA is serious and therefore requires more redress.

2. Relative power (P) of the S in relation to H. If speaker is more powerful then the FTA can be performed without much redress.
3. Ranking (R) of the imposition in a particular culture. If the FTA is crucial then it can be performed without much redress. If the speaker is entitled to perform the FTA then there is no need for redress. Also, the attitude of the H to the imposition will determine the need or not for redress.

It has been noted in the way Brown and Levinson characterize politeness that they see it expressed in terms of solidarity, informality, familiarity and indirectness. They give little coverage to formality and deference as some of the ways in which face is maintained. In some societies formality is mandatory as is deference for addressees who are senior in age status or experience (see Bagwasi 2002:92). Bowe and Martin (2007) also observed that positive relationships are not entirely based on strategies of politeness. It is furthermore noted that in terms of Brown and Levinson, the more indirect an individual is, the more polite the interaction will be. It should however be noted that this orientation is misleading and may risk perpetuating national stereo types and linguacentricity (see Meier 1995: 345; Janney and Arndt 2005).

Linguistic politeness is based on deductive logic and guided by rules of inference; it is therefore abstract and unreliable and cannot be tested. A conceptual framework guided by a thoroughly grounded theory of language was needed for this study. Such a theory would enable explanation in clear terms of the ways writers establish and sustain good will with their addressees. The theory would also enable the evaluation of the effectiveness of these strategies in their context of use rather than as isolated instances of language use. This position shows that the strategies of linguistic politeness are therefore not necessarily

universal, as not all strategies may work in all contexts. The position is pertinent because it warns against making generalisations and thereby missing a very crucial point about World Englishes. It warns against recycling of messages in contexts and cultures which are varied since the messages interpreted may also vary.

Although there are potentially shortcomings in the linguistic politeness theory, of which only a few have been mentioned above, the theory is useful in aiding the comprehension of what may be loosely referred to as *effective communication*. This theory has a sociological significance and can in some instances be used as a model for diplomacy, although the question of universality will not hold. Where the linguistic resources reveal politeness, the theory can be said to be dialogic, albeit in a narrow sense because the strategies seek to disarm potential for aggression and smooth or soften the communication to bring about a positive reaction. This view is echoed by Vološinov (1973:105) who observes that “no utterance can be put together without value judgement. Every utterance is above all an evaluative orientation. Therefore each element in a living utterance not only has a meaning but also has a value”. An evaluative orientation is compared to the interpersonal function of the message in the communication. A similar view is captured by Bakhtin (1981 [1935]:293):

All words have a ‘taste’ of a profession, a genre, a tendency, a party, a particular work, a particular person, an age group, the day and hour. Each word tastes of the context and contexts in which it has lived its socially charged life.

It is important to mention that the observations of Bakhtin and Vološinov are similar and that although they were published at different times, they share the same views because they were associates and collaborated in their research.

What can be gathered from Bakhtin and Vološinov to make much more salient in linguistic politeness is that strategies of politeness cannot be applied to all languages in the same way (they are not universal). The meanings or the reactions they cause are understood against the background of the cultural or situational context of the people who are involved in the communication. Martin and White (2005:99) capture this in stating that all verbal communication occurs against a heteroglossic backdrop of other voices. Following Bakhtin's view on discourse, it is posited that most of the interpersonal function of the discourse of business correspondence is heteroglossic, as it recognises that the environment of correspondence texts is populated by different and competing views about issues and the participants. Linguistic politeness can therefore not serve as an adequate theory to explain the way persuasion is handled in correspondence. It takes persuasion as a property of language that can be generalised to all situations and languages. It does not capture the dialogism that is, as noted above, an important factor in the formulation or interpretation of meaning and a result of several factors, such as the individual, the situation, the values or the action that are involved in the communication.

While several comparisons have been drawn above to reveal the dialogism in linguistic politeness, it is necessary to point out that the strategies of linguistic politeness may not be evaluative in some languages because of differing contexts and rules of social discourse. Evaluative meaning might be missed or misunderstood in an utterance or text that is produced by a non-native speaker of a language, especially where the speaker is expressing the experiences and values of his or her culture in a foreign language. An example of the way this might happen is given below, which A is an 18-year-old English-speaking young lady and B is an old Motswana woman. This exchange would be viewed by native a speaker of Setswana

as rather strange or only expected under exceptional circumstances and not a routine exchange.

A. Dumela Mma Thekiso.

B. Dumela Sherry ngwanaka; a o...

A. O tsugile jang Mma Thekiso?

B. Ke tsogile nwanaka wena o tsogile jang?

A. Ke tsogile sentle. Ba tsogile jang Bana ba gago Mma Thekiso?

The exchange is translated into English below.

A. Hello Thekiso's mother.

B. Hello Sherry my child, how are...

A. How are you this morning Thekiso's mother?

B. I am very well my child and how are you this morning?

A. I am very well. How are your children Thekiso's mother

Amongst the Batswana communities, an adult person is not directly called by his or her first name(s) or even his or her surname(s), especially by those who are familiar to the referent. In the example above, Sherry shows awareness of this social convention by referring to the older woman as somebody's mother. Like most languages, greetings in Setswana use different words depending on the time of the day and the age of the participants. In Batswana society, the significance of enquiring about the health of another person depends on the age of the questioner in relation to the respondent. A young person, or 'child' as he or she is referred to, is expected to initiate the greeting using the word *dumelang*, which is equivalent to *hello*. The -ng suffix is used when more than one person is being greeted or when the person being greeted is an adult and therefore conveys respect. Sherry did not show awareness of this social convention and therefore communicated over-familiarity with the

older woman or her authority over her. Also, according to social conventions of greeting, again to portray respect, the child may not enquire about the health of an older person but the older person is obliged to ask about the child's health *and that of his or her parents even if they do not personally know them*. This convention has been flouted in the example above (see also Grice, 1975).

A person who is not aware of the cultural norms and subtle changes in meanings caused by the morphology of a word or sound might use the correct words in a communicative situation and be surprised at a negative response in such a situation. He or she may not be aware that he or she has flouted the unwritten rules of social discourse relevant to such contexts, as the above example demonstrates.

Applications of linguistic politeness in texts have been done in the discourse of science (Myers, 1989), business (Hagge & Kostelnick, 1989; Pilegaard, 1997; Maier, 1992; Magocha, 1997), and economics (Bloor & Bloor, 1995). In the analysis of the structure of commands in business letters, Iedema (1997) uses the term *extra work* to reflect the considerations that are made by the writer when conveying directives. They note that the linguistic elements through which extra work is performed are in effect interactive and aimed at scaffolding for relationships.

1.7.1.1 Politeness theory applied to business writing

Hagge and Kostelnick (1989) apply the theory of politeness to auditors' suggestion letters written by a firm of auditors. Their results demonstrate that some locutions which recur in the suggestion letters can be explained using the politeness principles. They posit that several verbal and structural choices in language are a result of the speaker-writer's preoccupation

with cooperative and politeness principles. They identify resources and constructions that they argue work to avert potentially threatening utterances in the auditors' communication with their clients. They demonstrate that real communication in business does not only convey ideas, but also works to smooth and promote interpersonal relationships. Several of the linguistic features analysed include features such as modals, passive structures and verbs with semantic compounds.

Their approach to the identification and explanation of linguistic structures according to the interpersonal meaning is relevant to this study and is in-line with what is done in the study. It is also relevant to business communication pedagogy because learners deal with actual language in use rather than what is seen in, for example, Bovée and Thill (1986:77) and Murphy and Hildebrandt (1984:58) in their textbooks on effective business communication. In these books, linguistic structures are ignored and instead students are advised about what may or may not do. For example, students should avoid the passive in favour of the active, as the former gives force to the message or demonstrates the writer's responsibility. Bovée and Thill (1986) state that writers should use *may* and *seems* to avoid stating a judgement as a fact, and do not address the dialogic role of the words in the text as Hagge and Kostelnick (1989) do. The main weakness in Hagge and Kostelnick (1989), which is also the undoing of the linguistic politeness principle, is that it is not guided by any explicit theory of language and therefore generalises that the strategies used by the writers of the documents studied would be effective in all situations. Research has shown that this is not true and that the interpretation of interpersonal meaning varies according to cultural norms and situational context (see Kachru & Smith, 2008). These studies, unlike Hagge and Kostelnick (1989), recognise the presence of cultural and situational diversity and its influence on language use.

They recognise English as a world language that is adapted to reflect the experiences and situations of its users.

Magocha (1997) replicated Hagge and Kostelnick's (1989) study, using letters produced in the public service in Botswana that discuss a wider spectrum of issues. Based on the politeness principle, 40 memoranda were analysed to identify strategies that convey face-saving. The study confirmed that writers of documents were indeed aware of politeness locutions in their correspondences. The following are some of the linguistic features that the study examined: modality, copula verbs that convey hedging, personal attributions and impersonal constructions. Whether the locutions captured and expressed the same evaluative meanings in the culture and contextual situations of the participants as would be the case in other cultures or contexts was not clear. A further limitation of this study was that the expression of attitude was confined to the clause. Given that politeness could be explained in terms of attitude and acknowledging that it is however confined by culture and situational variables, Magocha (1997) is still limited in its coverage of interpersonal language. The data appears to suggest that interpersonal meaning is a property of words and yet some expressions convey or manage interaction in their description of events in the world.

Pilegaard (1997) goes beyond the clause to demonstrate that politeness can also operate across the text, where it serves to prepare for an imposition about to be made in a subsequent section or paragraph. The study was based on a corpus of a 323 business letters aimed at making and maintaining contact with business partners. Pilegaard's study is therefore a move to demonstrate that linguistic politeness strategies are situation-dependent and not a personal choice of the writer. For example, during the early stages of business contact, correspondences are expected to display more positive politeness strategies than negative

ones, as the purpose is to establish contact and social acceleration strategies are therefore appropriate. However, at a later phase when the purpose has changed, different strategies will be used and this will be reflected in the text structure (Pilegaard 1997). Linguistic politeness is therefore seen not only in terms of face-saving, but also as a situational construct using appropriate politeness strategies to express meanings that suit established expectations and practices with regard to the immediate situation. In the analysis, Pilegaard (1997) identifies linguistic strategies for acknowledging the writer. Some of these include locutions such as *Thank you for + ing*, *We thank you for + noun*, *We have pleasure in + ing*, and *We are pleased to + infinitive*. Other linguistic strategies include modals, passive constructions and pronouns that include the reader. It is however noted that cultures are different and each will have its own standards of politeness. In some cultures, the issue of face does not apply in the same way as in other cultures. Pilegaard (1997) is relevant for the current study, as the issue of situational context will feature as an important factor in determining attitude types and language structure in directives.

1.7.2 Studies on evaluation

The term *evaluation* is used by Hunston and Thompson (2005) to mean the expression of the speaker–writer’s attitude or stance, view-point on or feelings about the entities or propositions that he or she is talking about. Evaluation allows the speaker–writer to express attitudes not only about the world, but also towards his or her own actions or social contexts. It is both a mental and emotional process that is expressed linguistically, in order to bring about a dialogic effect.

Lemke (1998) is accurate in regarding the dialogic role of language. He analyses utterances for attitudinal meaning, which he refers to as a *slant*. He posits that such a slant or voice helps

to reveal social relationships or ideologies that are held amongst the social groups in which the language is used. According to Lemke a particular structure may express a variety of semantic meanings or attitudinal dimensions. He uses a corpus of seven editorials from three newspapers totalling 2676 words. The study found that grammar was closely related to evaluation, although the type or frequency of use of attitudinal dimension varied according to text type or context. The thrust of Lemke's (1998) work on the understanding of the functioning of language is that certain linguistic patterns are related to specific evaluative meanings. The study may help to explain the different semantic meanings or attitudinal dimensions that are related to different language patterns. The study found that evaluation in newspaper editorials was realised by grammatical items such as adverbs, verbs, nominalised processes, prepositional phrases and finite verbs. The relevance of Lemke (1998) to the current study is that text is viewed in terms of evaluation. The dimensions under which attitude was classified may be viewed in terms of a subtype of Attitude, Appreciation. The study also demonstrates that the evaluative meanings ramify through text following grammatical and logical links that show the structure of the text. This is an important point that the current study will address.

White (2003), in his analysis of two texts of journalistic commentary, also demonstrates that speakers or writers take stance in various ways to construe diverse communicative contexts, in order to bring about certain interactive objectives. In the study, White (2003) examines a taxonomy of resources that provide options by which the writer or speaker adopts a stance and discusses the rhetorical functionality associated with the resources. This perspective is termed *engagement* and will be discussed in detail in Section 3.2.2. The study shows that some wordings or patterns open up space for the audience and make an appeal to solidarity. Such wordings belong to a category termed *dialogic expansion* and amongst the examples in

White's (2003) corpus are formulations with subjective propositions, such as *I think*; modals, such as *could, would, perhaps*; and attributed formulations, such as *X said*. White notes that other patterns close up or challenge any space for possible alternative positions; these patterns are of the category termed *dialogic contraction*. Some examples of these include unhedged claims (also termed *pronouncements*); adverbials, such as *naturally, obviously*; formulations with reporting verbs, such as *shows, demonstrates, proves*; formulations with adverbs of manner, such as *convincingly, compellingly*; and the use of connectives and conjunctions to reveal the position of the writer, such as *therefore, accordingly, because*.

White argues that patterns of language construe social roles and that the speaker–writer constructs the relationship between himself or herself and the audience. In short, the study demonstrates that patterns of lexico-grammatical choice construe types of authorial personae and construct a particular relationship in a text. The study emphasises the view that language is fundamentally dialogic and interactive and that speakers align themselves with respect to other positions in the text in line with Bakhtin (1981).

Although some of the resources that White examines are epistemic modals, he goes beyond stance with respect to epistemic knowledge and demonstrates that the resources also have a dialogic functionality and contribute towards maintenance of interaction and rhetorical positioning. He notes that the resources construct a particular relationship with the modelled reader. Utterances that are dialogically contracted convey the attitude of a speaker–writer who has the authoritative power to make pronouncements and assertions. This is because such utterances tend to close out other positions as not permissible or possible. They also convey a social context in which the relationship that the speaker–writer envisages towards

the addressee is one of superior versus subordinate, which is equally acknowledged and endorsed by the addressee.

In contrast, utterances that are dialogically expansive tend to reflect the proposition as grounded on the individual subjecthood of the addressee and thereby representing his or her own value position as one amongst other possible view-points. The communicative functionality of these is to seek solidarity with the reader and thereby maintain a positive relationship. They have a persuasive appeal as they reflect an awareness of the addressor as one who might hold a divergent view and therefore grounds the proposition as one that is subjective.

1.7.3 Appraisal as interpersonal meaning

In this section, studies that focus on the dimension of interpersonal meaning referred to in Systemic Functional Linguistics (hereafter SFL) as APPRAISAL are reviewed. The framework in terms of Martin (2000) is a model for classifying and explaining semantic resources in discourse used to persuade the reader to share the writer's position with regard to a situation, process or behaviour. The resources are used to persuade the reader or listener to share feelings or perspectives that reflect those that are held by the writer and those in the culture in which the exchange takes place. The term therefore draws on studies that show that language is a tool for scaffolding for human affiliation or solidarity within social groups or institutions (Gee, 1999:1). This dimension of interpersonal meaning is particularly relevant to the current study because, as will be demonstrated in Chapters 4 and 5, the language used in directives goes beyond causing the reader to perform an action or think in ways determined by the writer. Directives have a clear reader-oriented focus as the writer recognises their dialogic aspect, which is part of the communication process. Another reason that the

dimension of interpersonal meanings described above is relevant to the current study is that directives are seen not as a personal matter, but rather as determined by the values of a community or by the experiences of the interlocutors (see Bakhtin, 1981).

1.7.4 Appraisal through text structure

Martin (2004) in his study of a newspaper article demonstrates the manner in which attitudes are interspersed and weaved into language. He maintains that in the newspaper article, the journalist deploys feelings of various kinds using a variety of resources that express Appraisal meanings, in order to invite sympathy or disapproval from the readers. The interactive role is performed through the writer's choice of lexis (direct realisations of attitude) and through descriptions of ideational meanings (evoked attitude or tokens). The description captures the attitude from the previous inscription although there is no explicit evaluation in the subsequent sentences. These also colour accompanying discourse in the text through resources that demonstrate the manner in which the sections of text are related.

Martin's (2004) analysis therefore demonstrates that scaffolding functions at the local level; in the clause using the lexis (evaluative adjectives and verbs), modal adjuncts and grammatical relationships, such as expansion; or across the clause complex through projections that reveal the writer's attitude or adjust a commitment to the feelings expressed in the interaction with the reader. Commitment can either be intensified or minimised. Scaffolding can also be carried out by the texture of the text, for example different types of conjunctions can be used to adjust reader expectations regarding the manner in which the discourse unfolds and to organise the events in relation to one another. The other textual resources establish the organisation of discourse in terms of information flow, in order to foreground the Appraisal and place it in prominent positions in the text. The overall effect of

these textual resources is to scatter evaluative meanings across various points, in order to create prosodies of attitude in the text. Coffin and O'Halloran (2006:144) refer to this as "an evaluative groove" (see also Louw, 1993, who terms it "semantic prosody").

Hood (2004:38) termed the meanings similar to the ones above an "evaluative key". She stated that interpersonal meanings refuse to be confined and resonate across the text in order to express a specific evaluative meaning in the whole text. She analysed a corpus of academic research papers and found that writers of academic research papers exploit patterns of discourse in particular sections of the articles in such a way that semantic meanings radiate across phases of discourse in the text, dynamically positioning the reader. Like those discussed above, her study demonstrated that patterns of discourse in a text play a rhetorical role, in her case, by persuading the reader to accept the writer's research findings. She added to the resources that Martin (2004) identified, such as adverbs for intensification and cohesive chains using nominalisation. This study further demonstrated that Appraisal is a complex and dynamic process that cannot be pinned down, particularly when it is implicitly weaved into the discourse to create what Lemke (1998) referred to as "extended prospective and retrospective propagation of evaluative meanings".

Horarik (2003) in her study on the manner in which narrative is constructed also found that there are resources in a narrative that function to invite emotional solidarity of the reader to empathise with certain characters, who focalise the significance of events to the reader, as well as those that encourage the reader to adjudicate the values adopted by a character. She maintains that the structure of the narrative functions to establish a "virtual dialogue" with the reader, expressed through Appraisal meanings that are scattered throughout the narrative. She notes several of those mentioned above and adds that narrative also makes use of tokens,

amongst which she includes the use of figurative language. They create a resonance, multiplying and amplifying meanings to capture the attention of and persuade the reader to act or appreciate the message and to create a community of readers with shared feeling and values. As a recommendation, Horarik (2003) suggests that the teaching of narrative focus on highlighting resources of inter-subjectivity (feelings) and super-subjectivity (ethical assessment of character's actions) as a means of assisting students in developing an active responsive understanding of narrative.

Another study that investigates the dynamic positioning of the reader using Appraisal systems is Coffin and O'Halloran (2005). Focusing on the analysis of a news story published in a British newspaper, *The Sun*, they observe that evaluation in the article is cumulative and that the article is constructed in a manner that causes a vertical 'groove' of meaning that dynamically positions the reader to adopt a particular position. They note that the co-text or accompanying discourse in terms of prior or subsequent instances of inscribed or evoked evaluation is used to prime evaluative meaning, even in sentences that appear evaluatively neutral. They demonstrate that through such selections, the writer communicates subtle messages intended to evoke certain attitudes amongst those who might otherwise hold opposing views. Coffin and O'Halloran's (2005) study is relevant to the current study because correspondence writers also create more impact in messages by selecting patterns that carry appropriate indirect evaluations. The writer is able to remain neutral or to subvert their personal investment in the attitudes conveyed in the co-text.

An important contribution that Coffin and O'Halloran (2005) make to the current study is in terms of the role of context. They note that context plays an important role in positioning the reader. They argue that what the reader knows, has heard before, or wishes for will affect the

meaning he or she attaches to the text or the writer. The evaluative meanings Coffin and O'Halloran express are representative of their social realities (see also Adendorff & De Klerk, 2006). News stories were found to use situational and cultural contexts to position the reader to view social and political events a particular way. This finding echoes Bakhtin (1981:293), who states that in every communication every sentence has a context in which it is produced.

When attitudes are presented at various points and unfold in the text such as described above, this has implications for the choice of a valid method of identifying such attitudes. Hunston (1994) and Rómer (2008) both make valuable observations that attitudes are not static and identifying them in a text can be disconcerting. Hood (2004) shares the same concern: she notes that counting and averaging may submerge unfolding attitudes that are carried in the texture of a text. A concordance analysis is therefore not a suitable method in this regard and an in-depth discourse analysis of a single text or several texts provides good insight into the identification of attitudes and their dynamic function in text. This was noted for the current study and thus both a concordance analysis and in-depth discourse analysis of texts from the corpus were conducted (see also Adendorff & De Klerk, 2006).

Adendorff and De Klerk (2006) apply the Appraisal framework to the analysis of the kinds of interpersonal meanings exchanged amongst mother tongue speakers of isiXhosa, a language spoken mainly in the Eastern Cape province of South Africa. Their isiXhosa-English corpus is composed of interviews with various participants totalling 540 000 running words. The participants discuss general issues relating to HIV/Aids in their locality. The results indicate a heavy concentration of evoked negative Judgement attitude. The researchers suggest that the result indicates a general group position that the spread of the disease was somebody else's

responsibility. This could be extended by stating that it reveals the social stigma attached to the disease regarding its association with improper sexual behaviour. This may however require confirmation by cross-referencing with the sources of data on the same topic from the same context, as suggested by Coffin and O'Halloran (2005:).

The central idea in the studies reviewed above is that information presentation is an interactive process in which semantic meanings are conveyed and interpersonal communication takes place. The focus in the current study, although investigating the same concept, is an application to texts that have a different purpose altogether, which is to direct and obtain a tangible reaction from the reader. It is this difference that marks the current study as unique from those presented above, thus rather a persuasion towards an action than persuasion towards an argument.

1.7.5 The role of context in appraisal

Martin (2004) supports the notion that contextual factors influence grammatical selections in discourse, including evaluative resources. Following Halliday and Matthiessen (2005), he refers to the resources as grammatical metaphor. This refers not to explicit lexical semantic values of attitude, but rather to the attitude evoked through descriptions, lexical metaphors or imagery. These resources create a resonance, multiplying and amplifying meanings for the prospective reader, seeking solidarity or attention in order to persuade them to act or simply to appreciate the message and create a community of readers with shared values. The current study will observe contextual factors relevant to the persuasion of the reader that influence the choice and structure of the language. This issue will be considered in more detail in the Chapter 3.

Precht (2003:257) concludes that the use of evaluative resources may vary from one culture to another. The study is based on a corpus of British and American English conversations consisting of 2 969 000 words. The thrust of the study is that cultures shape the way their members express their attitudes and that members are socialised to use specific markers or resources in particular ways. Several of the linguistic features that reveal cultural variation include *maybe*, *I guess*, *we need to*, *we could*, and *obviously*. Precht (2003:256) notes that members adjust their attitudes to contexts and audiences, in order to effect a particular reading position, usually affiliation or familiarity (see Gumperz, 1982; Kirkpatrick, 1997). This finding is relevant to the current study because similar adjustments were observed in the correspondences that this study investigates. In organisations, the hierarchical structure determines the kinds of evaluative meanings and the patterns used to express such meanings. The more senior an official's position, the more direct he or she can be in giving directives. In some cases, the department or ministry an official represents or an issue he or she is addressing may empower the official to be more direct. But if an official has a position that is less senior or junior, he or she tends to use patterns that convey indirect evaluation and therefore indirect directives (see Iedema, 1997). The social context or institutional practices constrain or allow who can exercise which level and manner of evaluation. Such contrasts are exemplified in the extracts below. This feature will be discussed in more detail in Chapters 5 and 6.

Related to Precht (2003), several researchers have argued that evaluation is a product of discourse and therefore an item expresses evaluative meaning only if it appears in a discourse environment. This means that evaluation plays an interactive role to serve social purposes within given contexts, rather than forming an inherent aspect of words and phrases. In her study, Bolivar (2001:134) claims that evaluation originates in social functions agreed to by

the interlocutors within a particular culture. She contends that evaluation in a text is not based on personal considerations made by the writer but is a product of the communicative needs that are born and maintained within groups and cultures (see also Fairclough, 1992 according to whom social context serves as the basis for both linguistic and grammatical choice in a text).

Thetela (1997) in her study of academic research articles demonstrates that semantic values for lexical items are evaluative in that they serve the objective-achieving function in the discourse (see also Hunston, 1993, and Thompson & Yiyun, 1991, who demonstrate that evaluation performs a variety of functions in academic discourse). She finds that in the context of academic research articles, writers express evaluation of two kinds of entities: process or the doing aspect of research and product or the findings and results. She concludes that the structure of the academic research article is therefore a product of communicative needs that serve the social function of the discourse (see also Hunston, 1994 according to whom discourse structure is community-driven and thus there are certain conventions that ought to be followed). Römer (2008) emphasises the importance of evaluation in academic genres. She concurs that evaluation is a resource that writers use to reveal their positions with regard to earlier work in their field as a strategy to facilitate introduction of their own research.

Biber and Conrad (2000) in their study find that in certain contexts text types have a preference for distinct use of stance adverbials. They investigate the expression of stance in texts involving conversation, academic writing and news reports, and find that the use of certain resources of stance is more frequent than the use of others. The study provides a basis for further investigation of the expression of meanings associated with different types of

attitudes and in which other linguistic and grammatical forms are used. They concede that other grammatical devices also function to express attitude (cf. Biber, 2006, in which a wide range of lexico-grammatical features used to express stance are investigated). Martin (2000) and others using the Appraisal framework have demonstrated that a variety of attitudinal values are expressed using an infinite number of lexical and grammatical devices. In other studies, including the current one, the analysis of the expressions of attitudinal meanings has been extended from lexis items to clauses.

In some ways, there are similarities between Biber and Conrad's (2000) framework of stance expression and Martin's (2000) Appraisal system, although the current study makes use of Martin's Appraisal as the theoretical basis. This is because Appraisal is found to be extensive and exhaustive in its categories and the patterns of expression of attitude belong to different grammatical groups. In terms of attitude type or kinds of stance, Biber and Conrad's (2000) semantic classes correspond to several of the semantic classes in the Appraisal system. For example, a wide range of meanings conveyed in the epistemic stance adverbials, attitudinal stance adverbials and style stance adverbials correspond to values of Appreciation. Epistemic stance adverbials in contrast can be compared with resources of Engagement and Graduation in the Appraisal framework, in which speakers adopt a stance towards the value positions referenced in the text, in order to perform social functions in the discourse.

1.8 Conclusion

Chapter 1 has considered those aspects of language that contribute towards the management of interaction. Studies that investigate the role of context in management of interaction have been reviewed and it has been established that context is indeed an important factor in language use and meaning-making. The discussion has also focused on the approaches or

theories that may be used to interpret the interpersonal role of language. This has been done in order to establish the relevance of these studies in relation to the objective of the current study, which is to explain the way writers of directives construct their messages to facilitate positive responses from the audiences. Two general approaches, Politeness and Evaluation, have been identified as possible candidates for explaining the dialogism that is involved in writers conveying directives. It has been noted that although the Politeness theory recognises the dialogic nature of language, it is prescriptive and limited to the lexicon and therefore inadequate to explain most resources which are used to perform the interpersonal function in directives.

Evaluation or stance has however been found to offer more insight into the way language is used to persuade the audience to accede to directives. The studies based on these approaches have been reviewed, and it has been established that different resources are used to convey semantic meanings that have dialogic roles. The review has examined APPRAISAL theory, which, as it has been noted, refines the concept of evaluation and provides a theoretical basis, which dovetailed into SFG. This is because SFG has been found to be a better and more manageable theory for explaining the nature of language compared to formal theories, which seldom pay adequate attention to context and the dialogic nature of language. The studies on APPRAISAL I have been found to have been applied to different contexts and to demonstrate different resources used to establish goodwill amongst interlocutors.

CHAPTER 2

THEORY OF LANGUAGE

2.1 A fundamental view of language

Chapter 2 provides a theoretical framework for the expression of meaning in order to construct positive communication during the issuing of directives in business correspondence writing. The theoretical framework is located in SFG, which was developed by Halliday and his associates and explains language in terms of functions that operate in human communication. Meaning is not used in its restricted or dictionary sense, but it is used to refer to the sense that the addressee intends for the audience to understand in the message. This is found in the entirety of the message in its social context. Meaning is therefore viewed in terms of the functions that the language realises in context. According to SFG, therefore, language is a system of expressing meanings and performing functions in social contexts. It is seen as performing three types of functions: informing about the experiences being talked about, conveying the kind of relationships that are at play in relation to the experiences and participants involved, and demonstrating the way the information and the relationships are connected. In SFG, these are referred as metafunctions, and they are termed the Ideational function, Interpersonal function and Textual function, respectively (Halliday, 1994). The thesis of this study is that the interpersonal function has a critical role in enabling communicators to understand each other and to ensure that the communication is beneficial and sustainable. The central argument therefore revolves around the ways the interactive function is constructed in language.

Systemic Functional Grammar considers the architecture of language in terms of an inherent system of choices that are influenced by the functions that the language performs in the social

contexts in which the language is used. This means that the addressee chooses from the linguistic systems the options that appropriately serve the relevant metafunctions and suit the social contexts. This system of choice is viewed as operating at two levels and reflected in the structure of the components in the clause and the selection of lexis. The language systems reflect the three types of roles of language usage or types of meanings. Each meaning has its own distinct structure, but they all combine into one, as the theory considers the clause as the basic unit of analysing meaning or language functions. It is for this reason that the clause structure can be analysed to reflect any of the levels of meaning. Consider the following example to illustrate this point:

(1) What the hell was that noise?

The speaker could have made a statement such as “there is a noise”, but instead a question was preferred over such a statement. Thompson (2004:54) argues that the fact that the addresser chose to use a question (interrogative) over a statement (declarative) has affected the ordering of the elements. This type of choice is termed the syntagmatic order. A further choice was made regarding what could be included in the question; for example, it could simply have been ‘what was that noise’? Rather, the speaker opted to include “the hell”.

According to SFG, the selection of this expression and the choice of the interrogative communicate another level of meaning, in this case the interpersonal meaning, which reveals the emotional involvement of the speaker and the relationship with the audience. This meaning is realised in the systemic patterns operating at the levels of structure (syntagmatic) and system (paradigmatic). The systemic choices are not consciously made but are considered as such, given the options that were available but not selected. Both the

syntagmatic and paradigmatic ordering correspond to each of the three metafunctions in a context. To put it differently, each of the functions has its own linguistic options operating at each level to suit or create the context of the language use.

Following this approach to language, the writer will select linguistic components from a set of options that operate at the two levels to convey the message, for example in a communication situation within an organisation, in which a supervisor writes a memorandum to a subordinate to ask him or her to carry out an action. The linguistic systems selected will therefore appropriately reflect the context of the communication. This illustration reveals six assumptions about language:

1. language is used for communication;
2. there are different levels of considering the systems that make up language;
3. each level expresses more than one function;
4. the functions contribute towards the success or failure of the communication in a given context;
5. the functions performed by the systems used as language are influenced by the context in which the language is used; and
6. language creates a context.

2.2 Language as systems of choices

It has been noted above that the language system is about choices along the paradigmatic and syntagmatic axis. Systemic Functional Grammar contends that at each level the language systems provide options of linguistic configurations to choose from, in order to create messages that can be clearly understood and appreciated by the participants and are appropriate to the social contexts of the participants. In the discussion that follows the

architecture of language in terms of the systems of choices that are at play in every act of communication is considered.

2.2.1 The syntagmatic order

This refers to the compositional structure of language that reveals a form of order in the way language is constructed. According to Systemic Functional Grammar the structure of language is reflected in the way sounds are combined to form words; words are combined to form groups, groups are combined to form clauses, and clauses are combined to form sentences. The theory maintains that both speaking and writing systems reflect this kind of ordering structure and that the language system is a kind of ordering system in which three types of meanings are expressed. A clause or a complete text in the form of a memorandum or letter is a larger unit in which smaller elements combine to form hierarchies of various intermediate sizes.

Systemic Functional Grammar considers language in terms of usage and suggests that the functions can be analysed by considering choices in the structure of the elements. It maintains that the clause is the level of structure at which the functions are expressed. The theory terms the system of combining that operates in the clause, constituency, and that language is a system of constituents, which are patterns of smaller units combining to form larger ones in a hierarchical form (Halliday & Matthiessen, 2004:5). Each constituent is formed by choosing from options amongst units at a lower rank in a system network. Systemic Functional Grammar refers to the system of choices amongst options in the constituent structure of the clause as syntagmatic patterns.

The principle that governs the patterning systems in the clause lies in the notion of rank. In this notion, any component can be split into smaller units of a different kind at a rank below. Rank demonstrates parts of the systems of language that are combined to form a group or groups. For example, one morpheme makes up a word or is combined in a group to form a word. A word may be combined with others in a group to make up a complex, which may have the experiential structure of a noun group, a verb group or an adverbial group. More than one group may be combined to form a clause. More than one clause may be combined to form a clause complex or a sentence. The constituents of a sentence, which are outlined according to rank, demonstrate that a sentence consists of one or more clauses (clause complex) and that each clause is made up of more than one group. In a clause complex, the clauses form a compound, which reflects two types of relationships or links between the clauses. The clauses may be linked in terms of the degree to which the clauses are interdependent, also termed taxis (parataxis and hypotaxis) or the manner in which the clauses are linked together (expansion and projection; see Halliday & Matthiessen 2004:365-485) The compositional structure of sentence 2 is illustrated in Table 1 below.

- (2) Recent reports have revealed that staff knock off before the official knock off time though warnings about this practice were made in the past.

Table 1: Partial analysis of constituents of a sentence

Sentence	Recent reports have revealed that staff knockoff [[before the official knock off time]] though warnings [[about this practice]] were made in the past
Clause	Recent reports have revealed that staff knock off [[before the official knockoff time]] though warnings [[about this practice]] were made in the past.
Group	recent reports (NG) have revealed (VG) staff (NG) knockoff (VG) before the official knock off time (ADV with PP) warnings about this practice (NG with PP) were made (VG) in the past (PP, with Adverbial or circumstantial function)
Words	recent, reports, revealed, staff, the, official, warnings
Morpheme	recent, report (-s), reveal (ed), make (ed), warning (-s)

Key: NG = Noun Group; VG = Verb Group; PP = Prepositional Phrase; ADV = Adverbial Group

An important contribution to the theory is that each element that is selected in the system network (and there is such a system network within each rank) is in a syntagmatic relationship with the other element or elements of its rank. This explains the way in which text is constructed or the way language is formed to perform functions in utterances or texts. Interpersonally, this means that options from linguistic configurations are carefully selected to combine in particular ways that attract particular interpretations. Halliday and Hasan

(1989:16) aptly put it that “the organisation of every natural language is to be explained in terms of a functional theory”.

2.2.2 Paradigmatic choices

Paradigmatic choices relate to the selection of words that combine in a paradigmatic relationship to create messages. Systemic Functional Grammar views language in terms of a system network whereby layers of meaning are added based on the selection of items from amongst a set of alternatives. The theory argues that there is a principle guiding the selections from the sets of alternatives, which is termed *the principle of delicacy*. A word that is selected to appear together with others in a group is selected from alternative words in a relationship of some kind. The selection could be based on a relationship of synonymy (being alike), antonymy (opposites), hyponymy (subtypes) or meronymy (parts of the whole). In this way, therefore, selection of wording is an important consideration in language. Writers of business correspondence thus take great measures to select words that will not only clearly convey what they wish, but will also contribute towards positive interaction. An extract from a piece of writing in which a request is made is given below to illustrate this point.

(3) May I once again **appeal** to your office for assistance on this matter.

The word *appeal* has been bolded to demonstrate the option that was selected. The word was selected from other alternatives with meanings that are in a relationship of opposites, in order to capture the experience that is being discussed. *Appeal* is selected in favour of *force*, but further apart, it is selected from other contrasting experiences, such as *sleep*, *eat*, *talk* and *bath*. According to the principle of delicacy, an option that is selected opens up a set of others from which further selections can be made. The choice of *appeal* would be made from further

options that are related to word such as *tell*, *ask* and *plead*. If *plead* is selected this will be on the basis of polarity, where selection reflects a negative assessment of the participants based on certain factors; it could well be an interpersonal one reflecting the writer's attitude towards the matter at hand. Choices are made at the domain of experience, but they are also made to reflect the nature of the processes involved.

2.3 Function as a fundamental principle of language

The concept of *functions of language* was developed by the anthropologist Malinowski (1923) in his early work amongst a group of inhabitants in the Trobriand Islands in the South Pacific. Although he was not a linguist, Malinowski concluded that language was used to serve two functions, which he classified into pragmatic and magical categories. This is what he (Malinowski, 1923:311) wrote in his attempt at forming a view of the nature of language:

The structure of all this linguistic material is inextricably mixed up with, and dependent upon, the course of the activity in which the utterances are embedded.

By this Malinowski meant that if one wanted to understand the nature of language, one would have to consider not the actual words used, but the way in which the actual users come to build meaning in their linguistic behaviour and the activities that they are involved in while using the language. According to him, language is not a neutral vehicle that connects people, but it is used differently in different social and cultural settings. This view of language gave rise to the principle that meaning and structure in language should be traced from the context of what people use it for and in the circumstances in which they use it. Each context provides rules to do with what language is used for and the manner in which it is structured. In his philosophical lectures, Austin (1962) summarises the view that language is used to perform acts. The act may be to state, to question, to promise, to order, to declare or any other possibility. He also said that the uttering of a sentence is part of doing the action and that

what is required for the performance to hold is certain felicity conditions or appropriate contexts. Both the anthropologist and the philosopher agree that context affects language in two ways: in the choice of symbols (paradigmatic level) and the order of the symbols (syntagmatic ordering; see also the theory of definition in Ogden & Richards, 1972:126). The discussion on the role of contexts is continued in more detail in Section 2.6.

Buhler (1934) too agrees that functions provide the principles of linguistic structure and meaning. But for him, rather than viewing the functions in terms of a context rooted in social and cultural activities or groups, context is related to the ways the individual's mind operates to serve personal or social needs. Although he focuses on the individual as the one shaping linguistic behaviour, which is not surprising because of his background as a psychologist, Buhler's acknowledgement of functions corresponds to Malinowski's. He views linguistic structure in terms of what is favourable to the individual and which might change with space and time. He maintains that individuals create signs and structures to perform three functions. These are to express the way they feel, to represent the physical world and experiences, and to talk about self and other. What may be taken as Buhler's contribution to the linguistic theory of this study is that meaning and linguistic structure are shaped by the individual's desire to influence others. A similar observation can be read into what Ogden and Richards (1972:231) state: 'the charge is sometimes brought against writers on the psychology that they have neglected the side of the listener'. They note that preoccupation with representation as the chief function of language is disastrous (see also Römer, 2008).

2.3.1 The three functions of language in the clause

According to SFG, the clause is the basic unit that expresses a message that can be understood. The theory holds that the components in the structure of the clause reflect all of

the three types of functions. What this means, regarding the grammatical structure of the clause, is that it can be analysed so that its interpretation reflects it to be performing any of the metafunctions. For example, the analysis of the structure of the clause may reveal the speaker or writer in the utterance as focusing on the flow of experiences in the world around or within, it may reveal him or her as engaged in the management or sustenance of interaction, or it may also reveal him or her as engaged in demonstrating the manner in which the experience or the interaction or a combination of both are organised or related in the text. This section returns to SFG in order to demonstrate the manner in which the metafunctions influence language and its structure. As the focus in the study is on the interpersonal role of language in communication, only a passing treatment of the way the ideational and textual functions influence language is given. Rather, emphasis is placed on the way the interpersonal function permeates language and structure.

2.3.1.1 The experiential function

It was indicated above that the functions the speaker or writer wants to perform in utterances or communication influence the choice of language and its structure. The experiential function is performed by those linguistic elements in the clause that reveal the 'who does what' axiom, or which reveal the flow of experience. The flow of experience is represented in the structure of the clause as the participants and their qualities, the actions in which they are involved and in some cases the circumstances surrounding them, their qualities or their actions. The experiential function is revealed in various ways known as *transitivity system*. Experience is therefore represented in terms of transitivity system or types of processes. The transitivity system is expressed in clause types, which are material clauses, mental clauses, relational clauses and verbal clauses. The other two processes, which are considered as subtypes of the four above, are the behavioural clauses and existential clauses. Each process type reflects a specific grammar or clause type to demonstrate that the experiential function is

conveyed in a variety of ways depending on the type of process that is the focus of the experience. The grammar demonstrates the different participant roles and labels that are given to the elements in the utterances.

2.3.1.1.1 The material clause

The experience involves something or somebody effecting concrete change in the flow of events. The source of change is the Actor, who is the one responsible for the action. Consider the example below:

- (4) John took the money to his mother after hearing that she was ill in hospital.

John is the **Actor**.

When there are other participants in the process, they are given other roles. In sentence 4 above there are three participants: *John*, *money* and *his mother*. Each participant is given a role as follows: *money* is the **Goal**, as the process *took* is extended to it. The other participant, *his mother*, is given the role **Beneficiary**, as she is the one that benefits from the process. The function performed by *took* is that of **material process** and *at hospital* is the **Circumstance** depicting place.

Tables 2 and 3 below show the variation of structures or utterances, in which the focus is the experiential function, and the labels given to the other elements in the structure.

Table 2: Material process (active)

Actor	Process	Goal	Beneficiary	Range	Circumstance
John	took	the money			from the bank
He	took	the money	to his mother		after hearing she was ill at hospital
He	took			a hot bath	

Table 3: Material process (passive)

Goal	Process	Circumstance	Circumstance
The money	was taken	from the bank	yesterday

2.3.1.1.2 The mental clause

With mental clauses, the flow of events occurs in the mind of a participant on whose emotions the process impinges. The role given to the participant is therefore **Sensor**. The other participant is given the role of **Phenomenon**. It is that which is felt, thought, perceived or wanted. It might be realised by several things such as a finite or non finite clause, as a noun group or as a prepositional phrase. Mental clauses may also be expressed either as projected clauses or as expansions. Consider the examples below.

- (5) It scares [Process] me [Sensor] **that you are not taking your medication** [Phenomenon]
- (6) She [Sensor] wished [Process] **to be left alone to enjoy her holiday** [Phenomenon]

- (7) I [Sensor] noticed [Process] **the hurt in her eyes when she visited** [Phenomenon].
- (8) She [Sensor] enjoyed [Process] **the city** [Phenomenon]

2.3.1.2.3 Relational clauses

Relational clauses model experience as *being* rather than *doing* or *sensing*. A relationship of being is set up between two things with the predicator realised by the *be* verb used to signal the existence of the relationship. Two types of relationships are signalled in relational clauses. The relationship of one thing to which an attribute is ascribed is termed an **attributive** relational process. The participants or things are given the roles of Carrier and Attribute, respectively, as in Table 4 below.

Table 4: Relational clauses with an attributive process

Carrier	Process	Attribute
The lecture	seemed	complex at the beginning

The role of carrier is realised by a nominal group, which may be a noun or a clause, while that of the role of attribute is realised by a nominal group.

- (9) **The fact that I saw them leave** was the most saddening moment in my life.

The second type of relationship is termed an **identifying** relational process and it is used with flow of events, whereby one entity is identified in terms of another.

Table 5: Relational process with an identifying process

Identified	Process	Identifier
He	is	the corrupt policeman

2.3.1.2.4 Verbal process

These involve processes of saying, which range between the material process (saying is a physical action) and mental process (saying reflects a mental operation). The experience involves the transfer of what is in the mind through language using vocal organs. The participant involved is termed the **Sayer** and might be human or inanimate. Another participant who may be involved is the **Receiver**, if the process is addressed to the participant. In some cases, the verbal process may be directed at rather than addressed to another participant; in which case the participant is given the role of **Target**. Another kind of participant that may appear in the verbal process is a message or content termed **Verbiage** rather than the target or receiver. Another element is termed the **Circumstance**, which reveals something about the way the process is accomplished. Table 6 provides an illustrative analysis of examples of verbal processes in simple clauses. Tables 7a and 7b provide examples of utterances of some verbal process in complex clauses.

Table 6: Verbal processes

Sayer	Process	Circumstance	Receiver	Verbiage	Target
He	repeated			the warning	
I	explained		to her	what it meant	
The report	criticises	sharply			the officer's behaviour

Table 7a: Projection clause

Projecting	Projected
I said	that you should complete your work
It was reported	that all had died in the accident

Table 7b: Expansion clause

Main clause	Expansion enhancement
The report sharply criticises the members	for their lack of attendance at the meeting

2.3.1.2.5 Behavioural and existential processes

The final two processes share several characteristics of the major types; for example, behavioural processes share characteristics of mental processes, while existential processes are related to relational processes. Behavioural processes are related to human physiological processes that do not express conscious physical acts, for example *watch*, *frown* and *listen*. They typically have a participant who is termed the **Behavior**. Another participant who specifies the domain of the behaviour may be included; this is termed the **Range**. Another element, which is not necessarily a participant, is termed the **Circumstance** (this could be present in all the processes and is realised by circumstantial Adjuncts, but not by modal or conjunctive Adjuncts) and it encodes the background against which the process takes place. Consider Table 8 below:

Table 8: Participant roles in behavioural process

Behavior	Process	Range	Circumstance
He	gave out	a loud cry	
She	waved	her hands	desperately
The woman	wandered		aimlessly as she awaited the report from the doctor

With existential process types, the existence of an entity is expressed without necessarily reporting any activity or process related to the Subject of the clause. The participant is therefore given the role **Existent**. If there are any other details not central to the meaning of the clause, they are given the role of **Circumstance**. Consider the example in Table 9 below. The word *there* is not analysed because it does not have experiential meaning except to function as a Subject of the clause.

Table 9: Participant roles in existential process

	Process: existential	Existent	Circumstance
There	was	a report	on the desk

The discussion of the different types of processes has revealed several of the patterns of language that writers or speakers use to express the experiential meaning. It should be emphasised here that the same structures can be analysed to reveal both the interpersonal and textual meanings, depending on the purpose of the analysis of the text.

2.3.2 The interpersonal function

The preceding discussion focused on the grammatical structure of the clause in relation to the use of language to talk about events in the world; that is, the patterns of structure used to

express the ideational or experiential meaning were illustrated. In this subsection, the grammatical structure of the clause in the way language is used to carry out and maintain interaction amongst interlocutors is discussed. It is noted that SFG maintains that the structure of any clause reveals in a number of ways, the kind of relationships that prevail in the communication. The main thrust of this study is to demonstrate the way writers of correspondence use language to establish and maintain beneficial relationships with their audiences in business communication.

In order to carry out the task above, what Halliday (1985) views as the nature of human interaction is presented. According to him, participants during interaction are engaged in a process involving the exchange of commodities, which he terms *information* and *goods* and *services*. He therefore views interaction in terms of *giving* or *demanding* either goods and services or information. In terms of the clause, giving or demanding information corresponds to the structure termed indicative structure, which is either a statement (declarative) or a question (interrogative), which are technically termed *propositions*. In contrast, giving or demanding goods and services has a structure termed *imperative*, which is either an offer or command and termed a *proposal*. Halliday refers to these variants of interaction as *speech functions* so that participants are seen as carrying out these functions during interaction. These are illustrated in the Table 10 below, adapted from Halliday and Matthiessen (2004:107). Both indicative and imperative speech functions can be analysed at any of the levels of the three metafunctions of language.

Table 10: Giving or demanding goods and services or information

Role in exchange	Commodity exchanged	
	(a) Goods & services	(b) Information
(i) giving	‘offer’ take this teapot.	‘statement’ he’s giving her the teapot
(ii) demanding	‘command’ give me the teapot!	‘question’ what is he giving her?

2.3.2.1 The mood elements

In this subsection, the grammatical constituents in propositions and proposals that reveal the interpersonal meaning in the clause are examined. Halliday and Hasan (1985; see also Halliday & Matthiessen 2004) term it the Mood block and state that it functions to reveal the speaker’s or writer’s position regarding the validity of the assertion in the clause or, if the clause is a proposal, their degree of obligation or inclination. The Mood is expressed by two elements in the clause: (i) Subject, which functions as the nominal group in the clause; and (ii) the Finite, which is part of the verbal group.

Consider sentence 10 below.

(10) He’s giving her the teapot.

The Mood element carries the interaction forward with the argument clearly expressed as follows:

Table 11: The Mood structure

He	's	giving her the teapot
Subject	Finite	Residue
Mood		

Halliday and Matthiessen (2004:117) point out that the speaker rests his or her case on *he* (Subject on whom the responsibility of the proposition is placed) + *is* (Finite, which indicates the kind and degree of validity of claim about the Subject). The Subject is the entity that is responsible, according to Thompson (2004), for the truth of the claim being made about the entity. In the utterance above, it is *he* who *is giving her the teapot*.

Both the validity of the subject and the Finite can be asserted or refuted, by repeating or amending elements in the Mood or by simply accepting or demonstrating agreement, and the interaction will be complete and therefore go forward. For example, *yes, he is giving her the teapot* or *no, he isn't giving her the teapot*. If the subject is changed, then a completely new message or new claim is made; for example, the speaker might say *No, he is not but the company is giving her the teapot*. A change in the Finite only marks a change in the validity of the claim made in the proposition and not a new claim. The Mood constituent therefore indicates that the speaker or writer is in tacit negotiation with the audience in terms of who the subject is and the validity of the claim. It is therefore the focus of the exchange in the clause. Although the exchange occurs simultaneously, two kinds of negotiations are occurring. The first negotiation pertains to the entity that is responsible for the claims made in the proposition. The second, also reflected in the Finite, pertains to the validity of the proposition in three basic ways (see Thompson, 2004:53):

- whether the proposition is valid for the present time and actual situation for other times – past, future or for unreal situations (tense);

- whether the proposition is about positive or negative validity (polarity); and
- the extent to which the proposition is valid (modality).

The Finite may express two types of modality, termed modalization (when the clause is indicative) and modulation (when the clause is imperative). This is presented in Figure 1 below.

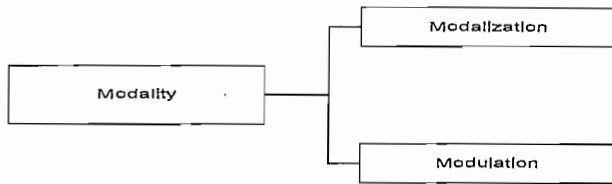


Figure 1: System network for modality

In this sentence, which serves as illustration: *the information was sent last week to all affected departments*, which is an indicative and declarative clause, the functional role of the Finite element *was*, is to reveal the modality of the proposition. Systemic Functional Grammar identifies two options available for expressing opinion about the validity of the proposition or modality in terms of whether it is probable or usual. This is shown in the system network below.

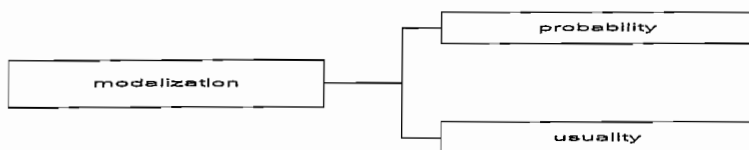


Figure 2: System network for modalization

Each one of the options of modalisation has further options from which to choose in order to express likelihood of the validity of the proposition. For example, in the declarative statement, a selection was made from three available options, presented in Table 12 below.

Table 12: Declarative statements

<i>The information was sent last week to all affected departments</i>	certainty
<i>The information was possibly sent last week to all affected departments</i>	possibility
<i>The information was probably sent last week to all affected departments</i>	probability

Modalisation may be carried out as a choice amongst a finite modal operator, a combination of a modal operator and a modal Adjunct or a modal Adjunct as in the examples 11 to 13.

(11) The schools **might be** established in unrecognised settlements in which case they will be unregistered and therefore operating illegally.

(modal operator expressing low positive certainty)

(12) They **could be possibly** complaining of the long hours they are made to wait before they are served.

(modal operator and modal Adjunct expressing low probability)

(13) They **always** complain of the long hours they are made to wait before they are served.

(Adjunct expressing high usuality)

If however the clause is imperative (proposal), the modality type is modulation and marks the speaker's or writer's persuasion. Two options for the imperative are available to select from

in terms of command or offer. If the option of a command is selected, then the Finite element has the semantic role of expressing the writer's assessment of the command to the other person. The semantic value of the assessment can be expressed as in Table 13.

Table 13: Proposal clauses

<i>You should go now</i>	high obligation
<i>You ought to go now</i>	low obligation (advisable)

The expression of command may be a choice amongst a finite, a combination of finite and a modal Adjunct and an expanded predicator (Halliday & Matthiessen 2004:147); examples are given in 14 to 17 below. The choices in 14 to 17 are examples of the options that writers would think suitable, given the relationship that they wish to convey or uphold with addressees, particularly the choices involving *should*, *highly*, *appeal* and *requested*.

(14) You **should** go now. (Finite)

(15) We **would definitely** appreciate your response by 10 March 2006.
(Finite + Adjunct) (Madikwe. A.M. 1. 1 9 txt)

(16) You **are** requested to mobilise your staff to attend this ceremony.
(Finite) (Obita G.P. 2. 1 3)

(17) We **appeal** to all to cooperate fully in this exercise so that the objective can be realised. (Finite) (Fanakiso. T.J. 1. 1 6)

In utterance 14, the finite *should* reveal obligation of the writer with respect to the action required (its necessity) and therefore the authority he or she has over the receiver. In utterance 15, the obligation is mitigated by choice of predicator, although the commitment of the writer is intensified in the modal adjunct. The addition of the mood Adjunct of high certainty, *definitely*, is linked to the syntagmatic order and gives more intensity to the command expressed as a mental process. In utterance 16, the degree of obligation of the addressee is mitigated by the choice of predicator and the distance created between the writer and the command by the passive form, which works to introduce an external participant. This works to add to the authoritative voice of the text (see Iedema, 1997). From a paradigmatic point of view, there were options that were considered and discarded before the writer could settle for *requested*. The same can be said for utterance 17. Biber (1988:148) states these structures are examples of *overt expressions of persuasion* and that they reflect the different relations that hold amongst the participants in the communication exchange.

When the structure of offer is selected, the Finite carries the semantic meaning that expresses inclination and is represented in degrees of willingness of the speaker to fulfil the offer in terms of ability, willingness or determination.

Table 14: Offer clauses

<i>I am appointing a new manager</i>	ability
<i>I would like to be appointing a new manager</i>	willingness
<i>I am anxious to appoint a new manager</i>	determination

It shall be noted in the table above that the expression of offers may be carried out in a choice between Finite operator and a combination of a Finite and an Adjunct, respectively.

The expression of modality may be graded or scaled according to the extent of responsibility the speaker accepts for the attitude being expressed. Scaling is in terms of the values of high, medium and low, as exemplified below (Halliday & Matthiessen, 2004; see also Martin & White, 2005:139-153).

(18) The information was possibly sent last week to all affected departments.

(19) I may/could/might be appointing a new manager.

(20) You have to go now.

Examples 18 and 19 express a low commitment of the speaker with respect to probability of the likelihood of validity of the proposition compared to the categorical statement in 15 above. The mood Adjuncts may also be intensified by (*very*) *well* in order to heighten probability and therefore bring it to a high degree. It is for this reason that they are taken as expressing high value attitude. In example 20, the use of the lexico-modal *have to* suggests that the source of the obligation is external and this makes the illocutionary force objective and binding for the addressee to carry out the command.

Example 21 conveys low attitude value, with the addressee expressing not possibility but an inference that is reasonable. This is subjective and the expression of probability makes the writer recede increasingly into the background in terms of the degree of his or her assertion in the proposition, *sent last week*. The same argument can be made for utterance 22, for which the use of the lexico-modal *should be* means *expect to be appointing a new manager*. The

imperative in utterance 23 introduced by *ought to*, although it is also subjective, does not express an obligation that is as binding as is the case with utterance 20. It gives the addressee the leeway to fulfil the obligation should they wish to; hence, it is low in degree of obligation. The speaker appears only to be giving advice rather than obligating the addressee to go. As a politeness marker, it mitigates the impact of the imposition that comes with ordering somebody *to go*, and to address the addressee's negative politeness, the addressor minimises imposition by recognising the addressee's freedom not to be imposed upon and giving him or her an option to make a choice. It could also be an indication of the lack of authority on the part of the speaker to impose an obligation.

(21) The information was probably sent last week to all affected departments.

(22) I should be appointing a new manager.

(23) You ought to go now.

In the preceding paragraphs, modality is discussed as carrying either a subjective or an objective loading as related to the degree of commitment or obligation. This demonstrates that speakers express their point of view by stating it as their subjective point of view or as objective and therefore factual. Consider example 25 below.

(24) *I expect all those invited to report early for the workshop*

In the example, the assessment is subjective as it is based on the subjective point of view of the writer. The subjectivity further betrays the authority that the writer assumes for himself/herself in his/her expression of higher obligation. Objectivity, however, disguises the

commitment of the writer and makes the obligation seem like a quality related to the proposal and not to the writer as in the example *it is expected that all those invited report early for the workshop*.

Regarding the problem statement of this study, which is to investigate ways that writers use language to manage interaction, it is noted that in utterance 21 an opinion in terms of the writer's objective certainty is implied in the proposition. It may however be subjectively implied as in *the information must have been sent last week to all affected departments*. It may also be explicitly subjective as in *I am certain that the information was sent last week to all affected departments*. Lastly, it may be explicitly objective as in *it is certain that the information was sent last week to all affected departments*. Each of the variants of the mood elements in the examples above expresses a different meaning, which may have a different effect on the impact of the discourse. For directives, the impact of the mood elements is particularly important. It reveals the context of the communication such that if it does not suit the context, then a problem in communication would arise.

2.3.3 The textual function

The textual function concerns the ways in which language is used to construct connected utterances or passages of discourse in specific contexts. The resources that perform the textual function reveal the way the ideational and interpersonal meanings in an utterance or in a text cohere in a context of situation. There are two types of links. The first link is reflected in the structure of the clause and demonstrates the way the message is structured and is termed *theme* and *rheme*. The second link reveals the logico-semantic relationships between one clause and another one that has gone before in the discourse and is termed *cohesion*.

The organisation of the message in terms of Theme and Rheme enables the speaker or writer to choose the order of the message to reflect the point of departure and the part which gives more information in a clause or text. The point of departure is also termed the topical Theme, and might be a participant, a circumstance or a process. The speaker or writer may choose to include other elements in the Theme position, which have the textual or interpersonal functions in the clause. These are termed textual or interpersonal Themes. The textual theme is related to cohesion, which is concerned with the logico-semantic relationships within a clause and across clauses.

Notice therefore that a variety of constituents may appear in Theme position. Several of these are nominal groups, verb groups, adjuncts, prepositional phrase, complements and projecting clauses. The following examples are sketched to illustrate theme and rheme.

Table 15: Theme and Rheme

Theme	Rheme
John <i>[subject: nominal group]</i>	went to church
The purpose of this savingram <i>[subject: adverbial phrase]</i>	is to request your department to nominate an officer to be a member of the committee.
We request <i>[subject(nominal group+ process)]</i>	that you look into the issue and give us the best possible assistance.
What happened on that day <i>[textual adverbial phrase]</i>	was that all employees were made to sign new contracts.
Meanwhile, <i>[textual :adjunct]</i>	a list of staff members has been submitted for consideration.

Apparently <i>[textual: adjunct]</i>	the company shall continue with retrenchments till the situation improves.
Sensing the looming economic crunch <i>[textual: adverbial phrase]</i>	the company sold off most its asserts.

2.4 Systemic Functional Grammar versus Linear Unit Grammar

In the previous section, the view that the architecture of language is based on the functional model of language was presented. It was noted that there are three basic functions that language is used to perform, notably, the ideational, interpersonal and textual functions. It was noted further that the performance of all three of the functions is simultaneously manifested in the structure of the clause. This therefore means that the nature of language can be described by focusing on any of the three functions. In the context of the aim of the current study, commands and directives are described in terms of the way language is used to provide for and manage interaction in order to sustain positive communication. Systemic Functional Grammar is therefore a relevant theory because positive communication is a function that language is made to serve. In this function, language is used to express statuses and convey attitudes, assessments and judgements. As the underlying theory, SFG assists in explaining the language of commands in terms of options that are selected from within a system in contexts within which the commands are conveyed.

Basing on SFG, the interpersonal function or management of interaction in commands is manifested in the mood system of the clause. The manifestation is revealed in the participant roles and statuses and the modality in the commands. It has however been noted that Halliday and Matthiessen (2004) put a limit on what they see as expression of interpersonal meaning.

Specifically, they suggest that conjunctive Adjuncts do not express the interpersonal function and treat them only as textual elements. This view is rather limited in that it overlooks some nuances of attitudes or semantic meanings that carry interaction forward. As a result of the limitation, SFG is found not exhaustive enough to enable a thorough analysis of interpersonal meanings that are not obvious from the mood analysis.

In order to allow a thorough analysis of interpersonal meanings, the theoretical model presented here is extended by the introduction of Linear Unit Grammar (LUG), developed by Sinclair and Mauranen (2006). Although their model also emphasises language functions, Sinclair and Mauranen (2006) view the clause in terms of more than one chunk and one function that dominates in every chunk. This is different from what was seen in SFG, in which functions are performed simultaneously in the clause. For them, the functions are expressed in a string of chunks. The principle governing the structure in the chunks is linearity in LUG rather than constituency in SFG. Language structure is viewed as a product of the functional sequence of the chunks in the discourse.

Their chunking system expresses two types of functions. One function communicates about the world, which they term *topic* or *message*. This function corresponds to SFG's ideational function. The other function is to organise the discourse. This is viewed from two perspectives. Organisation is said to reveal the way the writer or speaker intends to maintain interaction with the addressee. The element therefore reveals the way the addressor intends to overcome the potential or actual obstacles and unexpected circumstances in the interaction. This perspective is termed *organisation of interaction* and corresponds to the interpersonal function. The other perspective relates to the way text is linked in discourse and is termed *organisation of text*, which corresponds to the textual function.

Sinclair and Mauranen (2006) combine the interaction and textual organisation functions to suggest that elements in a chunk are not confined and can perform more than one function. They argue that in every sentence the audience is informed about things and simultaneously shown the way the discourse is structured to reveal something about the way interaction is managed. They maintain that the structure of discourse enables the addressor to guide the audience on the textual relationships of propositions and at the same time influence him or her in terms of the way they should respond to the propositions. It was stated above that although SFG is used here as the theoretical framework, it is enhanced with LUG, in order to justify some of the analysis included as describing interpersonal meaning. Because of the wide coverage of interpersonal meaning, a wider understanding of the nature of language was required and the addition of LUG was found to provide such a robust and rigorous view of linguistic structure. Linear Unit Grammar was found to be suitable for such a purpose, and when combined with SFG the combination enables the analysis to tease out even those attitudes that are implicit. APPRAISAL analysis provides for that extension particularly in terms of the Engagement framework. For Sinclair (1991), interpersonal meanings referred to above are subsumed under autonomous and interactive planes of discourse. The autonomous plane corresponds to the inscribed attitudes, while the interactive plane (Hunston 2000) reflects the implicit attitude carried in the structure of the discourse – what Martin (2000; 1994) terms *voice* or *evoked attitude*.

In terms of the current study, it is noted that writers of business correspondence are, in certain situations, very subtle in the way they communicate attitudes for a variety of reasons. A broader perspective of the way attitude is conveyed is therefore required in order to be able to identify it and explain why it is conveyed in such a way in such contexts. If only explicit

attitudes were to be focused upon, this would compromise some of the intentions of addressors in the communication and belie many hidden evaluative meanings carried in the text. Hunston (1994:195) observes that 'if the number of lexical items with an obvious evaluative meaning is large, the number of phrases with a "hidden" meaning may be thought to be larger still.' This observation is true, particularly for the expression of attitude. Viewing the semantics of attitude in the way suggested in LUG, the theory helps extend the analysis of attitude, by venturing deeper into its textual structure. Thus, linking words are viewed not only in terms of their cohesive function, but also as a form of the way the writer interacts with the text or the issues in the text. This view gives words an interpersonal role as they function to reveal the extent of writer involvement in the matters in the text.

This study therefore synthesises the ideas of language in terms of LUG and SFG and uses these to identify, describe and explain the favouring of certain types in correspondence writing.

2.5 Approaches to analysis of interpersonal meaning

In Chapter 1, that interpersonal meaning has been studied from different angles using different terminologies to refer to the same concept was noted. The linguistic resources studied by different linguists and in some cases the domains of realisation for the concept converge. This reinforces the view that the phenomenon they treat is essentially the same. Several of the terminologies used for the phenomenon are *appraisal* (Martin, 2000), *evaluation* (Hunston, 1994; Thompson & Hunston, 2000; Thetela, 1997), *stance* (Biber *et al.*, 1999; Conrad & Biber, 2000), *hedging* (Myers, 1989; Hyland, 1996; 2000), and *politeness* (Brown & Levinson, 1987), amongst others. In the subsections that follow, these concepts are examined in more detail. The purpose is to develop a position and motivation for the

selection of a framework for analysis of the data, which is APPRAISAL. Each concept is discussed and evaluated to reveal the reason that each one of them is inadequate for a thorough analysis and interpretation of the phenomenon.

2.5.1 Evaluation

In Chapter 1, it was argued that evaluative meaning captures the type of meaning that writers convey in directives in order to persuade the audience to accept the obligations placed upon them or to define the relationships that are inherent to the communication. The meaning of evaluation referred to here is derived from Thompson and Hunston (2000:5), who describe it as the expression of the speaker's or writer's personal opinion, attitude or stance towards the view-point on, or feelings about, the entities or propositions that the speaker is talking about. The two concede that no text is neutral of evaluation and hence evaluation is a feature of every type of discourse (see also Römer, 2008; Martin & Rose 2003; White, 2002; Stubbs, 1997).

Thompson and Hunston (2000:6-13) give three basic functions of evaluation as the expression of opinion, the maintenance of relations and the organisation of discourse.

The most obvious of these functions is to express an opinion about something. An opinion is expressed based on several parameters. For example, opinion is either *good* or *bad*, *desirable* or *undesirable*, *certain* or *uncertain*, *expected* or *unexpected*, or it could be on the parameter of *importance/relevance*. In certain genres, evaluation plays the role of assessing certainty in order to introduce knowledge claims. It expresses the writer's views on the status of propositions and entities. This function is related to SFG theory in that the nature of language is based on its functions. Opinion may also be seen in terms of value systems inherent in the

community for which the text is produced. The value systems also reflect and reinforce the ideology or those value systems operating in the context of the exchange or institutional context. The latter view is closely related to the social functions that language serves as in Malinowski (1923). Evaluation is not part of language function as in SFG, but an expression of social order, something outside language.

Several studies have applied the concept of evaluation in terms of the latter view to academic discourse (Lemke, 1998; White, 2000; Hood, 2004; Don, 2007) and have demonstrated that evaluation is concerned with values and ideologies operating in the discourse communities for which the discourse is produced. The studies demonstrate that in academic discourse there are linguistic options available that reflect underlying ideas in these disciplines. Thompson and Hunston's (2000) observation is consistent with the studies above. They state that the manner of expressing evaluation used in academic papers reflects the ways knowledge is presented and the standards that are upheld in those communities (see also Römer, 2008; Hyland, 2000). This insight will later be applied to the analysis, for which it will be argued that certain semantic values reflect certain contexts or ideology.

Another insight of Evaluation as opinion or ideology that will later be applied to the analysis is that it can be explicitly expressed or may be implied. This is a useful insight because in the corpus many of the attitudes are subtle and yet essential to the success of the communication. In examples 25 and 26 below, the opinion is explicitly expressed. In example 25, the entity *Jane* is ascribed an attribute *genius*, which is an expressive value-laden and subjective comparative assessment that refers to a positive quality. These are some of the basic indicators of evaluative information (Thompson & Hunston, 2000:13). From its linguistic context, *genius* may also express a value system; genius is socially valued. Example 26 is

from an introduction to an academic paper. The nominal group with the noun head *the importance* in the context of an introductory section, apart from being evaluative, reveals an ideology (see Thompson 2004:76; Hunston 2000) that operates in research introductions: research introductions should demonstrate the contribution or value of research. Example 27 makes use of an adverbial to present a subtle opinion, what will be discussed under Engagement.

(25) Jane is a **genius**

(26) **The importance** of research increases as the focus moves out of experimental settings and moves into contexts in which interactions have immediate social and physical consequences

(27) Before production was increased staff was allowed **only** a few hours of overtime

In example 27, evaluation is evident although the example does not reflect value or subjectivity; rather, the evaluation is carried in the comparator *only*, which draws attention to the relative amount of quantity, which is implied as limited. The covert evaluation, also termed *evoked evaluation* (Martin, 2004) draws on experiential meaning to invite or provoke evaluation. Feelings may also be evoked through a description or a record of experience or through the use of metaphorical language. The use of similes or descriptions of events can evoke feelings or judgements. For example, the description of somebody as *fighting mad* can invoke feelings of anger or desperation, or of somebody with a *lump in their throat* is understood as experiencing psychological turmoil or pain.

The second function of evaluation is to construct and maintain relations amongst the interlocutors. The resources of evaluation used here work to persuade the reader to view matters in a particular way. Hoey (2001: 120) points out that evaluation is difficult to challenge and is therefore associated with manipulating the audience. The above examples have been constructed to illustrate the point. In example 28, the evaluative meanings are expressed as the subjects of the clauses. The nominal groups have the important role of summarising previous text. The reader's acceptance of the evaluation is assumed, whereas the evaluation itself is expressed as an evaluative comment on the preceding sentences.

(28) **The importance** and indeed **the solemnity** of the graduation celebrations in our organisation have in the past years been observed without fail. (Obita. G.P. 1 txt)

In example 29 below, the nominalised process is not only the subject of the clause but is experientially related to the previous sentence through anaphoric reference as evaluation. It evaluates the previous sentence in terms of the parameter of importance/relevance and it assumes that the reader accepts the writer's interpretative evaluation as objective. The resources above have the dual function of persuading the audience and demonstrating the way the subsequent parts of the text are related. Thompson and Zhou (2000) term this *evaluative coherence* and point out that it not only implies the writer's opinion, but also informs the reader of the way the text is organised and fits into the whole interaction. This is related to the Sinclair & Mauranen (2005) function organisation of discourse, as discussed above. Notice that they suggest that through this function interaction is maintained and the organisation of the texts also revealed.

- (29) The Chief Justice recently announced that they had been engaging District Commissioners to assist with the backlog of cases in their lower courts. **This admission** by the top prosecutor that they engage unqualified personnel is an indictment on the justice system in the country. (Obita. G.P. 5 txt)

Notice that the last function is the third function, the textual function. The textual function is also expressed out by the use of conjuncts and subordinators. In example 29, the use of the nominal group assumes that both the reader and writer share common ground regarding what is expected or unexpected at any given point in discourse. The sentence below demonstrates this kind of reader manipulation. The way the incident is reported engenders shared feeling with the audience, whom it is assumed would interpret *but* to suggest that what follows is not particularly good in relation to the main clause. The natural expectation is that anyone would take such a warning seriously and the reader is assumed to share that expectation; hence, the conjunct works to reveal the writer's assessment and position the reader to accept the assessment as valid. The APPRAISAL framework captures these resources under ENGAGEMENT and notes their persuasive role during interaction. This will be discussed in detail in Chapter 3.

- (30) The manager had warned everyone about the impending drop in sales, **but** few took him seriously **because** their attention was focused on the recent salaries review.

The following are additional examples of evaluative meanings expressed using expressive resources and other types of covert resources. The parameter is given in round brackets. The square brackets indicate the source of the text from the corpus.

(31) The Public Accounts Committee, in the successive meetings, has been expressing concerns about the large number of non-moving balances held under Imprest and other accounts, and it is **extremely important** that action is taken to address the issues once for all.

(Certainty/uncertainty and importance/relevance). [Tumelo. S.S. 1 | 8]

(32) The schools are established in **unrecognised settlements** and are **unregistered** and therefore, are operating **illegally**.

(Good/bad). [Basiamang. S. 4 | 4]

(33) Since this exercise has been going on for quite a long time and it is **one of the impediments in the consolidation of LAS accounts** we **recommend** that the attached Chart of Accounts structure be approved.

(Good/bad). [Fako. T.T. 3 | 9]

(34) **May I**, therefore, **request** you to arrange for regular monitoring of the progress and let me have a feed-back by the 19th April 2006, so that I can assist you timeously by taking action in removing procedural impediments, if any.

(Certainty/uncertainty and Good/bad). [Tumelo. S.S. 1. | 10]

(35) While we appreciate the notion that the Implementation of the Project will not be disadvantaged, we **believe** it is important that role clarity be expressly defined.

Based on the insights referred to above, it would appear that the type of meaning that is expressed by Evaluation is closely related to the idea under investigation in this study. Although this has been proven to be the case, a closer look at the concept has demonstrated that it is not adequate as a framework for analysis. One noted disadvantage of the term is that it is broad and often hard to define precisely. Many studies that claim to investigate evaluative meaning have done so under several semantic sub-categories, such as modality, stance, hedging, and lexical expressions of writers' emotional attitude. Although the linguistic resources could be explained in terms of their interactive functions in the discourse, the concept of Evaluation is not grounded in an explicit functional theory compared to APPRAISAL, which is. Rather, it is an exploratory and hermeneutical attempt at describing language and one of an opportunistic kind. Notice that the language that conveys APPRAISAL meaning reveals the manifestation of the interpersonal function. It conforms to the system of options from which speakers or writers select within the system in contexts of situations. For this reason, APPRAISAL is viewed as a systematic and extensively developed framework with a wide range of classifications of semantic meanings.

The discussion of evaluation has demonstrated that the concept is very broad and that there is no systematic means of managing the concept. It has also demonstrated that Evaluation is not based on any theory and can therefore not claim to explain the way language operates. It is evident that the APPRAISAL framework is a candidate for data analysis because it is grounded on theory and the framework is fully developed. Because of its systematic nature, it therefore allows for a qualitative and quantitative analysis of data. Its manageability and grounding in theory makes it an obvious choice as the framework for analysis of my data.

2.5.2 Stance

In section 2.5.1 it was indicated that stance is one of the approaches used to investigate feelings and assessments of the writer or speaker in communication. Stance addresses only some aspects of evaluative meaning. These meanings may be categorised under the parameters of certainty and good or bad. This is the main reason that stance is not adequate as a framework for data analysis. Certain semantic values cannot be analysed using this approach. An investigation of personal stance in terms of Biber *et al.* (1999) considers feelings and assessments as being conveyed by adverbials. The adverbials express three types of meanings as follows:

1. Epistemic meaning refers to the speaker or writer's attitude in terms of certainty, doubt, actuality and precision towards a proposition. Epistemic meaning is viewed as synonymous to hedging (Skelton, 1988), comment clauses and adverbial clauses. The following sentences convey epistemic meaning. The item that conveys attitude is underlined. I note that various grammatical devices have been used, which are given in brackets.

(36) He is definitely going to be promoted.
(adverb)

(37) Without doubt he is going to be promoted.
(prepositional phrase)

(38) It seems he is going to be promoted.
(adjective complement)

(39) I suggest that you drop out of the race now.
(verb complement)

(40) As one would have expected, the response was very poor.
(comment clause)

2. Attitudinal stance indicates personal emotions, feelings, judgements or evaluations of the speaker or writer about what is said or written. It is realised by adverbials, verb/adjective/noun plus a complement clause, modal verbs, and stance noun plus prepositional phrase. Examples are given below.

(41) I wish he could engage professionals to do the work.
(verb + complement clause)

(42) Sadly they could not be allowed to write the exam.
(adverbial)

(43) It is necessary to see the director tomorrow.
(adjective)

3. Style stance relates to the way something is said or done. Examples are given below.

(44) Surprisingly, we could not complete the report in time.

(45) He spoke slowly to make sure that all understood him.

(46) They carefully wrapped the present before leaving.

Stance is useful in revealing the way interaction is managed, it is however limited in the way it handles the way language reveals other nuances of evaluative meaning. For example, compared to APPRAISAL, it has limited categories it is not sensitive to covert expression of stance as is the case with inscribed and invoked attitude. This is a serious limitation because language conveys types of meanings and any framework for analysis should be detailed enough to examine all the subtleties of language.

The other limitation and one similar to that seen in evaluation is that the stance approach does not have a principled way of explaining the way language works. As such, it cannot hold as a framework for analysis as it is also exploratory and not supported by theory. In considering commanding clauses, for example, the presence of stance when viewed in the context above might be missed. Consider example 47 below. In the clause below, the analysis of stance does not go beyond the compound meaning of the verb *request*, which is performative + adverbial. It will be noted later that such an attitude is easily explained under the APPRAISAL framework.

(47) Finally, by copy of this savingram, I **request** some officers from DBES to be part of the task team assigned to carry out this task. [Bakwena, F.S. 6 txt]

Stance is also found to be lacking in order to explain how interpersonal meaning permeates or unfolds in the texts. That is, it cannot explain some of the resources pertaining to the texture of language used to manage interaction. Consider examples 48 and 49 below, in which the

conjunct and subordinator are used to convey attitude. Addressees are guided by text organisation whereby attitudes or the position of the writer are revealed. Should stance have been used as a framework for describing evaluative meanings, such covert attitudes would be missed. This meaning will not be captured by the stance approach because of the lack of theory and extensiveness in the theory, compared to what is found to be the case with APPRAISAL.

(48) The manager had warned everyone about the impending drop in sales, **but** few took him seriously **because** their attention was focused on the recent salaries review.

(49) **Although** he had entered, **the whole room** kept on talking.

Stance can also not analyse the attitude carried by the intensifier *whole* in the 'the whole room'. The stance approach will also find sentence 50 to be stance neutral. However, it is noted that the use of a nominalised process in bold has a covert evaluative roles in APPRAISAL terms termed *Attitude* and *Engagement*.

(50) The Chief Justice recently announced that they had been engaging District Commissioners to assist with the backlog of cases in their lower courts. **This admission** by the top prosecutor that they engage unqualified personnel is an indictment on the justice system in the country. [Obita. G.P. 5 txt]

It is also noted that stance meanings can be explained by some of the categories covered in the detailed categories within the APPRAISAL framework. As a category, it therefore

demonstrates that it is narrow and that some meanings fall outside the approach. Compounding all the limitations above, APPRAISAL has the edge over Stance as a framework for data analysis.

2.5.3 Hedging

Hedging is an approach that relates to linguistic resources that are used to indicate an opinion towards a proposition. The opinion could demonstrate a lack of commitment or a desire by the writer or speaker not to be categorical regarding propositions. As it has been in the literature review, Hedging can express epistemic meanings the same way as stance does. Hedging is used in different circumstances. The most common use is to convey an opinion in order to minimise the potential of rejection of a proposition or claim by the audience. This is demonstrated by Myers (1989) in his analysis of scientific writing, who suggests that the use of hedging is related to the writer's wish to persuade the audience to accept new findings. Hedging is also used to show deference to the community of readers to whom views are being presented, particularly if the research is new (Hyland, 1996; 2000). Hedging therefore plays a considerable role in managing interaction in various academic disciplines. In Brown and Levinson's (1987) model of politeness, the use of hedging is related to conventions of politeness, which in their view are universal. They put forward a claim that hedging is a universal strategy motivated by the need to be polite. Of course, this has been challenged by many scholars based on the role of context in language use.

Several of the resources used for hedging are given below with corresponding examples (the examples have been formulated for illustrative purposes).

(51) **I wish** to see a change in the management of the company.

(Modal verb)

(52) The result was **certainly** fabricated.

(Epistemic adverb)

(53) It **seems** that the proposal will be shelved.

(Epistemic adjective)

(54) I **suggest** that the proposal be shelved [verbal].

(Epistemic verb)

(55) I **believe** that the proposal should be shelved.

(Personal attribution)

(56) **I am directed** to inform you that the information you requested will be submitted as soon as possible.

(Passive)

(57) The reasons given to amend the regulations are **plausible**.

(Adjective)

It should however be noted that hedging, like stance, is limited in possible range of evaluative meaning. As a framework, hedging tends to focus on the autonomous plane and does not cover those nuances of attitude that are expressed through the textual resources. Like stance,

the approach also suffers from a lack of a theoretical view of language and is therefore exploratory and opportunistic.

2.5.4 APPRAISAL

The term APPRAISAL emerged from the work conducted by Martin and a group of other functional linguists in Sydney (see Martin 1992, 1995, 2000; 2003; Martin and White 2005; Steglin 1997; Coffin 1997; White 2000; Fuller 1998). The framework describes and explains the system of semantic choices by which speakers or writers express their opinions, and by which they negotiate the opinions with either actual or potential respondents. APPRAISAL is a framework that explains the manifestation of the interpersonal function. Although the Sydney group acknowledged that Appraisal is a process of evaluation, they all felt that *evaluation* was too general and widely used in the literature with a range of different meanings. They wished for a term that would clearly describe and explain the processes of interaction that were involved, hence they settled for APPRAISAL. The meaning is based on the view that language is a system of options in order to perform functions. It is therefore a SFG-based framework. The meaning of the term has been extended to a technical linguistic meaning, in order to reflect this linguistic phenomenon. Thus, there is no confusion here with the common meaning from the verb *to appraise*. In following the practice of the proponents of the framework, capital letters are used in this study to refer to the framework and its related semantic values.

The framework, as outlined in Martin (2000), describes in a more principled way the system of lexical, textual and grammatical choices drawn on to perform one aspect of the interpersonal function – the management and sustenance of interaction in communication, when compared to Stance and Hedging. The options of meaning in the system reflect the

types of feelings or values that are inscribed in value-laden words or those that are subtly negotiated in the structure of the discourse, in which wordings act to direct or provoke some attitudinal response from the speaker/writer or their audience. Consider the following example.

- (58) He entered the room. The class **rudely** talked amongst themselves.
- (59) **Although** he had entered, the **whole room kept on** talking.

In example 58, there is an unproblematic explicit inscription of attitude expressed in the adverb *rudely* and the attitude is classified as Judgement. In example 59, however, there is no wording that expresses such an explicit attitude, although there is something attitudinal or critical in the utterance. This is expressed in such words as *although*, *whole room* and *kept on*. Notice that these are not attitudinal in the sense evident in *rudely* above but they are nevertheless evaluative. This point is further developed later in the chapter. The technical terms ATTITUDE and ENGAGEMENT are used to refer to feelings or the way they are negotiated. Depending on the context of the communication and the objectives of the speaker–writer, various APPRAISAL resources are used to persuade the audience and/or to reveal the speaker–writer’s attitudes, as well as the way he or she wishes for the audience to understand and react to their positions or to the semantic values expressed.

ATTITUDE is further categorised and three types are identified as follows. AFFECT refers to feelings pertaining to people’s emotions towards things and others. JUDGEMENT refers to feelings associated with people’s behaviour. APPRECIATION relates to feelings of value and aesthetic beauty towards phenomena or processes. The framework provides a detailed classification of subtypes and sub-subtypes for all the main ATTITUDES. The resources of

ENGAGEMENT are concerned with the various ways of negotiating attitude in the discourse to build (or destroy) and sustain relationships of solidarity or to persuade the audience. This is done through elements in the discourse that play a responsive or anticipatory role (engaged in the literal sense) by the speaker–writer towards questions or expectations of an existing or imagined audience, in order to attain certain objectives. One such group of resources through which the audience is engaged are termed GRADUATION. It conveys meanings that demonstrate the way the speaker or writer scales their assessments or opinions to reveal their positions in a way that will persuade the audience.

The following are some examples of utterances that convey types of ATTITUDE and ENGAGEMENT values. The resources have been bolded and the values italicised.

- (60) I am **requesting** P40,000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year. (Mokoti. M. 1. 1 1)

Attitude-Judgement and Engagement-Entertain

- (61) We **wish** to request Finance Officers to provide copies of the report to all Departments in their Ministries. (Mokatse. O. 1. 1 4)

Attitude-Affect and Engagement-Entertain

- (62) Where **major difficulties** are experienced the Ministry **should be appraised** so that assistance could where possible be offered. [Sentle. B.K. 3. 1 8]

Appreciation-Reaction: impact; Graduation-Force and Engagement-Proclaim: Pronounce

- (63) The Chief Justice recently announced that they had been engaging District Commissioners to assist with the backlog of cases in their lower courts. **This admission** by the top prosecutor that they engage unqualified personnel is an indictment on the justice system in the country. [Obita. G.P. 5 txt]

Attitude-Appreciation and Engagement-Proclaim-Endorse

- (64) The schools are established in **unrecognised settlements** and are **unregistered and therefore operating illegally**. [Basiamang. S. 4 txt]

Appreciation: Reaction-Impact and Engagement-Proclaim-Pronounce

APPRAISAL is the obvious choice of framework because it fills the gaps that the other frameworks already mentioned were shown to have. Of the four frameworks, APPRAISAL is the only one that is based on a principled theory of language. In addition, it is far more developed and systematic in its treatment of the resources that convey interpersonal meaning. Although only passing attention has been given to the framework, its description represents a superordinate description of the manifestation of interpersonal meaning. Its detailed categories and classification extend beyond those jointly covered by the three other frameworks. It is for these reasons that APPRAISAL is found to be a more suitable means for analysing the language that conveys the interpersonal function.

2.5.5 Conclusion

Thus far, it has been established that Evaluation, Appraisal, Stance and Hedging are terms given to a very similar phenomenon. In addition, the phenomenon has been clearly explained: Evaluation captures the general explanation of the way language works to express the interpersonal function in discourse. However, as the objective of this study is to identify and

explain evaluative meaning in discourse, it would appear appropriate rather to move from the point of understanding the phenomenon to devising a tool that reduces this complex phenomenon to a set of options that are systematically organised and clearly reflect all the nuances of meaning-making. APPRAISAL appears to satisfy this criterion as a method of identifying, describing and analysing interpersonal meaning. It also enables the identification and description of all nuances of attitude, compared to stance and hedging, as has been indicated.

APPRAISAL analysis affords the opportunity for empirical analysis of language, using both quantitative and qualitative methods to reflect semiotic and cultural factors in the use of language. In terms of the current study, the APPRAISAL resources used in correspondence writing facilitate the understanding of the linguistic basis that marks the differences in the speaker–writer’s style or stance, revealing a (less) deferential, (less) objective, (less) cautious, conciliatory, dominating, authoritative and involved style reflecting a specific context. All the above nuances of attitude are navigated with ease using the APPRAISAL analysis.

2.6 Language and context

At the beginning of this chapter, the first foundational aspect of SFG theory was considered, that the language system is about choices at the paradigmatic and syntagmatic axes to suit functions that the speaker–writer wishes to perform. It was noted that a second foundational aspect, which is equally important to the current study, is context. This claim is made on the basis that the nature of language can be traced in the way it behaves in various situations of use, and that various situations reflect various linguistic configurations and functions.

In this section, the role of context in constructing the language of the interpersonal function is focused on. There are different types of contexts. For example, in organisational correspondence the context could be a superior writing to a subordinate officer; it could be a manager writing to another manager, or a subordinate writing to a supervisor. The subjects of the correspondence could also vary from serious to trivial. Conversely, a news article marks a different context, in which the language will be different from that of narrative. A context will reflect structure and evaluation that are appropriate for that context. Bakhtin (1981:293) states that context is the generative force behind linguistic life. He argues that language reflects social, psychological and institutional contexts. Based on this argument, it is evident that there are a myriad of factors relating to context in correspondence writing.

Kachru and Smith (2008) share the view expressed by Bakhtin above. They add that the English that is spoken in different parts of the world is different because it is adapted (nativised) to suit the contextual situations of those who use it. Such nativisation is reflected in both production that have developed in the English language and used in ways that may appear deviant to a native speaker of English. This has led to what are now termed varieties of English, hence the concept of World Englishes.

Kachru and Smith (2008:2) classify varieties according to participants who share a common socio-cultural background or context. For example, they talk of the context in which English is a primary language, such as in Britain and United States of America. They also talk of the context in which English is used as a second language, such as India, Nigeria and Botswana. Lastly, there are contexts in which English is used only to communicate with the international community who cannot understand the local language; examples are China and Germany. This position gives credibility to studies on a Botswana variety of English, such as Arua

(1998), Arua and Magocha (2000) and Bagwasi (2002). The current study, which investigates strategies of managing interactions in business correspondence in Botswana, is therefore consistent with studies on the nativisation of the English language.

Gumperz's (1982) observation that aspects of linguistic behaviour function to reveal the context of the people who use the language is consistent with the views expressed above. In terms of evaluation or Appraisal meanings, therefore, this is a product of contextualisation cues that are common to the participants in the communication. Context is generally understood to refer to what is going on around the activity. This can be analysed in terms of linguistic context or social context (Hewings & Hewings, 2005). Linguistic context is further divided according to whether it is local or wider. Social context however is either local situational or wider socio-cultural.

Insight into the interpersonal meanings in directives requires considering the meaning of the words in the context under investigation, the meanings conveyed by the internal structure of the clauses and the way different sections of the text combine to express interpersonal meaning. This is the local linguistic context and the use of certain words to reveal attitude. Local linguistic context can also be studied by investigating textual organisational resources used in texts. In certain organisational communication forms, certain linguistic structures and discourse choices are preferred to others. In the current study, texts are analysed to reveal such and using the Appraisal framework, they are analysed for attitude type.

The wider linguistic context should also be considered, which concerns the ways particular texts relate to other texts of the same type. Coffin and O'Halloran (2005) demonstrate, through a concordance analysis of certain words from different newspapers, that the use and

interpretation of Appraisal meaning is influenced by the writer's and reader's previous experience with other texts. With regard to correspondence in the public service in Botswana, the findings by Bagwasi (2002) in her study of the historical development of a Botswana English, corroborates the role of wider linguistic context in shaping a language. In comparing documents written by Botswana officers possibly twenty or thirty years after independence in 1966 to those written by colonial administrators who set up the public service, she examines linguistic choices and constructions in the letters and memoranda and notes that there are close similarities in the language and structures. She concludes that this is an indication of the influence of institutional context on the language, with its foundation traced to the days of the British colonial administration.

Social context is also viewed in terms of the local situational context. This includes issues pertaining to the interlocutors' prior experiences of the circumstances surrounding the communication, including the purpose, as well as the participants and the relationships they have. Bhatia (1993) includes specialist knowledge in the discipline and communicative conventions associated with the genre. Malinowski (1923) coined the concept of 'context of situation' to refer to the activities that participants engage in and the culture that operates and governs the performance of such activities. Malinowski emphasises that previous knowledge can never be passed as irrelevant to the linguistic expression. He argues that context is enacted in utterances to depict the way the message fits together with other utterances in the discourse. Malinowski (1923:307) presents the following, in emphasising the importance of context of situation:

A statement, spoken in real life, is never detached from the situation in which it has been uttered. For each verbal statement by a human being has the aim and function of expressing some thought or feeling actual at the moment and in that situation, and necessary for some reason or order either to serve purposes of common action, or to

establish ties of purely social communion or else deliver the speaker of violent feelings or passions. Without an imperative stimulus of the moment there can be no spoken statement.

Halliday (1978) was another of the very influential scholars who built on the idea of context to demonstrate the way it impacts on language. He suggests that there are features of context that collectively function as determinants of language in a text. Each feature specifies at a different level the semantic configurations that the speaker–writer will typically use in an utterance. He argues further that the features reveal the overall context in which the language is used. He derived a conceptual framework for analysing the features of context using three variables, which he termed **field**, **tenor** and **mode**. These are abstract concepts that are used to describe aspects of the context and systematically correlate with the metafunctions of language. Their role in language use and structure is discussed below.

Field

Field of discourse refers to what is happening, the kind of activity that is taking place, what it is that the participants are engaged in, for which language is used to talk about. The language expressing the field of discourse selects from the linguistic system those meanings that express the experience of the world around and in people's thoughts and corresponds to the ideational function. Every type of discourse or every discipline uses specific terminology or structures that best express the experiences, events or processes in that field. It is noted that people operating in the same field of discourse or occupational group, or participating in recurring communication situations or topics, develop standard ways of talking or writing, including vocabulary and syntactical patterns. Gumperz (1982) in his study finds that speakers speak differently when they are in different social contexts (fields) and that they reveal in their language the cultural assumptions and previous experiences they share with

those they communicate with in specific contexts. This view is shared by Hyland (2002) in his study of academic research articles, in which he demonstrates and explains a similar differentiation in respect of evaluation across disciplines. He notes there is a difference in the preference and use of evaluative resources across disciplines. Regarding the current study, the choice of language is therefore an expression of the cultural assumptions, which are present amongst communicators in the public service in Botswana.

Tenor

Tenor of discourse refers to the participants, in terms of the kinds of roles they play in the exchange and the relationships that exist amongst them. The language that reflects this aspect of context corresponds to the interpersonal function. The language that is used tends to reflect the assumptions about prevailing relationships and about the nature of the social contexts of the communication. In terms of correspondence documents, the main feature about the participants that impacts on language is the relationship the writer wishes to communicate towards the audience. This is reflected in the syntagmatic choices, the paradigmatic options and the textual organisation of the text and, in other situations, the amount of detail in a text. Iedema (1997:75) notes that directives in memoranda written to subordinate members are more direct compared to those written to respondents of higher status, in which case the writer used more persuasive language. The features of tenor Iedema analysed were at the levels of lexical choice, clause structure and textual organisation. These features will be the focus of Chapters 4 and 5, in which the data is analysed to demonstrate the way the features perform the interpersonal function.

Mode

Mode of discourse refers to the role that the language is used to play in the text and realised in the information structure in the text, which corresponds to the textual function. The mode of discourse is a feature of the local situational context, which has the function of assisting the audience in understanding the way an utterance fits together with other parts of the discourse. Linear Unit Grammar is particularly helpful in demonstrating the way the mode of discourse works, and covers a wide range of resources that demonstrate the way parts of discourse fit together to create texts. An example is given below of a resource that plays a textual function in context. The text is an excerpt from a memorandum taken from this study's data. The understanding of *This request* is interpreted from the context of the previous sentence, in order to demonstrate that it is the same 'request' that is referred to in the previous sentence.

- (65) We hereby re-submit a request for Principal Archivist (D3) Xxx to visit the United Kingdom on a migrated Archives Mission. **This request** was initially submitted on 10th May 2005, we were however advised by Xxx during the Xxx's second quarterly brief to seek assistance from the "Friends of Botswana" in the United Kingdom in connection with the funding that will enable the copying of Botswana's history in the United Kingdom. (Akhaabi, A.B.S. 5 txt)

The importance of context in SFG is therefore of paramount importance. It enables the analysis to interpret features in the text by referring to the context represented in the text. In this way therefore, the text represents the context; conversely, the context constructs the text. The angle of context presented here has been found to provide optimal benefits to the

analysis of this study because it allows a thorough focus on features of language that contribute towards evaluative meaning. In terms of pedagogy, a language syllabus could be produced that is guided by analysis of specific contexts in terms of the framework suggested by Halliday and Hasan (1989).

In line with the unfolding perspective of context, Hewings and Hewings (2005) suggest that text constructs a social context that reflects views, norms and ideologies of people who share the same. The idea of context of situation is crucial in the production of directives because a discrepancy between the context and the pragmatic meaning that is interpreted is likely to result in miscommunication. This might affect not only relations, but also the desired response in the context of the communication. Notice that the examples below have the pragmatic role of requests. In order to understand requests in this light, knowledge of the complete situational context is required, particularly of issues relating to tenor. Conversely, his or her wish to convey a particular social context will cause the writer to use such strategies.

(66) I would suggest that you contact your nearest Finance Office to seek advice.

(Gaobakwe, T.J. 1. txt)

(67) We look forward to receiving whatever reports and documents on your privatisation programs at your earliest convenience. (Galeforolwe, J.B. 2 txt).

(68) Instead, we would encourage the stakeholders to inform us of the different privatisation initiatives which are ongoing in their departments and parastatals so that we could attempt to catch up with the developments which have been taking place. (Galeforolwe, J.B. 2 txt)

(69) BNARS is only interested in documents that can be used for research by students and scholars on various aspects of the development of Botswana such as governance, politics, community development, village development, associations etc. Our interest is mainly in documents from pre-independence to present day. (Kgabi, K.P. 6 txt)

In the examples above, each utterance creates a social context that observes cooperation with the audience. In utterance 66 and 68, for example, this context is conveyed by the selection of the performative verbs *suggest* and *encourage*. The verbs manifest an interpersonal function in their adverbial sense of meaning, which is the manner of doing the action. The utterances therefore construct a social context that reflects deference towards the audience and a friendly tone, thereby making the discourse highly people-centred. In utterance 67, the context of social scaffolding is carried out in the phrasal verb *look forward*, in which the emotion of security is conveyed. It is the expression of confidence by the writer in the phrasal verb that conveys conciliation in respect of the imperative in the utterance and therefore gives it a persuasive appeal. In utterance 69, such conciliation is manifested through the adverb *only*, which is a resource of Engagement. As with 66 and 68 above, these utterances construct a social context in which respect and mutual understanding is given prominence.

The last aspect on which interpretation of Appraisal relies is the wider social context. This involves the social and political aspects of language or national culture, as well as issues of institutional domains. Social or national culture impacts on language and patterns of language use associated with everyday activities. This is the basis of Kachru and Smith (2008) concept of World Englishes. Hasan (1989) demonstrates that social activities that may carry the same

label in English across the world may have different language patterns in different cultures, reflecting the cultures of the people using the language. She gives the example of 'shopping' in two cultures. She observes that in England the pattern of the buy-sell routine is different from that in Indonesia where before the sale is completed there has to be some kind of negotiation between the seller and customer. She concludes that culture influences linguistic choice and structure. In communication involving multinational organisations, an understanding of the cultural context would help ease understanding amongst interlocutors who are non-native speakers of English but who use English as a common language.

Social context also extends to institutional context, which are the rules and conventions governing the use of language in organisations, for example who may write letters, what sort of interaction is encouraged, what level of professionalism and etiquette is required, as well as the objectives of the organisation. Bhatia (1993) advises that knowledge of institutional context is an important step particularly for someone who is new to a particular genre. Studying the cultural context would help students understand the way particular linguistic choices contribute towards effective communication rather than simply determine whether the language is correct or wrong.

The importance of institutional context is further illustrated in Sims and Guice (1992), who compared 241 letters of enquiry written by native and non-native speakers of English. Amongst their findings were the following: the non-native speakers used exaggerated politeness; non-native writers provided excessive information about themselves using positive Judgement strategies and made inappropriate requests. Judged from the World English perspective, it might be said that these findings could also be challenged because the judgements made about the non-native speakers language skills were from a native English

speaker's perspective. What is clear, however, is that the non-native writers did not share the same context and expectations as the readers, nor did they share the context in which their letters would be received, compared to native writers. Some of the factors above account for the differences in the way letters and curricula vitae are written by people from different cultures (Sridhar, 1982). These variations may account for some of the negative responses that non-native job seekers elicit, particularly in countries where English is used as a native language.

Flowerdew and Dudley-Evans (2002) analysed letters sent by the editor of an international journal, *English For Specific Purposes*, to authors who submitted a paper to be considered for publication. They note that all the letters had a prototypical structure. The organisation and language of the letters were both found to reflect the values and objectives of the journal. In particular, interpersonal meanings were found to permeate the letters using various strategies working within the clause and across the text. In the context of the current study, therefore, it is noted that teaching business writing in context of the actual business documents used would enable students and teachers to understand ways in which organisations communicate with their employees, suppliers and customers, as well as the ways organisations reconstruct themselves (their corporate culture).

Nickerson (2000) suggests that certain situations that occur within organisations necessitate certain rhetorical actions. She states that the recurring situations, or in the context of this study the Appraisal systems, used in texts become entrenched or typified language use in the corporation in such communication situations. This is similar to what Goffman (1975:10) refers to as *frames of reference*. Some of these may reflect the culture and ideologies of the organisation as those found by Flowerdew and Dudley-Evans (2002). An important

implication of this view of context for the current study is that in the analysis of directives, meanings and structures that typically reflect the Botswana context should be sought. Such a finding would reveal more evidence of acculturation of English in Botswana and the development of a Botswana variety of English. It would also reveal norms for appropriate directives that are specific to the Botswana context, and which would not necessarily conform to native speech communities.

Bakhtin (1981) agrees that language is shaped by the social interaction of the group and that this makes language a social phenomenon. He views language as a reflection of social, psychological and institutional contexts. The context therefore acts as the generative force of linguistic life, hence the concept of genre. Texts that belong to the same genre share distinct categories that mature readers or speakers of a language can recognise in terms of the structure, wording and purpose of the text. That language is viewed in terms of genre means that it is conceptualised as a dialogic process and participants refer to or take up what has been said before and found to be effective in previous or related contexts. It is dialogic because the speaker–writer is seen as anticipating the responses of actual or imagined audiences and fashioning their communication in ways that consider them. In terms of the interpersonal function, language responds to wordings and structures used in previous and related circumstances and which were found to elicit good responses in the group.

The central argument of the current study is that the way that writers of documents convey their opinions in the correspondences is crucial to the success of the communication. In certain cases, there is a discrepancy amongst the contexts of the participants in the communication, resulting in miscommunication (Hatch, 1997). It is noted that the influence of the context may have both positive and negative results. It may be positive if the time

saved by members who rely on previous patterns to communicate in similar situations is considered. In this way, the language and its structure are already predetermined and all the member does is to remember the lexis and the structures, and harness them for his or her current purposes. In Bakhtin's (1981:293) words, language lies outside the individual as a socio-ideological concrete. Users make language their own by appropriating it to express their own experiences, which could be similar to those of other people who have assimilated the language in the same way and found it effective in serving their objectives.

The role of context in helping shape linguistic structure, according to Bakhtin, is shared by the proponents of Emergent Grammar (Hopper, 1998; Bybee, 2006). Their idea of context, however, contrasts with that taken by Bakhtin, which is based on social interaction. Emergent Grammar has a cognitive view of context. In this model, grammar is viewed in terms of an emergent process that starts in the way the individual orders things in his or her mind and relies on prior texts he or she has knowledge of to develop more texts. It views language as a product of a series of continuous adaptation, with words given newer roles while others are drained of their original physical sense and mark new relations. The grammar is viewed in terms of the individual actively involved in making choices that then become fossilised into fixed phrases, some of which add new forms and develop into structures that are more complex, leading to language in its current form (Deutscher, 2005).

In terms of the current study, the two views on context are relevant because in business writing many writers, both novice and seasoned, tend to repeat constructions and wordings that they have tried before and found to work. Hopper (1998:158) writes that "speakers and writers borrow heavily from their previous experiences of communication in similar circumstances, on similar topics and with similar interlocutors." Such a view about context

may be used to develop a pedagogic syllabus to teach correspondence writing to a group of employees whose job includes writing correspondence. Bakhtin (1981:294) however warns that the same meaning cannot be replicated in different contexts, as misappropriation might be felt by the audience who may be aware of features of context that are not the same as those of previous contexts. The data used in this study and the way in which it was prepared for analyses reflect the views of context discussed above. It is noted that these present a much better foundation for understanding business communication in the Botswana context than style manuals and books written with other contexts in mind.

CHAPTER 3

EMPIRICAL STUDY

3.1 Data collection and methods of analysis

The distinguishing factor between the current study and those reviewed is that those studies used smaller samples (see White, 2003; Coffin & O'Halloran, 2006). In some cases, only one text was used to draw conclusions about Appraisal meanings (see Martin, 2000; 2004; Horarick, 2003). The current study uses a larger sample of texts which convey the same or similar social experiences. The technical term used to describe the encoding of related social experience is genre. In this study the genre of directives (the other names used are requests or commands) is composed of communication contexts in which the purpose is to move the addressee to do or not do, to think or not to think in a particular way or to accept or not to accept a particular perspective or action to prevail. Directives have a definite shape, structure and purpose to construct and maintain social institutional relationships that are suited the communication context. Anyone who can read the English language and is generally acquainted with social activities that take place in organisations will not have any difficulty in identifying a directive and the kind of relationships it engenders.

3.1.1 The corpus

The corpus consists of 130 complete and authentic samples of correspondence documents in which commands or directives are issued by one hundred and three (103) Botswana native writers from the levels Principal Officers up to Permanent Secretaries of government ministries (see Appendix A). These are obviously technocrats who occupy high levels of authority and are competent writers in English language. The average length of each document is 167 words and the whole corpus consists of 21 704 words. The texts in the

corpus were produced between 1996 and 2006, and are from five ministries in Botswana, mainly Local government, Labour and Home Affairs, Presidential Affairs and Public Administration, Education and Finance and Economic Planning. The corpus is small but it is quite representative in terms of context and purpose for example, formal and genre type. It therefore allows for a glimpse into the way interaction is maintained in commands.

The sample texts are made up of letters, memoranda and savingrams. There is no difference in the contents and expression levels in the language used in the three subtypes. For example the letter, memo or savingram may use the same opening line, usually referencing previous correspondence if any, giving the purpose of writing or in some cases providing a background as the introduction. Of course there is a marked difference in the format as each had a distinct format. The other difference would be in the extent of circulation of each subtype. The letter is addressed to an audience outside the organisation, and not within government. Memoranda are used for internal communication within the same department or with departments in the same ministry. Savingrams are pieces of correspondence that are predominantly used in the public service in Botswana. These have their origin in the British colonial administration of the Bechuanaland Protectorate, which became the Republic of Botswana after 1966. Savingrams are used by a head of department in one ministry to communicate with another head in a ministry or heads in ministries or government organs. Its originator is always the chief executive officer of a ministry or government organ usually the Permanent Secretary, the Police Commissioner or Army Commander, or Director General, all who are considered at the level of Permanent Secretary. Notice that the actual writer however need not be the chief executive but rather any one in a management position for example a director and therefore writing to others who are superior (upwards) or lower (downwards).

3.1.2 Collection procedures

The following procedure was followed during the data collection:

1. Permission to collect the data from the sources was sought from the various ministries. In some cases the researcher had to wait a long time for the response to be given. Several times efforts to collect the data was frustrated as some officers felt that their departments dealt with matters on national security and would therefore not open their files to members of the public. The break though came after a discussion with an assistant director at the Directorate of Public Service Management (DPSM). She understood the value the research would have particularly given the problem of poor written communication in the public service. She therefore gave permission to do the research. The letter of request is attached as Appendix B. Her response is given as Appendix C. The confidentiality form signed by the researcher as part of the request is given in Appendix D. Since (DPSM) seen by all government ministries as the administration hub of government, the permission from the assistant director acted as the open sesame to all other ministries. As a result, data was collected from five government ministries.
2. Armed with the letter from DPSM, the researchers approached the registry heads of the headquarters of the five ministries. In each ministry, an officer was assigned to provide the files and help to photocopy those the researcher had selected. This was such a generous gesture from the various ministries. The researcher went through piles and pile of files over a period of 10 days 5 hours a day to select the relevant texts. In total an average of 100 samples were randomly selected from each ministry. These were selected from open files rather than personal ones which it had been clearly said would not be availed. In some cases, however, the researcher came across some confidential documents but these were not included in the corpus. Some texts

which the researcher found interesting were only released for copying after the researcher made an undertaking to remove names or titles that could jeopardise confidentiality.

3.1.3 Data preparation

The following procedure was followed to prepare the data for analysis:

1. All the 500 texts were read through one at a time in order to select those that could be used. Following Swales (1990), the general function of commanding or directing was used as the basis for selection of the corpus. These were read through one at a time and what was used as unifying factors were how the writers influenced or persuaded the addressees to act or think in specific ways. The basic function which was observed was whether the writer accomplished command/request in ways that established and maintained positive social relations with the addressee. In the process, texts in which propositions rather than proposals were made were identified and removed from the corpus. The number was further reduced where the request was vague and in some instances where the document was too short or too direct. A number of 130 was therefore reached.
2. The texts were scanned and stored electronically with the help of an assistant.
3. The researcher then edited the electronic copies to remove the distortions accruing from the process of scanning.
4. The assistant was shown how to annotate the electronic copies of the data in order to prepare the data to be processed using Wordsmith tools. The researcher checked the annotation to ensure consistency and correctness.

3.1.4 Data Analysis

The study focussed on the role of language used in correspondence documents to demand goods and services. The analysis of the language was therefore corpus-based looking at the ways writers managed interaction in the process of demanding goods and services. The study used both quantitative and qualitative methods of data analysis.

Wordsmith tools were used, for example a word list of the corpus was compiled. The list was inspected and using the insights from APPRAISAL (Martin 2000 and Martin and White 2005) as the framework for analysis, the verb *request* was identified as semantically loaded with APPRAISAL meaning. All concordances of the word were retrieved from the data and the complete sentences given as Appendix 4 were manually inspected to ensure that only those expressing attitude were retained. The researcher used the findings from Hunston and Francis (1998) in their study of patterns of verbs where they demonstrated that words that share the same patterns often share similar aspects of meaning (see also Sinclair, 1991; Francis, 1993 and Hunston and Sinclair 2000). This finding was extended to the current study and by using concordances of some of the lemas that appeared in the same pattern as the verb *request*, more evaluative verbs were identified. For example, a combination from the main search word *request* was *we therefore** (see Appendix E). Using such a combination yielded further evaluative items. Following on these, more items and patterns of evaluation used to manage interaction in commanding speech acts were found. This retrieval tool is not as thorough as for example the Collocate (Römer, 2008) or Concgrams (Cheng *et al.*, 2006), thus it is possible that not all patterns were found. Also used to retrieve more evaluative structures were the variant forms of the verb 'request', for example words like *requesting*, *requested* and *requests* (See Appendix F).

It was discovered that Wordsmith and its tools could not provide all that proposals in which regard was shown to the addressee. A manual analysis was therefore done on the samples with each text read through and a highlighter used to extract more proposals. Again the idea of Hunston and Francis (1998) was further used to unearth more interesting data. In order to validate that the structures were indeed evaluative and expressed attitude, the sentences were submitted to analysis according to the Hunston and Sinclair (2000) model of the grammar of evaluation. This was a qualitative test where patterns were randomly selected and it was also used to validate cases where the researcher wanted to confirm the presence of attitude. This is discussed in detail in section 3.3.

The sentences which had been identified and confirmed to carry attitude were then classified according to categories of types of ATTITUDE which are explained in section 3.2. This was the framework used to code analyse and interpret the data. An excel spreadsheet is given as Appendix G and it shows how the data was presented to enable quantitative analysis which is done in chapter 4. The some of the categories are briefly described below.

Document Name: This is the code used for each text in which a proposal was conveyed in way that shows the writer to be scaffolding for a positive relationship with the reader. Such a coding was necessary for identification of the text and its source. It enables anybody who wants to validate the analysis to go directly to the data.

Sentence: A number is given to the sentence which expresses attitude. This number was important to help quickly find the evaluative expression in the text.

Expression: This is the actual expression which carries the attitude and which is classified according to the Attitude, the subtype of the Attitude, the sub-subtype, the Manner of evaluation and the Engagement values. All these are categories used in the APPRAISAL framework to explain the semantic meanings of ATTITUDE and the ways they operate to reveal the speaker or writer's stance and attitude in relation to the context of communication. A detailed description of the framework is given in section 3.2.

Text function and logico-semantic types are two categories used to demonstrate how management of interaction was progressively built into the structure of the discourse. For example, the subcategories of opening, developing and closing were used to identify where the evaluation occurred in the discourse. These categories were used in the qualitative analysis of three texts that were randomly selected. These three texts represented the main discourse structures in the data and these were used to demonstrate that discourse structure has an interpersonal function.

3.2 The APPRAISAL framework

In Chapter 2, the theory of language was discussed and it was noted that SFG provides a useful way of examining the way language is organised to convey meaning. It was further noted that of the three types of meaning language conveys, interpersonal meaning was crucial for enabling interlocutors to achieve their purposes in communication. It was argued that context plays a critical role in the way in which interpersonal meaning is constructed and handled in every communicative situation and that speakers–writers are obliged to respond to features of contexts in order for their messages to be received positively. The various frameworks used to study the same phenomena in different subfields in linguistics have already been discussed and compared, in order to motivate the choice of APPRAISAL as a

framework for analysis in the current study of correspondence in documents. In this section, a detailed description of the APPRAISAL system is given. The system covers three domains of meanings that are constructed in text: ATTITUDE, ENGAGEMENT and GRADUATION. ATTITUDE is concerned with feelings, ENGAGEMENT deals with the position the speaker–writer takes towards the opinion or feelings expressed in discourse, and GRADUATION attends to the way the feelings and opinions are managed in the discourse.

3.2.1 Types of attitudes

Attitudes are concerned with a system of meanings for mapping feelings and are classified into three semantic dimensions of meaning (Martin, 2000; Martin & White, 2005). AFFECT deals with emotional feelings, JUDGEMENT is about feelings relating to behaviour, and APPRECIATION is concerned with feelings of value attached to phenomena. When giving directives in business communication correspondence, writers express these types of feelings in order to create a particular relationship to persuade the reader to accede to the required action or position. The attitudes are discussed individually in detail below.

3.2.1.1 AFFECT

AFFECT is composed of a set of language resources for expressing attitudes in terms of the emotional state of the speaker–writer or of the other participant/s in the utterance. The emotions could be a descriptive quality of the participant (for example, *a happy woman*). The emotion could also be an attribute observed in the participant or expressed by a participant (for example, *the woman was happy*). It may also be a manner or circumstance of a process that the participant is engaged in; for example, *we shall gladly await your response*. Emotions are expressed in both propositions and proposals respectively, as in the following examples.

(69) I am **afraid** we would not be able to accommodate your views on this matter.

(proposition)

(70) We **look forward** to receiving whatever reports and documents on your privatisation programs at your earliest convenience.

(proposal)

According to Martin (2000), emotions are graded on a scale of intensity, which is referred to as GRADUATION. This means that speakers–writers express emotions using lexical or grammatical items that reflect an emotional cline from a lower to medium or higher value. This kind of grading applies to the other types of attitudes as well, which will be discussed in detail in Section 3.2.3.

Martin (2000) identifies the basic sets of emotions as happiness, security and satisfaction. The sets of emotions have positive and negative polarity, for example happiness/unhappiness, security/insecurity and satisfaction/dissatisfaction. The types of AFFECT are further classified into finer categories of emotions that also have semantic values of positive and negative polarity. In the example of the emotions expressed earlier in example 69, the lexical item *afraid* expresses the insecurity or confidence of the writer. *Look forward* in example 70, conversely, is an emotion that is viewed as enjoyable and therefore as expressing happiness or cheer. Table 16 below shows Martin's (2000) basic sets of AFFECT together with their subtypes.

Table 16: Types of AFFECT

(adapted from Martin & White, 2005)

<i>HAPPINESS</i>	<i>Surge (of behaviour)</i>	<i>Disposition</i>
(negative feelings)		
misery		
[mood]	whimper, cry, wail	down, sad, miserable
antipathy		
[directed feeling]	rubbish, abuse, hate	dislike, revile, abhor
(positive feelings)		
cheer		
[mood]	chuckle, laugh, rejoice	cheerful, buoyant, jubilant
affection		
[directed feeling]	shake hands, hug, embrace	be fond of, love, adore
SECURITY	Surge (of behaviour)	Disposition
(negative feelings)		
disquiet		
[mood]	restless, twitching, shaking	uneasy, anxious, freak out
surprise		
[directed feeling]	start, cry out, faint	startled, jolted, staggered
(positive feelings)		
confidence		
[mood]	declare, assert, proclaim	together, confident, assured
trust		
[directed feeling]	delegate, commit, entrust	comfortable with, confident in/about, trusting

SATISFACTION	Surge (of behaviour)	Disposition
(negative feelings)		
ennui		
[mood]	fidget, yawn, tune out	flat, bored, exasperated
displeasure		
[directed feeling]	caution, scold, castigate	cross, bored with, furious
(positive feelings)		
interest		
[mood]	attentive, busy, industrious	involved, absorbed, engrossed
pleasure		
[directed feeling]	pat on the back, compliment, reward	satisfied, impressed, thrilled

Another factor on which Martin (2000) bases the classification of AFFECT is whether the emotions are an ongoing disposition in the mind or whether they are realised paralinguistically as a surge of behaviour involving some verbal or physical action. Experientially, these are distinguished as behavioural processes or mental processes. Examples 71 to 74 below have been composed for illustration purposes. Example 71 is Security: confidence-disposition; example 72 is Unhappiness: misery-surge of behaviour; and example 73 is Dissatisfaction: ennui-disposition.

(71) Management is **aware** that not all employees are committed to their work.

(72) The staff **wailed** that the new appointments were not fairly carried out.

(73) The crowd was **exasperated** by his behaviour.

The emotions are further classified according to whether they are a response to something (a feeling directed at some stimulus as in example 74 below).

(74) The boss **rejected** the proposal to send a petition to the board.

When AFFECT is expressed in a proposal, it has the effect of dampening the pragmatic force of the command and renders it a polite request as in the example below.

(75) We hope you will advise us quickly as required training is scheduled for January and February. (Mokoti, M. 1 txt)

(76) We **look forward** to receiving whatever reports and documents on your privatisation programs at your earliest convenience. (Galeforolwe, J.B. 2 txt)

(77) We **wish** to request Finance Officers to provide copies of the report to all Departments in their ministries. (Mokatse, O. 1 txt)

(78) I shall be **happy** to receive your assistance. (Moahi, L.T. 12 txt)

When AFFECT is used in a statement, however, the writer presents the proposition as an individual perspective of the speaker–writer. In terms of objective achievement, which could be to convey the information, the expression of an individual’s feelings works to appeal to the

audience to be persuaded to share the emotions and therefore the propositional content of the statement. Consider utterance 79 below, which has been made up to illustrate the point.

(79) I am **afraid** we would not be able to accommodate your views on this matter.

In the example, the propositional content expressed is rejection regarding the possibility that certain views would be accommodated. The ATTITUDE of AFFECT expressed in the word *afraid* serves an interpersonal function with respect to the rejection. In order to express the rejection, the writer chooses to convey an emotional state in the form of his or her insecurity. This has the pragmatic effect of making the writer's position tentative and therefore showing deference to the addressee. An example of similar deference can be seen in utterance 80 below.

(80) We **wish** to send Mr ~~XXXX~~ to London from 22 May to identify records that need copying and costs involved in repatriating the same. (Akhaabi, A.B.S. 5 txt)

The reading of the statement carries an imposition of some kind from the writer, but this is weakened in the way the writer wishes the reader to understand it as simply a desire that he or she is sharing with the reader. The use of AFFECT in this way enhances interaction in the communication.

The influence of context is also seen to be active in APPRAISAL, as it is also noted that some linguistic expressions are difficult to classify and could vary in the attitude they construe. Martin and White (2005) observe grey areas in their analysis and advise that an analysis should look further into the text in order to decide on the type of attitude.

Sometimes, however, both values may be possible in the context and hence double-coding is permissible. The example below is used to show this double-coding.

(81) The **miserable** [Social Esteem: capacity and Unhappiness: misery] president was at it again and this time he had others who shared his despicable views.

Both AFFECT and JUDGEMENT values are possible. On the one hand, this can be interpreted as a description of a continuing emotional disposition of the president (that is, he or she in a state of misery about something); hence, it is negative AFFECT. On the other hand, in some other context it might be a formulation to convey a meaning that reflects the individual's ability as a president, that he or she is weak and indecisive and therefore incapable of being a leader. In this case, the formulation is seen as involving some sense of negative JUDGEMENT: capacity.

3.2.1.2 JUDGEMENT

JUDGEMENT entails ascribing an attitude to the behaviour of a conscious source, as it has been noted in example 81 above. In terms of the current study, writers express JUDGEMENT in their messages to enhance the purposes of their communication. For messages that entail getting the audience to act in a particular way or obligative speech acts (Austin, 1962; Dirven & Verspoor, 2004), the writer ascribes an attitudinal value to his or her behaviour in carrying out the directive. Consider the example in 82 below.

(82) Finally, by copy of this savingram, I **request** some officers from DBES to be part of the task team assigned to carry out this task. (Bakwena, F.S. 6 txt)

The writer ascribes value to his or her behaviour in relation to the action they require from the reader. The behaviour is assessed as a 'request', which is a verbal process that evokes behaviour or attitude of the writer. The assessment made by the lexical item *request* conveys to the audience that the writer is showing deference to the audience, which would not be the case in a more direct example like 83 below.

- (83) Finally, by copy of this savingram, I **direct** some officers from DBES to be part of the task team assigned to carry out this task.

According to the APPRAISAL framework, JUDGEMENT is based on norms about the way people should or should not behave in terms of either social esteem or social sanction. Table 17 below is a framework for analysis of JUDGEMENT adapted from Martin (2000) and shows the parameters for organising JUDGEMENT with a few examples of lexis conveying the values. Some of the values of JUDGEMENT may also be conveyed in a phrase bold below.

- (84) Since he is the only local who is **more qualified than the rest of the candidates** our office feels that it would be proper to straight away recommend him for appointment without first subjecting him to an interview.
(Nkile, V.1 txt)

Table 17: Parameters for organising JUDGEMENT

(adapted from Martin, 2000:156)

<i>Social Esteem</i>	<i>Positive (admire)</i>	<i>Negative (criticise)</i>
Venial		
normality	lucky, fortunate, charmed	unfortunate, pitiful, add
Is he or she special?		
capacity	powerful, vigorous, insightful	mild, weak, thick
Is he or she capable?		
tenacity	brave, dependable, persevering	rash, cowardly, unreliable
Is he or is she reliable, dependable?		
<i>Social Sanction</i>	<i>Positive (praise)</i>	<i>Negative (condemn)</i>
Mortal		
veracity (truth)	honest, real, genuine	bogus, manipulative, fake
Is he or she honest?		
propriety (ethics)	good, sensitive, caring	corrupt, unfair, mean
Is he or she beyond reproach?		

Assessment of social esteem has to do with three things about behaviour: whether the character or behaviour is normal, whether someone's behaviour demonstrates capability and whether behaviour demonstrates that someone has resolve or determination. JUDGEMENT works to convey to the audience either that the writer is interested or not interested in them and therefore admires or criticises their behaviour, or, if it is social sanction, that the writer likes or dislikes their behaviour and therefore praises or condemns it based on whether the behaviour is truthful or ethical. Like AFFECT, the attitudes of JUDGEMENT are either of positive or negative polarity. Consider example 85 for example:

- (85) You are **correct** [Social Esteem: capacity] to say that the Ministry should be more vigorous in their campaigns. [Moreme, B. 21 txt].

The assessment expressed here works to make the audience feel recognised as the polarity is positive and an attitude of admiration is being conveyed. This positive assessment of the person *You* carried by the lexical item *correct* appeals to the audience to share the assessment and accept the proposition expressed as valid. It presents the writer as a friend. This is an effective strategy to gain agreement of the audience on an issue or even to pre-empt a counter view. If values of Social Esteem are shared (positive Social Esteem), then there is a likelihood of the formation of social relations. If the behaviour is not shared (negative Social Esteem) relations may not be formed or those existing may be affected. This kind of JUDGEMENT has been greatly avoided in the corpus, and where it is used the assessment is one given by the writers of themselves. This can be seen in the following examples.

- (86) We, therefore, **need** [negative capacity] to fast track this project to address the urgent need for facilities while we still have the funds. [Oliphant, D.T. 1 txt]

- (87) Since it was the first time we carried out such an exercise, we **underestimated** [negative capacity] the number of DVCAMS to be used and purchased only 10 DVCAMS, and have **now run out of the cassettes**. [Molatedi, S. 2 txt]

The negative assessment in the statements, in bold font, indicates that the writer is critical of his or her capability. The aim of the assessment is to move the audience to sympathise and accept the statement as requiring critical attention.

Consider example 88 below in which the parameter of Social sanction is used. Social sanction has to do with whether the behaviour is socially acceptable based on written rules or social norms about the way to behave. The behaviour is measured according to whether it is truthful or whether it is ethically sound. Behaviour of the Social sanction is either praised or condemned. If it is condemned, the behaviour is either shunned or ridiculed or there are penalties against those who do not comply with the standards, otherwise sharing behaviour is seen as a civic duty and therefore praised.

(88) My view on the matter is that you are **dodgy** and therefore **unreliable** on this matter.

The assessment is based on Social sanction and reflects an attitude of ridicule and condemnation of the audience, *dodgy* is negative veracity while *unreliable* could be both negative veracity and unethical. The assessment *dodgy* is an inscribed condemnation of the audience's character. The word carries a value judgement similar to such words as *corrupt*, *lazy* and *insensitive*. Inscribed attitudes are rather confrontational and insensitive for anybody to convey and may elicit negative feelings on the addressee. Iedema, Feez and White (1994) observe that only writers who are backed up by institutional authority may use such explicit negative JUDGEMENT. Martin's (2000) categories of JUDGEMENT focus on inscribed assessments that describe qualities or attributes of behaviour. In the APPRAISAL system, also described in the APPRAISAL home page (see <http://www.grammatics.com/Appraisal/>), it has been observed that some JUDGEMENT may be implied or evoked and are called "tokens of JUDGEMENT". Such values are triggered by the ideational meanings, which in the

culture of the users have the capacity to evoke JUDGEMENT meanings. Consider example 89 below:

- (89) We **appeal** to employees to report any suspicious financial practices which they observe in their departments. [Ramatsui, P.T. 12 txt]

The word *appeal* is not explicitly evaluative but it evokes evaluation based on the manner associated with the writer in relation to the action he or she desires that the audience should carry out. In APPRAISAL terms, this description is seen in terms of the social sanction revealing deference towards the audience and therefore it conveys the semantic meaning that the action is not being imposed on the audience. The assessment is carried in the adverbial associated with the verbal process *to appeal*. It construes a particular degree of asking and it entails pleading. As a form of pleading, it construes eminent rejection. The semantic meaning that this behaviour construes places the reader in a position of authority and relegates the writer. In the example, it conveys a manner of asking of the writer wherein the writer is helpless and yet doing something that is ethical and worthy to be heeded by the reader.

Values of social sanctions are also conveyed in statements or informative speech acts. When this happens, the communicative intention conveyed is that the writer does not wish to claim authority for himself or herself regarding the process in question as reflected in the assessment. If the writer is presented as having too much power, based on an explicit assessment, this might be contrary to what the audience believes or feels is the case, for example utterance 90 below:

(90) We are presently **soughting** for quotations to purchase more DVCAM cassettes and since there are a few companies that supply such cassettes and most companies are closing for Christmas, we may not be able to purchase the cassettes before the end of December. [Molatedi, S. 2 txt]

The assessment carried in the word *soughting* is based on ethical considerations i.e. it is ethical for quotations to be sought as opposed to **grabbing**. The pragmatic effect of the statement is to gain consensus and demonstrate that the writer has regard for the audience and assumes assessments that are socially acceptable and that the audience might view in the same light. Notice the use of the past participle of *seek* with an *-ing* form; for example *soughting*, which is a non-standard use of the verb.

3.2.1.3 APPRECIATION

Attitudes that are expressed as APPRECIATION convey assessment that ascribes aesthetic value of artefacts and performances to natural phenomena. The aesthetic value reflects the social significance in either a positive or negative way, as in the examples below.

The expression of APPRECIATION, like that of JUDGEMENT and AFFECT, is a useful resource for facilitating interaction. In correspondence documents, in which the audience is sometimes asked to act in a certain manner, the writer may convey appreciative meanings in order to avoid threatening their negative face. This is done in the example in 91 below.

(91) Your cooperation in this regard will be **greatly appreciated**. [Molatedi, S. 2. txt]

In the example, the writer conveys an assessment of a phenomenon that attempts to bring about a positive reaction, rather than directly tell the addressee to carry out a particular action. The expression of APPRECIATION in this manner rather than an instruction is likely to move the addressee to act not because he or she is being obligated to do so, but because he or she has been informed that the process will have a positive impact. This resource also helps to demonstrate that the writer acknowledges the addressee and that the addressee should therefore not feel that he or she is being coerced to act. This further demonstrates the dialogic nature of communication as a social event: that it orients itself to previous performances and relationships and tries to establish socially significant communities of shared belief or values.

Martin's (2000) classification of aesthetic value is based on three parameters of Reaction, Composition and Valuation. Table 18 below shows these types of APPRECIATION.

Table 18: Parameters of APPRECIATION

(adapted from Martin, 2000:160)

<i>APPRECIATION</i>	<i>Positive</i>	<i>Negative</i>
Reaction: impact	arresting, captivating, engaging	dull, boring, tedious
Did it grab me?		
Reaction: quality	okay, fine, good	bad, yuk, nasty
Did I like it?		
Composition: balance	unified, harmonious, unified	unbalanced, discordant, irregular
Did it cohere?		
Composition: complexity	simple, pure, elegant	ornate, extravagant, monolithic
Was it hard to follow?		
Valuation	penetrating, profound, deep	shallow, reductive, insignificant
Was it worthwhile?		

An assessment of APPRECIATION reflects three variables of APPRECIATION. The first variable of APPRECIATION is reaction. An audience reacts to phenomena in terms of whether they like it, for example its quality [Reaction: quality] or the way it affects them, its impact [Reaction: impact]. Reaction: impact is shown in examples 92 and 93 below.

(92) He **enjoyed** [Reaction: impact] reading the book.

- (93) The night was **peaceful** [Reaction: quality] after a long day of aerial bombardment.

The second variable is in terms of the way someone or a phenomenon is perceived in terms of its proportionality or complexity. It relates to the variable *Composition*, which is about the way an audience view things as ordered. Things are either balanced or not balanced [Composition: balance], or complex or not complex [Composition: complexity]. Examples of these are given in examples 94 and 95 below.

- (94) We find the data to be **distorted** [Composition: balance] and an attempt by a syndicate that is bent towards defrauding the government at all costs. [source withheld for security reasons]

- (95) It goes without saying that Hairdressing and Beauty Therapy is **one of the scarce skills areas, which are difficult or even impossible to fill** [Composition: complex] with local experts. [Nkile, V. 1 txt]

The third variable is *Valuation*, which expresses the opinion someone has about the worth attached to a phenomenon or process. Utterances that express such assessments function to realise the same communicative intentions in discourse as their counterparts above. Instead of making outright directives for action, writers inform the reader of their assessment in term of the value that they attach to processes or phenomena. The proposal therefore reads more like a proposition as the action required is presented in value terms. The following example demonstrates this.

- (96) In other words, it is **essential** [Valuation] to ensure that the process is undertaken transparently and in a manner that ensures competition for any opportunity which privatisation may offer. [Galeforolwe, J.B.2 txt]

The assessment gives the statement a pragmatic force while validating the performance of the speech act. When the writer makes an assessment in terms of valuation, the rhetorical effect of the assessment is to move the audience to accept or reject the validity of what is being said about the phenomena or process.

3.2.2 Engagement

In example 96 above, it was noted that the writer expresses an attitude – APPRECIATION. This attitude orients itself towards other voices in communication and hence the directive is dialogic and reveals the ideology that is prevalent; which is that in order to galvanise someone into action in a business environment, directness should be avoided. Expressing APPRECIATION works to indicate deference to the reader, the context and the relationships thereof regarding what is socially acceptable or expected. This resource signals the writer as pre-empting that there are other options open to the reader to take regarding the action that the writer desires to be taken or followed. Therefore, the construction above engages the reader. The ENGAGEMENT system is a system of revealing the stance or position that the speaker–writer adopts for him or herself regarding propositions or proposals referenced in utterances, or revealing the values upheld in the contexts of the communication. In other cases, the linguistic resources used are not attitudinal at all but provide a colouring in the discourse to reveal what Martin (2004:280) refers to as *rhetorical voice*. This position strengthens the view, aptly put by Stubbs (1997:197), that whenever a speaker–writer says

something, they encode their point of view (Römer, 2008; Martin & Rose, 2003; White, 2002).

In Bakhtin's (1981) words, the speaker–writer usually anticipates a response or reaction that is either in support of or contradictory to his or her message. The speaker–writer will then select linguistic resources that will reveal his or her angle as supporting, acknowledging, challenging or rejecting actual or potential objections or acknowledgements. The angle acts as an elision in the dialogic environment that the speaker–writer believes prevails between him or herself and the audience considering the context of the communication. The framework therefore provides options for elision of dialogism in utterances. In business correspondence writing, the writer's voice is crucial and if a writer is not aware of other nuances of meaning in his or her communication, he or she may be surprised at the kinds of responses or the lack of response from the audience. In contrast, if the writer is aware and uses his or her rhetorical voice well, his or her communication will be more efficient and yield positive results.

The notion of dialogism was coined by Bakhtin (1981); according to dialogism, every act of communication is like a dialogue and orients itself into a context of previous communication, creating a relationship with the audience. As a dialogic process, therefore, communication is seen to reflect the presence of a **heteroglossic environment**. Heteroglossia refers to the range of alternative positions that are open to the participants in a communication context. Consider, for example, utterance 97 below.

(97) I **trust** that you will appreciate why I am anxious to have this matter dealt with conclusively. [Ramatsui, P.T. 1.2 txt]

The Engagement is carried in the main clause *I trust*, the type that Halliday (1994) terms the *explicitly subjective option*. Its propositional content reveals that the value position is explicitly grounded in the writer's own subjectivity. It therefore actively makes allowance for or entertains dialogically alternative positions that may be taken up by the audience, possibly as in 98 below.

(98) I do not appreciate it why you are anxious to have this matter dealt with conclusively.

The use of the projecting clause *I trust* to express subjectivity reveals the speaker–writer as oriented towards the alternative position in 98 above. The locution of example 96 is therefore structured to recognise the audience's freedom to hold the alternative position expressed in 98.

According to Martin and White (2005), the heteroglossic resources fall into two broad categories based on whether they are dialogically expansive or dialogically contractive. Example 98 above falls within the category of dialogically expansive resources. The effect of such locutions is to show deference towards the audience or lower possible disagreement with anyone who may take an alternative position. The writer does this by clearly demonstrating that he or she is personally responsible or that although he or she is committed to or responsible for the propositions, such positions are not universal. Dialogically expansive resources are useful strategies in business communication, for which the main purpose is to cultivate and maintain good interpersonal relationships by bidding to maintain solidarity with those who may hold differing view-points, by acknowledging the positions.

Dialogically contractive resources in contrast reveal a heightened investment in the proposition by the speaker–writer and therefore function to exclude space for the potentially dialogic alternatives. The resources work to confine the audience to a position that will force them to be aligned with the value positions advanced by the speaker–writer by limiting the space, challenging or dismissing any alternative position as not possible. This effect is attested in utterance 99 below composed to illustrate the concept.

(99) I was recently informed that members are not up to scratch in their research schedule. This **shows** a lapse in the commitment which you demonstrated at the same time last year.

The use of the verb *shows* reveals that the writer has adopted a particular stance towards the proposition, one that demonstrates his or her commitment to its validity or factuality (see also Kiparsky & Kiparsky, 1970, for examples of the use of reporting verbs to reflect the authorial voice supporting propositions as ‘true’ or ‘valid’). The verbs reveal the writer as taking over responsibility of the proposition and excluding any alternative position (this is discussed below in Section 3.2.2.1.3.4).

Contrasting with the heteroglossic option and therefore not recognising other positions is the option that some utterances are **monoglossic**. In such utterances, the speaker–writer categorically declares the current position as the only one worthy of recognition. The use of such utterances is usually confined to propositions that are taken for granted as is exemplified in example 100 below:

(100) The **expediency** to cancel the registration of the C.M C church as a *bona fide* congregation has since been upheld by this office. As I speak, all the necessary communication has been dispatched to the Church Secretary. [Gaealapswe. M.M. 18 txt]

In the example above, the proposition that the matter is of critical importance and desiring prompt action is construed as something that is no longer an issue for discussion and the audience does not need to be persuaded about what should be done. It cannot be termed anything else apart from *expedient*. Some other examples of monogloss are performatives that Austin (1962) terms *constitutive speech acts*. These are acts such as declarations of statements of fact or congratulations that constitute a social reality. The acts are categorical and exclude any other positions. These are illocutionary acts in which the utterance of the words brings about a communicative intention whose signal is a social reality. Through the utterance, the speaker–writer accomplishes an action and expects the audience to regard the action as done and therefore completed and in existence. For example, a marriage officer would not have doubts that he has enacted a social reality, nor would those present at such an event, regarding the meaning and truth value of the pronouncement *I now declare you husband and wife*. The construction assumes a shared agreement or values amongst all the participants involved in this matter, which is what Austin (1962) refers to as *felicity conditions*.

When monoglossic utterances are used in proposals, no attempt is made to minimise the imposition of the obligation as can be seen in utterance 101 below.

(101) You **should** report at head office at 0800 Hrs. on Monday 19th May 2008.

The illocutionary act takes it for granted that the mere utterance of the words is enough for the order to be carried out, based on shared values or contextual circumstances. The position the writer–speaker adopts is that having the authority to give directives and that the audience acknowledges such authority or that both the speaker–writer and audience are aware of the urgency of the matter in question or the consequences of not doing as directed. The utterance projects an audience who will not see the speaker–writer as imposing on their freedom to act. In business correspondence, such utterances are mainly available for use to emphasise the writer’s expected alignment of the addressee with the positions in the utterance and are used mainly in specific contexts that reflect prevailing relationships or distribution of power.

3.2.2.1 Position or Stance revealed by the resources of Engagement

There are various positionings expressed in the choice of resources used by speakers/writers during interaction. As indicated, the resources fall into the broad categories of heterogloss or monogloss. Whichever class they belong to, they reveal the kind of interactive relationship that is constructed amongst the participants. They reveal whether there was an attempt by the speaker–writer to show deference to the audience in relation to the message in the utterance. In terms of correspondence writing, a choice of a resource over another other contributes to the effectiveness of communication.

In the subsections that follow, the taxonomy that Martin and White (2005) have developed to locate the various resources for Engagement meanings is outlined. Each classification reflects the dialogistic positionings associated with it and the speech functions they perform in utterances. The investigation of attitude in the study is confined to resources of ENGAGEMENT in which attitude is expressed.

3.2.2.1.1 **Entertain**

The alternation in nomenclature is demonstrated using example 102. From the SFG perspective, this example could have been analysed as an imperative in which modality demonstrating the addressor's low obligation in asserting the proposal is expressed. From the APPRAISAL perspective, this is considered a type of ATTITUDE, which is AFFECT. The ATTITUDE is carried by the words in given in italics.

- (102) We *hope* you will advise us quickly as required training is scheduled for January and February [obligation with a subjective loading] (Mokoti, M.1 txt).

In terms of ENGAGEMENT, the utterance above is dialogically expansive. It expresses a position that reveals acknowledgement of the audience, which is termed *Entertain*. The authorial voice entertains other possible dialogic alternatives of others who may not agree to position being referenced by the speaker–writer. The authorial voice in the locution construes the speaker–writer's investment in the proposal, while acknowledging the value position as contingent and therefore grounding the proposition in the conditional individual subjectivity of the speaker–writer. The audience may not share the value position and thus space is created for that audience. In the utterance above, the proposal is presented as a personal viewpoint. Other examples of resources of entertainment that express a different ATTITUDE of the JUDGEMENT type are given below with the resources in italics and bold to show both ATTITUDE and ENGAGEMENT, respectively.

- (103) I therefore, *request* [JUDGEMENT and Entertain] you to arrange for regular monitoring of the progress and let me have a feed-back by the 19th April

2006, so that I can assist you timeously by taking action in removing procedural impediments, if any. [Tumelo, S.S 1 txt].

(104) Instead, we would *encourage* [JUDGEMENT and Entertain] the stakeholders to inform us of the different privatisation initiatives which are ongoing in their departments and parastatals so that we could attempt to catch up with the developments which have been taking place. [Galeforolwe, J.B. 2 txt]

(105) I would like to **remind** [JUDGEMENT and Entertain] you that the office of the Auditor General has the responsibility of attending to submitted accounts within 12 months of receipt. [Sentle, B.K. 3 txt]

The primary function of values of entertainment is to create space for potential or existing alternative voices, which may not share the position being referenced. The examples above show this kind of entertainment in which the proposal is presented in ways that avoid the imperative forms, which have the potential to upset an audience who might view their freedom as impeded. By recognising the audience, the speaker–writer is showing solidarity with them. The rhetorical effect on the audience is one of tolerance rather than confrontation, leading to solidarity with the audience. In business correspondence writing, such an attitude is crucial since it projects a positive image of the speaker–writer, in order that the work of the organisation is not held at ransom through the elevation of harmful personalities. Values of entertainment also help to facilitate communication amongst participants who might feel that their age or positions are not recognised by those who are writing to them.

3.2.2.1.2 Attribution

The value positions of attributions contrast with those of entertainment. With Entertainment, the locutions construe the speaker–writer’s investment; with attributions, the speaker–writer is not involved in the value positions referenced. Rather, an external voice is responsible and this involvement is usually expressed using the grammar of reported speech, which in Halliday’s grammar is termed *projections*. Attribution in proposals present the speaker–writer as not involved in the value positions referenced in the utterance. They are dialogic because the speaker–writer’s non-involvement suggests that he or she is aware of the potential for an alternative position available to the addressee. Attributing the proposal leaves the choice open to the addressee and therefore does not attract attention or resistance towards the speaker–writer with respect to the proposal referenced. Two sub-categories are recognised, which are discussed in the sections that follow.

3.2.2.1.2.1 Attribution: acknowledge

In the Attribute: acknowledge locution, the speaker–writer acknowledges that there are some amongst the audience who might not share the positions advanced and he or she thus attributes the positions to an external source in order to avoid responsibility for the positions. The formulations enable the speaker–writer to present value positions that have the potential to cause conflict with the addressee. The position of the speaker–writer may however only be temporarily hidden, since it is bound to be revealed further in the co-text. The dialogism of Attribute: acknowledge locution is based on the external reference of the source, which suggests that the speaker–writer is aware that the value positions may not be shared and therefore acknowledges the potential existence of those who do not share the positions. Attribution: acknowledge locutions are expressed using the following resources in projecting positions.

1. verbal processes or their equivalents that carry ATTITUDE of the JUDGEMENT type, such as *argued, described, demanded* and *remarked*;
2. mental processes that carry ATTITUDE of the APPRECIATION type, such as verbs of cognition, for example *believe, suspect*, and *posit*;
3. nominalised processes with ATTITUDE of the APPRECIATION type;
4. adverbial adjuncts that carry ATTITUDE of the APPRECIATION type, such as *according to* and *in Magocha's view*; and
5. sometimes the source of the proposition is not specified or is termed *hearsay* although it expresses APPRECIATION, for example *it is said* and *the argument that*.

The following extract from a savingram illustrates some of the strategies referred to above with the resources given in bold and the type of structure in italics.

(106) The xxx **requests** you to consider donating the xxx family private documents of historical and research value to the Department. [Kgabi, K.P. 6 txt]

verbal process

(107) **It is our belief** that, through your involvement with the military and various non-government organizations over the years, you have made such a contribution and would have valuable documents of historical and research value. [Kgabi, K.P. 6 txt]

mental process

(108) **Donating private archives** helps us preserve our past for future generations to know the true history of our Nation. [Kgabi, K.P. 6 txt]

nominalised process

3.2.2.1.2.2 **Attribute: distance**

This sub-category involves formulations in which the framer clearly distances the authorial voice (the speaker–writer) from the attributed propositions. It overtly detaches the speaker–writer from responsibility for what is being reported. Consider example 109 below.

(109) The Minister did not approve of the event after management *claimed* that staff was not pulling their weight. [Sethebe, K. 1 txt]

The use of *claim* expresses JUDGEMENT and it acts to delineate the internal voice of the speaker–writer as detached from the propositions referenced in the utterance. This is different from Acknowledge: attribute in which the speaker–writer’s position could be picked later in the co-text. It reveals the distancing of the speaker–writer and casts doubts on the proposition’s reliability. It has the rhetorical effect of aligning the audience with the position of the speaker–writer. The addressee may also not agree with the speaker–writer’s assessment. However, he or she may not challenge the assessment since it is only an opinion. This is a useful resource that enables the speaker–writer to cast doubt on propositions without being categorical about it, which might in the process earn them the wrath of those who are aligned with the referenced position. It allows those addressees who do not agree with the assessment of the internal voice (speaker–writer) to view it as one amongst others and indicative only of the speaker–writer’s opinion.

3.2.2.1.3 Proclaiming or disclaiming

The categories of proclaim and disclaim function to reveal the speaker–writer as directly involved in the utterance and therefore responsible for values referenced in the utterance. The involvement is by way of explicit interpolation of the speaker–writer into the text. This can be expressed in locutions that act to restrict any potential contrary dialogical responses from the audience. The formulations are dialogically prospective as they are forward looking at dialogical responses and constrain their scope; hence, they are contractive. The rhetorical effect of the dialogic exchange is to confront and make it appear or sound futile for anyone to challenge, reject or doubt the assessment attached to the utterance. The futility of the exercise is reflected in the speaker–writer’s total commitment to the values either through disclaiming or proclaiming. With disclaiming, the dialogic alternative is directly rejected as not being applicable, while proclaiming means the dialogic alternatives are confronted and challenged. According to Martin and White (2005), three sub-types of proclaim and two sub-types of disclaim are identified in this category of meanings.

3.2.2.1.3.1 Disclaim: deny

The Disclaim: deny locution implies that there is an alternative position in the dialogue and that the addressee is likely to hold that position, and it responds to this situation by denying or rejecting the position. Extract 110 below attests to this.

(110) As noted in your letter the approval for re-appointment of consultants for the xxx was received from xxx in December 2005. However, *xxx has not been able to commission consultants* for the project as we are in the process of finalising pre-planning issues such as Environmental Impact Assessment, Environmental Management Plan, and Project Funding. [Modise, J.O 2 txt]

The bolded clause presents itself as responding to a general expectation or belief that the since the xxx has approved then xxx will automatically respond to the approval, which is *to commission consultants*. This is the alternative position that the denial introduces (which it had not been able to do). The denial presents the reader as one who is potentially prone to share this expectation or belief and sets out to persuade him or her not to share this position. The denial presents the speaker–writer as having more expertise or knowledge on the matter than the addressee and offers a correction to the susceptible addressee. The denial is aimed at enhancing solidarity rather than bringing about confrontation because it helps the audience understand the envisaged alternative view-point better in order that they may adjust their misconception. This can be noted in extract 111 below, in which the Disclaim: deny locutions are given in bold font. Notice that the ATTITUDE expressed is JUDGEMENT.

- (111) Notwithstanding the above let me also point out that complaints have been made to me by the staff of this department on what they purport to be some very unnecessary intrusion by your planning unit into issues of a technical nature. ***There is really no harm*** in making further enquiries or seeking further clarification or raising a suggestion, but ***I do not think that it is really warranted*** to demand copies of the raw data of the evaluation of tenders.
[Mazonde, G.P. 9 txt]

The addresser indicates his or her attempt to distance the addressee from the potential alternative position that seeking further clarification on tender evaluations could be taken as interference. The denial works to align the addressee to a position of opposition to the potential alternative, which is that seeking further clarification is not an interference.

The role of Disclaim: deny in correspondence works to pre-empt the negative communication and relationships that may come about between the addressee and the addresser. The addresser pre-empts the negative value position by rejecting it as a non-existent alternative. In this way, the addressee is saved from entertaining negative expectations or beliefs that are based on little information or even complete misinformation. The rhetorical effect of Disclaim: deny is to reach out to the audience, facilitate interaction amongst participants and ensure maintenance of positive relationships by pre-empting and denying negative attitudes.

3.2.2.1.3.2 Disclaim: counter

The engagement processes in this sub-category relies much on the context in which the utterance appears. If encountered out of context, the resources convey no interpersonal function and are simply textual devices. In context, however, their dialogic role becomes active. The dialogism results from the locution of the main clause commonly invoking a potentially present or generally expected position and it going on to reject the position through what is on the surface a conjunctive adjunct. Consider utterance 112 below uttered by a friend to another when meeting in the evening, after the other had earlier asked him to buy lunch. The utterance is a response to an inquiry about where the friend had been in the afternoon.

(112) I went to town *although I did not have any money for shopping*.

The proposition that is expressed in the evaluative utterance is represented as being in a countering relationship with a potentially present dialogic position, which is that a person would go to town because he or she has money to spend. This view is potentially present and the speaker–writer expects the addressee to share it and therefore goes on to reject it. The

conjunctive adjunct *although* pre-empts and counters this view. The function of *although* therefore works to invoke and simultaneously counter the potentially present dialogic position. The evaluative thrust of the conjunction is that it is dialogically active and counters the unspoken expectation, which is that people only go to town to spend money. This is analysed in Table 19 below.

Table 19: The dialogic role of conjunctive adjunct

<i>What is evaluated</i>	<i>Evaluation</i>	<i>Ground</i>
the view that somebody going to town does so to spend money	the view is countered <i>Negative</i> <i>APPRECIATION</i> (although)	the speaker did not have money

The conjunctive adjunct has two semantic roles in the utterance. One role is to invoke negative Appreciation of the potential belief that people go to town to spend money. This is conveyed as a situation or a process that is not always true and therefore negative Composition: balance. The conjunctive adjunct intimates that the thing evaluated and the evaluation are in a countering relationship, which marks them as not cohering. The second semantic and more direct role is rejection of that situation or belief on the grounds that the speaker–writer did not have money, and yet went to town.

Other conjunctive adjuncts include *however, yet, but, even, only* and *just*. The resources work to align the addressee by presenting an addresser who rejects a position assumed to be common and therefore calls upon the addressee to do the same. Biber *et al.* (1999) and Halliday and Matthiessen (2004:538-547) however do not treat conjunctions as an expression

of attitude but rather as types of linking devices that show textual relationships between main clauses based on types of conditions. Treating the conjunctions as revealing speaker–writer stance relates to the Sinclair and Mauranean (2006) view of language in terms of chunks that perform two main functions of message function and organisation of interaction function. Based on this perspective, the Disclaim: counter resources reveal the speaker–writer stance in relation to the expectations obtaining in the context of the exchange. The resource therefore reveals the addresser’s position or stance as counter to general expectations and hence its interpersonal role is to prepare the addressee to be aligned against the general expectation.

3.2.2.1.3.3 Proclaim: concur

In locutions of this type, the speaker–writer expresses an assessment in the form of a comment or APPRECIATION in which he or she explicitly announces his or her support or agreement with regard to the values referenced by a dialogic partner. Consider example 113 below.

(113) *Obviously* data captors are usually temporary staff, whose welfare is determined by the Contractor and as the procuring entity, we are not in a position to determine their daily rates. [Chitando. E.S. 4 txt]

The locution presents the addresser and the audience as in complete agreement with each other to the extent that the proposition that is referenced is common sense and only to be taken for granted. The relationship of agreement is expressed by the adverb in bold font, which in SFG serves as a comment Adjunct commenting on the proposition in the whole clause. The adverb pronounces a commitment of the speaker–writer in respect of the validity attached to the proposition. Other examples with similar functions are *of course*, *naturally*,

quite frankly, surprisingly, generally and hopefully. Some of the examples fall into the category that Conrad and Biber (2000) term *style stance attitude*.

The choice of such locutions by the addresser construes for the text an audience that does not view the values expressed in the proposition as problematic in any way. The formulation is therefore contractive, as it excludes other dialogistic alternatives from the utterance by positioning them at odds with what is presented as a natural assumption arising from a context or a proposition. It tends to motivate support for the current proposition by representing it as incontestable and generally in accord with what is known or expected by a dialogic partner (the audience) or by people in general (Martin & White, 2005:123). The dialogic function is thus revealed in the addressee who is presented as being in agreement with the audience.

3.2.2.1.3.4 Proclaim: endorse

Usually, Proclaim: endorse locutions are preceded by propositions that are neutral in their voice and therefore objective. The use of the Proclaim: endorse locution construes an interactive environment in which the audience might hold view-points that are potentially contrary to those that are referenced by the preceding propositions. The locution therefore construes an audience who may reject, challenge or simply not consider as warrantable the position encoded in the utterance. The endorsement works to dissuade the challenge to the position by taking responsibility to demonstrate that the position is in fact warrantable and should not be challenged or rejected.

The endorsement is carried in the verbal group by a verb that gives the basis for the speaker-writer's intervention. In academic writing, particularly in supporting a viewpoint,

endorsements are useful since they reveal the voice of the writer as one that is evaluating the proposition or position as relevant and therefore worthy to be considered. Hunston (1994) notes that writers of scientific research reports make use of such endorsements to demonstrate the relevance of their results. Consider extract 114 below from a memorandum.

(114) From last week Monday, we have been receiving enquiries seeking clarification with regard to the new pension scheme. It seems that although a lot of staff wants to opt for the new scheme, but there are many questions that are still bothering them. *This shows* that there is need for the institution to carry out further discussions with the staff before a whole sale movement can be adopted. [Selotlegeng, K.A. 2 txt]

The Endorsement gives credibility to the writer and strength to the position he or she encodes by positioning the audience to see value in the position. The writer is positioned as one whose suggestions are guided by sound reason and evidence. Resources of endorsement therefore give confidence to what would otherwise be read as the speaker–writer’s view-points. The confidence with which the position is endorsed dissuades the addressee from considering potential alternative view-points. In doing so, the formulation is dialogistically contractive, as the speaker–writer takes complete control of what the addressee may think and aligns him or her to the value position being advanced in the utterance. Examples of verbal phrases used to endorse are *demonstrate that, point out that, it can be seen that, one can conclude that, the conclusion one can make is that* and *it should be noted that*, implying the attitude that is encoded in the process.

Endorsement resources give credibility to the speaker–writer regarding the positions encoded. They simultaneously convey the speaker–writer’s attitude in terms of Appreciation of the positions. In the example above, both endorsement and APPRECIATION are conveyed by the same resource. The two are however not synonymous as one is ENGAGEMENT and the other is a type of ATTITUDE.

3.2.2.1.3.5 Proclaim: pronounce

The Proclaim: pronounce locution is used by speaker–writers to interpolate themselves directly into the text in order to explicitly indicate their maximal investment in the proposition. Martin and White (2005) give several examples to reveal the explicit intervention of the speaker–writer into the text. Their examples include ‘*I contend that...*’, ‘*the fact of the matter is that...*’ and ‘*you will agree that...*’. The corpus used in this study, however, includes examples that do not use grammatical frames to reveal writer interpolation in the text, although the assertions are obvious. The locutions are presented to construe writers who ‘know’ the truth and are certain regarding the propositions in the texts. Such knowledge is the basis for the assertions and emanates from the cooperative principles that the audience assumes are guiding the writer and that it is expected to guide communication, particularly formal and official communication. Examples from the corpus include the following. Note that the ATTITUDE expressed in the process of engaging the reader is APPRECIATION.

(115) *To a large extent* this was originally recognized with the establishment of a structure, in the form of LAITSU, to manage the project. [Fako, T.T. 2 txt]

(116) *We should also note that* as a result of our lack of understanding of the issues associated with the management of the project, we had requested for an audit to be performed so as to assist us better understand the responsibilities of the structures that were put in place to manage the project. [Fako, T.T. 2 txt]

In the examples above, the propositions construe writers who are informed and whose official responsibility it is to participate in the issues referenced in the texts. They also construe an audience who might not wish to know or might not know, might not believe or might have doubts regarding the propositions in the texts. The assertions made by the writers work to ward off any potential doubt or challenge to what the writer perceives as his or her responsibilities. The assertions therefore acknowledge the presence of a diversity of positions regarding communicative contexts and are thus set against such diversity. In the process of such acknowledgement, the writer simultaneously conveys his or her APPRECIATION. In example 115, the objective statement *this was originally recognized with the establishment of a structure, in the form of LAITSU, to manage the project* invokes value in terms of Valuation. The APPRECIATION is implied in the enhancing clause, which gives purpose in terms of a positive thing *to manage the project*, construed as a worthwhile process.

In terms of Business correspondence writing, officers are obliged to make assertions when they write to other departments or to the public on issues regarding their ministries and departments. This is because departments and ministries by virtue of their responsibilities are expected to display and communicate matters on which they have complete information, in order for the public and other departments and ministries to have confidence in them. This is because their credibility will be based on the manner in which they discuss issues in the scope of their operation. An officer who is able to make authoritative pronouncements will

therefore earn the confidence and support of his or her addressee. It is therefore considered a useful strategy for any officer who wishes to sound credible in his or her task of disseminating information.

The preceding discussion has demonstrated that every utterance has resources that reveal the stance of the speaker–writer with respect to the position encoded in the utterance. It has been stated that the resources reveal either a heteroglossic backdrop or a monoglossic one. This means that either the speaker–writer is showing willingness to recognise alternative view-points in respect of the position that is carried in the utterance, or he or she does not recognise any potential for such alternatives (dialogically expansive or dialogically contractive). Relating to the corpus in the study, it was revealed that the writers are preoccupied with effective management of interaction and that the stance or position that is conveyed is that which recognises the potential for the alternative view-points available to the addressee. This notion, which is termed *dialogism* (Bakhtin, 1981), necessitates that the writer use a variety of resources to engage the reader in ways that suit the heteroglossic environment.

The discussion has also illustrated that the resources reveal various positions and that each position marks the speaker–writer’s orientation towards a dialogic purpose with respect to the addressee. The resources were shown to convey various forms of Engagement that the speaker–writers select from in order to manage or sustain interaction or to motivate a positive response of the addressees. The discussion has further outlined a taxonomy that Martin and White (2005) developed to classify the various resources for Engagement meanings under the groups Entertainment, Attribution, and Proclaim or Disclaim resources. It has been noted that Engagement and ATTITUDE are not synonymous, but that during the process of Engagement, some ATTITUDE may be expressed. In this way, therefore, Engagement is

viewed as dealing with the extent to which the speaker–writer opens up or closes up space for the addressee, while ATTITUDE deals with the opinion or feelings that the speaker–writer conveys in the utterance or text that contributes to the management of interaction.

In terms of the texts in which the purpose is to cause the addressee to act in a particular way, or change his or her perspective towards something, it has been noted that the resources above are dispersed in different parts in the sample texts. The Entertainment and Attribution resources are found in the clauses in which the commands are issued. For Entertainment, the resources are used to motivate a positive response from the audience. The audience is made to feel that alternative perspectives are permitted and that the choice of which perspective to adopt is not being contracted. This makes them feel that they are not being coerced to act. Further, the attitude that the position conveys helps to galvanise the audience into action.

With the attribute resources, the writer recognises the addressee by showing that the position he or she is referencing does not belong to the writer and therefore that the proposal originates from an external authority that may have more control. Attributing has proved to be an effective strategy for officials writing across levels of authority. For example, subordinates may invoke authority for themselves to direct superiors by Attributing to a wider community or ministry, or in some cases omitting the source, in which case they assume shared knowledge that the addressee is aware of his or her obligation to accede.

The other resources, such as the Proclaim and Disclaim resources have been further classified into subclasses. Their positions in the commands are such that their Engagement roles are to provide semantic meanings that pave the way for commands in the texts. Their uses provide a

background to enhancing the reception of directives. This point will be discussed in detail in Chapter 6.

In a general way, the discussion has demonstrated that the Engagement framework is a useful strategy in the management of interaction and construction of positive social relationships in business communication correspondence. The selection of appropriate Engagement resources was found to conform to the paradigmatic and syntagmatic choices in the language system. In this way therefore, the framework is seen in the light of the overall SFG theory, according to which the function that the language is intended to perform impacts on the choice of words and structure of the language.

3.2.3 Graduation

Martin and White (2005:135) state that Graduation is a feature of Engagement that reveals the extent of the speaker–writer’s angle in the position referenced by revealing the degree or scale of assessment of their attitude in the utterance. Some of the resources of Graduation are closely related to hedging and in some texts (see Lakoff, 1972; Brown & Levinson, 1987; Skelton, 1988; Myers, 1989; Channel, 1994; Hyland, 2000) have been treated as such. Martin and White (2005) classify Graduation into two semantic sub-categories. On the one hand, the speaker–writer’s attitude can be expressed on a scale of intensity or **Force**. **Force** can be either *sharpened* or *softened*. On the other hand, the speaker–writer’s stance may be revealed in terms the extent to which they view a phenomenon as a member of a class or it’s **Focus**. **Focus** can be either *prototypical* or *marginal*. Both **Force** and **Focus** call the reader’s attention to the scale of intensity the speaker–writer attaches to validity of the proposition, or his or her commitment to the proposal. The values of **force** or **focus** also reveal whether the

stance expressed is positive or negative as the examples below indicate (the expressions of Graduation are given in bold).¹

(117) She was **a real** friend when we first met [positively sharpened focus].

(118) They **sort of** broke into the house and cooked food [negatively softened focus].

(119) The judge was **somewhat** lenient to the accused when giving sentence [negative force of intensity].

(120) It is **almost certain** that a significant number of people will attend the games [positive force of quantity].

Graduation is the most commonly used resource in the APPRAISAL framework such that even when the analysis focuses on the types of attitudes or on the types of the engagement values expressed in the utterance, it is always tempting to pursue questions relating to graduation. It is therefore viewed as cutting across both attitude and engagement. For example, a speaker–writer cannot speak of attitude without revealing the degree of his or her involvement regarding the attitude. Utterance 119 above is a case in point where *somewhat* reveals the stance of the speaker–writer in respect of the force of the validity of the proposition: that it is negative force and that the speaker–writer disapproves of the short duration of the sentence.

¹ For illustrative purposes only.

It is noted however that in Martin and White (2005) their coverage of GRADUATION is limited to the use of grammatical items, as shown in examples 117 to 120. In this study, an extension of GRADUATION is proposed, borrowing from Halliday and Matthiessen (2004:146-150) in their treatment of the role of modality in utterances. It is posited in this study that the expression of modality may be viewed in terms of GRADUATION. When viewed in this way, it reveals the extent of the speaker–writer’s angle in terms of commitment to validity of a proposition, his or her confidence to success of an exchange or the force of his or her obligation on the addressee to carry out a command. If GRADUATION is considered according to Martin and White (2005) to mean the gradability of attitude of the speaker–writer, or the gradability of the position he or she adopts for himself or herself in the utterance, then an expression of validity in terms of certainty can be viewed as a kind of GRADUATION. Consider example 121 below. Modal *may* when viewed as a GRADUATION resource reveals the writer’s angle with respect to the force of obligation that the writer places on the addressee to carry out the command. It works to soften the obligation and therefore makes it appear less mandatory.

(121) **May** I also take this opportunity to request for a list of other activities within the Ministry of Education that are earmarked for privatization so that we may incorporate the same in the Privatization Master Plan and to guide us in planning the sequencing of future privatisation activities. [Galeforolowe. J.B. 2 txt]

Consider also example 122.²

² For illustrative purposes only.

(122) The Minister **did not** approve of the event after management claimed that the staff was not pulling their weight.

The Finite element (in bold) is seen as expressing negation of certainty. It sharpens the force or extent of commitment to the validity of the proposition in terms of negative high certainty. This can be contrasted with example 123 below, in which the scale of modal responsibility is softened by the modal of low certainty (*possibly*).³

(123) The Minister **possibly** did not approve of the event after management claimed that the staff was not pulling their weight.

The argument may be taken further to suggest that values of modality may also construe the speaker–writer’s ENGAGEMENT. The modal responsibility may also be seen to construe the speaker–writer as proclaiming or disclaiming a position regarding the validity of the proposition or commitment to an imperative. In ENGAGEMENT terms, the locution suggests that the speaker–writer is aware of the alternative view-points in terms of validity and confronts these by selecting that which reveals the preferred angle. It is noted here that in their framework of ENGAGEMENT Martin and White (2005) have excluded the examples of the type given above from their analysis possibly because of the absence of grammatical frames that indicate explicit authorial intervention or interpolations of the type ‘*it is absolutely clear to me...*’ or ‘*I contend that...*’. In terms of interpersonal meaning in Halliday and Matthiessen (2004), however, the utterances express salient subjective positions of the writers.

³ For illustrative purposes only.

According to the Graduation framework, if the item that is put into focus already carries attitudinal meaning the effect of the semantic meaning of the classification reveals maximal investment in the value position referenced in the utterance. The effect of such classification is to align the audience strongly to accept the value position being referenced in the proposition. In the example *he was a real brat*, the graduating item *real* positions the addressee to share the speaker–writer’s scale of assessment of the proposition *he is a brat*. Notice that Graduation does not in itself constitute ATTITUDE. The resource *real* operates on the noun *brat*, which is explicitly attitudinal. The noun depicts behaviour, Social Sanction: veracity. If however the focus is softened as with the utterance 124.⁴

(124) **Could I kindly** borrow your notebook for today, please?

In the proposal, the effect of the Graduation resource is to mitigate or reduce the intensity of the obligation and to persuade the audience to carry out the action in the imperative sentence. In the utterance there is double Graduation carried in the modal *could* and the adverb *kindly*. Softening values have been explored in texts under topics such as hedging (see Lakoff, 1972) and vague language (see Channel, 1994).

Consider also example 125 below said by a rape accused in court during cross-examination about the victim. The speaker’s choice of the Graduation resource functions to cast the speaker’s doubt regarding whether indeed the noise the victim produced was a sign of distress or something else. The speaker therefore conveys intensity as only marginal and this has the effect of denying the act of rape alleged to have taken place.

⁴ For illustrative purposes only.

(125) She was **sort of** screaming.

3.2.3.1 Types of resources depicting force quality

The discussion below covers resources of force in terms of its quality.

3.2.3.1.1 Adverbs pre-modifying adjectives

The semantic sub-category of **force** is composed of assessment in terms of **intensity** and **quantity**. Assessment of intensity is expressed regarding quality of the attribute of the nominal group.

(126) The staff was **extremely** overjoyed to hear about the proposed salary increase.

(127) The report was **somewhat** unclear even after several appeals from the Director.

3.2.3.1.2 Lexical items

In the examples above, the attributes are realised by adjectives and these are intensified through pre-modifying adverbs of degree, which either upscale or downscale the intensity. The pre-modifiers have no referential meanings except as intensification. Intensification may also be achieved by a lexical item, what Martin and White (2005: 143) term *infused intensification*. The up- or down-scaling is carried on the lexical item which may also be attitudinal although its meaning might be figurative (that is the attitude is implied or flagged) as in utterance 128 below. The lexical item *scalding* flags an attitude through the image that is expressed by the adjective, which is 'to burn to the extent of the skin peeling off'.

(128) The water was **scalding**.

3.2.3.1.3 Adverbs pre-modifying processes

Intensity is also expressed in relation to processes in which the subjective attitude conveys the degree of intensity of the manner in which the process is carried. The intensity or scaling is expressed by an adverbial group, and occurs immediately before or after the process. For example, *the lack of personnel greatly affected the progress of the team* or *the lack of personnel affected greatly, the progress of the team*. Intensification of processes is also achieved by grammatical resources that modify the verbal group in the clause. For example, *you are kindly requested...*, *we would really appreciate* and *it is highly recommended that*. For processes, the following example shows a lexical item (fused intensification) describing the process in an intensified negative APPRECIATION terms: food *prices sky rocketed in the past month*, where *rocketed* not only carries attitude but also shows a high degree in the process.

3.2.3.2 Types of resources depicting force-quantity

It was noted above that **force** is revealed through quality. Quantity relates to amounts, scope in time (distribution) and scope in space (proximity), which are scaled in precise or imprecise terms. Quantification like quality is usually expressed by adverbs that act to modify the entity that is graduated; for example, *few problems* (number), *a tiny problem* (size), *a recent problem* (proximity in time), *a looming problem* (proximity in space), *a permanent problem* (distribution in time) and *a widespread problem* (distribution in space). In some situations, it may be infused so that the estimation of quantity is carried not by a modifier but by the noun head; for example, *a torrent of rain followed after the game* (amount), *he was such a beast of a man that nobody wanted to fight him* (mass size) and *there was a paucity in the research on*

the subject that I decided to write the paper (extent). The first two examples convey quantification in a figurative sense, while the last one is a lexical item that is attitudinal.

Quantification involving grammatical items may also be viewed as intensification at the level of the experiential meaning being made; for example, *we slightly experienced a problem*. This is read as intensification of a process conveying the level of seriousness of the process, but it may also convey mass if it is written as *we experienced a slight problem*.

Values of up-scaling in **force** reveal the speaker–writer’s heightened commitment to the value positions being advanced. The rhetorical effect is to persuade or align the audience into that value position. Downscaling the **force** means that the speaker–writer has partial affiliation to the value positions in the utterance. The effect on the relationship between speaker–writer and the audience is to present the speaker–writer as only partially committed and therefore maintain solidarity with an audience who might not share the value position referenced.

3.3 Local grammar

In Chapter 1, it was indicated that the other framework for analysis that was used is termed a *local grammar of Evaluation*. Hunston and Sinclair (2000) developed this framework for systematically describing the patterns of structure of utterances that convey evaluative meanings. They note that these utterances belong to a range of restricted patterns (several types based on the patterns of structure) that can be specified and described according to a set of functional terminology. The idea of a local grammar was first posited by Barnbrook and Sinclair (1995), who developed an application for analysing definitions. In doing so, they developed a systematic means of describing the structure of dictionary definitions used in the

Cobuild entries. They used a parser to test sentences with the structures of definitions to ascertain whether they were definitions. Hunston and Sinclair (2000) used the same principle, using different terminology in their parser, to support a tool for analysing utterances that express evaluative meaning. In the same way as Barnbrook and Sinclair (1995) had done with definitions, they posit that sentences that express evaluative meanings belong to a limited set of structures and these can be used to exclude those that have the same structures but are not evaluative.

In their study of utterances that express evaluative meaning and in order to establish a grammar for such utterances, Hunston and Sinclair (2000) limited themselves to patterns in which adjectives were used to convey evaluative meaning. They note that the patterns of language in which adjectives are used to convey evaluative meaning can be restricted to a number of patterns. The patterns were described using terminology such as *thing evaluated*, *hinge*, *evaluative category/response* and *evaluative carrier* for the categories of elements in the utterances or propositions. They posit that the expression of evaluative meaning in sentences has a limited set of structures or patterns. In their view, the patterns can be used to ascertain whether an utterance conveys evaluative meaning. They conclude that utterances that have similar sets of patterns of structure convey evaluation. An example of such a pattern that typically expresses evaluation is given below.

IT + LINK VERB + ADJECTIVE GROUP + CLAUSE

The pattern has variations with the adjective group followed by a **that-clause**, a **wh-clause**, a **to-infinitive clause** or a **non-finite clause**. The ‘thing’ that is evaluated is realised by the clause following the adjective group. The adjective group places the ‘thing’ into an evaluative category as shown in the parsing in the table below.

Table 20: Parsing first pattern

		<i>Evaluation</i>	<i>Thing evaluated</i>
It	link verb	adjective group	finite or non- finite clause
It	was	wonderful	talking to you
It	seemed	important	to trust her judgement

3.4 Conclusion

The chapter has focused on the description of the empirical study by considering two general issues: the methodology and the theoretical framework for the data analysis. The framework was extended to include two sections. One section dealt with the system for describing the language used to manage and sustain interaction in correspondence documents in which commands were issued. This system focuses on the types of semantic meanings that the language conveys. It has been noted that such a system cannot give an adequate account of the syntagmatic order in the language in relation to the semantic meanings conveyed. An extension has therefore been suggested in order to account for both the semantic meanings and the structure in relation to the way interaction is managed.

The first section has described the method of data collection and the tools used for analysis. It has been noted that the study contributes to research using the Appraisal theory. Such a contribution has been noted in the large corpus used in this study compared to previous studies that used single texts or in some cases a limited number of sample texts. It has been

noted that the use of a large corpus provided a wider context and therefore enabled a deeper and consistent analysis that would allow for reliable comments and conclusions to be made.

In addition, the study, unlike previous studies, which used mainly qualitative analysis methods, also used quantitative tools. This approach has been noted for its extensiveness since it allowed for the identification of types of semantic meanings and patterns frequently used to manage interaction. This allowed for identification of what may generally be taken to be semantic meanings or patterns that help to manage interactions effectively in commanding texts. In terms of the textual structure, the qualitative analysis of the corpus helps shed light on the structures of commanding texts that readers would find more palatable and friendly.

The second section has delineated the framework used to analyse the language used to manage interaction in commanding texts. The concept of APPRAISAL (Martin, 2000; Martin & White, 2005), which was selected for its conciseness and detail, has been described and illustrations made with respect to the semantic meanings that enhance social interaction and relationships. The selection of Appraisal as a framework for analysing the way language works to manage and sustain interaction was made based on the wider theory of language, SFG. This theory informed the understanding of the nature and structure of language advanced in this study. The concept of Appraisal was found to fit well into SFG as the expression of semantic meanings that have the role of managing interaction. According to SFG, Appraisal can be explained as a system in terms of one of the metafunctions, the Interpersonal function.

The account of the Appraisal system has addressed three points pertaining to the way interaction is managed in the issuing of commands. The first point is that speaker-writers

convey three types of feelings or ATTITUDE: AFFECT, JUDGEMENT and APPRECIATION. The semantic meanings of the Attitudes have been noted to add to the management and sustenance of social relationships. Each ATTITUDE has been described and classified into subtypes. Each ATTITUDE has been also described in terms of whether it is positive or negative. It has been noted that ATTITUDES are gradable. Furthermore, the ATTITUDES have been noted to be explicit in the lexis or evoked through the ideational content of an utterance. The second point is that every social exchange is dialogic and orients itself to a context in order to create a dialogic relationship with the audience; this is termed ENGAGEMENT. It has been noted that the use of language reflects or projects the speaker–writer as taking up positions during interaction. The third point is that the speaker–writer reveals the extent of his or her angle or position by demonstrating the degree of the assessment that they attach to a proposition or proposal, this is referred to as GRADUATION.

AFFECT has been described in terms of an emotional behaviour or disposition. The related subtypes of AFFECT have been described and examples drawn from the corpus. In relation to the corpus, AFFECT meanings have the effect of dampening the pragmatic force carried in commanding clauses. It has been established that rhetorical effect of resources was to make commands appear tentative and show deference to the audience.

JUDGEMENT has been described in terms the way people behave in the context of established norms of behaviour. The system of JUDGEMENT has been classified in terms of behaviour assessed according to norms of Social Esteem and norms of Social Sanction. The subtypes for these have been given and explained. In relation to the corpus, it has been noted that writers ascribe value to their own behaviour particularly in issuing commands. The main

point is that in the commanding clauses, the writers convey assessment of their behaviour based on norms of Social Sanction rather than on Social Esteem. This was found to be the case because conveying behaviour that is ethical is socially significant, even when the verb carrying the behaviour appears to place an obligation on the audience. The assessment is seen to mitigate the obligation of the writer towards the action, which is the subject of the proposal.

APPRECIATION has been described as assessment in terms of value that is conveyed with respect to artefact, performances or natural phenomena. The parameters on which assessments of APPRECIATION are made have been described. The main point is that writers do not make outright directives for action. Rather, they inform the reader about the value they attach to a process or performance. This was said to be an effective way of avoiding resistance and galvanising the audience into action.

The ENGAGEMENT system addresses the resources that are not attitudinal, but which provide insight into the rhetorical voice of the writer in relation to the proposal in the communication. The different resources of ENGAGEMENT noted in sample texts as well as those produced to illustrate rhetorical voices have demonstrated that indeed in communication and, in particular, in contexts in which proposals are conveyed, there are potential environments to which interlocutors are seen to respond. These environments account for the dialogism that communicators tend to engage in by selecting linguistic resources that reveal their positions in relation to the envisaged environment. The framework therefore provides options for eliding proposals and the dialogic environment. The discussion focused on the interactive role of the resources in relation to positive management of social relationships in commanding texts. What is important about the framework is that it provides

resources for negotiation between the addresser and the addressee. It conveys nuances of meaning that work to neutralise any potential resistance within the audience.

The last topic that the account of the Appraisal system addressed was Graduation, which is the extent of the writer's angle in the values or positions referenced in the utterance. It was noted that, as well as conveying their feelings and their rhetorical voices, the writers convey their degree or scale of assessment in relation to the feelings or to rhetorical voices carried in the utterances. As with ENGAGEMENT resources above, it was noted that GRADUATION meaning is not Attitudinal, although in some cases the resource may also convey Attitude. From the discussion, it was found that the degree of assessment in terms of force, focus, quality and quantity indicates the stance that the writer adopts in an utterance and which he or she wishes to convey to the audience.

In terms of the overall frame work of APPRAISAL, it was noted that the frame work allows for some insight into the way language is used in order to bring about social stability and cohesion. This framework allows for focusing those elements in the language production that work to oil the wheels of social interaction and bring about cooperation and understanding amongst interlocutors.

The third section in the chapter dealt briefly with the other frame work, which was combined with APPRAISAL to analyse and explain the nature and structure of imperative clauses that emphasise positive communication. This framework was found to be important to the study in several ways. The perspective was found relevant in the data processing exercise. The insight on evaluative meanings being expressed in a set of structures was used to identify utterances in the corpus conveying evaluative meaning. For example, forms of link verbs or

items in clauses were used as search words to identify utterances in which other lexical items were used to convey attitude. After establishing that the performative verb *request* was evaluative, elements in categories in the pattern were used to identify more utterances using other performative verbs that also conveyed attitude. The framework was also used to illustrate the structure of the semantic analysis of attitude in commanding utterances. Once the analysis was expanded in terms of APPRAISAL, the ways in which the interaction was managed became clear. It has also been noted that the insights gained from the local grammar of evaluation point to a grammar of imperative utterances in which the writer attempts to convey positive communication. Based on this, utterances may be tested using a parser to establish the nature of their interpersonal role in communication.

CHAPTER 4

REALISING DIRECTIVES IN CORRESPONDENCE DOCUMENTS

4.1 Contextualisation

The discussion in this chapter is to be understood in the context of Austin's Speech Act Theory that in communication participants perform functions, such as inform,, obligate and constitute. Documents in which the audience is asked to do something or act in a particular manner are perceived in terms of the obligatory function. Although informative structures also occur in the texts, the obligatory function is meant to support the main purpose or subject of the text, which is to issue a directive. The way this is done will reflect the interpersonal considerations that the writer conveys with respect to the audience, the context and the process involved. In Chapter 2, it was argued that the choice and structure of the clause reveals the function for which the writer wishes to use the language. The lexico-grammatical structure reveals covert or overt intentions and attitudes of the writer. Documents in which directives are issued were identified and selected. The basis for selection was the main objective of the document or text, which is to direct or command the audience to do something or act in a particular manner. The structure in which the directive or obligatory utterance is made is the focus of Chapter 4.

It is noted in the data that documents said to be functioning to command do not simply have a single utterance or a sequence of utterances that do only that. Rather, there are in each document other utterances performing other speech acts, usually informative acts, but whose rhetorical function is to complement the commands. Iedema (1997) refers to the commanding speech act as *the nucleus* of the text and to the informing utterances as *satellites*. The satellite

sentences are the propositions by which the writer gives background information, legitimises the command or gives any other information whose contribution is noted to enhance the effectiveness of the command. The way this works will be the focus of Chapter 5.

The data shows that in the utterances that convey commanding actions, the writers are not only concerned with whether their desired actions are carried out, but also use linguistic resources that enable them to maintain good interpersonal relationships with the audience and that define specific social cultural or situational contexts. In all the commands in the data, direct and blunt realisations of obligation are avoided in the language use of the writer. In Section 1.2.1, it was indicated that direct commands can be threatening to the face of the audience. According to Brown and Levinson (1987), the audience represents a 'model person' who is imbued with a face that wishes not to be threatened. In their view, in order for commands to be effective, they have to be indirect and conciliatory. In a related manner, Bakhtin (1981) suggests that the writer anticipate responses of the audience and select linguistic resources and structures that positively enhance the audience's reaction towards his or her command. In the context of business correspondence writing, this could be seen as observing institutional and social conventions relating to maintenance of interpersonal relationships. Following the concept of World Englishes raised in Chapter 1, the way commands are communicated is therefore linked to culture and context.

The above line of argumentation is consistent with SFG theory, which sees the architecture of language in terms of functions the language is used to perform. Since the major concern in commanding speech acts in business correspondence communication is the interpersonal function, in the data this is reflected in the choice of wording and patterns of the structure of the utterance. Commands or directives are understood to present two types of heteroglossic

environments. One environment is dialogistically expansive and the other one is dialogistically contractive. Because of the interpersonal costs associated with the latter, it is noted that the bulk of the commands is dialogically expansive rather than contractive. This is because in business, good interpersonal communication, relationships and goodwill constitute the energy that businesses need in order to function efficiently.

In some texts in this corpus, more than one clause conveys obligative acts and, in such instances, these were treated as different structures. In most documents, however, only one commanding utterance was identified and 130 samples of utterances were identified in which commands were issued. Only four of these used the direct command, or what Brown and Levinson (1987:94) refer to as the *bald command* or *monoglossic* (see Martin and White 2000) utterance. Consider utterance 129 below.

(129) You must assist Social Workers with ICT facilities in schools and the regional office to facilitate smooth and speedy compilation of data associated with cost recovery. [Makgothi. A.S txt]

This is a direct command that does not recognise or reference any alternative position that may be open to the audience. The command is therefore categorically declared with no dialogue. The rhetorical effect of such positioning associated with monoglossic locutions in commands is not to negotiate, but to instruct. It reveals a writer who writes with authority and an audience whose position is subordinate and who thus has no choice but to comply. Interpersonal costs are backgrounded and the desired action foregrounded.

Utterance 130 in contrast reveals a position that is one amongst the many that are open to the audience (dialogically expansive), one that promotes mutual understanding and creates a positive image of the writer. The way in which this is achieved is the focus of this chapter.

(130) We therefore propose that you should only engage the team leader and the CIS expert on consultancy basis.

4.2 Analysis and discussion

The analysis that follows demonstrates the types of attitudes or feelings that are conveyed in the commanding utterances in the data. Writing on persuasion, Roberts (1954) cites Aristotle who postulated that the power of persuasion in a piece of communication lies in the character that the communicator reveals of him or herself in the communication process. The character that Aristotle refers to in his discussion is exhibited in the data through the Appraisal meanings or attitudes the writer communicates.

The results show that writers express different types of attitudes in their commands to create a particular relationship with the audiences and to enhance cooperation and goodwill. This relationship therefore positions the audience to react positively to the communication. The selection of the attitudinal meanings carries pragmatic meanings that enhance the quality and effect of the documents as positive and effective communication that generates and sustains purposeful relationships between the writer and the audience. In the utterances below, which perform the imperative function, the APPRAISAL values (given in bold) reveal something about the writer's character or image that works to promote common interest between the writer and the reader. The character is revealed in emotions of the writer (AFFECT), his or her behaviour (JUDGEMENT) and the aesthetic value they attach to things or processes

(APPRECIATION). The ways the semantic meanings conveyed in the writers' choice of lexis work to spur the audiences to accede to commands are briefly illustrated using three examples below.

In example 130, the attitude is Judgement and the object of evaluation is the writer's behaviour or manner of speaking. This is evaluated in terms of Social Sanction: propriety. The JUDGEMENT is made in the manner of asking, which is viewed as ethical and therefore socially appropriate. Example 132 conveys APPRECIATION: valuation, which is a different type of attitude. The writer expresses aesthetic value about a process that he or she wishes the audience to perform. He or she also conveys a certain degree of commitment which can be interpreted as attitude. Example 132 also expresses an ATTITUDE of a different type than those in examples 130 and 131. This is AFFECT and the object of evaluation is the potentially beneficial attitudinal consequence that the performing of the act will have on the writer.

(131) To this end, we are **requesting** [Judgement] a VIP vehicle for the MEC and a Camry for her officials. [Makgothi. A.S. 16]

(132) The Public Accounts Committee, in the successive meetings, has been expressing concerns about the large number of non-moving balances held under Imprest and other accounts, and it is **extremely important** [Appreciation] that action is taken to address the issues once for all. [Tumelo. S.S. 1]

(133) We would be **most obliged** [Affect] if you could provide a response to the above by mid next week to enable us to finalise the presentation of the PEEPA strategic plan. [Galeforolwe, J.B. 4 txt]

The three ways in which attitude is expressed in the examples above can be paraphrased as *I ask you nicely, what is to be done is good and doing the act will make us happy.*

The data shows that writers express Judgement values more than the other Appraisal types. The statistics shows that in the 130 documents in which commanding speech acts are uttered, 61% of these express the kind of opinion of the writer associated with human behaviour or Judgement values. The next most popular attitude is Appreciation at 26% followed by Affect at 13%. These statistics suggest that in correspondence documents the bulk of directives deemed more effective by the writer are those in which the writer presents the command by way of saying what he or she thinks based on norms about social behaviour. This is represented in the pie chart in Figure 3 below.

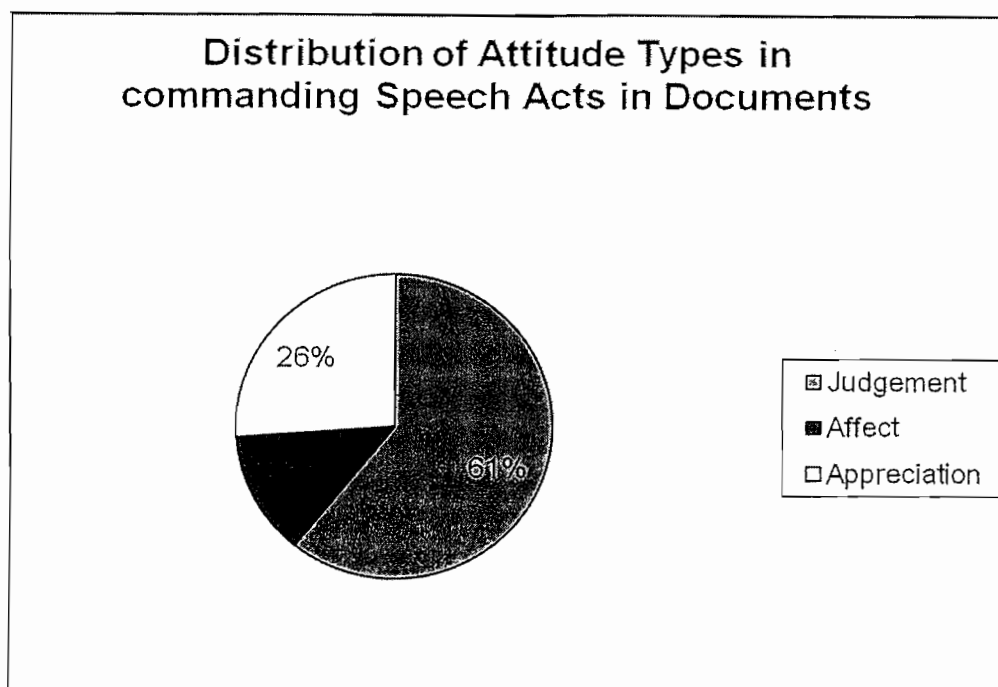


Figure 3: Occurrences of Attitude types in percentages in the corpus

The attitude types expressed that work to convey positive and therefore effective messages are discussed below.

4.2.1 JUDGEMENT

JUDGEMENT refers to ascribing attitude to people's behaviour based on norms about the way people should or should not behave. According to Martin (2000), people's behaviour is judged based on the parameters of Social Sanction and Social Esteem. Social Esteem deals with behaviour that people expect or do not expect and therefore behaviour can either demonstrate that an individual is or is not acting normally, that he or she has or does not have capacity or that he or she is or is not reliable. Social Sanction deals with behaviour that conforms or does not conform to moral expectations. The behaviour is assessed based on either personal honesty or ethical considerations.

In commanding speech acts, Judgement reveals the writer's attitude with respect to his or her obligations towards the action they wish the audience to perform. The ATTITUDE is carried

in the writer's assessment of his or her behaviour if he or she is the source of the command or of the other person named or unnamed, if the latter is the source of the command. The assessment of the obligation towards the action is expressed as a verbal process, as illustrated in example 134 below (the Judgement has been bolded).

- (134) By copy of this memo we **request** your assistance in securing a stone of cultural significance to be forwarded to the organization.[Kewagamang. M. 1. Txt]

The writer's stance is carried in the verb *request*, which has the status of a proposition with a metaphorical function conveying an interpersonal function. It is simultaneously a modal Adjunct that realises an assessment of the command. This is an additional layer of meaning that reflects the manner of issuing the command. This semantic compound of the performative may be illustrated as VERBAL + MODAL ADJUNCT or *ask* + *respectfully/tentatively* (see Halliday & Matthiessen, 2004). Martin and White's (2005) framework does not deal with performatives and APPRAISAL between such verbs and the object of evaluation carried in the projected clause. Rather, the dominion of manifestation of assessment is in the proposition as an attribute of an object or if the clause is a projected one, the APPRAISAL is between the adjective and the subject of the clause. The focus on JUDGEMENT in terms of verbal processes is something new and therefore a contribution that this study makes to the syntactic understanding of the expression of APPRAISAL. The infusion of the verbal process attributed to the writer and the manner of realising the process realises the APPRAISAL function in the utterance. The performative is therefore considered JUDGEMENT the writer makes in relation to an object of evaluation, which is the actual command. The actual command is that *the audience must assist to secure a stone of*

cultural significance and the writer conveys an attitude in relation to this. This semantic analysis is illustrated below. The framework for analysing attitude used is taken from Hunston and Sinclair (2000) who demonstrates that there are several structures used to construct utterances that express attitudinal meanings, what they term the *grammar of Evaluation*. The framework was explained in Section 3.3.

Table 21: The expression of ATTITUDE in a performative

Restriction of Evaluation	Evaluation	Thing evaluated
prepositional phrase	noun group + matrix verb	nominal clause
By copy of this		
Memo	we request	your assistance
		in securing a stone
		of cultural significance
		to be forwarded to the organisation.

The choice of the performative *request* conveys the semantic meaning that may be paraphrased as *by telling you to assist, we are not compelling you to do that, but rather we are asking politely and therefore you are not obliged to accede, but since we are asking politely, your positive response will be socially commended*. This semantic meaning reveals the writer's humility in relation to the command. The attitudinal meaning carried by the performative integrated with an adverbial (that is *asking respectfully*) in terms of

APPRAISAL theory is JUDGEMENT: Social Sanction: propriety. The performative presents the writer in the process of commanding the audience as behaving in a manner that is ethical. For example, requesting is an act that is not reproachable, but rather praiseworthy. Although the writer is imposing upon the audience, he or she is doing so in a manner that is socially acceptable (*respectfully*) and therefore obliges the audience to comply. The additional meaning diminishes the imposition by deploying ethics in relation to the writer's desired action. The writer takes up for himself or herself a position that he or she is acting commendably and that the audience will also be acting commendably by executing the directive. The verbal processes remove from the utterance any nuances of obligation of the writer towards the audience. They invoke a feeling that the writer is not overbearing and that he or she cherishes social community. Two additional examples of the same verb are given in examples 135 and 136.

(135) Your department is therefore kindly requested to issue a cheque Mounting P260 000.00 (Two hundred and sixty thousand pula) in respect of Ghanzi DMSAC care of Ghanzi District Council. [Obita. G.P.5 txt]

(136) The purpose of this savingram is to request your department to nominate an officer to be a member of the committee. [Makgonatsotlhe. P.20 txt]

The virtues carried by the verb are laudable and appeal to the audience's positive reaction. In terms of acting on the command, the audience would consider themselves to be making independent decisions even when they have acceded to the command as they see themselves to be acting in a socially commendable manner. *To request* reflects behaviour that is positive and commendable compared to one that may invoke condemnation and negative attitude by

the audience caused by a performative, such as *instruct*, or criticism caused by a structure, such as *do not fail to...*, or a structure expressing obligation, such as *you must assist...* . If choices such as these are used, they may cause indignation and a sense of intimidation amongst the audience. Although in most cases that would not be the essence of the communication, the directness would potentially and inadvertently communicate such nuances. Instead, communicating positive JUDGEMENT: Social Sanction simultaneously with the command results in the action being carried out and conveys goodwill. This will result in enhanced future communication and cooperation, instead of negative relationships because of compulsive behaviour.

The expression of JUDGEMENT: Social Sanction in the commanding speech act is therefore socially uplifting and persuasive to the audience. The audience is likely to view the performance of the required action and the writer in a positive light because the performative verb mitigates the two. Through the performative, the writer conveys his or her manners as those that are in-line with social norms of behaviour. It also suggests that when a writer issues a command, it helps for the source of the command to keep himself or herself and his or her behaviour in check. If a writer pronounces his or her authority by being direct and subjective, or by denigrating other people by implying that they are inferior, this might not augur well for interpersonal relationships and in the process for productivity in the organization. Martin and White (2005:52) postulate that sharing values is something that is good and acceptable and that an audience will readily and happily obey directives if the source of the directive demonstrates acceptable social behaviour. In the business context in which officers are not only adults free to act, but also people enjoying some authority and independence in their own departments, there is a need to avoid being direct and subjective.

JUDGEMENT: Social Sanction effects indirectness. Effective commands are therefore usually indirect and reflect awareness of appropriate values and a sense of professionalism.

To the audience, the command would appear positive and as one that recognises them and promotes respect towards them. This has the rhetorical effect of appealing to positive reaction, compared to direct commands that can convey nuances of intimidation towards the audience. It would not have been a positive thing to instruct without showing due regard towards the one being instructed. Although this occurs in several instances in the data, there was consistency in preference for the positive JUDGEMENT of the Social Sanction: propriety in commands written upward, downward and amongst equals. This demonstrates that showing deference is not confined to any specific group of writers, but is a norm typical of commanding directives in business communication. The examples of the directives that follow were taken from correspondences written upwards, downwards and amongst equals, respectively.

(137) The Botswana National Archives and Records Services (BNARS) **requests** you to consider donating the *XXX* family private documents of historical and research value to the Department. [Kgabi, K.P. 6 txt]

(138) It is further **suggested** that intensive and more systematic supervision and monitoring of the Social Workers (for purposes of cost sharing take-over exercise only) should be intensified through the following... [Makgothi, A.S. 8 txt]

(139) The purpose of this savingram is therefore **to solicit** your support in this regard. The marking is scheduled for August 15th – 28th. [Charumbira, B. 1 txt]

It is noted that the most common processes used to direct are verbal processes. The verbs reflect an essential code in conveying directives in the business context, which can be thought of as *your directive will be favourably received if you first humble yourself to your audience*. The verbal processes used to express Judgement in examples 137, 138 and 138 above belong to a group termed *tokens of JUDGEMENT* by Martin (2000), Martin and Rose (2003), and Martin and White (2005).

In the case of JUDGEMENT, the tokens are about behaviour of speaking and therefore an expression of JUDGEMENT not in terms of the way a person behaves but in terms of the behaviour relating to their manner of executing a command. Tokens rely on a shared association of the descriptions of the actions and the semantic meaning they invoke for their evaluative meanings. If the reader does not share the same social knowledge or expectations with the speaker–writer, he or she may not appreciate the evaluation. The words have the rhetorical function of evaluating what is said, as well as negotiating with the audience about what is said. Their APPRAISAL values are triggered by the ideational meanings that the words connote or their pragmatic meanings (Austin, 1962). Such expression of commands is typical of the way commands are formulated in formal contexts using the Setswana language, which is the L1 for most people in Botswana. The examples above therefore reflect a cultural phenomenon although the words and the basic structure are English. Most native speakers of English would prefer direct imperatives albeit with politeness considerations. Consider the

example 140 below. Native speakers would prefer examples 141 or 142 although 139 would be regarded as normal.

(140) We therefore propose that you should only engage the team leader and the CIS expert on consultancy basis. [Makepe, A.T. 7.8 txt]

(141) You should only engage the team leader and the CIS expert on consultancy basis.

(142) Please engage the team leader and the CIS expert on consultancy basis only.

Example 140 above reflects a cultural transfer from the Tswana cultural way of issuing a command in contexts such as business or official contexts. Merkestein (1998) states that amongst the Batswana, community influence on the individual is very strong and individuals are expected to maintain such relationships with the community even in their speech. As a result, features of the social reality tend to permeate communication. In Batswana society, giving directives in an authoritative and impersonal way in official communication tends to violate the rules of interaction, hence example 139 conveys a local cultural politeness strategy and interpersonal relationship between the writer and audience. To *propose* is to put forward an idea or plan for consideration. The pragmatic effect of the word in the context of the imperative sentence is that the command *you should only engage the team leader, and the CIS expert on consultancy basis* is being performed in a particular manner; hence, the evaluation is centred on the act of issuing the directive.

The most frequently used verb is *request*. These appeared ninety-eight times, followed by *recommend* (six times), *appeal* (four times) and *suggest* (four times). Examples of the performative verbs used that indicated the writer's humility are *advise*, *propose*, *encourage*, *urge*, *implore* and *solicit*. These are illustrated in the following examples.

(143) In view of the above, we **recommend** that the teachers be sent to the United States of America. [Motswakae. R.T. 1 txt]

This example is a projected clause and the performative verb is an assessment of the projection, which carries the directive *send teachers to the United States of America*. To *recommend* is to tell someone to do something in a manner that shows respect or deference towards the person being told. It conveys the semantic value that the command is not being prescribed, but rather it is being suggested as a worthy option to consider. It should be clear that the target of evaluation is not the action, but the manner of issuing the action. It is worthy to note that there is a slight difference in the dialogism expressed by the group of verbs in examples 143, 144 and 145, compared to that expressed by the verb *request* discussed above. The former are less expansive, although not contractive compared to the latter, which, as has been demonstrated, is widely expansive. To *recommend* is a respectful term for action. However, it also allows the audience little room to concede the action. The same can be said of 144 in the verb *encourage*.

(144) Instead, we would **encourage** the stakeholders to inform us of the different privatisation initiatives which are ongoing in their departments and parastatals so that we could attempt to catch up with the developments which have been taking place. [Galeforolwe. J.B 2. Txt]

(145) We would, however, **implore** you to ensure that the privatisation process is carried out in accordance with the spirit of the Privatisation Policy.

[Galeforolwe. J.B 2. Txt]

In example 145, the performative *implore* is also an assessment but one that carries more than just tentativeness and humility as is the case with such verbs as *request*, *propose* and *recommend* above. It also carries a sense of urgency directed at the audience because the act to be performed is so important. In this example, the performative carries a sense of appeal for the audience and evaluates the manner of issuing the command.

In example 146 the writer evaluates the action he or she is executing (*adopt a balanced approach to the construction of the centre and perhaps put more emphasis on negotiating better terms and conditions with the French authorities*) as ‘urging’ the audience. It is behaviour that is directed at the audience, to say that the act to be performed is very important.

(146) We **urge** all concerned to adopt a balanced approach to the construction of the centre and perhaps put more emphasis on negotiating better terms and conditions with the authorities. [Molatlhegi. G. Txt]

In this subsection, the analysis has demonstrated that Judgement: Social Sanction is the most common category of semantic meaning used to convey directives. It has been indicated that the use of performatives to convey APPRAISAL meaning is not addressed by the APPRAISAL framework as proposed by Martin (2000) and Martin and White (2005). It has

also been argued that the interpersonal role of performatives is not limited to the act that is the command but reveals a subtle attitude of the writer in relation to the audience. This phenomenon has been found to be an effective means of conveying commands particularly in Tswana culture, in which community responsibility is the focus of most communication, and ethical behaviour is favoured even when the writer or source of the command may have authoritative power to issue commands. The ATTITUDE type JUDGEMENT: Social Sanction and the subsequent predominance of performatives verbs have demonstrated that amongst the Batswana, the audience is likely agree to act if they are shown respect and independence to select an alternative choice of action, even though they do not make such a selection.

4.2.2 AFFECT

AFFECT refers to ascribing a semantic value to people's emotions. It is the least expressed attitude type in proposals in the data (at 13% after APPRECIATION). According to Martin's (2000) APPRAISAL theory, emotions are classified into values of happiness/unhappiness, security/insecurity and satisfaction/dissatisfaction. Rather than directly command the audience to carry out an action, the writer makes an assertion about his or her or the other person's emotional disposition in relation to the required action. Consider the example below.

(147) I **hope** [Security: confidence] that you look into the issue to give us the best possible assistance. [Busang, M. 4 txt]

This is analysed as given in Table 22 that follows.

Table 22: Expression of AFFECT

<i>Experiencer</i>	<i>Evaluation</i>	<i>Thing evaluated</i>
noun group	process	non-finite clause
I	hope	you look into the issue to give us the best possible assistance

This evaluation is an emotional process and demonstrates a different way of conveying an imperative than that seen with regard to JUDGEMENT and APPRECIATION. In the same way as argued for JUDGEMENT, the expression of a mental process indicates the authorial voice of the writer as one amongst a number of possibilities. The semantic meaning is therefore dialogic and expansive. The writer construes an audience that might resist the imperative and therefore nudges them towards an agreement. The proposal is grounded in the subjective and uncertain terms of the writer, which is what Martin and White (2006) term *Entertainment*. The rhetorical effect of expressing a command in emotional terms works to distance the writer from the command by conveying it as an assertion about his or her emotional disposition in relation to the envisaged action.

In example 147, the imperative is *look into the issue to give us the best possible assistance*. This is presented as something that is *hoped for*, and can be paraphrased as *I have confidence in your action*; hence, it belongs to Martin's (2000) subtype Security: confidence. The lexical items *hope*, *wish*, *would like* and *look forward* fall under the category of mental processes termed desiderative (expressing desire; Halliday & Matthiessen, 2004:210). Martin's (2000) categories do not show these examples, although they could be placed under the categories of

Security and Happiness, respectively, or somewhere in between. Examples of these are examined below.

(148) We **wish** (Security: disquiet) to borrow 10 DVCAM's from your office.

[Molatedi, S.2 txt]

In example 148, the imperative is *lend us 10 DVCAM's*. Rather than express exactly that, the writer makes an assertion about his or her emotional insecurity with respect to the imperative. The object of the evaluation is the writer himself or herself. The main clause *we wish* conveys the writer's uneasiness in relation to borrowing, an anxiety with respect to expressing the imperative. The evaluation of the self works to persuade the audience that the writer is not imposing the imperative but rather that in giving the command is in a precarious position. It presents the writer as aware that issuing the command is risky and might cause harm to the negative face of the audience. The expression of negative security mitigates the command, suggesting that it is done with uneasiness, as if the writer is apologetic to be directing the audience.

(149) We **look forward** (Security: confidence) to receiving whatever reports and documents on your privatization programmes at your earliest convenience.

[Galeforolwe, J.B 2 txt]

In example 149, the ATTITUDE works to persuade the audience to focus more on the writer and less on the command. For example, that the writer has confidence in the receiver carrying out the command. This can be paraphrased as *that you send to us whatever reports and documents on your privatisation programmes at your earliest convenience, is something that*

we have confidence that you will do. The focus of the evaluation is therefore the action that is desired with confidence. Notice that the positive confidence removes attention from the command, which is *send to us whatever reports and documents on your privatization programmes at your earliest convenience*, and presents it as something that is not contested. *We look forward* conveys positive confidence, almost to the point at which the performance of the action has already been started independent of the imperative.

(150) The Department of Botswana National Archives and Records Management (BNARS) Audio Visual section **would like** (Happiness: cheer) to acquire recorded Parliamentary speeches and debates. [Molatedi, S.1 txt]

The proposal in example 150 is not directed at anyone although in the context of the preceding details, it would be understood to be directed to the recipient of the memorandum. Through the modal verb, the writer is expressing a desire that *an unnamed person provide him or her with recorded Parliamentary speeches and debates*. This is presented as something that would bring about cheer to the writer. In terms of its effectiveness, expressing a desire in imperative clauses appears to be effective. It construes a writer whose authority is not beyond that of the addressee. Although this might not be the case in all the situations, the impression is given to the audience that the writer views himself or herself as being in a position in which he or she may not categorically command the audience to carry out a particular action. It also construes a writer who is not willing to flex his or her authority, but rather one who is prepared to accept the audience as an equal or a superior and therefore deserving of the respect not to be imposed upon. Furthermore, it construes an audience who might feel that their own authority or will to act is impinged upon by a writer who categorically commands them to some action. Its rhetorical effect is therefore to dampen the

Imperative so that little focus is placed on the command but rather on the relationship that the writer wishes to create. As with the case of JUDGEMENT (see Section 5.2.1), the use of AFFECT values to carry out the imperative function can be explained in terms of cultural transfer.

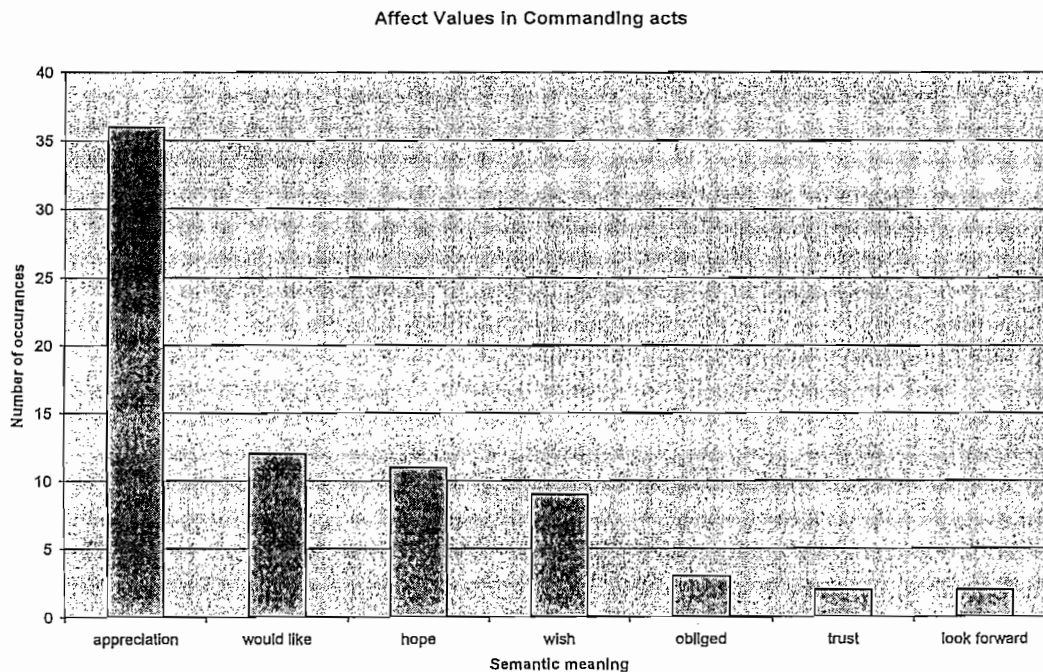


Figure 4 Values of Affect in commanding Locutions

The figure 4 above shows the lexical items that express AFFECT and their frequency of use in the corpus. On average, the most commonly expressed emotion or value is Security with such examples as *hope*, *wish*, *trust* and *look forward*. Happiness: cheer, is also common with expressions such as *would like* and attributes such as *obliged*, which all contribute towards rendering the imperative indirect.

Notice that the resources that express emotions act to negate the degree of obligation or even its presence and therefore render the commands indirect. Instead of conveying a categorical imperative, the writer makes an assertion about the effectual disposition that will accrue to him or her in relation to an idea, a fact, a condition or a process. In the clause complex of example 151, the hypotactic elaboration, carried out by the conditional clause, expresses the desired action or command. The command may be paraphrased as *give a response to the above by mid next week to enable us to finalise the preparation of the PEEPA strategic plan*. Expressing positive AFFECT in the main clause works to focus the reader on what is considered the thrust of the proposition. This may be paraphrased as *something will make us happy: what will make us happy is if we are given a response to the above by mid next week to enable us to finalise the preparation of the PEEPA strategic plan*. Notice the extent to which the command is indirect in the paraphrase and therefore shows deference to the reader.

(151) We would be **most obliged** if you could provide a response to the above by mid next week to enable us to finalise the preparation of the PEEPA strategic plan. [Galeforolwe, J.B.4.txt]

The discussion in this subsection has demonstrated that commands may also be expressed in affective terms. Writers make statements about their emotional disposition in relation to the action that they desire, which is carried in expanded or projected clauses. The main clause carries the attitude and hence the point where the persuasion is expressed. It has also been demonstrated that the dominant sub-category of AFFECT is Security. This reflects a cultural reference in the context of official directives as noted in the case of Judgements, that the audience would be moved into action if they were not directly told to do so. When the writer

states his or her desire, it is therefore a useful strategy because it is tentative and avoids, in linguistic politeness terms, threatening the face of the audience.

4.2.3 APPRECIATION

APPRECIATION refers to ascribing aesthetic value to artefacts, performances or outcomes of these performances. The data reveals some commanding utterances in which the writers convey appreciative meanings in order to dilute the potential threat of the commands. Writers express their APPRECIATION in the commanding utterances in order to make the directives sound modest and therefore less repugnant to the audience. The expression of modesty in directives helps to negotiate relationships with the audience. The APPRECIATION works to dampen what ever nuances of writer obligation towards the proposal that may be present, which the audience might perceive as an advantage that the writer has over the audience. It has been stated that in the context of Tswana custom, imposing authority in business communication does not always augur well, even if those to whom the command is directed are subordinates. A writer tends to obviate more authority and respect if he or she appears to display modesty and humility than if he or she is direct and commanding.

Martin's APPRAISAL theory describes three variables upon which values of APPRECIATION are based. Firstly, APPRECIATION is expressed in the way the evaluator reacts to phenomena or processes. Reaction reveals two things: the extent to which the evaluator is attracted or not attracted to the thing evaluated (Reaction: impact) and the extent to which the evaluator likes or dislikes the thing evaluated (Reaction: quality). Secondly, APPRECIATION is reflected in the way the evaluator feels about the composition of the thing evaluated. Composition is either harmonious or discordant (Composition: balance). Composition is also concerned with the level of difficulty attached to the thing evaluated

(Composition: complexity). Thirdly, APPRECIATION deals with the extent of worthiness or value that the evaluator attaches to the thing evaluated (Valuation). The following are examples of imperative sentences in which the writers convey APPRECIATION as a strategy to encourage the audience to perform the action the writer desires, while maintaining a good relationship with the audience.

(152) Please note that it is **very important** (Valuation) that the meetings are attended as scheduled because of the importance of the exercise. [Brig. Soni, A.K. 7. txt]

(153) In other words, it is **essential** (Valuation) to ensure that the process is undertaken transparently and in a manner that ensures competition for any opportunity which privatisation may offer. [Galeforolwe, J.B 2. txt]

(154) It is **necessary** (Valuation) to define and explicitly state what these critical strategic objectives for the Corporation are. [Mokone, A.N 1. Txt]

Not only are the commanding speech acts in examples 152, 153 and 154 related in terms of their structural patterns i.e. they also express the same value of APPRECIATION, which is valuation. They are therefore treated together. The commanding speech acts are analysed to show the way the semantic meaning works to enhance a positive reaction to the directive. Example 152 is repeated for ease of reference.

- (155) Please note that it is **very important** that the meetings are attended as scheduled because of the importance of the exercise.

Note that the experience of commanding that is expressed in this example is structured differently from that in Section 5.2.1 in which a command is expressed as a process fused with an adverbial and in Section 5.2.2 in which it is negated through a performative verb replaced by a mental verb. In the case of the utterances above, the interaction is managed in the adjective group that expresses aesthetic value or attributes that are attached to the products of such performances. The activity or phenomena may or may not be directed at anyone. With respect to the examples above, the participant responsible for the activity is not mentioned, although understood to be the audience. The semantic meaning carried by the clause above may be best understood when the clause is paraphrased as *Please take note that attending the meetings as scheduled because of the importance of the exercise is very important*. The following analysis demonstrates another evaluative structure of an imperative clause in terms of Hunston and Sinclair (2000).

Table 23: Evaluative structure of an imperative clause

			<i>Evaluation</i>	<i>Thing evaluated</i>
clause	Noun group	link verb	adjective group	infinitive clause
Please note that	it	is	Very important	to attend meetings as scheduled because of the importance of the exercise.

The evaluation that is expressed carries the semantic value of worth or significance. The persuasive appeal of the utterance is in the writer's pronouncement of the warrantability in terms of significance. This is done by proclaiming the value of something, for example, performing of an action. The utterance construes an audience who might resist or who may not share the values in the proposition and therefore need to be moved to do so. The rhetorical effect of the utterance is therefore to move the audience to see value and in seeing or knowing about it, they would wish to align themselves and carry out the activity. The command itself is withheld and an evaluation with respect to the performance of an action that does not convey the writer's obligation is made.

Interaction may also be managed through the use of a verb that expresses APPRECIATION: reaction in terms of impact on another process or performance. This semantic meaning is carried in example 155 and further analysed as follows in Table 24.

(156) We need to fast track this project to address the need for facilities while we still have funds. [Bakwena. F.S. 6. txt]

Table 24: Attitude as APPRECIATION: reaction impact

<i>Evaluator</i>	<i>Evaluation</i>	<i>Thing evaluated</i>	<i>Restriction on evaluation</i>
noun group	verb group	infinitive clause	infinitive clause
We	need	to fast track this project	to address the need for facilities while we still have funds

The rhetorical strength of the utterance is therefore not based on the manner of executing the action or on the mental disposition of the writer, but rather much more on the action to be performed (that is, not on the interaction but on the action). The negotiation is carried in the impact ascribed to the object of evaluation, which is an action and carried by the infinitive clause *to fast track*. In this utterance the audience is moved into action by the information that a performance is akin to Reaction: impact and that their contribution to augment the process will be similarly valued. Making pronouncements such as the above is therefore an effective strategy by which to appeal for action and to form a spirit of collegiality amongst fellow workers.

The following example expresses Appreciation in terms of reaction. This is analysed as follows in Table 25.

- (157) We would **appreciate** (Reaction: impact) if DBES can verify and confirm the issues stated by WGM (Pty) Ltd and act accordingly. [Tlogelang. G.L 14. Txt]

Table 25: APPRECIATION in terms reaction

<i>Carrier</i>	<i>Link</i>	<i>Evaluation</i>	<i>Thing evaluated</i>
noun group	modal	verb	conditional clause
We	would	appreciate	if DBES can verify and confirm the issues stated by WGM (Pty) Ltd and act accordingly

In example 157, the semantic category is Reaction: impact. Unlike the examples above, in which the persuasion is carried in the expression of significance, in this example the audience is moved into action by the reaction that they are informed about. They would wish to be associated with effecting the object of the evaluation – the condition. With APPRECIATION, the dominant resource is the lexical item *appreciates* and its other forms. It should be noted that the expression of value in terms of significance is also quite popular with imperatives.

In this section, the discussion has focused on the expression of ATTITUDE in terms of APPRECIATION to convey indirectness or modesty in commands. It is noted that expressing a value of significance towards an act to be performed or reaction to work to motivate the audience to share the action that the writer desires. The evaluative items that reflect significance are mainly adjectives. The analysis has demonstrated that verbs may also be used to convey APPRECIATION in terms of the variable Reaction: Impact. The use of verbs as resources for APPRECIATION is not addressed in Martin's (2000) framework. It has also been demonstrated that the choice of variable to convey APPRECIATION affects the structure of the clause. For example, clauses that convey Valuation are different in structure to those that convey Reaction. The most common variable used with commands was found to be Valuation.

4.3 Patterns in which directives are expressed in correspondence documents

In Section 4.2, the discussion focused on the semantic values expressed in directives. This section discusses in more detail the various grammatical patterns of the utterances in which directives were conveyed. The syntax of commanding clauses marks the different language strategies used to manage interaction in correspondence documents. It is noted that the syntactic choices reflect the SFG principle that functions affect language structure. The

syntactic choices illustrate the different processes or ways of constructing experience that are available to convey directives in ways that reflect a positive attitude of the writer. The structures are therefore those that can be said to be effective language for commanding, such that a positive response of the audience is elicited.

The quantities given below only serve to reveal the general trends in the frequency of use for the patterns and their variations, and do not reflect the exact numbers of clauses. This is because in some cases more than one directing clause was used in a sample text, while others are duplicated in different documents. Those duplicated were not included in the count.

4.3.1 Pattern in which command is mitigated in verbal processes

The pattern appears to be a declarative statement with the imperative embedded as subordinate clause. The attitude that combines with this pattern is JUDGEMENT. Out of the sample of 130 commanding clauses, seventy-nine use performative verb constructions, which are explicit speech acts that foreground the interactive aspect. As noted in Sections 4.2.1, 4.2.2 and 4.2.3, the verb in the performative conveys a compound meaning of the process involved on the one hand and Attitude on the other. Here, the command is expressed in a complex clause of the projection type whereby the main clause carries the subject or in experiential terms, the Sayer, and the verbal process. The APPRAISAL meaning is conveyed in the main clause by the incorporated adverbial component of the process. The actual action that is desired is projected by the main clause. There are variations to this pattern. The main pattern is given below (double pipes mark the boundaries of the complex clause, a single pipe marks the boundaries of the projection, and double square brackets mark the dependent clause). Since the clause is a projected clause, there can only be one participant in the main

clause and the other clause has to be analysed separately. The grammatical pattern was therefore analysed as follows:

(i) SUBJECT + VERB + *that*-CLAUSE

|| *We propose* | *that you should only engage the team leader and the CIS expert on consultancy basis* ||.

There are ten instances of this pattern in the corpus, marking it as a fairly regular and therefore moderately significant pattern. The imperative is expressed in a complex clause in which one clause projects the other as follows in Table 26.

Table 26: Imperative in a projecting complex clause

<i>We propose</i>	<i>that you should only engage the team leader and the CIS expert on consultancy basis</i>
Projecting	Projected

The use of this pattern in commands is quite effective because, as has been argued, the attitude comes before the imposition in the embedded clause and this works to negate the impact of the command in the clause. The pattern focuses on the writer's behaviour, that is the manner of issuing the command, and this helps to persuade the audience to view the command in a positive light. The pattern conveys humility and a good sense of the writer as someone who recognises the importance of good will in communication. This pattern is not limited in terms of location in the text and may be placed at the beginning or in the middle of

the text. There are variations of the pattern above based on the addition of other elements in the discourse.

A conjunct can be added to highlight the adversative and textual connection between the evaluating sentence and the other sections of the discourse as in the following sentence. This usually occurs at the closing section of the command. This appeared to be the most regular pattern with twenty-one occurrences in the corpus. The grammatical structure is more complex because it has a more enhancing clause than the previous example, although it is also a projection. The pattern is analysed below.

(ii) SAYER + CONJUNCT + VERB + *that*-CLAUSE

|| *We therefore request* | *that this amount be written off [basing on the fact that*
| *since he was a volunteer [his allowance was only enough for food and toiletries]]*
||.

In some commands, the writer or source of the action is inanimate as with the example below. An example is: *The Botswana National Archives and Records Services (BNARS)*. There are only two instances of this pattern in the corpus. These appear as the opening sentences in texts. The choice of an inanimate sayer has an interpersonal function. It suggests that if an individual is asked by an organisation to carry out an action, the individual is recognised as having a valuable contribution to make. It is therefore a useful strategy to make an individual feel appreciated and important. The appeal to authority also helps to remove the focus of responsibility from the writer. It is not the writer who is commanding, but the organisation. The syntactic structure of this command is likely to move the audience to obey the command because the imperative is associated with an important entity rather than an individual. This

strategy lends the command more authority, while presenting the writer as a mere reporter and thereby removing him or her from the position of responsibility. The addition of the recipient to the projecting clause works to foreground the interaction by bringing to the fore the audience who is expected to respond to the action in the projection.

(iii) SAYER + VERB + RECIPIENT + NON-FINITE CLAUSE

|| *The Botswana National Archives and Records Services (BNARS) requests you | to consider donating the XXX family private documents of historical and research value to the Department* ||. (Kgabi, K.P. 6 txt)

In the next pattern, a modal can be added to make the experience tentative and therefore more indirect, resulting in the increase of its persuasive appeal. This pattern is common, occurring eight times in the corpus and usually somewhere in the middle of the text.

(iv) SAYER + MODAL + CONJUNCT + VERB + RECIPIENT + NON-FINITE CLAUSE

|| *We would however, implore you | to ensure that the privatisation process is carried out in accordance with the spirit of the Privatisation Policy* ||. (Galeforolwe, J.B. 2 txt)

A prepositional phrase of Manner-means can function as an enhancing circumstance in the clause to refer to the means by which the process takes place; this is also termed the *textual function*. There are four instances of this pattern in the corpus and they typically follow once an unacceptable scenario or a problem has been presented.

- (v) PREPOSITIONAL PHRASE + SAYER + VERBAL PROCESS + *that*-CLAUSE
|| *[[With the foregoing]] I request | that the Division be given a slot on the 4th
September 2006 to disseminate this important information to the Counsellors* ||.
(Makgothi, A.S. 9 txt)

The pattern can include the addition of an adverb before the process to characterise the extent of the way the process is affected. The adverb functions as GRADUATION to reveal the writer's maximal investment in the value position referenced in the command. I note that the GRADUATION resource reveals the subjective attitude of the writer. The effect of such a pattern is to encourage the audience strongly to accept the command, particularly in closing sections of texts. The pattern is quite popular, with twelve occurrences in the corpus. It mainly appears in the closing sections of text, showing that the writer is humble. The frequency of occurrence of this pattern reveals the social scaffolding, which, as it was observed in Section 4.2.1 is typical of commands in Tswana culture. Other adverbs occurring in this pattern and that further convey evaluation in ENGAGEMENT terms are *kindly*, *humbly* and *sincerely*. The pattern is as follows.

- (vi) SAYER + CONJUNCT + ADVERB + VERBAL PROCESS + *that*-CLAUSE
|| *We would therefore respectfully request | that occurrences that tend to question
the professional integrity of officers of this department should be avoided* ||. (Modise,
J.O. 1 txt)

The non-finite clause may be expressed as a passive material clause. This pattern occurs seven times in the corpus.

(vii) SAYER + CONJUNCT + VERB + NON-FINITE CLAUSE

|| *We therefore request | to be given the computers for the above modules, and budget for the same in the 2005/06 financial year* ||. (Masutlhe, L.O. 1 txt)

A yes/no interrogative formed through a modal can be used to reveal further the tentativeness of APPRAISAL in commands in business communication. In this structure, the writer steps back and appear to be seeking the permission of the audience to issue the command. The pattern makes the command appear modest, and therefore adds to the semantic meaning of the APPRAISAL by making it less direct and more effective. An example of the pattern is given below. The pattern is less frequent, with six occurrences in the corpus. It mainly occurs in the closing sections of the texts.

(viii) MODAL + SAYER + ADVERB + VERB + RECIPIENT + PREPOSITIONAL PHRASE

|| *May I, once again, appeal to your office for assistance on this matter.* ||

A pattern with the verbal in the passive form can be used, which draws the focus of the imperative away from the writer. In this pattern, the writer of the document is not the source of the command. He or she is not associated with the obligation carried in the command in the infinitive clause and not responsible for the verbal process expressed in the passive process. Rather, the writer reports the verbal process to which a value is attached. The process carries both ideational and interpersonal meanings. In such patterns, the role of the writer is represented as being to report what the unnamed person said regarding a command. The structure conveys the writer as concurring with and endorsing the evaluation of the unnamed or transferred source, which is JUDGEMENT: Social Sanction. The passive

suggests that the writer perceives the process in a particular light, as a polite action. The graduation is further exacerbated by the inclusion of an adverb, as in the example below. This pattern is fairly regular, with eight occurrences in the corpus. It is therefore quite effective in managing interaction.

(IX) RECIPIENT + VERB (ADJUNCT) PROCESS + *to*-INFINITIVE CLAUSE

|| *You are kindly advised | to appeal to the Permanent Secretary, Ministry of Finance and Development Planning.* ||

The pattern below (X) is not a projection but rather an expanded clause. In this pattern, the verb is simply 'saying' rather than expressing a reported imperative. It therefore has two participants: the Sayer and the Verbiage. The Verbiage is realised by a noun group. The use of the *-ing* form of the verb *request* to express Appraisal in the main clause is a useful persuasive strategy. The continuous process in the performative marks the extent of needs on the part of the writer. The pattern has the rhetorical effect of upgrading the audience and therefore their authority in comparison with the writer who apparently lacks authority. What is learnt from such strategies is that in order to gain a positive reaction from an audience the state of need can be shown by using an *-ing* form of a verbal process in an imperative. There are only three instances of clauses with this pattern in the corpus.

(X) SAYER + VERB + VERBIAGE + PURPOSE CLAUSE (NON-FINITE)

|| *I am requesting P40 000.00 supplementary funds [[to cover travel and subsistence costs for the remainder of the fiscal year.]]* ||

This subsection has considered the pattern in which commands are mitigated through the verbal process. It has been noted that the pattern has many variations depending on where in the text the writer executes the command or why he or she wishes to issue the command. It has been noted that the choice and position of an element is seemingly based on the meaning it adds to the management of the interaction.

4.3.2 Pattern in which command is mitigated in mental processes

Clauses with mental verbs are also declarative. In such clauses the imperative is relegated to subordinate clause because the experience expressed by a participant (Sensor) is a desire (mental process) that the sensor has in relation to the object of consciousness. The object of consciousness is usually a configuration of a process or processes termed the *phenomenon* and realised by a clause. Rather than state categorically what he or she wishes the audience to do, the command is shrouded as an expression of a situation that impinges on the writer's consciousness. This structure places the Sensor in thematic position. In the declarative structure with the command function *We wish to request Finance Officers to provide copies of the report to all Departments in their Ministries*, the command is that *Finance officers should provide copies of the report*. The mental process *wish* expresses the process involved and an interpersonal function, for example the writer's entertainment of the possibility of rejection of the action and therefore hesitation in its expression. A wish is something that has not been realised. When used in the primary clause to project the command, it renders the command an expression of a thought and therefore purely subjective. The expression of Affect therefore mitigates the command as not realised but as only a private thought. There are eight instances of this pattern, which demonstrates that it is used regularly to convey indirect commands.

The command is softened as follows. Firstly, the Sensor expresses a desire in relation to the command. It is *a wish* and therefore no obligation is imposed on the audience. It appears to be a declaration made by the writer to reveal his or her state of mind. Secondly, the command is softened by the use of the infinitive clause carrying the command. The verbal process by which the command is carried has evaluative meaning. For example, Judgement of the Social Sanction: propriety is conveyed in the infinitive clause *to request* through its adverbial sense. The dual evaluative meaning in the clause, therefore, shifts the focus of the command and construes it as desire for an appropriate action. I note that the second infinitive clause *to provide* also adds to the evaluative meaning of *to request*. This pattern is represented as follows.

(i) SENSOR + VERB + *to*-INFINITIVE

|| *We wish [to request Finance Officers [to provide copies of the report to all Departments in their Ministries.]]* ||

A prepositional phrase can be added to this pattern. This pattern is fairly regular, with five instances in the corpus. The addition of the prepositional phrase works to remove the focus from the already mitigated imperative. It indicates that the imperative does not belong to the writer. It appeals to an external authority and thereby lends the command stronger authority. The infinitive clause that is part of the projected clause *to invite* also mitigates the command. *To invite* is a request for someone to attend, but it is also a specific way of stating the imperative with respect and no coercion. *To invite* is therefore Judgement: Social Sanction. The use of the prepositional phrase adds to the strength of the indirectness in the command by stating the source of the command.

(ii) PREPOSITIONAL PHRASE + SENSOR + VERB + *to*-INFINITIVE

|| *[[On behalf of the Molepolole College of Education]], I wish to invite Ms Xxx, Deputy Permanent Secretary to officiate at the above mentioned function [[where the Arts students will be showcasing paintings, drawings, sculptures, graphics and ceramics]]* ||. [Makgothi, A.S 5 txt]

Instead of an infinitive, a *that*-clause can be used as the projection. This pattern is represented as follows.

(iii) SENSOR + VERB + FINITE CLAUSE

|| *I hope | that you look into this issue and give us the best possible assistance* ||.
(Busang, M.4 txt)

The *that*-clause can be omitted through the process of ellipsis, but this does not change the meaning in the finite clause. This pattern occurred fourteen times in the corpus.

(iv) SENSOR + VERB + ELLIPTIC FINITE CLAUSE

|| *We hope | you will advise us quickly as required training is scheduled for January and February* ||. (Gumare, T. 6 txt)

A conditional clause can also occur in the pattern. The pattern has the semantic meaning of *doing X will make me feel X*. It sets out a condition that the audience should meet and an emotion is expressed in relation to the condition. The focus of the evaluation is therefore the condition.

(v) SENSOR + VERB + CONDITIONAL CLAUSE

|| *I shall be obliged* [[*if receipt of this savingram is acknowledged*]] ||.

The mental verb can be a phrase such as *look forward* as in the example below. The preposition + gerund (*to receiving*) carry the meaning of the verb *send* and thus the directing element in the clause. The attitude is carried in *look forward*, which expresses desire. The use of the finite clause and a verb phrase of desire is a useful strategy to minimise the impact of the imperative. There are two uses of this pattern, both appearing in the closing sections of the documents, to further emphasise the command and at the same time persuade the audience to carry out the command.

(vi) SENSOR + VERBAL PHRASE + NON-FINITE

|| *We look forward* | *to receiving whatever reports and documents on your privatisation programmes at your earliest convenience* ||

The pattern can also include a modal modulation *would* to reveal tentativeness on the part of the sensor in addition to the desire that softens the command. This pattern occurs most frequently, with twelve utterances in the corpus. The pattern is as follows.

(vii) SENSOR + MODAL VERB + DIRECT OBJECT + *to*-INFINITIVE CLAUSE

|| *We would like Moeding College to do the same* [[*as this will not only increase the national collection,* | *but will also make the documents accessible to a wider research audience*]]. (Ramokate, K. 2 txt)

An adverb can be added to pre-modify the process and reveal the investment that the writer attaches to his or her desire. This structure occurs twice in the corpus with the semantic value Appreciation. Other occurrences of this structure are with Judgement values as noted in Section 5.3.1.

(viii) SENSOR + MODAL + ADVERB + VERB + NOUN COMPLEMENT

|| *We would highly appreciate your response by 10 March 2006.* || (Madikwe, A.M. 1
txt)

In this subsection, the focus has been on those patterns in which a mental verb is used to mitigate directives. The patterns have been illustrated and described. The ways in which interaction is managed has also been described. The variations of the patterns have been identified and illustrated. It has been noted that when certain elements are introduced in a pattern the interpersonal meaning is either refined or expanded. Certain patterns tend to occur more in certain sections of the texts than in others. For example, a declarative clause with a command function such as *we hope* + FINITE CLAUSE tends to occur in the closing parts of the texts.

4.3.3 Patterns in which the command is expressed in a relational process

There are two patterns that the writer can use to convey indirect commands. In both of these, the clauses are declarative although with a command function. In the first pattern, there is an intensive relationship of identifying the nominal group using an infinitive clause. There are nine occurrences of this pattern in the corpus. The imperative is implied in the infinitive verb, which is the identification feature of the nominal group in the clause. The action required of the audience is therefore presented as 'being' or as a feature of something rather than as

'doing' or an act of someone. The clause presents a performance that does not relate to any individual.

It is noted that the command in the relational clause of the type described above is different from those in mental or verbal clauses in which the source of the command is given as sensor and sayer, respectively. In this clause, a process is associated with something. The infinitive clause is not the command but the thing that identifies the nominal group in the clause. Effectively, no one is being told or asked to do anything. The structure positions the audience to share in the positive assessment that the writer perceives as a feature of the nominal group. Rather than take the evaluation as knowledge, the audience would be called upon to share the positive assessment attached to the action implied by the infinitive verb. In the pattern below, the process *to request* carries two meanings: the lexical and the interpersonal meanings. The interpersonal meaning conveys the idea of *an action that is being done respectfully*. In this case, it does not refer to behaviour and therefore it does not refer to JUDGEMENT. The pattern therefore construes the writer as reporting on the identity of something in terms of a positive process. In APPRAISAL terms, this process (the infinitive clause or the identifier) is conceived in terms of APPRECIATION: value. It is aesthetic value that is attached to a process used to identify a nominal group.

- (i) NOMINAL GROUP + VERB + *to*-INFINITIVE CLAUSE + PREPOSITIONAL PHRASE

|| *The purpose of the this letter is* [[*to request for the evaluation report of the pilot project* | *and the measures that have been put in place* [[*to ensure continuation of the catering service to the schools and colleges*]]]] ||. [Galeforolwe, J.B. 12 txt]

Rhetorically, the pattern evokes a writer who is making a pronouncement and indicates that the audience should share the same views as the writer. Once the audience shares the views about the nominal group then they would see the statement as an indirect command. The following are variations of the relational clause pattern discussed above.

(ii) NOMINAL GROUP + VERB + *to*-INFINITIVE CLAUSE + *that*-CLAUSE

|| *This communication serves* [[*to request* | *that the National Committee on Botswana Teacher's Day be included on the list/schedule of statutory or non statutory Boards, Committees and Commissions for the purpose of payment of sitting allowance to members* [[*who represent private institutions in the committee*]]]] ||. (Hubona, B.D 12 txt)

Patterns (ii) and (v) have subtle differences from (i), (iii), and (iv). In the latter group, the identification of the imperative is achieved using the present tense form of the verb *be*. This is not the case in the former group for which imperative is identified using the present tense of a lexical verb.

(iii) NOMINAL GROUP + VERB + *to*-INFINITIVE CLAUSE + NOMINAL GROUP + INFINITIVE CLAUSE

The nominal group can be an indirect object, as in the example:

|| *The purpose of this savingram is* [[*to request your department* [[*to nominate an officer to be a member of the committee*]]]] ||. (Makgonatsotlhe, P. 20 txt)

(iv) NOMINAL GROUP + VERB + *to*-INFINITIVE CLAUSE

The nominal group can also be a nominalised process, as in the example.

|| *The purpose of this is* [[*to seek clarification on eligibility for transfer and subsistence allowances on the following issues*]] ||. (Motswakae, R.G 3 txt)

(v) NOMINAL GROUP + VERB + *to*-INFINITIVE CLAUSE + CONDITIONAL CLAUSE

|| *This communication serves* [[*to inquire* [[*if the formal registration has been done* | *and the schools are now council schools,* | *and whether the conditions in the schools are habitable*]]. [Basiamang, S. 7 txt]

In the second pattern, an adjective can be used as the identity of a dummy subject. The dummy assumes the role of the non-finite clause that follows later in the sentence. The interpersonal function in the clause is carried in the adjective, which has the semantic meaning of APPRECIATION: value. The rhetorical effect is the result of the audience sharing the assessment of value with the writer and therefore adhering to that which is considered worthy. There are three occurrences of this pattern in the corpus. This pattern is as follows.

(vi) NOUN GROUP + VERB + ADJECTIVE GROUP + NON-FINITE CLAUSE

|| *It is necessary to define and explicitly state what these critical strategic objectives for the Corporation are* ||. [Mokone, A.N. 1 txt]

The relational pattern has been noted for the subtle manner in which it manages interaction compared to the verbal and mental processes. The analysis has shown that the mitigation in

this pattern is conveyed through adjectives and infinitive verbs that relate to the nominal group in the clause. The ATTITUDE that they convey is that of APPRECIATION and it is the identity attached to the nominal group. Because the imperative is reported, the writer does so with the hope that the audience will share the APPRECIATION and take up the action implied in the infinitive, although he or she knows that he or she might not necessarily be held responsible for the audience's non-performance. The audience's cooperation is presumably rooted in the way they share the evaluation as valid.

4.4 Conclusion

In Section 4.2 and its subsections, the discussion focused on those utterances in the text in which directives were expressed. The discussion has demonstrated that writers seek to persuade the audience by revealing a positive character of themselves in the text. The APPRAISAL framework has been used to illustrate the positive character in terms of semantic meanings conveyed as ATTITUDE, ENGAGEMENT and GRADUATION. These semantic values were found to convey meanings that persuade the audience to accede to actions desired in the sample texts.

The analysis therefore has revealed that directness is generally avoided in written documents in the public service in Botswana. What may be learnt from this is that the language of written communication documents in business contexts in Botswana seeks to emphasise social cohesion and goodwill. Based on Hunston and Sinclair's (2000) local grammar, it may also be argued that utterances with lexis that is evaluative follow specific grammar or structures. These structures may be learnt and used to convey evaluative meaning.

JUDGEMENT is the dominant ATTITUDE type followed by APPRECIATION and then AFFECT. There are more examples conveying the semantic values of JUDGEMENT: Social Sanction: propriety than there are of the other parameters. This suggests that texts in which this semantic value is expressed conveyed directives in ways that make the audience feel acknowledged and respected. The ATTITUDE referred to above is expressed in performative verbs that combine meanings of experiential and modal Adjuncts. Interaction was found to be managed in the latter. In APPRAISAL terms, this meaning was found to be a reflection that the writer's action is ethical and that he or she observes the audience's independence with respect to the response the audience gives to the directive. This was referred to as being dialogically expansive. It has been noted that some of the performatives are not as dialogically expansive, although they are polite and socially appropriate. For example, the verbs *request* and *suggest* are dialogically more expansive compared to verbs such as *encourage*, *recommend* and *urge*. The last is higher on the cline of modulation. The action in these is more directed at the audience, indicating that the act to be performed is very important. In the first, the action is directed more to the writer, indicating that the manner of the action's execution is not reproachable.

In the case of AFFECT, the utterance appears rather akin to a proposition in the sense that there is no indirect modulation expressed compared to proposals in which the verbal process expresses such modulation. For these utterances, the writer was presented as conveying an emotional disposition with respect to a projected process. The interaction is therefore managed in the modal Adjunct realising a proposal. The subjective emotion of the writer (modal Adjunct) was seen as dialogically expansive in that it reveals to the audience that the writer is conveying an emotion in relation to a projected clause and not necessarily directing any action towards the audience.

In those utterances that convey APPRECIATION, there is still no obligation; rather a value of significance or reaction that identifies something in relation to a process or situation is being conveyed. A process is projected through hypotactic nexuses. This approach conveyed a subjective assessment being made and not necessarily an act directed towards the audience.

In Chapter 2, it was suggested that amongst the Batswana, good language skills and effective communication are measured by a display of humility in speech (Merkestein, 1998). In terms of the current study, therefore, in order to encourage someone to carry out an act while ensuring good interpersonal relationships, the customary practice is to avoid direct commands and to be modest and humble. The results of the analysis in this chapter suggest that directives in business correspondence communication in Botswana understood to be polite and persuasive if the writers display modesty and humility. This finding suggests that the way the directives are conveyed in the texts could be a reflection of the transfer of the culture of the participants into their communication.

In Section 4.3, the discussion focuses on the syntax of the commanding utterances and the way the syntax contributes to the management of interaction. The analysis of the various patterns of structure has illustrated that the different choices provided by the transitivity systems convey attitudinal meaning in different ways. Patterns of commanding utterances are analysed in terms of types of process and the semantic meanings and thus the way the directive is mitigated. Each process type contributes to the management of interaction in specific ways.

Regarding verbal clauses, the sayer conveys his or her JUDGEMENT: Social Sanction: propriety. This is a direct action with a source, but the obligation is carried in the adverbial sense of the verbal process, which denotes a particular way of issuing the action. Verbal clauses are presumably effective ways of issuing commands because the verbal process reveals the character of the sayer as ethical. With mental clauses, the presence of the sensor and the mental verb softens the command in the infinitive clause and presents it, seemingly, as part of the conscience of the sensor. The relational clauses however create a distance between the writer and the command. They also mitigate the command by presenting it as a process that is worthy and therefore to be accepted and carried out by the audience.

It has been noted that there is a close relationship between ATTITUDE and types of process in the clauses conveying the command function. For example, verbal processes correspond to JUDGEMENTS, mental processes to AFFECT and APPRECIATION, and relational processes correspond to APPRECIATION. All the clauses are of the projection type, with the mitigation occurring in the main clause and the imperative in the secondary or hypotactic clause. ENGAGEMENT values occur with all the ATTITUDE types and work to promote a dialogic environment.

CHAPTER 5

THE TEXTURE OF APPRAISAL IN TEXTS

5.1 Introduction

This chapter focuses on text as the object of the study. Chapter 4 focused on the internal structure of the clause (the commanding speech act), its lexico-grammar (Halliday & Matthiessen, 2004; Martin, 2000) and the way in which it construes experience. The explanation was concerned with the way different patterns of the clause encode the imperative function in order to give prominence to sustenance of positive interpersonal relationships. The analysis revealed that there are preferred semantic values and syntactic patterns in the ways the commanding speech acts are conveyed in the business correspondence communication.

The discussion in this chapter shifts to elements of text structure and considers the meanings made by extended discourse and not by individual clauses. It is noted that directives are not conceived and expressed in isolated clauses, but rather as sequences of chunks with elements that link to perform discourse functions (Sinclair & Mauranen, 2006). The discourse functions may be physically delineated in the text as sections, or, according to Swales (1990) and Bhatia (1993), as moves. Following the idea of contextual configuration (Halliday & Hasan, 1985:55) discussed in Section 2.6, the variables of field, tenor and mode are reflected linguistically in the text structure. Field is reflected in the kinds of acts carried out and their goals, for example getting someone to perform/not perform an action or behave/not behave in a certain manner (the social activity/the directive). Tenor is revealed through the sets of participant roles that are distributed in the social activity according to the context in which the language is used. In some cases, the roles are institutionalised and the degrees of control

clearly defined. Mode is about the role that the language is playing in the communication and includes such things as the channel and medium. In the case of correspondence, the medium is written, graphic, formal and overtly or covertly interactive.

The linguistic selections or moves that configure the values of field, tenor and mode all combine to contribute towards the creation of a text. A text is viewed in terms of elements of structure that combine to convey social experience. Specific role relationships prevail in the social experience. A specific channel or medium of communication is used to construct the social experience or genre. A genre type in a business communication context construes particular role relationships; hence, particular sequences of text expressing APPRAISAL meanings are typical in such contexts. Each element in the structure or sequence of language in a directive contributes to the APPRAISAL meaning which is suited to the context of use of the language. Directives are therefore perceived as a particular genre type with a definite shape or structure that enhances the construction or maintenance of social relationships. They unfold in linear progression and at each stage in the discourse the writer is doing something that contributes towards ensuring that the imperative does not jeopardise positive interaction. Each chunk is seen in the context of its role in the interpersonal function.

Chapter 5 adds another dimension to the argument raised in Chapter 4 that in directives writers select linguistic resources and patterns whereby semantic meanings are conveyed to bring about goodwill. In the current chapter, the data shows that APPRAISAL meaning is not limited to clauses; rather, it is sustained as the text unfolds with each element in the structure contributing towards the overall APPRAISAL meaning. The analysis reveals the realisation of evaluation in text through logical links that render a text structured and cohesive as opposed to sequences of unrelated clauses. This point is reiterated in this chapter: following

SFG, text structure, like clause structure, is a result of the functions that the speaker–writer wishes to perform with the language, based on the context in which the language is used. This chapter attempts to answer the following questions:

1. How is APPRAISAL meaning in directives structured?
2. How does the structure contribute to the management of interaction?

5.2 Structuring schemata for directives

Halliday and Matthiessen (2004:26) consider the development of text as a product of an ongoing process of choices, a sequence of instantiations based on a selection of options. Bakhtin (1981) views the dialogic process as a crucial factor that co-determines choices in the development of text (see Chapter 2). In Bakhtin’s terms, every act of communication reflects different choices of voice. The structure of the text is seen as choices that resonate with others to form a prosody that runs through as the text unfolds. The structure constructs the stance of the speaker–writer and supports the rhetorical purpose of the text (Martin & Rose, 2003). When writers in government institutions in Botswana issue directives in business communication, their purpose is to maintain good interpersonal relationships to ensure efficient operation in the organisation and to gain the required action from the audience. All these will be reflected in the discourse structure of the directive. These are discussed below.

5.2.1 The background-command structure

Iedema (1997:75) perceives directives in terms of a definite structure with several elements that all contribute to the interpersonal function. He suggests that these elements work to “do more work” in order to bring about an effective management of the interaction and to persuade the reader to carry out the actions. He postulates that the structure of the genre of

the directive is a result of the tension between the imperative and the need to manage the interaction (the conciliation that the writer makes towards the audience) as a result of the social context. He suggests a basic schema as follows.

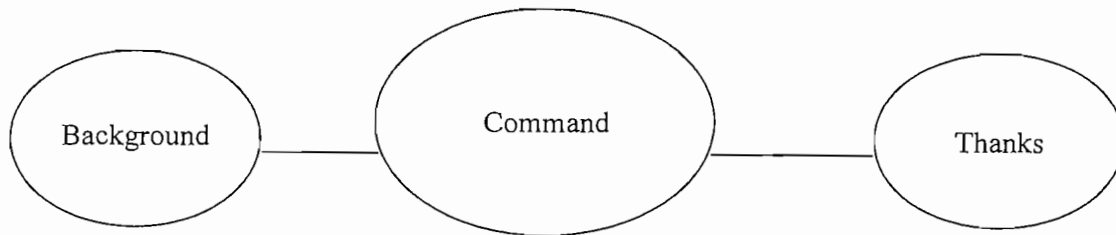


Figure 5: Background-command schematic representation of directive

(Iedema, 1997:75)

This structure is exemplified in the body of the letter below (directive 1). The directive deals with a very unpleasant situation, a transgression, and therefore one that potentially warrants strong and direct commands.

Directive 1:

Background

I have been alerted to the fact that contrary to communication to you from the office of the XXX referenced E XX/X/10 VII (XX) dated 2 November, 2001 copy of which is attached for ease of reference, you have gone ahead and donated trial materials for wider use in the public school system.

Command

Could you please confirm or deny the veracity of the above-mentioned state of affairs.

Expression of thanks Thank you

(Basiamang, S. 2 txt)

In the directive above, the management of interaction is carried out in the Background section, which is foregrounded in the content. The directive is backgrounded as content and this structure mitigates the command. It works to locate the command in the context of a social experience that gains prominence by its position in the opening position in the text. This position ensures that the command is not construed as a subjective or biased imposition by the writer on the audience. Rather it provides the command with a basis or legitimation.

Viewed as a chunk in the discourse structure or a message-oriented element (Sinclair & Mauranen, 2006) the background contributes to the management of discourse in directives. The chunk encodes the social experience in terms of a mental process depicting a value of Appreciation (a passive construction is used). The clause can be analysed for its internal interpersonal loading as follows:

Table 27: Analysing clause for interpersonal loading

Sensor	<i>Mental process</i>	<i>Phenomenon</i>
	APPRECIATION: Reaction: impact	Reported statement
I	have been alerted to the fact that contrary to communication to you from the office of the XXX referenced E XX/X2/10 VII (XX) dated 2 November, 2001 copy of which is attached for ease of reference,	you have gone ahead and donated trial materials for wider use in the public school system

In the text, the writer reports a negative impression, which in Appraisal terms is APPRECIATION: Reaction: impact. By stating that he or she was alerted to something, the writer is making a statement about a negative force that impinges on his or her consciousness and causes them to react. In the case of the phenomenon above, it is a fact and it is reported as causing a negative reaction on the part of the writer, for example it drew his or her attention. People are alerted to things so that they can respond to counter the 'looming' situation. As the background to the command that comes later in the text, this APPRAISAL

value is used to provide the basis upon which the audience is commanded to act. The evaluation in the chunk works to reveal a gap or a problem in a social experience. This is done in order to prepare the audience mentally to view their assent to the command that is made later as noble or necessary and not as a sign of weakness or strength on the part of the source of the command.

With the background providing the legitimation, the imperative carried out in the commanding clause is mitigated or justified. The structure of the text therefore contributes to the mitigated attitude that the writer communicates in the subsequent commanding clause. The positive attitude in the commanding clause is particularly brought about by a sense of the hypothetical implied by the oblique *could*, which points to tentativeness in the performance of the action *confirm or deny the veracity of the above mentioned state of affairs*. The use of *Please* further mitigates the command. *Please* codes veracity of the writer in respect of his or her behaviour. It suggests that the writer is truthful in his or her action. Literally, it means *if it pleases you* and it provides the addressee with the opportunity to say *it does not please me and so I will not comply*. Both *could* and *please* communicate that minimal obligation is placed on the addressee and therefore some kind of respect is shown to the recipient. This structure therefore injects into the communication a sense of collegiality and construes the writer as persuading rather than instructing the audience. This view is further conveyed by the expression of *thanks* at the end of the text, showing the Appreciation towards the audience, which is envisaged in the positive response. For example, *thanks* are given to construct positive relations with the other person.

Not all directives would offer legitimation in terms of background information as in directive 1 above. In directive 2 below, not 'much work' is done in the sense that has been discussed.

Directive 2:

<i>Command</i>	Please prepare a draft for the December Notices.
<i>Expression of thanks</i>	Thanks

Although there is ‘little work’ done, there is mitigation brought about by the use of the word *please*. Its mitigating effect is viewed in terms of veracity and therefore reveals the writer’s effort to maintain a positive relationship with the addressee. The differences in the choice to convey interpersonal meaning in the two texts above can be analysed, amongst other things, in the type of processes conveyed and the types of clauses used to construct the experiences. The structure can be schematically represented as follows in Figure 6. In Figure 5, the clause is a complex one and the logico-semantic relations in the clause provide the context that justifies the command. Figure 6 shows a simple clause that makes the command direct, save for the politeness marker *please*, which highlights respect and deference to the audience.

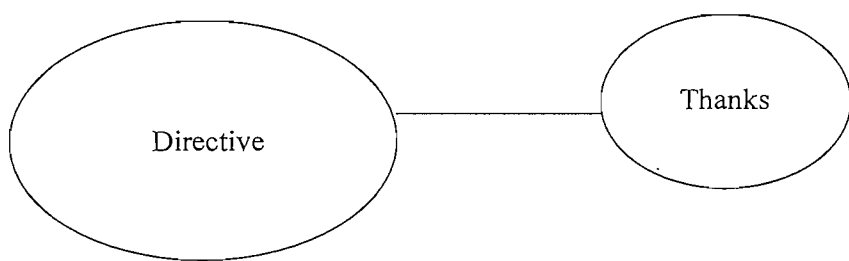


Figure 6: Schematic structure without textual legitimating elements

The structures above reveal a social context in which management of interaction is given prominence in the communication process. The textual organisation reveals a tenor of discourse that reflects assumptions about prevailing relationships and social context of the communication. The structure construes a social environment in which there appears to be task negotiability, democracy and solidarity amongst the participants.

5.2.2 Nucleus-satellite structure

Iedema (2001) distinguishes between the background-command structure and the nucleus-satellite structure. The former is seen as having one clause at each level of structure as the example in directive 1 in Section 5.2.1. The clause could however, have more than one clause or sentence that belongs to the same level in the discourse structure. This is the nucleus-satellite structure, which is illustrated in directive 3 below. According to Iedema (2001), satellites hover around the nucleus (commanding clause). The nucleus-satellite structure is an expansion of the background-command structure. In this, the nucleus, like the command, forms the thesis of the text. The satellites are the means or enabling factors for the nucleus to be positively received.

Directive 3:

Satellite

(Sentence 1) In order to improve service delivery, the *XXX* has streamlined the Recruitment and Disciplinary Processes for industrial employees.

Satellite

(Sentence 2) Before the re-engineering exercise, the time taken by the Ministries/Departments to recruit an industrial class employee was between 8 to 10 weeks, while the time taken to complete a disciplinary case was 145 days.

Satellite

(Sentence 3) After the streamlining exercise the Recruitment Process has been targeted at six (6) weeks four days while the Disciplinary Process should be take 46 days.

Satellite

(Sentence 4) *XXX* shall be visiting Ministries and departments in the month of August to explain these processes.

(Sentence 5) Thereafter, implementation shall begin with effect from 1st September *XXXX*.

Nucleus

(Sentence 6) We appeal to all to cooperate fully in this exercise so that the objective can be realised.

[Fanakiso, T.J. 1. 1 6 txt]

The nucleus-satellite is schematically represented in Figure 7 below.

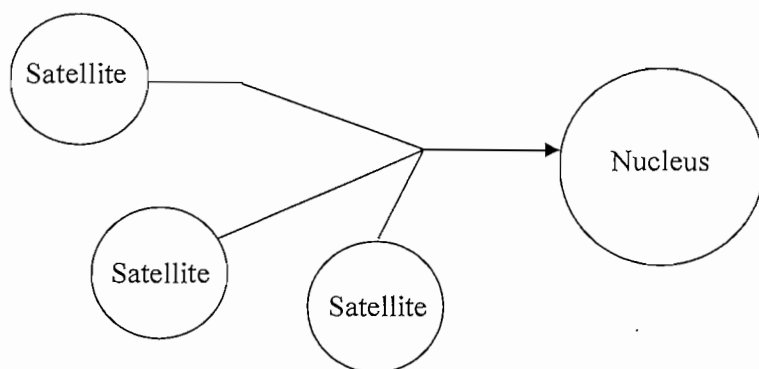


Figure 7: Schematic representation of nucleus-satellite structure

In the scheme above, the satellites work towards legitimating the command by giving more information. This would help the audience to know and understand the details and circumstances operating and necessitating the command. This information is useful for creating a positive attitude on the part of the audience towards both the writer and the command. In Hallidayan terms, this structure conveys a field of discourse that is appropriate

to the context of texts in which directives are conveyed. The overall goal in such texts is to elicit a response and simultaneously maintain interaction. The kinds of activities that have been selected are appropriate to the context. For example, in business communication, particularly when commanding someone to do an act, the expression of certain experiences will help to facilitate the communication. The field of discourse prepares the audience for the imposition in the commanding clause.

The APPRAISAL values in directive 3 are not carried in the lexis or the grammar; that is they are not inscribed (see Martin & White, 2005). The APPRAISAL is expressed as tokens of evaluation. These are semantic values of APPRAISAL that are carried in the descriptions or that can be deduced from the ideational meanings of the sentences. Although Martin and White limit tokens of evaluation to JUDGEMENT, in this study they are extended to APPRECIATION. This means that structures are interpreted as conveying the ATTITUDE of APPRECIATION. In terms of the satellites in directive 3 above, the ATTITUDE of APPRECIATION is noted as the paramount ATTITUDE. The APPRAISAL structure of the directive can be illustrated below. The process represents the kind of activity involved in the experience that conveys APPRAISAL values.

Table 28: The APPRAISAL structure of a text conveying an imperative

Sentence/Structure	APPRAISAL	process
1. Opening/Satellite	APPRECIATION	material
2. Development/Satellite	APPRECIATION	relational
3. Development/Satellite	APPRECIATION	relational
4. Development/Satellite	APPRECIATION	material
5. Development/Satellite	APPRECIATION	material

6. Closing/Nucleus	JUDGEMENT	verbal
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The textual organisation shows the writer as saying the *thing is good* (hence APPRECIATION is indicated) and therefore worthy of support. The satellites represent information that has been selected because of its worth. In other cases, the satellites may convey negative evaluation and this works to present an untenable situation that justifies the command that is subsequently given. Directive 4 shows the satellites conveying negative evaluation. In this instance the structure has two nucleuses, both with an interpersonal effect.

Directive 4:

Satellite Please be informed that Members of the Diplomatic Corps have complained to us that Immigration and Customs Officers do not extend any courtesies to them, in keeping with their Diplomatic status, when they cross our borders

Satellite They specifically complain of the long hours they are made to wait before they are served.

Satellite Another point they raise is that the Immigration and Customs Officers do not seem to recognize their Diplomatic Identity Cards because some of these Officers insist on the production of Exemption Certificates, which, because of their A-4 size, are too cumbersome for Diplomats to carry around.

Command In the light of the aforesaid, it would be greatly appreciated if you could please advise your officers to henceforth recognize the Diplomatic Identity Cards when Diplomats present themselves and to also make some effort to extend the necessary assistance and courtesies to them.

Command We will be happy if you could cooperate.

In the corpus, this structure accounts for 92% of the document types of directives. The structure in directive 4 may be reversed and the nucleus elevated to the fore position in the text structure as in directive 5 below, where the change in discourse structure does not affect the role of clause enhancement observed in directive 4 above.

Directive 5:

Nucleus I am requesting P40, 000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year.

Satellite Additional funds are required to support my entire staff; *XXX*, and 2 *XXX* Volunteers.

Satellite Our funds were recently exhausted (*XXX* and *XXX*), while the two *XXX* Volunteers did not receive any funding for the entire year.

Satellite This puts a tremendous burden on my limited funds to support my staff.

Command Your support for a supplementary P40, 000 for the remaining months of the fiscal year will be most appreciated.

Command We hope you will advise us quickly as required training is scheduled for January and February.

Expression of thanks Thank you.

The APPRAISAL structure is shown below, with values ENGAGEMENT and GRADUATION.

Table 29: The APPRAISAL structure of a text conveying an imperative

Sentence/Structure	APPRAISAL	ENGAGEMENT	GRADUATION
1. Opening/Nucleus 1	JUDGEMENT	Entertain	none
2. Development/Satellite	APPRECIATION	Endorse	quantity
3. Development/Satellite	APPRECIATION	Endorse	focus
4. Development/Satellite	APPRECIATION	Endorse	intensity
5. Development/Nucleus 2	APPRECIATION	Endorse	intensity
6. Closing/Nucleus 3	JUDGEMENT	Entertain	none

The APPRAISAL structure reveals the rhetorical structure of the text. In the opening, the writer evaluates his or her actions in terms of JUDGEMENT: Social Sanction: propriety; for example, *I am requesting P40, 000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year.* This motivates the reader to comply with the

action, which is construed as a 'request' and therefore it entertains the reader's independence or authority. The subsequent satellite sentences (two to four) give what may be seen as details that justify or provide a context that reveals the action as genuine and worthy of the reader's positive attention. Notice that all the satellite sentences express the semantic value APPRECIATION. The objects of the APPRECIATION are processes that the writer endorses as undeniable through GRADUATION resources, such as quantification, passive verbs, focus and intensity. The rhetorical effect of both the clause and discourse structures seeks to motivate a positive reaction of the audience towards the text. Other clauses in which commands are also expressed in tentative tones may be added in the closing section, or in the middle of the text. These are not the nucleus of the text. They are usually included to demonstrate the writer's conciliation towards the audience and therefore to further persuade the audience to carry out the action. In the literature, some refer to this as *a pressure tactic* and it is not the actual nucleus of the directive in the sense espoused by Iedema (1997). For example, the clause *We hope you will advise us quickly as required training is scheduled for January and February* acts as a pressure tactic in directive 5 above.

The structure in directive 5 above may be further complicated by the addition of more satellite elements as in directive 6 below. Notice that this is usually motivated by the writer's wish to sound persuasive, particularly because what is requested is considered an imposition or because the addressee is someone very important. In the context of the Tswana culture, this structure would be considered appropriate and polite. Such an imposition would require the writer's commentary (additional satellite elements) to allay the doubts of the audience concerning the proposal as a way of showing deference to the audience. This structure is used particularly where some resistance is expected or where the audience has more authority and therefore the writer feels the pressure to provide more information to support his or her

action. The structure does not occur frequently in the corpus, accounting only for 8% of the data. This is probably because, in as much as the face of the addressee is critical, that of the writer is equally critical, and therefore writers always ensure a balance in their presentation.

Directive 6:

Subject **Request for Private Papers of Historical Importance – Private Archives.**

Nucleus

(Sentence 1) The *XXX* requests you to consider donating the *XXX* family private documents of historical and research value to the Department.

Satellite

(Sentence 2) *XXX* is a government department within the Ministry of Labour and Home Affairs charged with the responsibility of preserving Botswana's cultural heritage in document form (archives).

Satellite

(Sentence 3) In an effort to achieve this mandate, the department identifies individuals and families who have had a significant contribution towards the development of Botswana and requests for private documents.

Satellite

(Sentence 4) It is our belief that, through your involvement with the 'military and various non-government organizations over the years, you have made such a contribution and would have valuable documents of historical and research value.

Satellite

(Sentence 5) There is no doubt that the *XXX* family through the exploits of both the late *XXX* and *XXX* has made telling contributions to the development of Botswana and its people.

(Sentence 6) Some private documents they would have generated, collected and kept would be of historical value to the nation, and such important documents are targeted for collection by us.

Satellite

(Sentence 7) *XXX* is only interested in documents that can be used for research by students and scholars on various aspects of the development of Botswana such as governance, politics, community development, village development, associations etc.

Satellite

(Sentence 8) Our interest is mainly in documents from pre-independence to present day.

(Sentence 9) However it is not our intention to collect recent documents which may still be in use by you or are deemed sensitive.

Satellite

(Sentence 10) Documents of particular interest to *XXX* are official/private diaries, minutes of meetings of any committee or association, correspondences with government on various issues, correspondences with other leaders (Parliamentarians, Chiefs, etc), appointment letters, awards, rare publications and newspapers, speeches and photographs etc.

Satellite

(Sentence 11) Where necessary the department is prepared to assist with the selection process to ensure that you donate what is relevant and can keep what is personal.

Satellite

(Sentence 12) As a donor of private archives the family can set the conditions under which documents can be used or give complete control to *XXX*.

Satellite

(Sentence 13) The documents may remain your property and cannot be destroyed, published or copied by anyone without your written permission.

Satellite

(Sentence 14) Preferably total control may be given to *XXX* resulting in management of the documents in line with the Department's policies and procedures to ensure their preservation.

Satellite

(Sentence 15) These conditions may be set and entered into in writing with *XXX*.

Satellite

(Sentence 16) We already keep documents donated by the *XXX* family, *XXX*, *XXX*'s family, *XXX* family and others.

Satellite

(Sentence 17) It is important for individuals and families to donate private documents to *XXX* as these are useful to students and other researchers, and as a record of our past as a Nation.

Satellite

(Sentence 18) They will contribute to the education and development of the Nation of Botswana.

Satellite

(Sentence 19) Donating private archives helps us preserve our past for future generations to know the true history of our Nation.

Conciliation

(Sentence 20) *XXX* would be glad to house the *XXX* family papers for reference by future generations.

Conciliation

(Sentence 21) For any further clarification or questions regarding donation of private papers kindly contact the undersigned by phone, fax or e-mail.

Conciliation

(Sentence 22) We hope to hear from you soon.

In the directive, the satellites are structured in a sequence of episodes in which the writer conveys tokens of Appreciation that build up to give strength and purpose to the objective of the text, which is to persuade the reader to accede to what the writer desires. In this example, the addressee is asked to provide private papers of historical importance to be included in the national collection. The persuasion arises not only from the attitude expressed, but also from the objects that are the targets of the attitude. The writer makes a calculated move to evaluate certain objects in a particular way with the knowledge that such evaluation will cause a particular rhetorical effect.

For example, sentences 2 and 3 are comments about the institution that is the source of the imperative. This positive APPRECIATION in the comment acts to give a positive context within which the imperative statement above has been made. The effect is to lend credibility

and authority to the institution and therefore to present it as worthy to make such a demand.

For example:

1. *XXX is a government department within the Ministry of Labour and Home Affairs charged with the responsibility of preserving Botswana's cultural heritage in document form (archives).*
2. *In an effort to achieve this mandate, the department identifies individuals and families who have had a significant contribution towards the development of Botswana and requests for private documents.*

In sentences 4, 5 and 6, the evaluation is another positive comment about the addressee and his or her family, as well as about the documents. This works to bestow appreciation and value on the addressee and therefore to motivate him or her to appreciate that he or she would be making a valuable contribution should he or she do as the writer desires. In sentences 7, 8, 9 and 10, the writer conveys his or her ENGAGEMENT to the objects about which further APPRECIATION is conveyed. GRADUATION resources such as *only*, *mainly* and *particular* are used to reveal the extent of the writer's focus and persuade the addressee to release the documents desired. This detail is particularly effective when making requests because it affords the requested person the extent to which obliging to the request would jeopardise his or her position.

In sentences 11 to 16, further values of tokens of APPRECIATION are conveyed, with the focus the conditions of holding the documents. The imperatives in these sentences are tentative structures with a predominance of modals to reveal possibility and not imposition with respect to the conditions. Notice that in sentence 16, the GRADUATION resources

already carried in the token works to reveal degree of intensity of the process of holding and therefore demonstrates a sense of responsibility on the part of the writer.

In sentence 17, the writer makes a comment pertaining to significance about the action that is central to the text: the act of donating papers of historical importance. This evaluation (APPRECIATION: valuation) is further conveyed as tokens in sentences 18 and 19. The rhetorical effect is to remind the audience about the value of what is requested of them and therefore that they would be carrying out a significant act by acquiescing to the proposal.

In sentence 20 *XXX would be glad to house the XXX family papers for reference by future generations*, AFFECT: happiness is conveyed. This is a strategy that does not only reveal conciliation with respect to the demands already made, but also calls upon the recipient to be a catalyst in bringing about this feeling of happiness. Sentences 20 and 22 are examples of pressure tactics. Another type is carried out in sentence 21, which is another pressure tactic although without APPRAISAL meaning.

In the discussion above, the analysis has demonstrated that the general structure of discourse is directly related to the rhetorical effect of the text. The finding made is that writers of directives in business contexts are aware that discourse structures of texts reveal their wish to convey a positive message. The analysis has therefore demonstrated that sequences of text structure is not a random selection of information, rather that such sequences are selected based on the way they contribute to the management of interaction. It has been noted that if many positive APPRECIATION values were conveyed in a text, this would mitigate the imposition on the audience. In this way, discourse structure reveals the writer as showing deference towards the audience.

5.3 The texture of Appraisal in text

The Directives analysed above show other important elements that contribute towards discourse structure and that lend a different insight into the perspective of background-command and the nucleus-satellite structures discussed above, as is demonstrated in this section. Hasan (1985) refers to the idea as texture of text, or in Hallidayan grammar as mode of discourse. The notion is introduced in an attempt to answer the question: how does Appraisal unfold in text? Coffin and O'Halloran (2005:148) posit that the patterns of the structure of a text linked through relationships serve to create a particular position or attitude in the text. This view is shared by Lemke (1998:49) that evaluation propagates and ramifies through textS, following grammatical and logical links that render the text structured and cohesive rather than unrelated sequences of words and clauses.

The corpus used in this study has been analysed to determine the various ways the sequences of language are linked to reveal the writer's intention and efforts to persuade the audience. The discourse of directives is strung together through types of relationships that link the chunks and sustain a persuasive appeal. This was briefly mentioned in Section 5.2.1. Directive 4 is repeated here to illustrate the way texture is sustained to effect a positive attitude.

Directive 4:

Sentence 1 Please be informed that Members of the Diplomatic Corps have complained to us that Immigration and Customs Officers do not extend any courtesies to them, in keeping with their Diplomatic status, when they cross our borders

Sentence 2 They specifically complain of the long hours they are made to wait before they are served.

Sentence 3 Another point they raise is that the Immigration and Customs Officers do not seem to recognize their Diplomatic Identity Cards because some of these Officers insist on the production of Exemption Certificates, which, because of their A- 4 size, are too cumbersome for Diplomats to carry around.

Sentence 4 In the light of the aforesaid, it would be greatly appreciated if you could please advise your officers to henceforth recognize the Diplomatic Identity Cards when Diplomats present themselves and to also make some effort to extend the necessary assistance and courtesies to them.

Sentence 5 We will be happy if you could cooperate.

Sentence 1 is a clause complex (projection) in which a proposition is paraphrased as *X have complained and it does not please me that they have done so*. The proposition is an initiating clause and it expresses the writer's negative APPRECIATION: Reaction: impact. Sentence 2 is cohesively linked to sentence 1 in terms of a logico-semantic relationship (paratactic elaboration) between the sequences of experiences in sentences 1 and 2. The relationship, which is represented using the notation [1] and [2], shows that although [2] is a main clause in its own right, its APPRAISAL meaning is understood in the context as flowing from [1], and thus particularising the nature of the complaint *the long hours they are made to wait before they are served*. Sentence 3 also has a paratactic relationship with sentences 1 and 2

above, and is given using the notation [3]. The relationship is that of extension, whereby the phrase *another point they raise* evokes and reverberates the negative evaluation in the initiating sentence 1 and therefore gives the text a texture. Sentence 4 starts with a conjunctive phrase that has the logico-semantic relationship of enhancement and qualifies in terms of reason the command function in relation to the previous sentence. The conjunctive phrase has a cohesive role in the discourse and evokes a switch to positive Appreciation in relation to the preceding negative values conveyed. The ways in which the sequences of experiences in the text above unfold therefore demonstrate that the structure of the discourse is inclined towards persuading the audience.

The structure in directive 3 is referred to here as *the narrative type*. In this structure, the sequences of events unfold as propositions in which episodes are narrated and linked to construct a narrative flow in a way that conveys a positive attitude in the message. The imperative is expressed at the end of the text. Directive 4 has been used to illustrate this structure. Another example of the narrative structure is given in directive 3 below.

Directive 3:

Sentence 1 In order to improve service delivery, the *XXX* has streamlined the Recruitment and Disciplinary Processes for industrial employees.

Sentence 2 Before the re-engineering exercise, the time taken by the Ministries/Departments to recruit an industrial class employee was between 8 to 10 weeks, while the time taken to complete a disciplinary case was 145 days.

- Sentence 3 After the streamlining exercise the Recruitment Process has been targeted at six (6) weeks four days while the Disciplinary Process should be take 46 days.
- Sentence 4 *XXX* shall be visiting Ministries and departments in the month of August to explain these processes.
- Sentence 5 Thereafter, implementation shall begin with effect from 1st September *XXXX*.
- Sentence 6 We appeal to all to cooperate fully in this exercise so that the objective can be realised.

In the text above, each sentence constitutes a proposition in which APPRAISAL meaning is expressed. The APPRAISAL meaning is evoked as sequences of events or experience (sentences) that are logically linked through a relationship of expansion to sustain interaction in the text. The experiences are linked to form a semantically cohesive sequence in which APPRAISAL meaning is sustained. Sentence 1 continues an idea (not mentioned but rather implied in the context of the narrative and the institutional context) that may be recovered from the context as *Service delivery in the Public Service is poor and needs to be improved*. This is because the meaning of sentence 1 is clear if it is in a logical sequence with a prior thesis. In this case, it acts as back-up to the thesis of the statement and therefore gives it the status of an initiating clause, while it takes for itself that of the continuing clause in which the ATTITUDE is conveyed.

The construal of ATTITUDE is achieved indirectly by the predicator *streamlined*. The interpersonal meaning conveyed is that the process had a positive impact on the writer hence APPRECIATION: Reaction: impact. This suggests that the writer endorses the process as positive. Such endorsement has the effect of aligning the audience with the validity of this process and may cause them to exclude any alternatives as not possible. It reports what was done as a good thing. The adverbial clause *In order to improve service delivery* is implicitly linked to the implied proposition through a lexical cohesion relationship of the verb *improve*. The notation of the structure is 1 2 is used to mark this kind of texture.

The APPRAISAL meaning is conveyed in the texture, which is brought about by the logico-semantic relationships between the clauses. The relationships and the ways they express attitude are illustrated in Table 30.

Table 30: Types of relationships and APPRAISAL

S	T/R	R/S	A/T	T/C	C/E	CL
?		1	-APP			Service delivery in the public service is poor.
1	Exp	2	+ APP	enh	C/R	In order to improve service delivery, the XXX has streamlined the Recruitment and Disciplinary Processes for industrial employees.
2	Exp	3	+APP	enh	Temp	Before the re engineering exercise, the time taken by the Ministries/ Departments to recruit an industrial class employee was between 8 to 10 weeks, while the time taken to complete a disciplinary case was 145 days.
3	Exp	4	+APP	enh	Temp	After the streamlining exercise the Recruitment Process has been targeted at six (6) weeks four days while the Disciplinary Process should be take 46 days.
4		5	+APP	enh		XXX shall be visiting Ministries and departments in the month of August to explain these processes.
5	Exp	6			Temp	Thereafter, implementation shall

						begin with effect from 1st September 2006.
6	Proj	7	+JUD			We appeal to all to cooperate fully in this exercise so that the objective can be realised.

Key: S= Sentences 1-6; T/R=Type of relation expansion and projection; R/S=relational structure paratactic clauses 1 -7; A/T= ATTITUDE type positive; T/C= Type of clause: Enhancement; C/E= Category of Enhancement: temporal and cause-reason; CL=Clause: examples; ?= Implied sentence recovered from the APPRAISAL analysis of the text; JUD=JUDGEMENT; Enh= Enhancement

The narrative unfolds through an exposition of the situation and processes in all the sentences. The relation between the sentences is that of parataxis and hence the structure of the text is given in notation 1 2 3 4 5 6. The texture in the text is created by the adverbial phrases, which act as cohesive markers. The use of expanding clauses with relations of enhancement using temporal and cause-reason categories enables the writer to provide a narrative of the state of affairs. APPRAISAL meanings are evoked in the main clauses. When the command is ultimately issued, the semantic values of negative and positive APPRECIATION implied in the complex clauses would have created an unwarranted situation, which needed to be addressed. The structure positions the writer as carrying out a legitimate act in issuing the directive. This type of movement in ATTITUDE is very common in directives in the corpus, with 120 of the texts having this type of structure. Presenting negative and positive APPRECIATION first in order to depict that there is an untenable situation or that there is a positive development acts to cushion the potentially negative reaction of the audience.

A similar analysis was done in terms of directive 5. Notice however that the text structure is different from that in directives 3 and 4 above.

Directive 5:

- Sentence 1 I am requesting P40, 000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year.
- Sentence 2 Additional funds are required to support my entire staff; *XXX*, and two *XXX* Volunteers.
- Sentence 3 Our funds were recently exhausted (*XXX* and *XXX*), while the two *XXX* Volunteers did not receive any funding for the entire year.
- Sentence 4 This puts a tremendous burden on my limited funds to support my staff.
- Sentence 5 Your support for a supplementary P40, 000 for the remaining months of the fiscal year will be most appreciated.
- Sentence 6 We hope you will advise us quickly as required training is scheduled for January and February.

The texture in the text is first established between sentences 1 and 2 through a logico-semantic relationship of enhancement. Although these are independent clauses, the semantic meaning of sentence 2 is to give a reason for sentence 1. For example, sentence 2 is seen as giving an account of the purpose of alluding to the funds in sentence 1. The notation for the clause nexus between these paratactic clauses is therefore as follows (the double pipes mark

where an initiating clause ends and the continuing clause begins and the numerical notations [1] and [2] mark the logico-semantic relationship).

|| I am requesting P40, 000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year. [1] || Additional funds are required to support my entire staff; XXX, and two XXX Volunteers. [2] ||

As enhancement of the imperative, [2] has a rhetorical appeal in that the writer is responding to a heteroglossic environment. For example, it is responding to questions or doubts that the audience might have regarding the request. The heteroglossia is based on previous knowledge or experience that an audience would be less inclined to support a request if there is no reference to some purpose or reason. In this sense therefore [2] provides the expression of purpose for which the proposal in [1] is being made. Although the chunk is not persuasive in its own right, but read as an enhancement of the imperative in [1], it implies Appreciation: value. In this sense therefore, the logico-semantic relationship between the two sentences is dialogic and probably intended to align the reader to support the proposal.

The build-up to position the reader to acquiesce to the proposal in sentence 1 is further sustained in sentence 3, which is another reason for the imperative. It can be paraphrased as *the other reason that funds are needed is because the funds we had have been exhausted and the two XXX Volunteers did not receive any funding for the entire year*. The notation for the logico-semantic relationship for the sequence of the discourse is expanded as follows.

|| I am requesting P40, 000 supplementary funds to cover travel and subsistence costs for the remainder of the fiscal year. [1] || Additional funds are required to support my

entire staff; XXX, and two XXX Volunteers. [2] || Our funds were recently exhausted (XXX and XXX), [3 1] || while the two XXX Volunteers did not receive any funding for the entire year. 3 2][3] ||

The clause complex formed by [3] (made up of clauses [3 1] and [3 2] in an extending relationship) evokes negative Appreciation: Reaction: quality with regard to the state of affairs relating to funds in general; for example, the negative situation (exhausted) was not a good thing. This works to further support and provide a basis for the imperative in [1] above. Sentence 4 relates to sentences 2 and 3. The relationship is signalled by the pronoun *this* whose meaning can be paraphrased as *the fact we have too many people to support from our budget and also that we are not getting funding for the two XXX volunteers places a tremendous burden on my limited funds to support my staff*. The logico-semantic relationship between sentences 4, 2 and 3 is therefore further paratactic enhancement for the imperative in sentence 1. The enhancement gives the reason (negative Appreciation: Reaction: quality) to justify the imperative in sentence 1. There is therefore a cataphoric reference to sentences 2 and 3 using the pronoun *this*. In the examples above, the logical relationship can be seen in terms of creating and sustaining Appraisal meaning in the text.

Sentence 5 is also logically related to the entire discourse in the text through its use of nominalisation as the subject or theme of the sentence. The process, which can be paraphrased as *that you will support us with a supplementary P40, 000 for the remaining months of the fiscal*, is given the status of a noun and therefore a causal status, making it an agent in a causative process. That the process is not given as a conditional clause makes it appear to be something that is not contended by the audience and therefore a fact situation. This situation is construed in positive Appreciation: Value. The expression of Appreciation

lends finality to the imperative. Further expression of Appreciation: impact works to nudge the reader to acquiesce to the proposal, as a valuable thing to carry out. This finality and further reader positioning is again emphasised by the expression of Affect in sentence 6.

The colouring of evaluative meanings in the entire text is shown in the analysis below.

I am requesting [+ Judgement] P40,000 supplementary [Graduation] funds to cover travel and subsistence costs for the remainder of the fiscal year [Enhancement + Judgement]

Additional [Graduation] funds are required to support my entire [Graduation] staff; XXX, and 2 XXX Volunteers. [negative Appreciation] Our funds were recently exhausted (XXX and XXX), while the two XXX Volunteers did not receive any funding for the entire year. [Graduation][negative Appreciation] This puts a tremendous burden on my limited funds to support my staff. [negative Appreciation] [Enhancement and Judgement]

Your support for a supplementary P40,000 for the remaining months of the fiscal year will be most appreciated. [positive Appreciation]

We hope [positive Affect] you will advise us quickly as required training is scheduled for January and February.

In the structures above, each sentence in the text contributes to the heteroglossic backdrop construed in the commanding speech acts, so that ultimately the imperative is not seen as a subjective imposition deriving from the writer's authority, but rather as an act that is ethical

and associated with notions of ethical behaviour. As has been demonstrated in Chapter 5, such indirectness is a means of acknowledging the audience as an equal partner in the communication process.

From the discussion above, two main discourse structures were found to permeate directives. The first structure is the foregrounding of the imperative in the text. The second structure is the directive taking the form of a narrative. Two points have been made about these two discourse structures. The first one is that the semantic relationships between sentences in a text bind the text together to propagate APPRAISAL meaning. The purpose or reason relationship helps to mitigate further the force behind the directive. The analysis has further shown that in constructing the discourse of directives, writers respond to heteroglossic factors. The main insight from the analysis is that the writer considers all the possible reactions or expectations of the audience with respect to the required action and he or she constructs the message so that it responds to all the possible questions or reactions of the audience. As a result, the discourse of directives is viewed as a product of the context and the interaction that the audience wishes to maintain. The text is dovetailed such that one sentence provides the basis for the other and together they form semantic sequences.

5.4 Conclusion

Chapter 5 has focused on the structure of APPRAISAL in the text. It has been noted that writers are influenced by the need to maintain interpersonal relations with the audience in constructing messages in which they issue directives. The influence is manifested in the discourse structure and as well as in the choice of sequences of experiences conveyed. Sequences of experience in each sentence structure were found to be linked in ways that appealed to the audience's cooperation and understanding with regard to the actions or

positions they are asked to take by the writer. The textual development therefore reveals dialogic considerations by the writers that contribute towards the management of interaction.

The analysis has therefore illustrated that management of interaction is not confined to the choice of wording and structure of the clause, but rather that it is progressively built into the structure of the discourse. The most typical structure is the nuclear-satellite structure or the reverse of this structure. It has been noted that this structure is quite effective as it reveals the writer's wish to persuade the audience. The persuasion is construed in the satellite sentences, which places the imperative in the context of the situation they describe. It was noted that the satellite sentences were linked logically as expansion of the enhancement type and that each implicitly expresses the semantic value Appreciation. The logico-semantic relationship was noted for its effect in preparing the way for an imperative clause. This situation therefore reveals the imperative as not subjective, but rather rational and justifiable.

Another important point in the chapter is the way in which the textual structure reveals the context of business communication. In Chapter 4, such context was revealed in the lexical and grammatical choices in the discourse. In Chapter 5, the textual structure revealed a kind of acculturation of the English language. The language structure shows humility and deference on the part of the writer, even when he or she is in a position of authority. This is because writers of varying levels of authority made equally frequent use of the move structures. An argument could be advanced that in the context of business correspondence amongst Batswana speakers, indirectness, leading to maintenance of goodwill, is an important feature of the discourse.

CHAPTER 6

CONCLUSION

6.1 Introduction

The central theoretical issue that guided the study is that in most correspondence documents the function that plays a critical role in affecting message effectiveness is the interpersonal function. The study was launched from the position that constructing directives, or any message, entails selecting from a system of options that operate simultaneously to convey three levels of meaning. These are the ideational, the interpersonal and the textual meanings. The study therefore assumed the view that giving directives in business communication is a cooperative exercise wherein the writer accommodates the audience by opting for contextually appropriate semantic, syntactic and textual structures (Grice, 1975; Bolívar, 2001; Labov, 1972). The role of context is therefore considered paramount in guiding the linguistic possibilities selected to convey meaning.

The analysis of data of business correspondence documents written in the public service in Botswana have demonstrated that when writing the texts, writers construct messages in such ways as to condition or influence the responses of the envisaged audience. The conditioning arises in the writer showing deference towards the audience. In order to highlight audience deference techniques in the texts, the following questions were addressed:

1. How do writers signal their attitudes?
2. What semantic values do the attitudes convey?
3. How do the discourse structures of directives combine to manage interaction?
4. Do the attitudes suit the intended functions of the communication?

In order to answer these questions, an analysis of a corpus of texts in which directives are conveyed in official contexts in Botswana was conducted. Both quantitative and qualitative methods of analysis were used. The framework used to explain the way language is used to condition the audience in directives is a system of meaning termed APPRAISAL. This was described as a system of semantic options by which speaker-writers evoke opinions or feelings in order to perform the interpersonal function. The opinions are conveyed as a system of options with respect to paradigmatic and syntagmatic choices. APPRAISAL is also conveyed in relations that are revealed in the textual structure of the discourse. This meaning is linked to Sinclair and Mauranean (2006), who combine interaction and textual functions and suggest that they are conveyed in the same stretch of discourse (see Section 2.4). The APPRAISAL framework classifies opinions in terms of ATTITUDE types, such as AFFECT, JUDGEMENT and APPRECIATION. ATTITUDE is also revealed through the extent of the writer's commitment to the feelings he or she expresses, which is termed the ENGAGEMENT *system*. The ENGAGEMENT system has a subordinate system termed GRADUATION that reveals the writer's scale of commitment.

6.2 Summary of major findings

The major findings in terms of the ways the writers of the texts in the corpus conveyed directives to foreground the semantics of the interpersonal function are discussed below.

Lexical choice was found to be a critical factor used to scaffold for human affiliation and persuasion. The most frequently occurring APPRAISAL meaning conveyed through lexical choices in which the writer expresses a persuasive stance is JUDGEMENT: Social Sanction: propriety. This occurs with a frequency of 61%, suggesting that when giving a directive it is prudent to assume a stance that shows deference towards the audience. For example, choices

of lexis such as *request*, *suggest*, *encourage* and *implore*, convey the writer's stance with respect to the action that the audience is required to perform. The following clauses use lexis that conveys directives in ways that appeal to the audience's cooperation.

- (158) To this end, we are **requesting** [JUDGEMENT] a VIP vehicle for the MEC and a Camry for her officials.
- (159) It is further **suggested** that intensive and more systematic supervision and monitoring of the Social Workers (for purposes of cost sharing take-over exercise only) should be intensified through the following...
- (160) We therefore **propose** that you should only engage the team leader and the CIS expert on consultancy basis.
- (161) In view of the above, we **recommend** that the teachers be sent to the United States of America.

Persuasion is also conveyed in lexis that ascribes aesthetic value to performances and processes or APPRECIATION: Reaction (quality and impact) and APPRECIATION: valuation. These occur with a frequency of 26%. APPRECIATION is conveyed in mental verbs and in adjectives. Martin (2000) addresses these semantic meanings. However, he does so with respect to propositions and not those in which indirect commands are construed. Notice the following examples of indirect commands that convey the semantic value of APPRECIATION.

- (162) In light of the above it would be **appreciated** [Reaction: impact] if you could start the implementation with the above mentioned sites on the 21st June, *XXXX* as you have indicated, to enable them to start finalising their accounts.

In the sentence 162 above, the attitude that is revealed is positive APPRECIATION, which is a reaction; for example, if the condition is met this shall elicit a positive reaction from the writer. Placing the command in a background position and as a condition further removes the commanding voice.

- (163) The purpose of this savingram is therefore **to solicit** [Reaction: quality] your support in this regard. The marking is scheduled for August 15th – 28th.

In the example 163 above, the use of the mental verb *solicit* renders the writer's control over the audience as limited and therefore the action required as tentative and dependent on the audience's willingness to perform it.

- (164) It is **necessary** [valuation] to define and explicitly state what these critical strategic objectives for the corporation are.

In the example 164 above, the use of the adjective *necessary* to convey a positive or objective value renders the required action one that is worthwhile and therefore it is not viewed as an obligation imposed by the writer.

Like JUDGEMENT and Appreciation above, the ATTITUDE of AFFECT in the commanding utterances mitigates the modulation in directives. However, the frequency of lexis conveying this attitude is only 13%. The most common semantic values of AFFECT that were used to mitigate directives are security and happiness. For security, writers convey their positive or negative security or confidence about the audience, their action or situation.

This works to position the audience to be amiable towards the directive. For happiness, writers convey their emotions of joy or a lack thereof. Imperative utterances that reveal emotions are therefore an effective strategy to obtain cooperation from an audience, as they reveal the writer's motives as harmless rather than obligating the audience in some way.

The following sentences demonstrate these attitudes and the type of interaction that is effected. Notice that although the writers do not push the audience, the choice of lexis conveys attitudes that work to nudge the audience towards the action(s) that are desired by the writers, without jeopardising the interpersonal relationship.

(165) We shall be **happy** [happiness] if you could look into the issue to give us the best possible assistance.

(166) We **look forward** [Security: confidence] to receiving whatever reports and documents on your privatization programmes at your earliest convenience.

The study used texts from the public service that were assumed to have been produced by individual writers. Montgomery (1999) cautions that some data or language may not be original. It was noted that, to some extent, this could have been true with respect to the data in the current study. This is because there is much mobility in the public service and some of the texts or language used in these may simply have been replicated from other instances. This was to be expected from texts of this nature compiled in a dynamic interactive environment. It was also noted that replication does not necessarily reflect a limited choice in the use of English on the part of the writers, but rather preference or conventional use in such communication circumstances and contexts. This is what Hopper (1998), and Bybee (2006)

argue in their view of grammar as gradually falling out of practice and relying on conventionalisation.

Apart from the limitation noted above, future research on ATTITUDE in correspondence writing should guard against subjective interpretations of ATTITUDE as could have been the case in the current study. One suggested solution to this problem is to extend the analysis by introducing a panel of people (some of whom may have been writers of the texts) to comment on the APPRAISAL meanings that may have been the focus in the texts.

Conveying ATTITUDE as shown in the texts reflects the cultural and social contexts of the people or the institutions in which the communication took place. In terms of typical language use, this could be viewed as examples of the extent to which and manner in which the English language has been acculturated by the people of Botswana. Bagwasi (2002) demonstrates that in correspondences written by Setswana-speaking writers, English is used in ways that reflect it as a variety that typifies the culture and contexts of the users. Arua and Magocha (2000) have shown that this variety is recognised by the speakers of the variety. These studies are linked to research on the role of culture in language development (see for example, Kachru & Smith, 2007; Wolf & Polzenhagen, 2009).

In some L1 situations, conveying ATTITUDE, as the data demonstrates may be considered indirect and lacking in authority and thus more direct structures may be preferred. The manner of directing may be seen as typical of the way that Batswana command their colleagues to carry out actions. Notice that the manner of directing conveys humility of the writer towards the audience, what Campanizzi (2005) refers to as emphasising the 'you' attitude. Terblanche, Van Rooy, Haase, and Schmied (2009) also made a similar finding

about East African English. They found that the English was persuasive and directed towards the addressee. They concluded that the East African culture was transferred to the use of language in all contexts. Berger (2000) refers to social needs and notes that the audience would cooperate if they are made to feel good. The 'you' attitude adheres to the social needs of the audience and therefore is adaptable to persuasive communication. Freedman (1988), writing on advertising, notes that adverts that ignite the desired effects are those that use language that reassures the audience of their worth and those that appeal to the emotions. The language that conveys ATTITUDE in the data is noted to elevate the audience's ego and therefore promote a good feeling towards the writer.

The position taken in this study is that relationships and context/culture are key factors in the production of the language of directing. This has been attested in the preceding discussion. The data has shown that the syntagmatic level also reveals interpersonal considerations in the language. It has been argued that the structure of the clauses in which directives are conveyed demonstrates that the concern of the writers is to negotiate with the audiences. The analysis of the commanding clauses indicated that different types of patterns and hence different types of sentences are used to reflect a positive attitude and therefore position the audience to cooperate. The dominant pattern is the projection type with a verbal process that conveys an adverbial semantic value in theme position. For example:

(167) We therefore propose that you should only engage the team and the CIS expert on consultancy basis.

(168) We would however, implore you to ensure that the privatization process is carried out in accordance with the spirit of Privatization Policy.

- (169) The Botswana National Archives and Records Services (BNARS) requests you to consider donating the *XXX* family private documents of historical and research value to the Department.

These structures demonstrate a foregrounding of attitude in the clause, which places the focus on the writer–audience interaction, while the imposition is given background position in the clause. Another pattern, similar to the one above, has a mental process in the place of a verbal process, but functions the same way to effect the management of interaction. For example:

- (170) I hope you will look into the issue to give us the best possible assistance.

- (171) We wish to borrow 10 DVCAM's from your office.

Other patterns of clauses are those that express command in relational clauses and convey the imperative as a feature of something that is assigned evaluative value. For example:

- (172) Please note that it is very important that the meetings are attended as scheduled because of the importance of the exercise.

- (173) In other words, it is essential to ensure that the process is undertaken transparently and in a manner that ensures competition for any opportunity which privatization may offer.

All the above are clauses whose syntactic structures convey interpersonal meanings. They have variations in which certain elements are added before or after the processes, either as cohesive devices or as ENGAGEMENT resources. The analysis also demonstrated that patterns of structure are related to ATTITUDE type.

6.3 Summary of theoretical innovations of the study

In focusing on the attitude that is expressed through the use of lexis to express JUDGEMENT, the study introduced a group of lexis, the performative verb, to convey an attitude or behaviour that is socially sound in respect of the action that the audience is required to perform. The uses of performative verbs such as *request*, *encourage* and *implore* convey semantic compounds in the form VERB + MODAL ADJUNCT. For example, in the case of *request* the verbal is *ask* and the modal is *respectfully* or *tentatively*. The word itself is not evaluative, rather, its use in a directive places the directive in the background by evoking an action associated with a particular manner of asking, which in APPRAISAL terms construes deference and hence ethical and social acceptability. Conveying attitude in performative verbs in this manner is not addressed in Martin's (2000) study. The current study has thus added a new subclass of lexis to the APPRAISAL framework whose uses have persuasion as the prime concern. Structures with such performative verbs are therefore dialogically expansive and convey persuasive tones. This answers the question: how do writers signal their attitudes?

Another addition to the APPRAISAL framework has been shown in the way the texture of the texts reflects the writers' motivation to persuade the audience. In Martin's (2006) data, the prosody of APPRAISAL is transferred to other places in the text through lexis or ideational meaning in the clause. In the current study, persuasion or management of interaction is shown in the texts to be conveyed through the semantic relations that prevail in the texture of the texts. For example, the textual organisations of texts demonstrate that the writers are aware of the potential negative reactions that their communication is likely to cause. In order to circumvent these, persuasive structures are selected such that the unfolding

texts demonstrate that functions and indeed context are critical factors in language production and use.

With respect to the text, the APPRAISAL has a schema or structure that was classified as background-command or nucleus-satellite structures. The two schemas are related as they each construct the stance of the writer as one that is dynamically dialogic and humble. For example, satellite sentences or background sentences were noted to evoke Appreciation, which dynamically builds up in the texts presenting more detail or undeniable facts about the issue(s) involved. In most cases, the descriptions carry GRADUATION and Engagements resources, and therefore further reveal Attitude. The APPRECIATION ATTITUDE is seen as giving legitimacy to the command action in the text. Current APPRAISAL theory does not consider texture in this way.

Another point related to the new perspective above was found in relationships in the sequences of experiences in the clauses that create the texts. For example, the APPRAISAL meaning in the texts unfolds with one sentence passing its APPRAISAL meaning on to the following it, forming a persuasive sequence. The subsequent sentence is not inherently evaluative but the evaluation is evoked as a result of the texture that is created with the one prior to it. It was also noted that texture is created through a relationship of expansion and that the semantic values or meanings of this grammatical relationship between the clauses give legitimacy to the directive in the text. Because of this relationship, the directing sense of the text loses its directness and is therefore likely to be perceived as justifiable. The most common text structure is the narrative type. It was noted that the narrated episodes linked to construct a picture that conveys either positive or negative APPRECIATION before an imposition is made. These structures position the impositions as those that are favourable and

therefore worthy of acceptance. In this way, APPRAISAL is seen as operating at the textual level and rendering the textual development of the text a dialogic consideration, with each sentence contributing to the APPRAISAL meaning.

6.4 Recommendations

This study analysed the correspondence writing of experienced writers in the public service and parastatal organisations, in which directives are conveyed. It was found that the majority of the writers demonstrate a concern for maintaining a good relationship with the audience. This has relevance for business communication pedagogy, for which it may be useful to identify documents that demonstrate what is considered 'good' practice and use this as a benchmark to guide students to reflect more accurately on the realities of natural language in use if they are going to communicate within Botswana. It was noted that maintaining good relations, as evident in the texts, relates to the emphasising of 'you' in professional discourse, prompting the audience to pay more attention (Campanizzi, 2005). Selby and Reinsch (1995) concur with Campanizzi, that an audience responds negatively to messages that emphasise 'I'. In their view, emphasising 'you' reveals a positive voice, a presence that the writer is looking beyond the action he or she requires and conveys a personality that does not alienate the audience.

This study therefore recommends a pedagogic approach in which language is viewed in terms of authentic contexts and texts (Bakhtin, 1981:272). This view demonstrates that contexts are variable and hence language is used differently in such contexts. The approach lends important insights to the teaching of correspondence writing. It is recommended that the pedagogic material be based on actual and authentic texts. Such material should be carefully selected to reflect the authentic communication needs of the target learners. This echoes Grabe

and Kaplan (1996), who recommend that writing courses consider research in real communication (see also Hagge & Kostelnick, 1989; Kress, 1989; Martin, 1989).

Another recommendation is that the teaching of business writing reflects a clear understanding of the nature of language and language use. This position is necessary because the study of language has until recently been polarised between formal and functional approaches. Based on the theoretical background of language study assumed by Business correspondence syllabus designers, the focus of teaching could affect the quality of learning. In my own experience of teaching students who are not studying English as a subject, students have expressed reservations that they do not need to understand formal aspects of the language. As a result, most have demonstrated a negative attitude towards what they view as 'English language'.

However, once students begin to see themselves studying the way the language is used in the contexts of their professions, their attitudes change. Training of teachers and lectures of professional communication should therefore spring from the position of applied language use. This view is based on the theory of language adopted in this study, which presupposes that the study of language should focus on its functions in contexts in which it is used. Current correspondence writing instruction in many syllabi is abstract and formal and does not address features that reveal the way language is used in real communication (see Freedman, 1998). The approach demonstrates that writing adheres to three basic principles: linguistic, psychological and social.

Lastly, the materials or resources used to teach should be carefully scrutinised for cultural and contextual relevance. This recommendation assumes genre as a key notion in writing

development, so that students learn to master control of language when it is taught in ways that reflect discourse conventions in their culture and how the practices may vary across cultures. Widdowson (1978) notes that language teaching is not about producing correct sentences, but entails knowledge of which sentences (words and structures) fulfil particular functions and whether they are appropriate in particular contexts (see also Gregory & Carroll, 1978). This view confirms that language lies outside the individual, is a socio-ideological construct, and continues to emerge and evolve with time and places (Deutscher, 2005; Hopper, 1998; Bybee, 2006; Kachru & Smith, 2007; Bagwasi (2002). The need, therefore, still persists for teachers of English for Specific Purposes to continue research on the language needs of their students, in order to bridge the gap between material availability and curricula focus.

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