

**From Fawcett, R., forthcoming a. *The Functional Syntax Handbook: Analyzing English at the Level of Form*. London: Equinox.**

*Note that, in the final re-write, the details of the description of many of the units will be transferred from here to the relevant chapters, so that the final version of the present chapter will be much shorter. So here you are getting a large proportion of the book in one chapter!*

**XXX In particular, much of the material for the chapter on embedded clauses is included here.**

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### **How to analyze text-sentences: Guidelines based on Part B**

#### **1 Preliminaries**

##### **1.1 How to use these guidelines**

The best long-term strategy - tedious though it will certainly be at first - is to follow the procedures in the following *Guidelines* step by step, until you reach the point when you have established them as a habit of thought. You will be able to operate them without thinking. But you are likely to have to analyze between fifty and a hundred sentences before you reach this point - depending on the complexity of the sentences and how quickly your mind adapts to this type of analysis. But everyone can learn to do it (in a few cases only with great perseverance, as a score or more of generations of students have discovered - sometimes to their surprise!

Then, when you feel ready, you should move on to working for most of the time with just the four summary sheets at the end of the *Guidelines*. You may well develop your own variants of the techniques suggested here - but they are likely to fit within the overall strategy outlined in Section 1.3 below.<sup>1</sup>

However, if at some point you find that you have forgotten some part of the procedure - or if you find yourself working on a text with particularly tough problems - you should be prepared to return to the relevant section of this chapter. You are most likely to return to it to make use of one of the many tests for recognizing an element. And, when you encounter a really difficult problem, you may need to return to the fuller discussion of the elements concerned - and/or to the additional tests - in the appropriate chapter (e.g. Section 9 of Chapter 5 to sort out a borderline Main Verb Extension). Another way to find the right section of the right chapter is simply to look up, in the index at the end of the *Handbook*, the name of the element - or elements - that you think may be involved.

These *Guidelines* are not definitions or rules but - as their name states - simply GUIDELINES. Usually they will help you to find the 'right answer', but they are not infallible. In many cases the strength of their reliability is shown by giving a

1. You may find it useful to mark the position in the book of the four summary pages by a coloured marker.

percentage in brackets, e.g. '(99% reliable)'. Where no percentage is given the reliability is 100%. As always in this *Handbook*, the guidelines make use of CRITERIA that are **semantic** and **functional**. As you will recognize by now, the reason for this is that the best way to understand the **formal** patterns of language is to ask what **function** they serve.

Since it is multi-clause sentences that pose the main problems, the guidelines are set out on the assumption that the sentence that you are analyzing has more than one clause. However, in providing for multi-clause sentences, the guidelines also cover the problems of analyzing one-clause sentences.<sup>2</sup>

## 1.2 Five practical tips for drawing syntax diagrams

- 1 Most natural texts involve sentences with **embedded clauses**. To show their structure clearly, you will need far more space than you need for a simple clause. Luckily, most sentences can be analyzed on a single sheet of A4 paper (or US legal or letter size), if you simply WRITE THE SENTENCE AT THE BOTTOM OF THE LONG SIDE OF THE SHEET. For long sentences - i.e. for sentences with a lot of co-ordination or embedding - you may need to place several sheets end to end. When you write the sentences on the sheets, have the joins at the boundaries between clauses - or at least groups. You can show the connections by placing an arrow on the connecting line, with a symbol showing the element or unit on the other page to which it leads.
- 2 NUMBER THE SENTENCES of your text as 1, 2, 3, etc, to make it simple to refer to them.
- 3 You can save paper if you PLACE SHORT SENTENCES SIDE BY SIDE ON THE SAME SHEET OF PAPER. When analyzing natural texts, you should NEVER TRY TO SAVE PAPER BY HAVING LESS THAN THE FULL WIDTH OF AN A4 SHEET (or US equivalent) ABOVE THE TEXT. You may find it hard to believe, but it is certainly the case that if you have too little space on the page the lack of space to make more complex analysis can actually bias your thinking, so that you find yourself analyzing a sentence in such a way as to fit the diagram into the available space. It may surprise you that anyone could actually allow themselves to think this way, but learners - and even experienced text analysts - quite often do just this.<sup>3</sup>
- 4 WORK IN PENCIL, with an ERASER ready for when you need to change your analysis - as you will often need to, even if you are a professional linguist.
- 5 In drawing the final diagram, i.e. the one that displays the full detail of the structure, you should START WITH THE MOST DEEPLY EMBEDDED UNIT and then work upwards. And you should try to keep the elements of each unit LEVEL WITH EACH OTHER. (This point is expanded upon in Strategy Tip 2 in Section 1.4.)

## 1.3 An overall strategy for sentence analysis

To analyze sentences efficiently you need a good overall strategy. Many syntax analysts, over many years, have proved the value of the strategy described here. It

2. But in such cases much of the rest of this section and of Sections 2.2 and 2.3 would in fact be irrelevant, as we will see.
3. This type of illogical reasoning happens, of course, at a subconscious level.

has the following four stages. <sup>4</sup>

- 1 Locate EVERY CLAUSE in the sentence.

**Section 2.1** shows you how to do this.

- 2 For each **embedded clause**, identify THE ELEMENT THAT SHOWS HOW IT RELATES TO THE UNIT ABOVE IT. Such elements almost always occur at the BEGINNING of the clause.

**Section 2.2** shows you how to do this.

- 3 Identify the HIGHEST CLAUSE (or the highest two or more co-ordinated clauses). Then, using the information from Stages 1 and 2, try to form a first OVERALL PICTURE of how the LOWER CLAUSES relate to it (or them). If you can't see the overall picture at this point, don't worry. Simply move to Stage 4 - but, when you do, draw your analysis VERY LIGHTLY, in pencil.

**Section 2.3** gives guidance on how to identify the highest clause(s).

- 4 Now - AND ONLY NOW - you are ready to start on the DETAILED ANALYSIS. Follow the TWO 'STRATEGY TIPS' given below, referring at every point to the appropriate parts of the later sections of these *Guidelines*.

**Section 2.4** gives you general advice on this -

and the rest of the *Guidelines* give you detailed guidance for each unit:

**Section 3** covers the clause,

**Section 4** covers the nominal group,

**Section 5** covers the prepositional group,

and so on for the quality and quantity groups, clusters and quoted text, etc.

## 1.4 Two tips on your overall strategy for analysis

### Strategy Tip 1

In the process of sentence analysis, over 75% of the problems relate to clauses - i.e. to discovering

- (a) what their internal structure is, and, for embedded clauses, and
- (b) how they relate to the unit next above them.

So, when you first start looking at a sentence:

**Don't get sidetracked into analyzing the INTERNAL structure of any S, C or A - unless a clause is embedded within that element.**

In other words, keep your attention focussed firmly on the analysis of the **clauses**. Leave the internal syntax of S, C or A till later - unless they contain a clause. Instead, just sketch in - perhaps only in your mind - a large triangle under EACH S, C AND A THAT DOESN'T CONTAIN A CLAUSE - as is done in the diagrams in Sections 3 and 4. The meaning will be: 'The analysis of the internal structure of this element is to be left till later.' (You can make an exception when the element is very simple and won't sidetrack you, e.g. when a S or C is filled by a simple ngp with only a head.) As you gain experience you won't need actually to draw triangles, and you

4. The mistake that learners make most frequently is to leave out Stages 1-3, and to start immediately on the detailed analysis. This gives a false sense of progress, and it is a temptation that should be resisted.

will simply leave such areas blank until you are ready to come back to them.

**Important caveat to Strategy Tip 1:** However, WHEN A CLAUSE FILLS AN ELEMENT IN A GROUP, you should do whatever analysis of that group is necessary to establish just how the clause fits into it. Pencil in lightly the q or f (or whatever the element filled by the clause is), and then leave the rest for later - i.e. until you have discovered the overall picture of the relations between the clauses.

## Strategy Tip 2

This tip comes in three parts.

### Tip 2a Keep the elements of each unit level with each other.

Why is this so important? The reason is that, if you want your diagram to show the internal structure of the sentence really clearly, the reader of the diagram needs to be able to see at a glance WHAT THE ELEMENTS OF EACH UNIT ARE. And the best way to do this is to draw them at the same level of the diagram as each other (i.e. at the same distance above the words of the text).

But there is a problem. This is that, until you have analyzed all the units embedded in the unit, you don't know what height above the text to put its elements. This is why Tip 2b is equally important:

### Tip 2b Start your detailed analysis with the most embedded unit.

If you do this you can ensure that, when you come to draw the triangles that show the exponence relationship between the items and the elements above them, they will be the right height (e.g. the triangles for the p of a *pgp* and the O, X, and M of a clause). But now the problem is: 'How do I locate the most embedded unit?' So Tip 2c is:

### Tip 2c The most embedded unit is likely to be at (or near) THE RIGHT END OF THE CLAUSE THAT FILLS $\Sigma$ .

This guideline is over 75% reliable, but there are numerous exceptions. The most embedded unit is sometimes at the start of the clause. One quite frequent case of this is when a clause fills a thematized Adjunct. Or the most embedded unit may be a group that is embedded in a determiner or a modifier in a nominal group - and this could be located ANYWHERE in the overall sentence. Nonetheless Tip 2c makes a useful starting point.

Note that Strategy Tip 2 INVOLVES ALL CLASSES OF UNIT, and not just clauses - i.e. it is about groups and clusters too. More often than not, the RIGHTMOST UNIT in a clause is a **group**. In fact, it is quite often a thematized Adjunct that consists of a **prepositional group** with a **nominal group** at its cv, and so requires TWO LAYERS OF ANALYSIS. And that nominal group may itself contain embedded groups, e.g. a **quality group** at m or a **prepositional group** at q. The fact is that all groups (and the genitive cluster) have the potential to have their elements filled by other groups (and in some cases clauses). So before you start your detailed work on the most embedded group, you will normally need to inspect carefully the rival claimants for the status of being the most embedded unit, possibly sketching in the main relationships lightly before deciding. But, with practice, it will usually be quite easy to decide.

To summarize: apart from the case where a clause fills a thematized Adjunct - and a few others - you should expect that your diagram for a complex sentence has rather more tall thin triangles ('stalagmites') at the LEFT end and in the MIDDLE, with the majority of the lower triangles ('squat pyramids') occurring to the RIGHT.

If you follow the strategy principles and tips given above, your diagram will show clearly and elegantly the functional structure of the sentences that you analyze.<sup>a</sup>

## 2.1 How to locate every clause

### The basic principle

Even though there may be many clauses in a sentence, each **Clause (CI)** has just one **Main Verb (M)**. So, if you can successfully locate every Main Verb, you will have located the key element of every Clause. You therefore know, right from the start, HOW MANY clauses there are in the sentence.

The Main Verb expresses the **Process** - or, quite often, PART of the Process. It is best to identify ALL the words that contribute to the expression of the Process at the same time, and the two steps of the following procedure will help you to do this. And, since the Process and its associated **Participant Roles (PRs)** are so tightly bound up with each other, you will AT THE SAME TIME make your first attempt at analyzing these.

#### 1 The Process and PR Test (99% reliable)

**Find the word (or words) that express the Process**, and at the same time make a first guess (to be confirmed later) at which words express **the Participant Roles that it 'expects'**. The Process is expressed in

EITHER

(a) a **lexical verb** at **M** (around 70-95%, varying with different types of text);

OR

(b) a **lexical verb** at **M** with one or occasionally two **Main Verb Extensions (MEx)** (i.e. a 'phrasal verb'), as in *He put the light out*, *He had a bath*, and (with TWO MExs) *He came back in* and *He put the key (back) in*.

OR

(c) a **lexical verb** at **M** with a **preposition (p)** in a ppp at C that expresses part of the Process (i.e. a 'prepositional verb'), as in *She's looking at him*;

OR

(d) a **lexical verb** at **M** with BOTH a **MEx** AND a **p** (i.e. a 'phrasal-prepositional verb', as in *He won't put up with it* and *He's very fond of her*.

So the main task is to find **M**, which is OBLIGATORY (99.9% reliable), and, if there is one (or more), any **MEx** and/or, if there is one, the **preposition**.

**Test** Assuming that **xxx** stands for the Main Verb, **(yy)** stands for one (or occasionally more) possible Main Verb Extensions, **(zz)** stands for a possible preposition and that **someone/thing/where** stands for each possible PR, try saying:

**In this Process of xxx-ing (yy) (zz), we expect to find  
 someone or something  
 xxx-ing (yy) (zz)  
 (someone or something)  
 ((to or from) someone or something or somewhere).**

(The last line says that the possible second or third PR is sometimes preceded by *to* or *from*.)

***If you think you have a possible Main Verb Extension, go to Step 2. Otherwise go to Step 3, on ‘Starting drawing the diagram’.***

**Problems to watch out for**

- 1 Do not make the mistake of assuming that if an element is ‘important in the message’ it is a PR. All elements are potentially important. A PR is an element that is EXPECTED by the Process, i.e. by **M**.
- 2 Look out for words that have the form of a typical **M** but which are in fact adjectives, i.e. the **apex** of a **quality group**, e.g. *frightened* in *He’s a very worried man* and *interesting* in *That’s rather interesting*. Test for an adjective by placing *very* before the word (99% reliable). See Chapter 9 for the grammar of adjectives.
- 3 Sometimes an event is expressed as a nominal group rather than as a clause - i.e. as a **nominalization** - e.g. *her abrupt opening of the window*. In this example the word *opening* is the head of a nominal group that expresses a nominalization, and NOT the Main Verb of a clause. You can establish this by inspecting the words that precede it, here *her* and *abrupt*, which are clearly a deictic determiner and a modifier. See Chapter 17 for the full treatment of nominalizations.
- 4 Some verb forms may co-occur with TWO OR MORE patterns of PRs, e.g. (a) *open* in *he opened the door* (2 PRs) and *the door opened* (1 PR); and (b) *make* in *he has made a sand castle* (2 PRs) and *Racial prejudice makes him angry* (3 PRs).
- 5 As we have seen, *somewhere* is used in the test for a PR. But occasionally *some time* is also needed, e.g. in testing *The age of the hippies was in the 1960s*. But note that *somewhere* and *some time* can also replace Adjuncts (expressing ‘Place’ and ‘Time Position’), so you should apply the C or A test in such cases.
- 6 When the item *it* occurs at S, it may be EITHER an ‘empty Subject’ expounded by *it*, OR it may be a normal referring expression. To test which it is, try re-expressing the clause, replacing *it* by *what*. Does it still make sense? If so, it is a PR. Example: *It’s here* can be re-expressed as *What’s here?*, but *It’s raining* cannot be re-expressed as *What’s raining?*
- 7 Occasionally there may be two or even three MExs (if one is *back*), as in *He made his way back out into the garden*.
- 8 Remember that a MEx may be filled by a nominal or other group, as with the underlined portions of *He made his way into the garden* (ngp), *He is taking a shower* (ngp), *She fell fast asleep* (qlgp), and *He has fallen in love with Italy* (pgp). It may occasionally be filled by a clause in order to introduce a Main Verb, as in *She’s gone shopping for a new pair of shoes*.
- 9 In *It’s sunny*, the word *sunny* is treated as a MEx, so the Process is one of ‘being sunny’.

**2 Test whether the possible Main Verb Extension (MEx) really is one.**

The following test works for most MExs, i.e. for the ONE-WORD MExs listed below in the **MEx Word Form Test**. It also for units that expand these items, such as *far away* and *right out*. But note the following **guidelines** for dealing with another 5% or so:

- (1) When a possible MEx is filled by a **nominal group** (or any other unit), it is virtually certain to be a MEx, e.g. *a hug* in *She gave me a hug*.

- (2) Although the test doesn't work when both the MEx *back* and another MEx occur IN THE SAME CLAUSE, as in *He went back out (into the garden)*, it does work if you TEST EACH MEX ON ITS OWN.

**Use the above guidelines and the MEx Word Form Test below to test the decisions that you reached on the basis of the Process Test in Step 1 above.**

### **The MEx Word Form Test**

Ask: **Is the possible MEx in the following list of frequent MExs?**

**Very frequent:**

*up, down; in, out; on, off; about, (a)round, away, along; over, through; and back* -which can occur with others (as also can *on*)  
and also, with 'movement' Processes, *inside, outside*

**Less frequent:**

*across, apart, aside, ahead; forward, behind, in front; by, together, under*

If **Yes**, there is a probability of over 95% that it is MEx.

This rises to 99.9% if the word is *out, away* or *back* (from the 'very frequent' list) or *apart, aside, ahead, forward, in front* or *together* (from the 'less frequent' list).<sup>5</sup>

If **No**, it may still be MEx, because other items also occasionally occur as MEx, e.g. *stay put, come to, fall asleep, and be / do / get better / well*.

**Example of applying these guidelines:** Consider the Process in *Ivy is in love with Ike* (which is related to, though different in meaning from, the Process in *Ivy loves Ike*). Firstly, we infer from the Process Test that 'being in love with' is a Process, i.e. type (d) of the examples in Step 1 (M + MEx + p). Secondly, the first guideline above allows us to regard the prepositional group *in love* as a MEx (even though it does not pass the **MEx Word Form Test** below). Thirdly, we infer from the Word Form Test (and from the additional tests to which it refers you) that the following word *with* is NOT a MEx - so that it is likely to be a preposition.

***If you have problems in deciding about a possible MEx, consult Section 9 of Chapter 5. There you will find a much fuller set of tests, and many worked examples. These cover the 5% of problem cases not provided for above.***

**Worked example** Let's assume that we are analyzing the following sentence, which reveals a potential problem for Ivy and Ike's relationship.

5. The items which are most likely NOT to be a MEx (i.e. to be a **preposition**) are:

from the 'very frequent' list: *in, inside, outside, on, off, over, about, round, and through,*  
from the 'less frequent' list: *across, behind, under* and above all *by*.

Ivy wishes that they went out more often, but Ike prefers to look at TV .

First, underline the word (or words) which you think expresses the first Process, and then move on to the next Process - and so on, to the end of the sentence. When you have underlined all of the four Processes in this sentence you should have the following:

Ivy wishes that they went out more often, but Ike prefers to look at TV .

In our example there are two Processes that are expressed in multi-word verbs: *went out* and *look at*. The question about each is: 'Is this a phrasal verb, and so M + MEx, or a prepositional verb, and so M + p?'

Let's take 'going out' first. It is a one-role 'social action' Process.<sup>6</sup> If we apply the simple **MEx Word Form Test** for a MEx we find that *out* is 95% likely to be a MEx - and if we consult the full version of the test (Section 9.3 of Chapter 5) we find that, when the possible MEx is *out* and it is not followed by *of*, the probability rises to 99.9%. This is useful because, since this is a one-role phrasal verb that is not a 'movement' Process, we cannot in fact apply any of the additional MEx tests given there.

The second problem concerns *look at*. But *at* does not pass the **MEx Word Form Test** for a MEx, and nor does it pass any of the other tests, i.e. we can't say *He looks TV at.* This shows that *at* is not a MEx, so it must be a preposition.

In case of doubt about a possible MEx, consult Section 9 of Chapter 5.

### 3 Starting drawing the diagram

After applying any MEx tests that are required, pencil in each **M**, and also any **MEx**. Then lightly add **CI** an inch or so above each **M**, and the lines that link it to the **M** and any **MEx**.

Finally, if there is a **p** that also helps to express the Process, pencil it in too - a layer lower than the **M** (and any **MEx**), since it occurs inside a **pgp** at **C**. This is the stage when you get your first visual image of the clauses that you will be trying to relate to each other - this being the big challenge in sentence analysis.

Do all this IN VERY LIGHT PENCIL, because you will almost certainly have to redraw them later. At this preliminary stage, don't worry about getting the height above the text right. See the example below as a rough guide to spacing.

6. Here *went out* is not a one-role Process of 'physical movement', as it would be in *They went out for a few minutes*, and nor is it a two-role Process of 'social action' - or, preferably, 'matching' - as it would be in *Ivy has been going out with Ike for two years* - which is a 'phrasal-prepositional verb'. See the discussion of how to analyze this and other such Processes in Chapter 2 of the *Functional Semantics Handbook*.



*If you have problems in deciding about a possible MEx, consult Section 9 of Chapter 5. There you will find a full set of tests for MExs, complete with worked examples for each major type.*

## 2.2 How to locating the beginning of every clause

### 2.2.1 The overall method

- 1 The **first clause** in a sentence - e.g. as in the worked example - is usually NOT an embedded clause (over 95% reliable). Section 2.2.2 describes the various types of embedded clause - typically ones at A - that are exceptions to this generalization.
- 2 Look for the items which signal that a clause is **embedded** or **co-ordinated** (these being listed in Sections 2.2.2 and 2.2.3). When you find one mark it lightly in pencil, e.g. by drawing a box round it, as in the examples below.
- 3 One slight problem is that several of the most frequent items can function as two or more different elements (e.g. *that*). So for each item you should check that it really is what you first thought BY EXAMINING THE WORDS AROUND IT. If it is **&**, **B** or **I**, label it as such.
- 4 Draw the line between it and the **CI** of which it is an element. This may sometimes give you a diagram in which items containing a *wh*-item, which you will later label as S, C or A, are given boxes, but this is not a problem. These items will be dealt with in Section 3 as part of the internal analysis of each individual **clause**.
- 5 When you add these to your diagram, rub out the existing pencilled analysis, and replace it by one in which the clauses are at roughly the right height above the text, so far as you can judge - e.g. as in the next worked example.
- 6 As you gain experience, you can supplement the guidelines given in this section with what you know about analyzing clauses. It is especially helpful to think about:
  - (a) the number of PRs to expect for a given Process,
  - (b) the probability that the C of a Process will be filled by a clause - and if it is ...
  - (c) what type of embedded clause it is (see below).

In the next three sections we shall look firstly at items (words and morphemes) which help us to identify **embedded** clauses, and then at ones that help with **co-ordinated** clauses. Sometimes clauses are **co-ordinated** at their embedded position, so that they are **BOTH co-ordinated AND embedded**. Thirdly, we shall see how **punctuation** or **intonation** (in a spoken text) contribute to recognizing clause boundaries. (If your text is a spoken text and you do not have intonation analysis skills, you will find that it helps to 'translate' the intonation into punctuation.)

### 2.2.2 Finding the items which show the beginning of an EMBEDDED clause

The following notes list the most frequent types of item.

- 1 **Binders (B) in full clauses at A<sup>7</sup>** Binders that introduce a clause that fills an Adjunct can be grouped by the function of the A. So they introduce clauses that express meanings of:

#### **Time (with many Process types)**

- (a) time position: *when; before; while, as, whilst* (old-fashioned), *after, immediately* (informal), *directly* (informal), *as soon as, once, the moment, now (that); until, till; (ever) since; whenever, every / each time / second / minute, etc.* (B filled by ngp) (*when*), (*the*) *next / last time*, etc. (B filled by ngp) (*when*), *than* (following *no sooner ...*),
- (b) duration: a subset of the previous list, i.e. *when; before; while, as, whilst* (old-fashioned).
- (c) periodic frequency: *whenever, when, as often / frequently as;*

#### **Quasi-experiential logical relationships**

- (d) condition: (*even*) *if / supposing (that), assuming (that), unless, providing / provided (that), on that, in the event that, (just) in case, whether or not, whether* (followed by the co-ordinated 'pro-clause' or not);
- (e) cause: *because, since, as;* and also, less frequently, *in that, inasmuch as,* (e.g. *He has measles, because he sat next to Jane*);
- (f) grounds: *because, since, on the grounds that* (e.g. *He has measles, because he's covered in spots*);
- (g) concession: *although, (even) though, even if, while, whereas, except(ing) that, not that,*
- (h) purpose: (*in order / so as*) *to, so that, in order that, lest* (old-fashioned),

#### **Other Circumstantial Roles (with specific Process types)**

- (i) manner: *as, as if, as though, just / much as, like* (youthful), *the way,*
- (j) respect: *as / so far as* or *where* followed by S + *is concerned,*
- (k) comparison: *as / like* (informal) *as good girl should,*
- (l) exception: *except (that).*
- (m) proportion: *as (he got older), the (older he got)*

Occasionally a Binder is not expounded directly by a word, but is filled by a unit. Examples of a **quantity group at B** include: *soon / immediately after* and *just / a few minutes before*. Examples with a nominal group at B include those listed above such as *every time, etc, the next / last time, etc.* But in *every time, year, etc when* and *the next / last time, etc when*, the ngp fill the ad of the qtgp; see Section 7.

A few of these Binders, such as *after, before, until, till* and *since*, also occur in the same sense as prepositions. (For the pgp see Section 5.)

- 2 **Binders (B) in partial clauses at A<sup>b</sup>** Partial clauses at A express a range of meanings that only partly overlaps with meanings of the full clauses. In one

7. Alternative names for Binders are 'subordinators' or 'subordinating conjunctions'.

case where both are available the partial clause is much more frequent, i.e. in Purpose Adjuncts. Many of the Binders that introduce them have the same form as a preposition.

### **Time (with many Process types)**

- (a) time position: *when, before, while, whilst* (old-fashioned), *after, (ever) since*; and also *in* and *on*, e.g. *on / after reading that book*,
- (b) duration: *when, before, while, whilst* (old-fashioned), *after; (ever) since*, e.g. *while reading that book* (NB not *\*during reading it*),

### **Quasi-experiential logical relationships**

- (c) cause: (*what*) *with* (+ S) + M+ing ..., e.g. (*what*) *with (Ike) living at home now, our total housekeeping costs are much less, and without* + M+ing / *having ...* as in *Without meeting / having met him, I can't form an opinion*,
- (d) concession: *although, though, while, whilst* (old-fashioned); *in spite of, despite* + M+ing / *having ...*, e.g. *while feeling pretty satisfied, ...*,
- (e) purpose *in order / so as* (followed by *to* at **I**), e.g. *in order to reach it, ...*,

### **Other Circumstantial Roles (with specific Process types)**

- (f) manner: *as if, as though* + M+ing ..., e.g. *as if liking it* (infrequent),
- (g) method: *by, through, in* (+ S) + M+ing / *having ...*, e.g. *though hitting it*,

Note: 'condition' is not listed above because it does not occur with partial clauses. Note that we analyze examples such as *If working after 6 p.m., please ensure that all lights are switched off before you leave*, as having the words *you are* ellipted.

- 3 **Binders (B) in full clauses at C (and S)**<sup>8</sup> This type of Binder typically introduces a clause that fills a **Complement (C)** - and occasionally a Subject (S). The most frequent by far is *that*, and it expresses EITHER a 'report' of spoken or written text or of thought, as in *I believe / Ivy says that he's gone now*, OR a 'proposition', as in the underlined portions of *That she will sing is possible* and *It is possible that she will sing*. The words *if* and *whether* also clauses at C, typically in reports of polarity seekers. **Tip:** if *if* can be replaced by *whether*, the clause fills C. But if it can be replaced by *supposing*, it fills A. Sometimes the Binder *that* is **covert**, as at the start of the underlined clause in *He said he would be here*.
- 4 **Binders in clauses at q (after fact, etc)** This is a semantically similar use for the Binder *that* (and occasionally *whether*) to the last. Typical examples are the underlined portion of the following: *You are ignoring the fact / possibility / viewpoint / Bob's hunch that he isn't qualified for the job, the question whether he'll be there*.
- 5 **The Binder for in partial clauses at C (and S)** The only type is *for*, and it occurs in a partial situation which has a Subject - i.e. *for* (followed by **S** and *to* at **I**), e.g. *For you to come too would be nice*, and *It would be nice for you to come too*.

8. This type of Binder is also called a 'subordinator' or 'subordinating conjunction', and in some types of 'generative' grammar it is also called a 'complementizer'.

- 6 **Binders (B) in clauses at f at qtf.** This type of clause occurs inside the structure of quality groups (qlgps) and quantity groups (qtgps), and they are the same for both. Here B introduces a clause that fills a **finisher (f)** in a qlgp (or a **quantity group finisher (qtf)** in a qtgp. These Bs are *than, as, and that*, and they co-occur with certain earlier items - i.e. *more / less .... than, as .... as, too .... for, so .... that*. In a qlgp the ‘earlier item’ is usually a **temperer (dt)** - but if it is *so* it is an **emphasizing temperer (et)**. In a qtgp it can be either the **adjustor (ad)** or the **amount (am)**. Examples in qlgps are: *more/less quickly than Ivy had moved, as quickly as you can, so quickly that I missed it, too quickly for me to catch it*. Examples in qtgps are: *Ike has eaten more (food) than Ivy has, Ike loves Ivy so much that it hurts*.
- 7 **wh-items in clauses at C (and very occasionally S)** Frequent items are: *who, what, which, when, where, how, how many, what sort*, etc. Occasionally some of these items are preceded by a preposition, as in *with who(m), at what time*, etc. These *wh*-items regularly introduce **reports** of spoken and written texts or of thought at **C**, as in *She knows who he is*. They also occur at **S** and **C** in cases such as *What you see is what you get*, etc, and here the *wh*-items can be followed by *-ever*, as in *whoever, whatever, however, wherever* and *whenever*. In the case of enhanced theme constructions with *it* as **S**, the *wh*-items in the embedded clause are as in the next section - e.g. *It was her money that / which they took*.
- 8 **wh-items in clauses at q (‘relative pronouns’)** Frequent items are: *that, who, which, when*, etc. Occasionally some are preceded by a preposition, as in *with who(m), at which time*, etc. These typically introduce a clause as a **qualifier (q)** in a nominal group - and occasionally a co-ordinated clause, as in *We visited York yesterday, which was lovely*. Note (a) the large overlap with the items in Note 4 (the main difference being the addition here of *that*), and (b) that *that* is frequently **covert**, with the result that in such cases there is no item that expounds the ‘relating out’ element. (See Section 4 below for q.)
- 9 **to as I, preceding M or occasionally X** This is only a marker of a bound clause IF THERE IS NO X TO THE LEFT OF THE I. This type of clause occurs:
- most frequently as a **Complement (C)**, as in *He wants to see her*,
  - often as an **Adjunct (A)**, as in *you need new glasses to see clearly*,
  - occasionally as a **Subject (S)**, as in *To have spoken to Gladstone is a great privilege*,
  - occasionally as a **scope (s)**, as in *difficult to beat very often*,
  - occasionally as a **finisher (f)**, as in *too short to reach it*,
  - occasionally as a **quantity group finisher (qtf)**, as in *too many to finish*, or
  - occasionally as a **qualifier (q)**, as in *his wish to see her again*.

Note that:

- (a) The Infinitive Element (I) is almost always expounded by the word *to*. Very rarely it is *of*: Compare *he can read it, he is able to read it, and he is capable of reading it*, as discussed in Chapter 14.
- (b) There may be more than one I in a clause, as in the underlined clause at **S** in

To have to stop now would be a shame.

- (c) Sometimes the **I** is preceded by either a Subject or the Binder *for* and a Subject, as in the underlined clauses in *I want her to see them* and *For her to see clearly again would be wonderful*. In such cases, of course, the **I** is not at the beginning of the clause, but it is near it.

10 **M or occasionally X ending in -ing** - but only if there is no X to the left.

This type of clause occurs:

- most frequently as a **Complement (C)**, as in *I like seeing her*,
- quite often as an **Adjunct (A)** expressing ‘concurrent state’, as in *Still feeling quite strong, we made straight for the summit*,
- quite often as an **Adjunct (A)** expressing ‘subsequent state’, as in *Having swallowed some glucose, we made for the summit*,
- occasionally as a **Subject (S)**, as in *Speaking to Gladstone is a great privilege*.

Note that the I is quite often preceded by a Subject, as in the underlined clause in *I saw her reading it yesterday*. In such cases, of course, the *-ing* form is not quite at the beginning of the clause. And there can also be a preceding Adjunct, as in *Still feeling quite strong, ...*

11 **M ending in -ed, -en, etc.** - but only if there is no X to the left. This type of clause occurs:

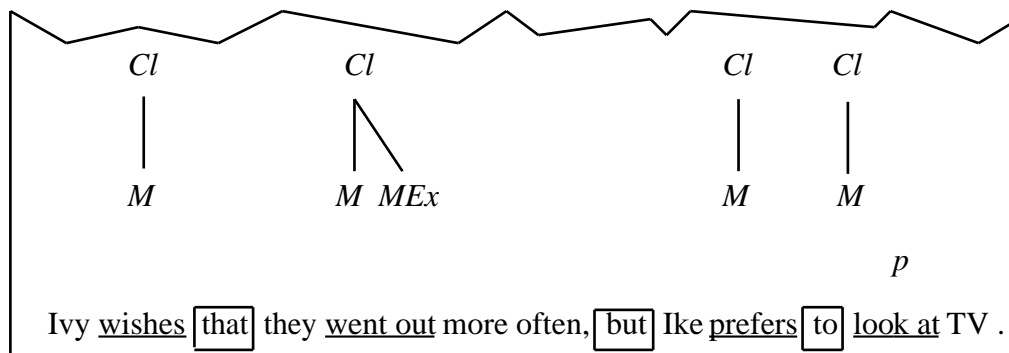
- most frequently as an **Adjunct (A)** expressing ‘concurrent state’, as in *Battered by the storm, we made for home*.
- occasionally as a **Complement (C)**, if preceded by a Subject, as in *He prefers his toast buttered*, where *to be* is ellipped, i.e. the full form is *He prefers his toast to be buttered*. (Compare *He prefers his toast warm*, where *to be* is ellipped, i.e. the full form is *He prefers his toast to be warm*. But in this case the item *be* in the full form is the M.)

**Problems to watch out for:**

- 1 The word *to* may be either a **preposition (p)** or an **Infinitive Element (I)**. But in practice you are unlikely to confuse these, because (a) *to* as p is almost always followed by a ngp, and (b) *to* as I is always followed by a verb (either a lexical verb or an auxiliary verb) - very occasionally with an intervening Adjunct, as in *to boldly go ...*.
- 2 The most frequent ambiguous item of all is *that*. It is usually B, but it can also be either h or dd in a ngp at S, C or cv. When it is h in a ngp, the ngp can be either the ‘relating out’ element in a clause at q, which is the most frequent type, or an ordinary ngp. When the word *that* occurs in EITHER of its two most frequent uses (i.e. as a Binder or a relative pronoun, for which see Section 2.2), it is PRONOUNCED IN A WEAK FORM, sounding like the word *the* followed by a ‘t’. In both of these cases it comes at (or next to) the start of a clause - and so helps to identify the beginning of the clause. However, when the word *that* occurs as a dd or h in a ngp, as in *Look at that!* and *Look at that cat!*, it is typically pronounced strongly, and *that* rhymes with *cat*. So, if you pronounce the words, it is easy to tell whether or not it is a Binder or relating element, and so an indicator of the start of the clause.
- 3 The word *when* may introduce EITHER a clause at A (when it is B), OR a clause at C, q or occasionally S, when it is a PR (so either S or C). However, if you apply the PR tests to be given in Section 3 carefully, you will have no problems.
- 4 Similarly, the word *if* may introduce a clause as A or C, but the PR test shows which each case is.

- 5 Some of the other words listed above (e.g. *since* and, less often, *as*) can be EITHER a Binder OR a preposition. Some of these Binders appear under more than one heading above because the clauses that they introduce serve more than one function.

**Worked example** By this stage you should have identified all the items that show the beginning of a clause. They are marked here with boxes:



We have now reached the point where you will probably have to erase some of your light pencil work, and to replace it by an analysis that reflects the new information about which clauses are **embedded**.

In the next sub-section we will note the role of **Linkers** in marking the relationship of **co-ordination** between clauses. But since co-ordination is usually a relatively simple matter we are probably now ready to replace the above informal analysis by one that is a first serious attempt to see the overall picture. The aim is to PLACE THE LAYERS OF STRUCTURE AT ABOUT RIGHT HEIGHT ABOVE THE WORDS, as shown below. (You may still have to change it later, e.g. when you discover unexpected layers of structure within a group - which is why you should always work in pencil.)

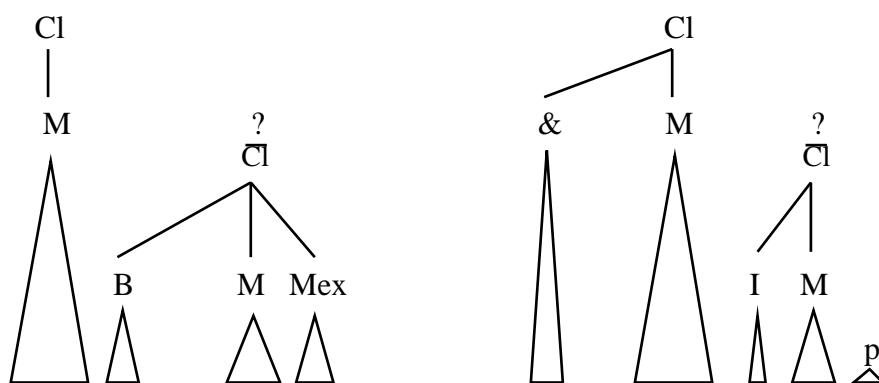
You are now ready to add any **B** or **I** that is present, linking each to the clause of which it is an element. Remember that an *-ing* form can also be a sign that a clause is embedded. And, anticipating the next section on co-ordination, you may wish to add any simple Linkers (**L**) too.

Finally, you should sketch in lightly the triangles showing **exponence**. These come above items that have no internal structure (or units whose internal structure you have decided not analyze).

**Worked example** Because of what precedes and follows it, we can identify the word *that* as a **Binder (B)** rather than any of the other elements that it may be - and the word *to* as an **Infinitive element (I)** - rather than a preposition. In this case, it is not too hard to anticipate the next section and to identify the word *but* as a **Linker (L)**, and then to go on to see that, since we have already identified two **embedded** clauses (*that they went out more often* and *to look at TV*), the two clauses that *but* links must be those beginning with *Ivy wishes ...* and *Ike prefers ...*

If we put all this information together, we are likely to arrive at the more structured representation of our example that is shown below. (The two ‘?’s’

mean that we don't know yet what function these two clauses serve in the unit next above them).



Ivy wishes that they went out more often , but Ike prefers to look at TV.

We turn next to the details of how clauses may be related to each other by **co-ordination**.

### 2.2.3 Finding the items which show that a clause is CO-ORDINATED

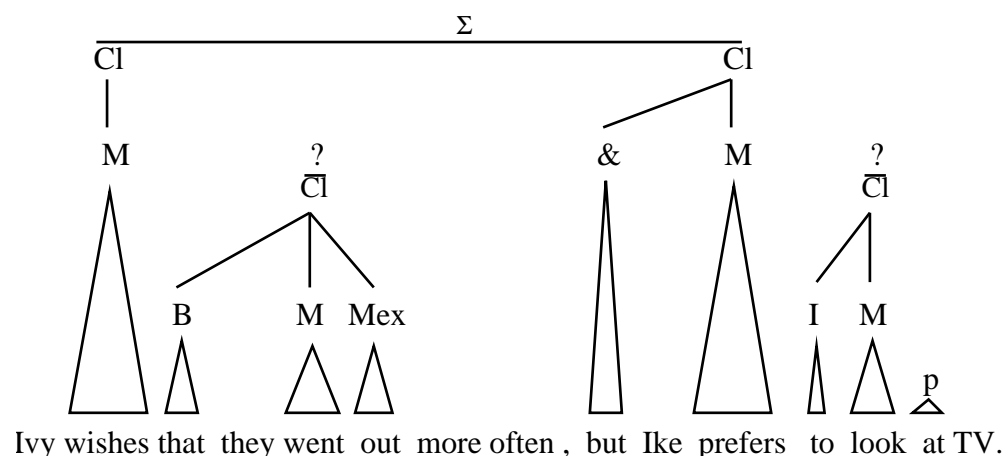
- 1 A **Linker (&)** is ALMOST ALWAYS FIRST in the clause that it links.<sup>c</sup> The most frequent Linkers are: *and*, *or*, *but*, *so*, and *then*, together with the two two-word Linkers *and so*, and *and then*. But there are also *yet*, *and yet*, *for*, *so that* (in its resultative sense) and *nor* (all formal). Note also two items that typically function as Binders but which also sometimes function as Linkers: *if* and *because*. The word *if* can be used as an **anticipatory Linker** that is followed by *then*, as in *If Ivy is there then Ike is bound to be there too*. (Note that here the clause *If Ivy is there* cannot occur after *then Ike is bound to be there too*, as it would be able to if it was an embedded Adjunct.) The other such item is *because*, when it introduces a clause that expresses the 'grounds' for believing something - e.g. as in *She's got measles, because she's covered with red spots*. Here *because she's covered with red spots* can only be thematized if we believe that her being covered with red spots is the 'cause' of 'her having measles' - which we do not. Finally the word *the* can function as a Linker (as in *The sooner she gets here the happier we will be*), and it can ONLY occur when there is also an anticipatory Linker (see the next paragraph).
- 2 Occasionally you may find an **anticipatory Linker**, which is also shown as **&**. These occur in relatively fixed pairings with a **following Linker**, as in *Either Fred lied to Ike or Ike lied to Fred*. Other pairs of Linkers are: *both ... and ...*, *either ... or ...*, *neither ... nor ...*, *not only ... but also ...* (Such pairs of linkers are in fact used to link groups more frequently than clauses - especially nominal groups - see Note 13 of Section 4.) Other pairs of anticipatory Linker + Linker found in clauses are *if ... then ...* (as mentioned above), *no sooner ... than* (formal) / *when* (informal)..., *barely / hardly / scarcely ... when ...* and *the ... the ...* (as in *The sooner she gets here the happier we will be*).
- 3 There is a special type of 'additive' co-ordination in which the second of two

co-ordinated clauses has the formal characteristics of a relative clause. Compare *Yesterday I discussed the problem with my dad, who was quite helpful* and *Yesterday I discussed the problem with my dad, which was quite helpful*. In the second example *which was quite helpful* does not tell us more about the Performer's father (as it would if it was a genuine 'relative clause', as *who was quite helpful* is); instead the sentence as a whole is semantically very close to *Yesterday I discussed the problem with my dad, and it was quite helpful*. For obvious reasons, this type of 'additive' co-ordination is termed 'pseudo-relative'. In such cases the two clauses are shown as co-ordinated in the usual way, and the item *which* is simply the head of a ncp that fills the Subject of the second of the two. The test is: 'Can *which* be replaced by the words *and it*?'

- 4 When there is an occurrence of two or more co-ordinated clauses, those units typically fill a **Sentence** ( $\Sigma$ ). (' $\Sigma$ ' is the Greek letter 'sigma', which is equivalent to 'S' and so is often used in linguistics to represent 'sentence'.)
- 5 Summary: Co-ordinated clauses can therefore fill:
  - 1 a sentence ( $\Sigma$ ),
  - 2 an element of clause structure (C, A or occasionally S).
  - 3 an element of group structure (usually q, but occasionally f, qtf, etc.).

**Problem to watch out for:** Clauses can be co-ordinated at every element that they fill - and not just when they fill a sentence ( $\Sigma$ ). You must therefore be ready for clauses that begin with **BOTH A Linker AND A Binder**, e.g. *He's leaving now, because he's tired and because he has met all the people he wants to meet*. As this example illustrates, **&** always precedes **B**.

If we now apply these additional points of analysis to the worked diagram, it should look something like this:



#### 2.2.4 Finding the punctuation which shows that a clause is CO-ORDINATED OR EMBEDDED

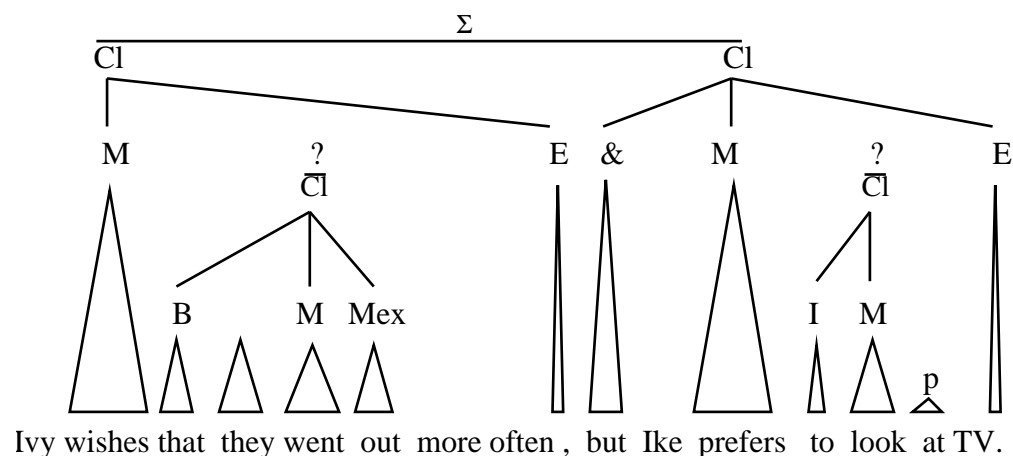
**Punctuation** or **intonation** (in a spoken text) provide useful supportive evidence for judgements based on forms of words, i.e. as made following the criteria set out in the last two sub-sections. Intonation carries a wide variety of important meanings, and you need to take these into account when analyzing the meanings of a spoken text. However, to learn how to analyze both the forms and

the meanings of intonation is not a light task.<sup>d</sup> Luckily, WE CAN EXPRESS MOST OF THE ASPECTS OF INTONATION THAT ARE NEEDED FOR A FUNCTIONAL ANALYSIS BY USING THE RESOURCES OF PUNCTUATION - by the use of dashes, for example, as well as commas. So, if you are analyzing spoken text - and if you do not have the skills or the time to add the analysis of the intonation - you should simply 'translate' the intonation into punctuation.

- 1 Embedded clauses that are preceded by another portion of the same clause often have a **Starter (St)** and an **Ender (E)**. These are most often expressed through a preceding and/or a following comma (, .... ,) or dash (- .... -), e.g. the two commas in *His brother, who lives in Auckland, works in international communication.*
- 2 However, if the Starter or Ender coincides with the first or last element of a HIGHER unit in the syntax diagram, the elements of that higher clause typically take precedence - with the result that the Starter or Ender of the embedded clause may be missing. An especially frequent type is when the Ender of an embedded clause coincides with the ender of a higher clause - e.g. at the end of a sentence.
- 3 A pair of brackets, i.e. ( ..... ), also signal embedding. Both members of the pair must be present (so in this case the element of a higher clause does NOT suppress a closing bracket in an embedded clause). (The preceding sentence is in fact an example of this. And in a sentence such as the present one, TWO Enders are required, one for the full stop and one for the closing bracket.)
- 4 Because the most frequent type of Starter is a comma, and because a comma is written without a space between it and the preceding word, it tempting to treat all Starters as if they were Enders of the preceding portion of text. The first reason for NOT doing this is that it is clear that the Starter is an element of the embedded clause, BECAUSE IT IS ONLY INTRODUCED WHEN THE EMBEDDED CLAUSE IS GIVEN A SEPARATE INFORMATION UNIT. In other words, a comma, dash or bracket before an embedded clause does not 'end' a unit - rather, IT SIGNALS AN INTERRUPTION OF THAT INFORMATION UNIT BY A DIFFERENT INFORMATION UNIT. Thus the comma, signifying the start of the interrupting unit, always occurs just where you would expect it, i.e. at the start of that unit (even though it is written, by convention, as if it was part of the previous word). The second reason why we need a Starter is to account for the bracket at the start of a sentence, as in the two examples in Note 3 above.<sup>e</sup>
- 5 So far we have been considering **embedded** clauses. But punctuation may also indicate a boundary between **co-ordinated** clauses, through the presence of an **Ender** in the non-final clause. It may be a comma (, ), a semi-colon (;) or occasionally a colon (:). The comma - and occasionally the semi-colon, - may also co-occur either with a following Linker. This happens most typically when it is the last but one in a set of THREE OR MORE co-ordinated clauses, as in *I cooked myself some supper, I ate it, I washed up, and then I relaxed for an hour in front of the television.* It occurs most often with co-ordinated clauses linked by *and, or, but, so, then, and so, and and then.*
- 6 In a very similar way, quotation marks (" ....") signal the beginning and end of a **text** - typically, one that fills a Complement. The beginning and the end of a

text both normally (but not inevitably) coincide with the beginning and end of a sentence, and so of a clause. Because of this we can use quotation marks as a way to corroborate judgements about clause boundaries.

The final stage of our worked example (prior to the clause analysis) is therefore:



**Problem to watch out for:** The main problem is that the same set of punctuation items that signal the boundaries of embedded and co-ordinated clauses are also used to signal the boundaries of groups. This is why you should base your judgements **FIRST** on the word forms, and then use the punctuation as supporting evidence.

We shall complete the clause analysis of the example in the next few sections.

### 2.3 Pause: seeing more of the overall picture

At this point it pays to pause in order to (a) look at what you have accomplished so far, and (b) prepare for the detailed analysis.

- 1 Identify the **highest clause or clauses** in the structure. This is usually easy, because:
  - (a) The clause associated with the **FIRST Main Verb** of a sentence is usually the highest clause (the most frequent exception by far being when there is a thematized Adjunct that is filled by a clause), and
  - (b) such clauses have **NONE OF THE MARKERS OF EMBEDDED CLAUSES** (as listed in 2.2 above).
- 2 You should already have worked out which clauses are **co-ordinated** with which, especially if there are two or more highest clauses - as in the worked example. **IF THERE ARE SOME LOWER CO-ORDINATED CLAUSES THAT YOU HAVEN'T SHOWN AS CO-ORDINATED, ADD THE HORIZONTAL LINE SHOWING CO-ORDINATION NOW.**
- 3 Now comes the most important bit. On the basis of the information gained so far (e.g. as in the worked example), try to form an **overall picture** of how each of the **embedded clauses** (or strings of co-ordinated embedded clauses) relates to **THE CLAUSE (OR GROUP) ABOVE**. At almost every point in sentence analysis the key question to ask is:

### **What function does this clause serve in the unit next above?**

Often a clause is embedded at C or A. But if a clause fills an element of a **group**, you should also look above the group for the **CLAUSE IN WHICH THAT GROUP** (or group within a group) **IS EMBEDDED**. **If you think you can see what element of the unit above it the clause fills (e.g. q in a ngp) write it in lightly in pencil.** You will have a chance to confirm your guess when you make your detailed analysis.

- 4 At this stage you are simply making a **FIRST ESTIMATE** of what element each clause fills. If it fills an element of a **group**, you should look above that group till you find the **clause** in which that group functions - or in which the group above that group functions, etc. **ULTIMATELY YOU ARE VIRTUALLY CERTAIN TO REACH ANOTHER CLAUSE**, because the topmost unit is **practically always a clause**. As you become more experienced at clause analysis you will come to be able to work out, **AT THE SAME TIME AS YOU ARE LOCATING THE EMBEDDED CLAUSES**, the specific element (and so the class of unit) which each embedded clause fills.
- 5 Sometimes you won't be able to see the overall picture at this stage. If this happens, simply move on to the detailed analysis - but keep working very lightly in pencil.
- 6 Now you are as ready as you can make yourself to start the detailed analysis.

## **2.4 Making a detailed analysis: overview**

The next step is to analyze **EACH UNIT IN TURN**, using the procedures outlined for each unit in the rest of these guidelines. Again, do it **IN LIGHT PENCIL** until you are sure that you have got the layers of structure right. And remember Strategy Tip 2, and **START YOUR DETAILED ANALYSIS WITH THE MOST EMBEDDED UNIT** (which is often the **RIGHTMOST** unit). This help to ensure that the **LOWEST** units in the syntactic structure come **LOWEST** on the page. When you have analyzed the most embedded unit, you can relate the layers of structure in other units to it, and so produce a neater diagram.

So, generalising from the key advice given in Section 2.3 about clauses, we can say that, **whenever you have completed the analysis of ANY unit, the key question to ask is:**

**What function does this unit serve in the unit next above?**

## **3 Procedure for each clause (one at a time)**

Most of the new things that we have learnt about the clause since *Guidelines 3* have been covered in the preceding sections. Here we include the essential points from *Guidelines 3*, to provide a complete set of guidelines up to this point. The order of the steps is important.

### ***The procedure for clause analysis - brief version***

- 1 Preparation: make the clause an 'information giver'  
and replace *wh*-items by *someone*, etc.

- |    |  |                 |
|----|--|-----------------|
| 2  | Find the Process, and so the Main Verb<br>or the Main Verb and Main Verb Extension.  | M<br>M + MEx    |
| 3  | Working leftwards, find any Auxiliary Verbs.   | X, X            |
| 4  | Working leftwards, find the Infinitive Element, if there is one.   | I               |
| 5  | Working leftwards, find the Negator, if there is one.  | N               |
| 6  | Find the Operator - if there is one. (It helps to show the MOOD).  | O               |
| 7  | Find the Subject (which also helps to show the MOOD).<br><b>S</b> may be a <i>wh</i> -item. If <b>S</b> is covert, place it in brackets.   | S<br>(S)        |
| 8  | Find the Let element, if there is one.   | L               |
| 9  | <b>S</b> is probably a PR. Confirm any Complements (0, 1 or 2).<br>If a <b>C</b> is a <i>wh</i> -item, it comes early in the clause.<br>If a <b>C</b> is covert, place it in brackets. | C, C<br><br>(C) |
| 10 | Find any Adjuncts. If an <b>A</b> is a <i>wh</i> -item it comes early in the clause.   | A, A ...        |
| 11 | Find the Ender.  | E               |

### ***The procedure for clause analysis - full version***

**1 Preparation** Most clauses are **positive information-givers with no thematized elements** (or are **embedded** clauses with a similar structure). If the clause to be analyzed does NOT have this structure, you should first re-express it so that it has, either in your mind or on a spare piece of paper. This is the **simplest full clause-type**. Most of the tests used below depend on your having first ‘translated’ your original clause in this way. To do this:

- (a) Give the clause the MOOD structure of **S O** or **S M** or **S O/M**.
- (b) Make a ‘proposal for action’ into an ‘information giver’ that refers to future time, using *you/we/I will*.
- (c) Replace any elements containing **wh-items** by *something, someone, somewhere*, etc. and place it in its typical position.
- (d) Remove any markers of negation, i.e. *not, n’t., never*, etc.
- (e) Put any **thematized** elements in their typical positions.
- (f) Cut out Linkers, Binders and any ‘evaluative’ Adjuncts (*luckily, maybe, I think*)
- (g) Expand any **partial** clauses (‘non-finite’ clauses in traditional grammar) into **full** clauses. If the clause has no clear time reference position, set it in the **past**.

### **Examples**

- |                |   |                                     |
|----------------|---|-------------------------------------|
| of (a) and (b) | Re-express <i>Sit down</i>                | as <i>You will sit down</i> .       |
| (a) and (c)    | Re-express <i>Where will she live?</i>    | as <i>She will live somewhere</i> . |
| (d)            | Re-express <i>She isn’t happy</i>         | as <i>She is happy</i> .            |
| (e)            | Re-express <i>That film I didn’t like</i> | as <i>I didn’t like that film</i> . |
| (e)            | Re-express <i>Yesterday I saw Ivy</i>     | as <i>I saw Ivy yesterday</i> .     |
| (e)            | Re-express <i>Off they went to York</i>   | as <i>They went off to York</i> .   |
| (f)            | Re-express <i>and Ivy saw him</i>         | as <i>Ivy saw him</i> ,             |
| (f)            | Re-express <i>if Ivy saw him</i>          | as <i>Ivy saw him</i> .             |
| (g)            | Re-express <i>to visit Japan</i>          | as <i>They visited Japan</i> .      |

**2 Check and confirm the word or words that express the Process,**

and at the same time check **the Participant Roles (PRs) that it ‘expects’**.

- (a) You will almost certainly have identified the **Main Verb (M)** already, when applying the **Process and PR Test** in Section 2.1 (‘How to locate every clause’). The **M** expresses the Process - or a **part** of the Process (if there is also one or more Main Verb Extensions and/or an associated preposition).
- (b) Although **M** is virtually obligatory it may, very rarely, be absent (either **covert** or **ellipted**) as in *Ike likes Ivy, and Ivy Ike, and Although completely blind, .....* But in one case there is never an **M**; this occurs when a clause fills a Tag Adjunct, as in the underlined parts of *He’s left, hasn’t he?* and *Let’s start now, shall we?* The Main verb is irrelevant because the meaning of the Tag Adjunct is purely ‘interpersonal’.

So apply **the Process and PR Test** from Section 2.1 QQQXXX **But this is it!** again, as a check. Here it is:

### 2.1 The Process and PR Test (99% reliable)

Assuming that **xxx** stands for the Main Verb, **(yy)** for a possible Main Verb Extension, **(zz)** for a possible preposition, and **(...)** for any optional elements, try saying:

**In this Process of xxx-ing (yy) (zz), we expect to find  
someone or something  
xxx-ing (yy) (zz)  
(someone or something)  
(to or from) someone or something or somewhere).**

(The last line says that the possible second or third PR is sometimes preceded by *to* or *from*.)

Each of **someone** or **something** or **somewhere** is likely to be a PR. Remember that it is the **Process** of **xxx-ing (yy) (zz)** that expects the PRs - NOT the situation as a whole.

If the result of the test corresponds to the ‘test’ clause (even though some PRs may not be overtly expressed in it the ‘test’ clause) the item corresponding to **xxx** is **M**, and there is a STRONG POSSIBILITY that the item corresponding to **yy** (if there is one) is a **MEx**. So you can now lightly pencil in:

**S?** and **C?** above the elements that you think are PRs in the Process.

#### Worked example:

In *Ivy wishes that they went out more often*, it makes sense to say ‘In this Process of ‘wishing’, we expect to find someone wishing something’, i.e. the Process of ‘wishing’ expects a ‘wisher’ and ‘something that is wished’. So *Ivy* and *that they went out more often* are the two PRs, *Ivy* probably being **S** and *that they went out more often* probably being a **C**.

Similarly, in *Ike prefers to look at TV*, we can reasonably say: ‘In this Process

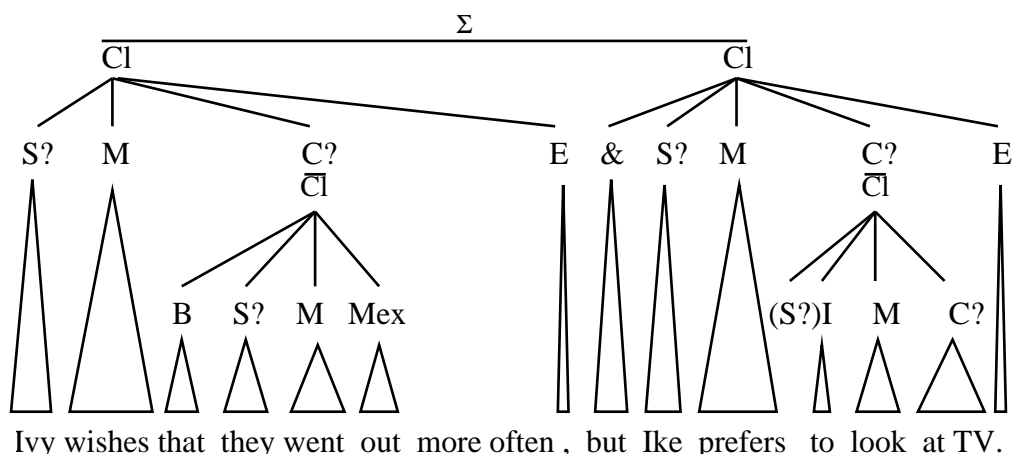
of ‘preferring’ we expect to find ‘someone preferring something.’ So *Ike* is probably **S**, and *to look at TV* is probably **C**.

And in *they went out more often*, we can say: ‘In this Process of ‘going out’ we expect to find ‘someone going out’. (Alternatively, it could be ‘someone going out somewhere’ - but it is not necessarily this in the case of a ‘movement’ Process of the *go off* type; see MEx Test 3, in Section 9.7 of Chapter 5.)

Finally, we can say ‘In this Process of ‘looking at’ we expect to find someone looking at something’. The ‘someone’ is a covert PR, (i.e. ‘Ike’) and the ‘something’ is ‘TV’.

***But note that, for each clause, you will need to confirm which of the PRs is ‘S’ and which is ‘C’ in later tests - remembering that occasionally NONE of the PRs is ‘S’.***

The result of checking and confirming all of these PRs is that the analysis is now as follows:



If in doubt, go to 2.2.

## 2.2 A supplementary check

As a check on your analysis, consider the following examples and find the one most like the clause you are analyzing. Then try re-expressing it on the model of the test beneath each. If the result of the test makes sense, the item corresponding to **xxx** in (b) above is **M**, and there is a STRONG POSSIBILITY that the item corresponding to **yy** (if there is one) is a **MEx**, and that the item corresponding to **zz** (if there is one) is a **p**.

**Examples with M only:**

*Ivy sneezed -*

‘This clause is about someone sneezing.’ (1 PR)

*She is a doctor / happy -*

‘This clause is about someone being something.’ (2 PRs)

*She gave Fred the book -*

‘This clause is about someone giving someone something.’ (3 PRs)

*He took the snake out of the box -*

'This clause is about someone taking something from somewhere.' (3 PRs)

**Examples with M + MEx:**

*The milk has gone off -*

'This clause is about something going off.' (1 PR)

*He had a bath -*

'This clause is about someone having a bath.' (1 PR)

*She gave him a big hug -*

'This clause is about someone giving someone a big hug.' (1 PR)

*I've worked the answer out -*

'This clause is about someone working out something.' (2 PRs)

**Example with M + p:**

*She's listening to jazz -*

'This clause is about someone listening to something.' (2 PRs)

**Examples with M + MEx + p:**

*She is still going out with him -*

'This clause is about someone going out with someone.' (2 PRs)

*She fell in love with him -*

'This clause is about someone falling in love with someone.' (2 PRs)

*She's very fond of jazz -*

This clause is about someone being very fond of something.' (2 PRs)

However, in a few cases you may still be unsure whether an element is a **Complement** or an **Adjunct**. If so, use the **C or A Test** in 2.3 below.

***But note that you will need to confirm which of the two PRs is 'S' and which is 'C' in later tests - and that occasionally NONE of the PRs is 'S'.***

### 2.3 Problems to watch out for

**Problems to watch out for**

- 1 Do not make the mistake of assuming that if an element is 'important in the message' it is a PR. All elements are potentially important. A PR is an element that is EXPECTED by the Process, i.e. by M.
- 2 Look out for words that have the form of a typical M but which are in fact adjectives, i.e. the **apex** of a **quality group**, e.g. *frightened* in *He's a very worried man* and *interesting* in *That's rather interesting*. Test for an adjective by placing *very* before the word (99% reliable). See Chapter 9 for the grammar of adjectives.
- 3 Sometimes an event is expressed as a nominal group rather than as a clause - i.e. as a **nominalization** - e.g. *her abrupt opening of the window*. In this example the word *opening* is the head of a nominal group that expresses a nominalization, and NOT the Main Verb of a clause. You can establish this by inspecting the words that precede it, here *her* and *abrupt*, which are clearly a deictic determiner and a modifier. See Chapter 17 for the full treatment of nominalizations.
- 4 Some verb forms may co-occur with TWO OR MORE patterns of PRs, e.g. (a) *open* in *he opened the door* (2 PRs) and *the door opened* (1 PR); and (b) *make* in *he has made a sand castle* (2 PRs) and *Racial prejudice makes him angry* (3 PRs).
- 5 As we have seen, *somewhere* is used in the test for a PR. But occasionally *some time* is also needed, e.g. in testing *The age of the hippies was in the 1960s*. But note that *somewhere* and *some time* can also replace Adjuncts (expressing 'Place' and 'Time Position'), so you should apply the C or A test in such cases.

- 6 When the item *it* occurs at S, it may be EITHER an 'empty Subject' expounded by *it*, OR it may be a normal referring expression. To test which it is, try re-expressing the clause, replacing *it* by *what*. Does it still make sense? If so, it is a PR. Example: *It's here* can be re-expressed as *What's here?*, but *It's raining* cannot be re-expressed as *What's raining?*
- 7 In *It's sunny*, the Process is 'being sunny', and the word *sunny* is treated as a MEx.
- 8 Occasionally there may be two or even three MExs (if one is *back*), as in *He made his way back out into the garden.*
- 9 Remember that a MEx may be filled by a nominal or other group, as with the underlined portions of *He made his way into the garden* (ngp), *He is taking a shower* (ngp), *She fell fast asleep* (qlgp), and *He has fallen in love with Italy* (pgp). It may occasionally be filled by a clause in order to introduce a Main Verb, as in *She's gone shopping for a new pair of shoes.*

***If you have a possible Main Verb Extension (MEx), go to Step 3. Otherwise go to Step 4.***

- 3 Check and confirm (1) any Main Verb Extensions (MEx)** ('phrasal verbs') and **(2) any prepositions (p)** ('prepositional verbs') that are part of the expression of the Process. The two may be present together (i.e. in 'phrasal-prepositional' verbs such as *go out with* and *fall in love with*).

The following simple **MEx Word Form Test** works for most MExs, i.e. for the ONE-WORD MExs listed below.

Ask: **Is the possible MEx in the following list of frequent MExs?**

<p><b>Very frequent:</b>  <i>up, down; in, out; on, off; about, (a)round, away, along; over, through;</i>  <i>and back</i> -which can occur with others (as also can <i>on</i>)  and also, with 'movement' Processes, <i>inside, outside</i></p> <p><b>Less frequent:</b>  <i>across, apart, aside, ahead; forward, behind, in front; by, together, under</i></p>
---

If **Yes**, there is a probability of over 95% that it is a MEx.

This rises to 99.9% if the word is *out, away* or *back* (from the 'very frequent' list) or *apart, aside, ahead, forward, in front* or *together* (from the 'less frequent' list).

If **No**, it may still be a MEx, because other items also occasionally occur as a MEx, e.g. *stay put, come to, fall asleep, be / do / get better / well*, and *be / get sunny / windy*.

**Worked example:** There is no 'possible MEx' in this example.

***If you have problems in deciding about a possible MEx, consult Section 9 of Chapter 5. There you will find a much fuller set of tests, and many worked examples.***

**Problems to watch out for**

- 1 Occasionally there are two MExs, as in *He went back out into the forest.*
- 2 A MEx may be filled by
  - (a) a nominal group (e.g. *He is having a nice bath, She gave the paint a quick stir*),
  - (b) a prepositional group (e.g. *He fell in love with her last year*),

- (c) a quality group (e.g. *She is still pretty keen on him*, and, rarely,
  - (d) a clause (e.g. *He has gone shopping*).
- 3 Typically a MEx follows its M, either immediately or after another element (which is always short). Occasionally it occurs before S as a **marked theme**, as in *Off you go now*.

**Worked example:** Since we have already located the two Ms, the MEx and the p, there is nothing to add to the last diagram.

### QQQ XXX Should the following be placed here (to help sort out PRs) or within the clause?

#### 2.3 The C or A test (99% reliable)

- 1 **Thematize the element to be tested** (i.e. put it first in the test clause),
- 2 **Treat it a separate ‘information unit’** (i.e. separate it by a comma).

If the clause sounds natural with the element first, it is almost certainly an Adjunct. But if it sounds odd it is almost certainly a Complement.

So in *I saw Ike in Paris*, *in Paris* is A, but in *Ike lives in Paris*, *in Paris* is C. (For the full set of tests, see Section 7.3 of Chapter 3.)

*If you think the example you are analyzing has a possible Main Verb Extension, go to Step 3. Otherwise go to Step 4.*

- 3 **Check and confirm any Main Verb Extensions (MEx)** (‘phrasal verbs’) and any **prepositions (p)** that are part of the expression of the Process (‘prepositional verbs’). The two may be present together (i.e. in ‘phrasal-prepositional’ verbs such as *go out with* and *fall in love with*).

- (a) Occasionally there are two MExs, as in *He went back out into the forest*.
- (b) A MEx may be filled by
  - (i) a nominal group (e.g. *He is having a nice bath*, *She gave the paint a quick stir*),
  - (ii) a prepositional group (e.g. *He fell in love with her last year*),
  - (iii) a quality group (e.g. *She is still pretty keen on him*, and, rarely,
  - (iv) a clause (e.g. *He has gone shopping*).
- (c) Typically a MEx follows its M, either immediately or after another element (which is always short). Occasionally it occurs before S as a **marked theme**, as in *Off you go now*.

**Worked example:** Since we have already located the two Ms, the MEx and the p, there is nothing to add to the last diagram.

- 4 **Look to the left of M for any Auxiliary Verbs (X).** These are OPTIONAL. They are ALMOST ALWAYS expounded by:

- (i) forms of *be*: *am, is, are, was, were, being, or been* OR
- (ii) forms of *have*: *have, has, had, or having*

The ONLY AUXILIARIES THAT ARE NOT EXPOUNDED BY FORMS OF *be* AND *have* ARE:

- (iii) *used* and *use* (e.g. *She used to go there* and *Did you use to go there?*),
- (iv) *seem, appear, look, sound* WHEN FOLLOWED BY M (e.g. *She seems to*

- like him*),
- (v) *happen, turn out, prove, tend* WHEN FOLLOWED BY M (e.g. *She happens to like him*),
- (vi) *get* WHEN FOLLOWED BY M (e.g. *He (will have) got beaten in the third set*)

- (a) In principle there may be up to eleven different types of **X** in any one clause (including some that only occur when they introduce Auxiliary Extensions, to which we come next). But in practice there are RARELY MORE THAN TWO Xs in any one clause.
- (b) Most frequently, an X expresses a meaning related to the TIME of the ‘situation’ (95% reliable), but the ‘passive’ X also occurs frequently, expounded by a form of *be* or occasionally *get* (in most texts under 1% of Xs).
- (c) This grammar reflects a trend in Modern English that is not fully provided for in other grammars, in recognizing the regular occurrence of Xs expounded by forms of *be* (and sometimes *have*) WHOSE FULL MEANING DEPENDS ON THE FOLLOWING **XEx**. (An XEx ‘expands’ an X to express the full meaning in the same way that an MEx expands an M.) So you in fact need to look at the same time for BOTH an X AND an XEx, and usually also an I (as in Steps 5 and 6 below).

**Worked example:** None of the items listed above occur to the left of M, so there are no Xs.

**5 If you have located an X, look to the right of it for (1) a possible Auxiliary Extension (XEx) and (2) the Infinitive Element (I) that typically follows.**

- (a) An XEx is most often directly expounded by an **item** and is typically followed by *to* (e.g. *got, going, about, bound, likely, set, reputed, due, required, able, willing*, etc).
- (b) Some XExs are filled by truncated versions of either
- (i) **clauses** (e.g. *widely (A) reputed (M)* in *He is widely reputed to admire the Prime Minister*, and *required (M) by the government (C)* in *We are required by the government to pay our taxes*).
- (ii) **quality groups** (e.g. *She’s absolutely (dt) bound (a) to like him*, *She’s more (dt) likely (a) than I am (f) to like him*).

Note that when there is no internal structure we treat items such as *bound, likely, reputed* and *required* as directly expounding XEx.

- (c) When an XEx occurs it always follows X (though not necessarily immediately; see ‘Problem to watch out for’) - e.g. *You have got to go, I’m going to go, our guest is about to go, He’s likely to go, Ivy is (un)able to go, Ike’s willing to go, etc.*
- (d) There is one X + XEx pair in which the X is always the Operator also - the item *rather*, as in *I would (O/X) rather (XEx) have (M) a cup of tea*.

**Problem to watch out for:** An X may be separated from the following X, XEx or M by one (or occasionally more) Adjuncts (see Step 11), by an Infinitive Element (Step 6) or by a Negator (Step 7). Of course, if X is conflated with O in an information seeker, it is typically separated by S, as described in Step 7 - but this will not be a problem.

**Worked example:** Since there are no Xs, there are no XExs, and so no following I.

**6 Find any Infinitive Element (I)** to the left of any X - if there is one. It is almost always the word *to* - but occasionally *of* or *at* after certain XExs (see Chapter 14) or *from* in a 'partial' clause (see Chapter 11). It will either:

- (a) be predicted by a 'modal' meaning at O, expressed as EITHER (i) *ought* OR (ii) *am, is, are, was, or were*; OR
- (b) be predicted by an X + XEx, as described in 5 above, OR
- (c) occur in a 'partial' ('non-finite') clause, typically at C or A, such as *to see you*.

Sometimes a N or A will intervene between the 'predicting element' and the I.

**Worked example:** We have already identified the I in the second clause.

**7 Find the Negator (N)** - if there is one (under 5% probability). It is always the word *not* - but not every *not* is N. (The N preceding *every* in the last sentence is an ad in a qtgp; see Section 7).

**Reminder:** *n't* is part of O, because it would precede S in a 'polarity seeker'.

**Example:** in *Ivy does not want to go out* the word *not* is N.

**Worked example:** There is no Negator.

**Problem to watch out for:** Despite the fact that the word *never* usually occurs in a position close to the Negator, *never* is an Adjunct, because it tells us 'how usual' the situation is, along with *always, sometimes, and occasionally*, etc., and it can be thematized.

**8 Find the Operator (O)** - if there is one. It is:

EITHER (a) a 'modal verb', i.e.

(i) *can, could, will, would, shall, should, may, might, must, ought*

or (ii) *am, is, are, was, or were* (typically + *to*) - when it is O;

OR (b) *am, is, are, was* or *were* as a Process of 'being' - when it is O/M;

OR (c) *am, is, are, was* or *were* as an Auxiliary - when it is O/X;

OR (d) *have, has* or *had* as an Auxiliary - when it is O/X;

OR (e) *do, does* or *did* - when it is O.

Note that any word at O may have *n't* added to it (except *am*, which requires the Negator *not* in *I am not ...* and is replaced by *are* in *aren't I ...?*).

Very occasionally, in an old-fashioned style, O may sometimes be *need* or *dare* (sometimes + *to*) or *have, has, or had* typically + *to*.

**Examples:**

(a) In *Ivy will / may arrive soon*, the word *will* or *may* is O.

In *She is to tell the truth*, the word *is* is O and *to* is I.

(b) In *She was here*, the word *was* expresses a Process of 'being',

so it is M as well as O - and so is O/M.

(c) In *She is eating an eel* the word *is* is X as well as O - and so is O/X.

(d) In *She has eaten an eel* the word *has* is X as well as O - and so is O/X.

(e) In *Did she enjoy it?* the word *did* is **O**.

**Worked example:** There is no Operator.

**Further examples:**

- (a) In *Ivy will / may arrive soon*, the word *will or may* is **O**.  
In *She is to tell the truth*, the word *is* is **O** and *to* is **I**.
- (b) In *She was here*, the word *was* expresses a Process of 'being',  
so it is **M** as well as **O** - and so is **O/M**.
- (c) In *She has eaten an eel* the word *has* is **X** as well as **O** - and so is **O/X**.  
In *She is eating an eel* the word *is* is **X** as well as **O** - and so is **O/X**.
- (d) In *Did she enjoy it?* the word *did* is **O**.

**Problems to watch out for:**

- 1 Forms of the verb *be* occur as several different elements:
  - (a) very frequently as **M** or **O/M**,
  - (b) very frequently as **X** (and so also as **O/X**),
  - (c) occasionally as **O** (as in *He is to leave now*).
- 2 Forms of the verb *have* occur as several different elements:
  - (a) very frequently as **M** (but not **O/M** in modern English), and
  - (b) very frequently as **X** (and so also as **O/X**),
- 3 Forms of the verb *do* occur as two different elements:
  - (a) frequently as **O** (e.g. *Did* in *Did he do it?*),
  - (b) occasionally as **M** (e.g. *do* in *Did he do it?*).
- 4 Very occasionally, in an old-fashioned style, **O** may sometimes be:
  - (a) *need* or *dare* (sometimes + *to*) or
  - (b) *have*, *has*, or *had* (typically + *to*).

**9 Find the Subject (S).** To do this:

(a) If the clause has no Operator, supply *do*, *does* or *did* to function as **O**, then re-express the clause as a **polarity seeker**, i.e. as seeking the answer *Yes* or *No*.

(b) The Subject is the word or words which, by occurring before or after the Operator, shows whether the clause is an **information giver** or a **polarity seeker**. In other words:

**S O** or **S O/X** or **S O/M** or **S M** means 'information giver'  
(95% reliable) and  
**O S** or **O/X S** or **O/M S** means 'polarity seeker'  
(95% reliable).

(c) In **directives** such as *Sit down* the **S** is **covert**, and it should be shown in rounded brackets as (**S**).

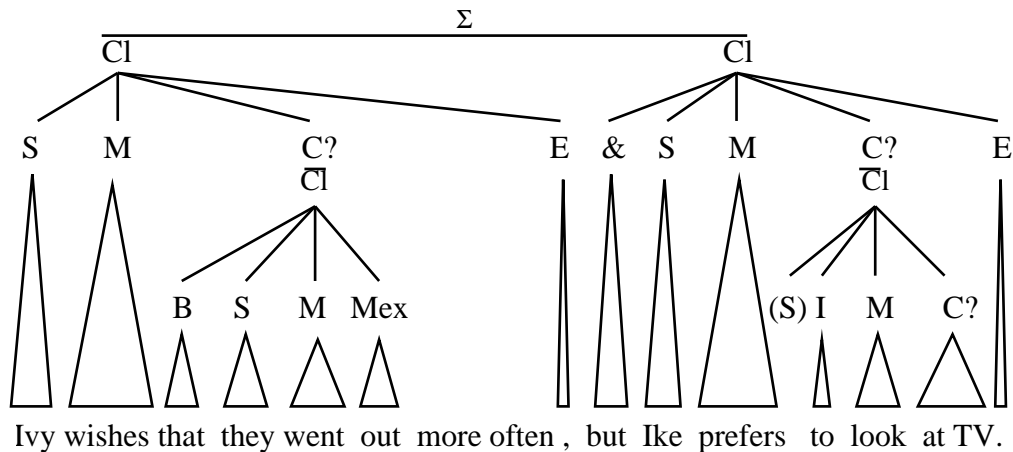
**Problems to watch out for:**

- 1 In most **information seekers** the order is **S O**. But with **new content seekers** where the **S** is 'sought' we already have **S O** (or **S O/M** or **S O/X** or **S M**). So no change is needed.
- 2 In **passive** clauses the **S** is a **PR** that would typically be a **C**.
- 3 'Environmental Processes', such as *It's raining* and *It's sunny*, have **no PRs**. The **S** is NOT a PR, but an 'empty Subject'.
- 4 Similarly, in cases like *It was you who did it*, *It was wonderful to see you again*, *It seems*

to be true and There's a fly in my soup, the underlined S is NOT a PR, but an 'empty Subject' with *it* - or in the last case *there*. (These constructions are introduced in Chapter 23.)

**Example:** Re-express *She is here* as *Is she here?* The change of sequence of the words *is* and *she*, and so of **O** and **S**, shows the change of MOOD from an information giver to a polarity seeker. So *she* is **S**.

**Worked example:** Re-express *Ivy wishes that they went out more often* as *Does Ivy wish that they went out more often?* The fact that *does* comes before *Ivy* shows that *does* is the Operator and *Ivy* is the Subject. Similar re-expression tests will show that, in *they went out more often*, the word *they* is the Subject, and that in *Ike prefers to look at TV*, *Ike* is the Subject. And if we re-express *to look at TV* so that this clause has all of its PRs **overt** (as recommended in the Preparation stage) it becomes *Someone looked at TV*. This demonstrates that there is a covert PR - and so a covert Subject, before the word *to*. (It would actually be present in an example such as *for someone to look at TV*.)



**10 Look to the left of S to find the Let Element (L)** - if there is one. It is always the word *let*, as in *Let [L]'s all [S] read [M] it [C]*.

**11 Find the full configuration of Participant Roles (PRs)**, i.e. those elements that are EXPECTED by the Process at **M** (or **M** and **MEx**) - INCLUDING ANY THAT ARE COVERT.

Since **S** is typically a PR, you have probably already located one of them (99% reliable). Remember that it may be either **covert**, as in *Read this* or an 'empty' Subject, as in *It's raining*.

A PR that is not **S** is typically either a **Complement (C)** or a **completive (cv)** in a prepositional group (as is *Ivy* in *You were seen by Ivy*).<sup>9</sup> Most Processes have two associated PRs (around 80%). But some expect one PR and some expect three (and some environmental Processes expect none), so

9. However, in a nominalization such as *your being seen by Ivy* we will find PRs functioning as elements of a nominal group.

look for 0, 1 or 2 **Cs**.

If a PR contains a **wh-item** (*who, what, which, when, where, how, etc.*) it usually precedes **O**, so being AWAY FROM ITS TYPICAL POSITION. (But in preparing the clause for the tests you should have already replaced it by *something, someone, somewhere, etc.*, so this shouldn't be a problem.)

Very occasionally a **C** that doesn't contain a *wh-item* may occur before **S** as a **marked PR theme**, as in *That I find hard to accept* and *Boring it was not*).

**11.1** A PR may be a **covert PR**. As well as the **covert S** in directives such as *Sit down*, about 80% of 'passive' clauses have a **covert C**, e.g. *He has been caught*, where the 'catcher' is covert. Occasionally a **C** is covert in a non-passive clause, e.g. *Don't touch!* If you are in any doubt about a possible **covert PR**, re-run the **Process and PR test** from Step 2.

**11.2** If you are in any doubt about whether a word or words is a **Complement or Adjunct**, apply the following test:

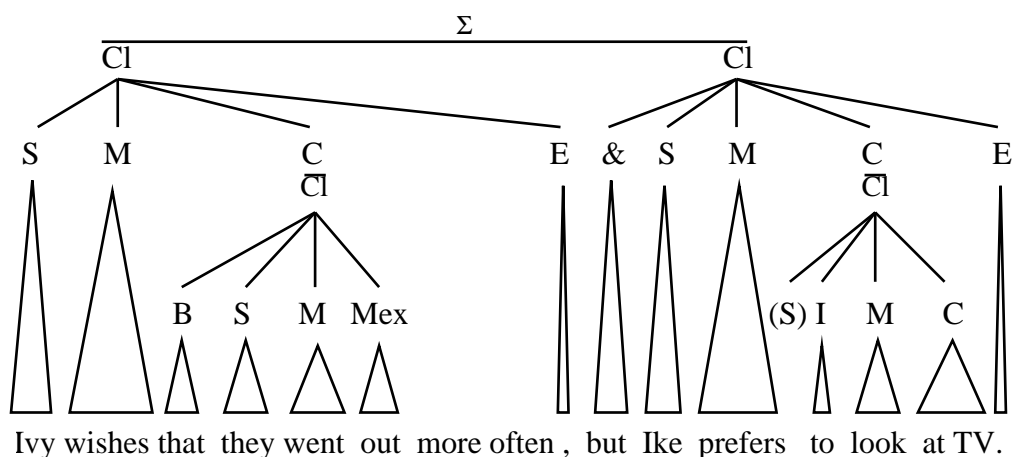
**The C or A test** (99% reliable)

- 1 **Thematize the element to be tested** (i.e. put it first in the test clause),
- 2 **Treat it a separate 'information unit'** (i.e. separate it by a comma).

If the clause sounds natural with the element first, it is almost certainly an Adjunct. But if it sounds odd it is almost certainly a Complement.

So in *I saw Ike in Paris*, *in Paris* is A, but in *Ike lives in Paris*, *in Paris* is C.

Most **Cs** are filled by nominal groups (80%), but **Cs** are also regularly filled by prepositional groups, quality groups and clauses.



**12 Find any Adjuncts (A).** An Adjunct is a clause element that is not expected by the Process - it is NOT optional for the purpose of the Performer of the act, or it would not be included in the message, e.g. *at one o'clock* in *I'll see you at one o'clock*.

- (a) There may be no **As**, one **A**, two **As**, or many **As**.
- (b) Typically, **As** come after **Cs**. But most types can be thematized very

naturally (i.e. to come at or near the start of the clause, as in *yesterday/maybe I went there*. Some types frequently come between **O** (if there is one) and any **X** (and occasionally between **Xs**), e.g. *I have often/unfortunately made a mistake* (S O/X A M C). Occasionally, e.g. when the **C** is a Location or Direction, an **A** comes between **M** and **C**, as in *Ivy remained quietly in her cell*, and *She walked purposefully into the room*.

- (c) Are you unsure about whether a string of words is **one A or two As**? If so, test them by re-expressing the clause (i.e. its test version as a ‘positive information-giver’) version) as follows. Place each possible **A** in turn in a position that separates it from the other possible **A**. Usually you can do this by thematizing one of them. Most **As** can occur in several different places (99% reliable).

- (d) Adjuncts may be any of the following (listing only the more frequent):

*Note: I have given the abbreviation of the type of Adjunct, but in this book we shall not normally mark these distinctions, labelling them all as ‘A’.*

**experiential Adjuncts**, i.e. **Circumstantial Roles** (CRs). These are any experiential roles in a clause that are NOT EXPECTED BY THE PROCESS.

**CRs of time:**

Time position (A/TP): *at / before / during / after lunch, today, yet, already*

Duration (A/Dur): *She stayed there (for) a whole year / from May till October.*

Repetition (A/Rp): *five times, twice, quite a few times, on seven occasions*

Periodic Frequency (A/PF): *five times a day, once a month, every week*

Usuality (A/Usu): *(almost) always, usually, sometimes, hardly ever, never*

**Other CRs that occur with many Process types:**

Place (A/Pl): *in India, in the park, right here, wherever he was*

Accompaniment (A/Acc): *with my parents, without the dog, by herself*

Instrument (A/Ins): *with a crowbar, by means of a crowbar.*

Comparison (A/Comp): *like a good girl, unlike my brother*

Concurrent State (A/CoSt): *(Feeling) proud of his work, he sat down.*

Subsequent State (A/SuSRt): *He went home, (feeling) very much happier*

**CRs that occur with some Process types:**

Manner (A/Ma): *very carefully, in a careful way, in complete silence*

Method (A/Me): *by bus, (by) using a bus, by / through reading it carefully*

Body Part (A/BPt): *He kissed her on the nose. The bomb struck the hospital in the maternity ward*

Client (A/Cli): *Ivy knitted Fred a jersey* (but occasionally S/Cli, as in *Fred was knitted a jersey*)

Pleasee (A/Ple) *Ivy read Fred a story* (but occasionally S/Ple, as in *Fred was read a story*)

Degree (A/Deg): *He quite likes her. I like her a lot. Ivy badly needs some water.*

Process Manner (A/PrMa): *He came strolling lazily into the room.*

**quasi-experiential logical relationships:**



of the second one. Each Subject is filled by a simple nominal group with just a head. The words *more often* constitute the degree temperer and apex of a quality group, while *at TV* is a prepositional group in which *at* is the preposition and *TV* the completive - this being filled in turn by a fourth nominal group that consists solely of a head. But the preposition *at* is also, you will recall, part of the Process. In other words, the Process of someone 'looking at' something is realized in (a) the Main Verb and (b) a preposition that is located two layers lower down in the structure. All of these units other than the clause are dealt with in the later sections of this chapter.

The final note about clause elements concerns (a) three elements that we identified in the previous section, i.e. the Linker, the Binder and the Ender, and (b) certain elements not exemplified in our example.

### 13 Locate any other elements (all OPTIONAL) that may occur in clauses.

These are:

- (a) The **Linker (&)** - if there is one - which you should have located already;
- (b) The **Binder (B)** - if there is one - which you should also have located already;
- (c) The **Vocative (V)** - if there is one, as in *Come here, Ike* and *Ike, come here*, which may occur in all the places that Adjuncts occur;
- (d) The **Ender (E)**, of which there is usually one, and the **Starter (St)** - if there is one. In written texts the Ender is, in a final, non-embedded clause, one of the following three: ? ! .

In a clause that is not a final matrix clause it can be any of the following six: , ; : - ) and . It can only be - or ) when St is - or (.

### 14 The number of elements used in any one clause varies enormously, but there are RARELY MORE THAN ABOUT SEVEN ELEMENTS. Embedded clauses typically have fewer elements than clauses that fill $\Sigma$ , and embedded clauses that are 'partial' ('non-finite', in traditional grammar terms) typically have fewer elements than 'full' clauses. Some types of embedded clause that have even more truncated structures include clauses at:

- (a) m in a ngp, where the structure is typically M (e.g. *running water*) or A M (e.g. *a cheerfully chattering crowd, a swiftly flowing stream*),
- (b) XEx in a clause, where we typically find either A M (e.g. *He is widely alleged to have done it*) or M C (e.g. *He is alleged by his neighbours to have done it*).
- (c) MEx in a clause, which is typically just M, as in *He's gone fishing / shopping*.

### 15 Filling: clauses may fill

- 1  $\Sigma$  (most frequently),
- 2 in the clause: C, A, and more rarely S or, in a truncated form, XEx or MEx,
- 3 in the ngp: regularly q, and sometimes, in a truncated form, m,
- 4 in the qlgp: f and s,
- 5 in the qtgp: f,
- 6 in the pgp: rarely, cv.

**Summary:** we may find, in their most typical sequence:

- (a) ONE of each of **&, B, L, S, O, N, I, M** and **E** (with the possibility of **O/M** for forms of *be* and **O/X** for forms of *be* or *have*),
- (b) MANY **Xs** (the first of which typically gets conflated with **O** as **O/X**),
- (c) MANY **XExs**,
- (d) ONE OR OCCASIONALLY TWO or even three **MExs**,
- (e) UP TO TWO **Cs** (either or both of which can be **covert**),
- (f) MANY **As**, expressing many types of meaning, in many different positions.
- (g) either **S O** or **S M** for most information givers - or, for most information seekers, **O S** (where **O** includes **O/X** and **O/M**),
- (h) if the clause is a new content seeker where either **C** or **A** is sought, **C** or **A** before **O**,
- (i) **S** in a simple directive is typically **covert**.

**And next ...**

The analysis task isn't finished, and it is now time to attend to the internal syntax of the elements of the clauses. However, our example sentence was designed to illustrate certain problems of the clause, so it has extremely simple group structures. We shall therefore abandon it at this point as our 'worked example'. From now on I shall introduce different examples to illustrate the various points to be made.

## **4 The nominal group (ngp)**

### **4.0 Preliminary: two notes relevant to ALL groups**

- (a) The main problem in learning to analyze **clauses** is that almost all of their elements may occur in several different places in the structure. But IN GROUPS THE SEQUENCE OF ELEMENTS IS RELATIVELY FIXED (with only very minor variations). This makes syntax analysis much easier.
- (b) The elements **starter, ender, linker** and **inferer** are potential elements of all groups (except that the linker does not seem to be used in the quantity group; see Chapter 10 for a discussion of the reason). These four elements are covered most fully in the present section, but there are notes at the relevant points in each of the sections on the other groups that remind you to allow for them.

### **4.1 What the nominal group expresses**

The **nominal group (ngp)** is a unit whose structure has developed to enable it to express a large number of types of meaning that are related to a **thing**. The concept of 'thing' is a broad one, and it extends beyond physical objects and persons to abstract things - including ones that are effectively 'quality-things' such as *happiness* and *beauty*, 'quantity-things', such as *number* and *amount*, and 'event-things' such as *a hit*, *a football match*, *their successful ascent of the peak* and *Ivy's sudden opening of the door*.

The ‘thing-oriented’ structure of the ngp can be borrowed without too much difficulty to express meanings that are **qualities**. Thus, a quality may be expressed **congruently**, as in the quality group in the underlined portion of *She was extremely kind to me*, or **incongruently**, as in the nominal group in *She showed great kindness to me*.

However, a particularly complex and interesting set of problems arises when the nominal group is borrowed to express **events** - these, of course, being typically expressed in clauses. This is because there is a poor match between the structure of the clause and the structure of the nominal group. The clause has a relatively large number of elements, all of which are designed to express the various meanings associated with a ‘situation’ and, when a situation is expressed in a ngp, these have to be squeezed into a rather smaller number of elements - these being designed, moreover, for other types of meaning. See Section 15 for a fuller summary of what to expect in such ‘nominalizations’, and Chapter 17 for a detailed account of the ingenious ways in which the language handles the discrepancies that they cause.

Here is an introductory overview of the ngp.

- 1 In a ngp the **head (h)** element is virtually OBLIGATORY, with rare exceptions (e.g. as in Note 4.2.1 (b) below).
- 2 All other elements are optional - and the probability of their being present depends on the type of meaning expressed in the head. There are THREE other major types of element: **determiners**, **modifiers** and **qualifiers**. The **modifiers** (which immediately precede the head) and the **qualifiers** (which immediately follow it) both stand in a relationship to the head of **description**. But each of the many types of **determiner** stands in a relationship to the head that is DIFFERENT FROM THE RELATIONSHIP OF ‘DESCRIPTION’ AND DIFFERENT FROM THE RELATIONSHIP WITH ANY OTHER DETERMINER. However, at a high level of generality we can say that each is a type of **selection** (see Note 3.1 of Section 3 below). For modifiers see Section 2, for determiners see Section 3, and for qualifiers see Section 4.
- 3 The h of a ngp is EITHER expounded directly by one or other of several broad classes of word (as specified in Note 4.2 below), OR - very much less frequently - it is filled by a unit. This may be EITHER (i) one of several types of unit termed a **cluster** (as specified in Notes 4.2.4 and 4.2.5 below) OR (ii) a quality group (as specified in Notes 4.2.6 and 4.2.7 below) OR (iii) two or more closely related (and highly truncated) **co-ordinated nominal groups** (as specified in Note 4.2.8 below).

At the end of the section you will find a summary of (a) the **Analysis Strategy** and (b) the nominal group’s potential for **filling** elements of a higher unit.

## 4.2 The head

### 4.2.1 A pronoun as the head

In virtually all types of text, the type of item that most frequently expounds the head of a nominal group is one of several types of **pronoun**. Of these, the ‘outsider’ type of ‘personal pronoun’ is the most frequent. Most pronouns answer the

following apparently simple question:

### Who or which?

They do so by saying, in effect, 'You will know who or which, if you inspect the meaning of this item in its context'.

(a) It is useful to recognize SEVEN types of pronoun:

- (i) the 'interactant' type of 'personal pronoun', i.e. *I, me; we, us, myself, ourselves, you, yourself, yourselves, each other*;
- (ii) the 'outsider' type of 'personal pronoun', i.e. *he, him she, her, one, himself, herself, itself, themselves, each other*;
- (iii) a 'possessive pronoun', i.e. *mine, ours, yours, his, hers, its* (very rare), *theirs* (each of which CONTAINS the meaning of a 'personal pronoun'),
- (iv) a 'demonstrative pronoun', i.e. *this, that, these or those*;
- (v) an 'interrogative pronoun', i.e. *who, what, which, when, where, why, how, how many*, etc, e.g. as in *Who said that?*
- (vi) a 'relative pronoun', i.e. *who, that, which, when, where, why*, e.g. as in *the man who/that said that*.
- (vii) an 'indefinite pronoun', e.g. *somebody, no one or anywhere*.

So the 'personal pronouns' of traditional grammar are here divided into two main types: the 'first person' and 'second person' pronouns are brought together here as 'interactant' pronouns, and the traditional 'third person' pronoun is here described as an 'outsider' pronoun. The reason is that such pronouns refer to things and people THAT ARE NOT INTERACTANTS - and that are therefore 'outsiders' to the current interaction. They differ drastically from the interactant pronouns, in that the use of the pronoun is just one of the many ways of referring to the referent, while referents who are interactants are virtually always referred to in this way. Note too that the examples given above show that 'reflexive' and 'reciprocal pronouns' are treated as types of 'interactant' and 'outsider' pronoun.

- (b) 'Quantifying' items such as *five, some* and *any* in examples such as *Give me five / some* and *I don't want any*, are NOT heads, but quantifying determiners (see Note 7 below). The quantifying word serves the same function as in *five / some / any of them*, with *of* and the following head (*them*) being unrealized.
- (c) When the head is a pronoun it is USUALLY THE ONLY ELEMENT in the ngp - unless the ngp has a linker (&) that co-ordinates it with a preceding ngp, as in *my husband and I*. But occasionally we find a ngp with:
  - (i) one or more modifiers, as in *poor (m) old (m) you (h)*; or
  - (ii) a qualifier (q) as in *you (h) who know him well (q)*, *anyone (h) who wants to leave now (q)*, *those (h) who voted for him (q)* and, rather rarely, *he (h) who dares (q) (wins)*. (See Note 12 below for the qualifier).

**Problem to watch out for:** 'Quantifying' items such as *five, some* and *any* in examples such as *Give me five / some* and *I don't want any*, are NOT heads, but quantifying determiners (see Note 7 below). The quantifying word serves the same function as in *five / some / any of them*, with the meanings that could have been expressed in *of* and the following head (usually *them* or *it*) left unexpressed.

### 4.2.2 A simple noun as the head

The next most frequent type of h is a **noun** (or ‘common noun’), as in *a tall boy*. A large part of the lexicogrammar of English, as with all languages, is a classification of noun senses. It is a **cultural classification** of things. The function of a noun at the head of a ngp is to answer the question

#### What class of thing?

And it does so in terms of this ‘cultural classification’ of things. Nouns typically occur with one or more other elements, i.e. one of the various types of **determiner** (the most frequent), **modifier** and **qualifier**. Singular nouns virtually always have a determiner of one sort or another (99.9% reliable) but plural and mass nouns may not (e.g. *Give him air* and *Ants are fascinating creatures*). These are simple nouns, in contrast with compound nouns - and these are much more problematical for the text analyst.

Most nouns are **simple nouns**, i.e. they are spoken with only one strong syllable (with some ‘compound noun’ exceptions; see below) and written as one word. In terms of the written language, they have no spaces between the letters within them and they have spaces before and after them (unless there is adjacent punctuation, such as opening quotation marks or a following ‘s or an Ender or ender, i.e. a comma, full stop, etc.).

### 4.2.3 A compound noun as the head

Nouns may also be **compound nouns**, and these are found regularly in most kinds of text. They are far more frequent in most types of text that is generally thought, and items that should be analyzed as compound nouns are frequently analyzed as if they had a ‘modifier + head’ structure - probably because the analyst is looking at the evidence on the page rather than listening to how the text would be spoken. (The reverse happens too, but less often.) So compound nouns can cause problems for the analyst, and the following notes give you a short introduction to how to recognize them. There is a complete guide to analyzing compound nouns in Chapter 15.

- (a) Compound nouns typically consist of two (and occasionally three) nouns in a sequence.
- (b) A compound noun functions as a single noun, but it is one that has not yet become fully accepted as a single semantic and formal item. In written texts, compound nouns often remind us of their origin as a ‘modifier + head’ construction through the use of a hyphen, as in *pen-friend*.
- (c) It would make the syntax analyst’s task easier if ALL compound nouns were written with a hyphen (and so treated as simple nouns). But there are frequent cases, unfortunately, where the expression is still written as two items - as in *ice cream* (alongside *ice-cream* and *icecream*) and *fountain pen*. When a writer uses hyphens it is very helpful to the syntax analyst, because it is clear that the two elements are being presented as forming a single noun.

(d) The problem for the analyst, therefore, is that IT IS SOMETIMES HARD TO DECIDE WHETHER A SUCCESSION OF TWO (OR MORE) NOUNS IS A CASE OF (A) A COMPOUND NOUN AS THE HEAD OF A NGP OR (B) A 'MODIFIER + HEAD' RELATIONSHIP - i.e. one in which the first noun functions as a modifier of the second. (Strictly speaking, it functions as the head of a ngp that fills the modifier; see Section 2.4 below.)

The **three tests** for a compound noun are the **semantic** test, the **writing** test and the **pronunciation** test. The most important is the semantic test (which has two supplementary tests). But unfortunately these do not always give a clear result. Nonetheless, we can say that, IF ANY ONE OF THE THREE TESTS IS PASSED, THE ITEMS CONSTITUTE A COMPOUND NOUN.

### Compound Noun Test 1: The Semantic Test

Ask: **Do the two (or more) items function together to designate a class of thing that is typically identified in the culture by these items?**

If **Yes**, the items constitute a single (but compound) noun, e.g. *alarm clock, fairy tale, ash tray, ear ring, social work*.

If **No** or **Not sure**, try the following two supplementary semantic tests. The first is a useful formal equivalent to the main semantic test.

#### Supplementary Semantic Test 1

Ask: **Can you replace the last word of the possible compound noun by one?** For example, in *That's an ash tray*, try replacing *tray* by *one*. This produces the unacceptable *\*That's an ash one*. So ...

If **No**, the example is probably a compound noun.

If **Yes**, the example is a **modifier** and the **head** of a nominal group.

Unfortunately, this test cannot be used when the 'thing' is a 'mass thing', e.g. with *social security* and *corrugated iron*, because *one* can only be used to replace a 'count' noun. So if your answer is **No** or **Not sure**, try the next test.

#### Supplementary Semantic Test 2

Ask: **Is the thing ONE OF A SET of things that belong together?**

If **Yes**, the items constitute a compound noun (e.g. in a modern kitchen you might expect to find *a cooker, a fridge, a washing machine*, and possibly *a dish washer* - so *washing machine* and *dish washer* are compound nouns).

If **Not sure** (or even **No**), try the next two tests.

### Compound Noun Test 2: The Writing Test (for use with spoken texts)

Ask: **If the items were written down, would they be joined by a hyphen, or even perhaps written as one word?**

If **Yes**, the two items form a compound noun, e.g. *icecream, heart-throb*.

If **No**, try the next test.

### Compound Noun Test 3: The Pronunciation Test

Assuming that **xxx** and **yyy** are the two items that constitute the candidate compound noun, try saying: **That's the xxx yyy**.

Then ask: **Are xxx and yyy spoken with a falling tone ON THE FIRST ITEM?**

If **Yes**, the second item is functioning as PART OF THE SAME WORD, so that the two together form a compound noun (e.g. ‘That’s the **ash** tray, the **apple** tree, the **cable** car, the **washing** machine, the **walking** stick’, etc.)

If **No** - AND IF THE SEMANTIC TESTS ALSO FAIL - the two items are NOT a compound noun, and so they are NOT both part of the head of the nominal group. The analysis should probably be that the first item (or the first two, if there are three altogether) is a modifier. But failure in this test doesn’t mean that the item isn’t a compound noun if it passes the Semantic Test: see the next note.

Some compound nouns pass the semantic test **BUT NOT THE PRONUNCIATION TEST**, e.g. *cotton wool*, *package holiday*, *the welfare state*, *personal computer*, *running commentary*, *family planning*, *human being*, *capital punishment*, *fancy dress*, *musical instrument*, *nervous breakdown*, *old age*, *old hand*, *stainless steel*, *tall story*, *barbed wire*, *guided missile*, *piped music*, *bird of prey*, *cost of living*, *lily of the valley*, *one parent family*, *rank and file*, *social security*, *washing-up liquid*.

Occasionally compound nouns consist of three items, e.g. *birth control pill*, *fork lift truck*, *back seat driver*, *home delivery service*, *nuclear power station*, etc.

*If you have problems in deciding about a possible compound noun, consult Section 15.XXX of Chapter 15. There you will find a fuller discussion, especially of problematical three-item cases such as ‘car park attendant’ (which is a compound noun) and ‘government health warning’ (where it is suggested that only ‘health warning’ is a compound noun), together with many other worked examples.*

#### 4.2.4 The word *one* or *ones* as the head

Occasionally the h may be the item *one* or *ones*, as in as in *He’s the tall one*. This is a ‘pro-form’ that stands for a ‘count’ noun, and it is used when the Performer considers that the Addressee can provide the noun for him/herself - typically but not necessarily from the preceding text. (The nearest equivalent for ‘mass’ nouns is the word *stuff* - but this is simply a particularly general type of noun.)

- (a) Since such forms stand for a noun, they too usually occur with a determiner.
- (b) But because the item *one* or *ones* - unlike a noun - does NOT classify the referent, a ngp with this type of head practically always has one or more modifiers or qualifiers.

#### 4.2.5 A proper name as the head

The head is also frequently filled by a **proper name**. A proper name typically answers the question ‘Who?’ (or ‘Where?’ for *Iceland* or ‘When?’ for *January 1989*) by saying, in effect, ‘You will know who (or where or when), if I tell you the person/place/time’s name, and it is ----.’

- (a) In a simplified analysis proper names can be treated as single item. But in a full analysis they must be analyzed in terms of their internal structures. THE UNITS

USED FOR NAMES VARY ACCORDING TO THE TYPE OF THING BEING NAMED. Thus:

- (i) **Individual human persons** (and honorary human persons such as family pets), such as *Ivy*, *Dr Ian Jones* and *Fido*, use the **human proper name cluster** (hpncr) (see Section 8).
  - (ii) Social groups of humans such as **companies**, e.g. *A.C. & D.J. Barker & Co. Ltd*, are analyzed firstly in terms of **ngps**, often with ellipsis (as in this example), and then with hpncrs at the heads of some of the ngps.
  - (iii) **Most other human social groups** simply use the **ngp**, e.g. *the North Yorkshire County Council*, *The British Broadcasting Corporation*.
  - (iv) If a name has been reduced to an **acronym** - and this happens most frequently with human social groups - the part of the name other than the determiner simply becomes the head, e.g. *the* (dd) *BBC* (h) and, without a determiner, *ICI* (h).
  - (v) Other types of 'name' include the names of **works of art** (in a broad sense of the term), i.e. books, newspapers, magazines, pieces of music, statues, and pictures, etc. These are typically ngps and co-ordinated ngps, such as *Treasure Island*, *Pride and Prejudice*, *The Pastoral Symphony*, *The Kiss*, and *The New York Times*. They may consist simply of a simple proper name at the head of a ngp, such as *Robinson Crusoe* and *Anna Karenina*, or two co-ordinated ngps, such as *Oscar and Lucinda*. All these can be readily handled as aspects of the existing lexicogrammar. Less frequently, other bits of lexicogrammar are used as book titles, etc, as in *From Here to Eternity* and *Gone with the Wind*. Buildings - often within addresses - also use the ngp, e.g. *The Aberconway Building*, *G Block*, and *Cell Block H*, etc. The analysis of *Cell Block H* is *Cell Block* (h) *H* (q).
  - (vi) The names of **sections** of artefacts such as books and newspapers also use the ngp, e.g. *Chapter Seven* and *Page Three*, where the analysis is h q.
  - (vii) However, the names of **places**, such as *19, Patterson Road, Springdale*, *Manchester M62 5QT*, should not be analyzed in terms of the ngp, but as part of an **address cluster** (see Section 9).
  - (viii) **dates**, such as *Monday*, *the seventh of February*, *nineteen ninety-nine*, where the analysis is in terms of the **date cluster** (see Section 9).
  - (ix) **clock times**, where the unit used is an adaptation of the **ngp**, as in *ten* [qd] (*minutes* [h]) *to three* [q] and *four* [qd] *o'clock* [q].
- (b) The last two types - dates and clock times - are not normally thought of as 'names'. Yet they are like the other types of referring expression for 'things' in that they refer to **particular** entities. In the case of dates, there is also the use of an initial capital letter for the 'names' of the days of the week, months, seasons and feast days, etc, just as in the more typical types of name.
- (c) When the head is a proper name it is usually the only element in the ngp - unless the ngp has a linker (&) co-ordinating it with a preceding ngp, as in *my husband and Dr Jones*. But occasionally we find a ngp with either:
- (i) one or more modifiers (e.g. *poor old Dr Jones*; or
  - (ii) a deictic determiner(dd) (for which see Note 4 below), as in *the* (*Peter*)

- Smiths*; or  
 (iii) a dd and a qualifier, as in *the Dr Jones who I knew in 1990*.

#### 4.2.6 The head filled by a genitive cluster

Occasionally, the head is filled by a **genitive cluster**, e.g. *Ivy's* or *my mother's* (see Section 8). Semantically, this is similar to having a 'personal pronoun' as the head, the difference being that in a case such as *hers* or *theirs* the person who is the 'possessor' is expressed in a form that is integrated with the 'genitive' meaning. Compare *This is my mother's* and *This is hers*.

#### 4.2.7 The head filled by a quality group

- (a) Very occasionally, the head is filled by a **quality group**, e.g. *very poor* in *The very poor (deserve our support)*, and, even more rarely, the 'superlative' type of quality group, e.g. *most privileged* in *The most privileged (should pay more taxes)*. In all such cases the ngp refers to a social group that is identified by this quality. The head is almost always preceded by a dd expounded by *the* - but it is occasionally a possessive expression, as when a politician talks of *our (very) poor*.
- (b) Note that in the case of a '**superlative**' **quality group** at h, as in (2) in Figure 1, the initial dd is an element of the ngp, not of the qlgp. This is because the dd is part of the meaning of 'the social group' that is defined by this quality. See Examples (1) and (2) in Figure 1, and for the quality group as a whole see Section 6. Most frequently, however, such constructions do not have a temperer, and in such cases the adjective can be shown as directly expounding the head, as in the third example in Figure 1. Furthermore, co-ordination also sometimes occurs at h, as in *the dead and dying*, and *the very rich and very powerful*, and this too demonstrates the need to introduce a group to fill the head in these cases. (This is because, in the present grammar, there have to be two or more units if the relationship of co-ordination is to be invoked.)

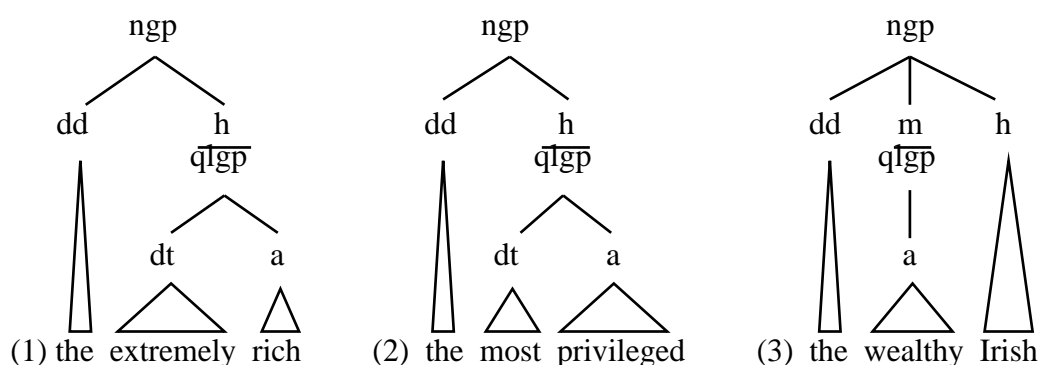


Figure 1:  
Two quality groups and an adjective at the head of a nominal group

#### 4.2.8 An adjective as the head

Another type of adjective which may sometimes expound the head is one that expresses **nationality**, e.g. *the French* and *the Irish*. Here too the ngp refers to a

social group that is identified by this quality, and it almost always has *the* as its dd. But in this case the adjective always expounds the head, so that the *Italians* and *the French* are seen as having the same structure of dd h. So, if another word intervenes between the dd and the adjective, it is always a modifier. See Example (3) in Figure 1. (Note that the typical modifier *wealthy* (i.e. the apex of a qlgp) could be replaced by *Boston* (i.e. the head of a nominal group) - just as in cases with a noun as head, such as *the New York Italians*.)

#### 4.2.9 Co-ordinated nominal groups filling the head

In some cases the head of a nominal group is filled by two or more **embedded nominal groups**. For example, if I go into a fish-and-chip shop and say *Could I have two portions of fish and chips*, I am not asking for (a) two portions of fish and (b) some chips. I expect to be given two packages, each of which contains both fish and chips.<sup>10</sup> Similarly, in cases such as *There were fifteen boys and girls at her party*, the number *fifteen* specifies the combined number of boys AND girls - and not just the number of boys. More complex examples such as *I need ten young men or large adolescent boys* also show that in such cases IT IS NOMINAL GROUPS THAT ARE BEING CO-ORDINATED, NOT WORDS. In other words, the grammar of English allows two (and very occasionally more) nominal groups that are in a semantically close relationship of co-ordination to function at the head of a nominal group AS IF THEY WERE A SINGLE ENTITY.

Examples (4) and (5) in Figure 2 below show how to represent this in a syntactic analysis. This structure can be called, in honour of Britain's popular late evening meal, the **fish and chips construction**. (The words *two portions* in (4) need further analysis, and this will be provided in Section 7 below.) Incidentally, this construction provides an appropriate way to handle a long-standing problem for grammarians - that of how to show the ambiguity in examples such as *old men and women*. In the first sense there are simply two co-ordinated nominal groups (*old men* and *women*) where the referents are (a) 'old men' and (b) 'women of any age'. But in the second sense they are 'old people of either sex, i.e. men and women' - as in Example (6) in Figure 2.

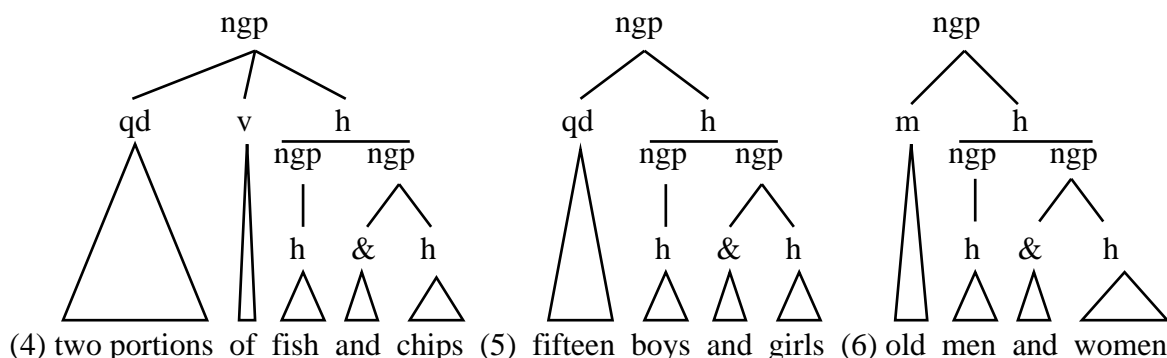


Figure 2: three examples of co-ordinated nominal groups at h

10. Indeed, the signs above such shops sometimes state that they sell *fish-and-chips*, *fish 'n chips* or even *fish-'n-chips* - showing clearly that 'fish and chips' is regarded as a single unit.

#### 4.2.10 Nominal groups expressing deictic time and deictic place

The nominal group is also used for the expression of **deictic time** and **deictic place**. These are explained more fully in Section 4.8.2 below and Section ' of Chapter 15. All we need to note here is that, just as *week* in *this week* is the head of a nominal group, so too are *today*, *yesterday* and *tomorrow*, and also *now*, *then* and *when* - and, finally, the equivalents of these three in the dimension of space, i.e. *here*, *there* and *where*.

### 4.3 The modifiers

#### 4.3.1 Overview

When the head of a ngp is either (a) a noun that specifies the cultural classification or (b) *one(s)*, (and very occasionally when it is not) there may be one or more of a large number of DIFFERENT TYPES OF **modifier (m)**. Each expresses A DIFFERENT SPECIFIC TYPE OF MEANING. But all modifiers - each in a different way - answer the question:

#### What sort of thing?

- (a) There are around twenty different modifiers altogether, but normally no more than three or at most four are used in any one ngp.
- (b) Most modifiers express one or other of many types of **experiential** meaning. For example, one frequent type describes the thing in terms of a 'dimension' (e.g. *large / tall / wide*); another in terms of 'age' (e.g. *old / young / new*); and another in terms of 'colour' (e.g. *green(ish) / golden*). Another frequent type describes things in terms of the 'material' of which the thing consists (e.g. *iron / gold / wooden*); another in terms of 'a time or place that it is associated with', or 'provenance' (e.g. *Elizabethan / sixties / Victorian / Persian / London*), and so on. Another important type describes things in terms of a general 'epithet', but this type of modifier typically also includes a clear element of **affective** meaning (e.g. *beautiful / intelligent / rich*). In other words, each of these different modifiers serves what we shall term a **specific describing function**.
- (c) The one frequent type of modifier that is NOT experiential is the **affective modifier**, e.g. *nice, nasty, good, bad, terrific, terrible, great, cool, lousy*.
- (d) When TWO OR MORE modifiers occur in the same ngp, they occur in A RELATIVELY FIXED SEQUENCE in relation to each other. For those that are mentioned in Notes (b) and (c) above, the sequence is:

affective + dimension + epithet + age + colour + provenance + material

#### 4.3.2 The two 'general' describing functions

Most modifiers express some type of **experiential** meaning, as the examples in Note (b) above show. The three key points are:

- 1 Each experiential modifier in a ngp serves one of TWO general describing functions.
- 2 These two general describing functions are the **classifying** and **depicting**

functions.

- 3 Most of the many different types of experiential modifier can be used to serve either of these two - though with greatly varying probabilities.
- (a) The most basic general describing function is the **classifying** function. Here the Performer's purpose is to add further 'ad hoc' classificatory information to the 'cultural classification' of the thing given in the head, by 'sub-classifying' the 'class of thing' IN TERMS OF THE MEANING EXPRESSED IN THE MODIFIER - for example, the three modifiers in the ngp in *Have you seen a large grey Persian cat?*.
  - (b) The second general describing function is the **depicting** function. Here the Performer's primary purpose is to give the Addressee a fuller 'background' picture of the referent, as in *Fred's gone to visit his elderly father*. In such cases the concept of 'classification' is still present in the background, but the difference is that the Performer has NOT introduced the modifier FOR THE PURPOSE OF CLASSIFYING THE REFERENT.
  - (c) However, there is no overt marker to tell you which of these two general functions a particular modifier serves. (This is in contrast with the **qualifiers**, which come after the head and which also serve one or other of these two general describing functions; see Note 12'.) But there is a clear general tendency: the modifiers nearest to the head tend to serve the **classifying** function, and those that are further from the head tend to serve the **depicting** function - or, alternatively, the affective function, which normally is neither 'classifying' nor 'depicting'.
  - (d) Here we will simply note the two types - but WE WILL NOT TRY TO ANALYZE EACH MODIFIER THAT WE MEET AS BEING ONE OR THE OTHER TYPE. It is only possible to analyze modifiers confidently in terms of their different **specific** types, e.g. 'affective', 'dimension', 'epithet', 'age', 'colour', etc. Here we will only recognize a few types, analyzing all purely experiential modifiers simply as **m**.

#### 4.3.3 Modifiers filled by quality groups

Most modifiers describe the referent of the nominal group in terms of a **quality**, and most are therefore filled by a **quality group**.

- (a) Each 'quality' modifier answers the question **'What sort of thing?'** in terms of a 'quality' that the 'thing' has.
- (b) A 'quality' modifier is always filled by a **quality group (qlgp)**, e.g. the two underlined examples in *a very tall, rather elderly woman*.
- (c) It therefore follows that, when an **adjective** occurs at m, it is NOT to be analyzed as directly expounding the m, but in terms of its function as the **apex** of a **qlgp** that fills the **m**. This is because it can always be 'tempered' by adding a **degree temperer (dt)**, as in *very tall* and *rather elderly*. (For the internal structure of the qlgp, see Section 6.)

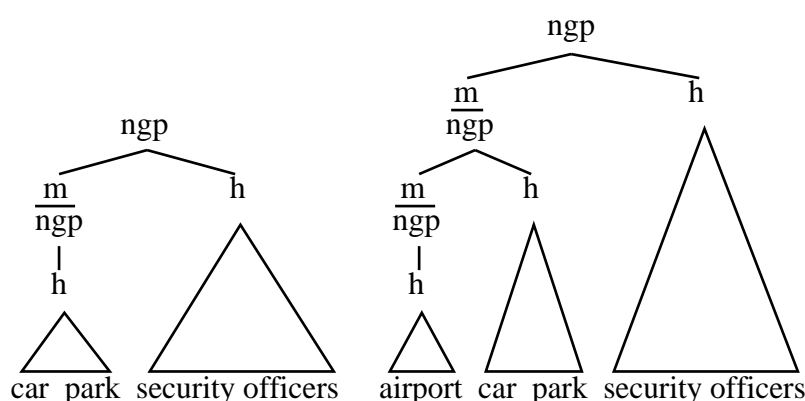
**Problem to watch out for:** Several items, including *pretty* and *bloody*, are structurally ambiguous. Such items can be either the apex of a quality group filling a modifier, as in *She is very pretty* and *Her hands were bloody*, or a temperer in a quality group filling a

modifier or Complement, as in *a pretty / bloody clever woman* and *She is pretty / bloody clever*. (See Section 6 for the elements of the quality group.) Compare *She is a pretty tall girl* and *She is a tall pretty girl*. (The item *bloody* is also ambiguous as between an experiential and an affective modifier; compare *a bloody nose* and *a bloody fool*.)

#### 4.3.4 Modifiers filled by truncated nominal groups

Some modifiers answer the question ‘**What sort of thing?**’ BY ASSOCIATING THE THING THAT IS THE REFERENT WITH ANOTHER **thing**. So *a granite cliff* is ‘a cliff (consisting) of granite’, *a Birmingham newsagent* is ‘a newsagent in (or possibly ‘from’) Birmingham’, and *the conference report* is ‘the report of the conference’.

- (a) These types of **m** are typically (but not inevitably) filled by a **ngp**. However, they are always **truncated** ngps, in that they normally have neither determiners nor qualifiers. But they occasionally have modifiers, e.g. the ngp *early morning* in *We all went for an early morning swim*.
- (b) This potential to have a **ngp** at **m** is one source of **recursive embedding** in the grammar - and also of **syntactic ambiguity**. For example, in *the recent workshop report*, is it ‘the workshop’ that is ‘recent’, or ‘the report’?
- (c) There is a special tolerance in newspaper headlines for strings of nouns, such as *Meat hygiene fiasco*, *Tory defection shock* and even *Tory poll result shock* and perhaps *Tory poll result shock claim*, etc. The semantic test clearly given in Section 4.2.2 shows that such cases are not compound nouns, because the string of items does not designate a culturally recognized class of thing. They are therefore to be analyzed in terms of modifiers and a head - often with embedding.
- (d) When compound nouns are combined with such structures, the problem is, er, compounded - as in the following:



**Problem to watch out for** It can sometimes be difficult to decide whether a sequence of two nouns is a case of **m + h** or a single **h** that is expounded by a compound noun. To decide, consult the tests in Section 4.2.2 or, if necessary, Section 15.XXX of Chapter 15.

#### 4.3.5 A modifier filled by a truncated clause

Occasionally there is a **m** that specifies an association of the referent with an event, and so a **Clause**. But such clauses are almost always **truncated**, so that typically only the **Process** is mentioned, as in *a leaking pipe* and *his shattered hopes*. In

such cases the Clause at m consists solely of a **M**. But sometimes other elements such as the **Manner** are present also (e.g. *the slowly moving crowd, a steadily dripping tap and some badly cracked plates*. Occasionally a **Complement** is introduced, typically a simple noun joined to the lexical verb at M by a hyphen, as in *a back-breaking task and a rice-eating people*. So occasionally the embedded clause has the structure **A M** or **C M**, but usually there is only **M**.

#### 4.3.6 A modifier filled by a genitive cluster

Very occasionally a **m** is filled by a **genitive cluster**, and in such cases the thing with which the referent is associated is an 'intendee'. For example, in *that rusty old girl's bike* the use of *girl's* signals 'a bike that is suitable for a girl', rather than 'a bike belonging to that rusty old girl'. Again, the *ngp* is truncated.

#### 4.3.7 A modifier filled by a unit expressing quantity

There is a regular but relatively infrequent frequent type of meaning expressed in a modifier that specifies a limited range of types of **quantity** of the thing. This is the **quantifying modifier (qtm)**. It must be emphasized that this is NOT the typical way of expressing the quantity of a thing (which is the 'selection by quantity' meaning to which we shall come in Note 7). The meaning is always **depicting** (rather than classifying), and it contributes to the picture by stating the number of the particularized things (e.g. *his few / many / five friends*).

#### 4.3.8 A modifier that refers to another referent

Another interesting type of modifier is the **relative modifier (rm)**. It describes the thing by relating it to some other thing from which it is similar or different, as in *the same day, her other friends and a different / similar girl*.

### 4.4 The determiners

#### 4.4.1 Overview

We come now to the **determiners**. The following framework covers most of the very considerable complexity in these areas of meaning and structure that is found in real texts.

(a) We have seen that one of the key concepts in explaining the relationship of the modifiers to each other and to the head is that of **classifying**. So *Persian cats* are a sub-class of *cats*, and *grey Persian cats* are a sub-class of *Persian cats*, and so on. Among the determiners we find a similar general principle at work - though it encompasses a set of relationships that are not the same as 'sub-classification'. This general principle is the concept of **selection**.

(b) The **selection** principle states that:

- 1 Each **determiner**, **pronoun** and **proper name** has an associated **referent**.
- 2 The RIGHTMOST REFERRING EXPRESSION is defined as EITHER
  - (i) the rightmost determiner (if there is one) plus any following modifiers,

- head and qualifiers, OR
- (ii) the **pronoun** or **proper name** that is the head (plus any modifiers or qualifiers).
- 3 The REFERENT OF THE DETERMINER to the left of the rightmost referring expression is **selected** from the referent of the rightmost referring expression (where the particular type of ‘selecting relationship’ is defined for each type of determiner in the relevant notes below).
  - 4 This relationship of **selection** between the referent of a determiner and the referent of the referring expression to its right is repeated for EACH DETERMINER (if any), THE FOURTH (if any), etc.
  - 5 The relationship of **selection** is typically realized by the selector *of*. However, the concept of selection is occasionally not expressed, especially when the selector follows *all*, *both* or *half* and precedes a deictic determiner, as in *all (of) her friends.*)

To summarize: each determiner other than the rightmost determiner (or pronoun or proper name) has a referent that is ‘selected’ from the referent of the part of the nominal group that follows.

- (c) Note that each type of determiner to be described below (except for the qualifier-introducing and typic determiners) can occur in any of the three structural patterns exemplified below. Consider the rightmost referent in the following examples, where it is expressed:

- 1 EITHER in full as in *I’ll take five of those small bananas,*
- 2 OR more briefly as in *I’ll take five of them,*
- 3 OR even just *I’ll take five.*

It is important to recognize that even in the last case the word *five* expounds the quantifying determiner. In terms of its meaning, we know that the referent of *five* is selected from a particularized referent - i.e. the Performer is assuming that the Addressee knows WHICH things the five are selected from. In terms of its form we can demonstrate that it is indeed a qd, because we can always test such cases by adding *of them*.

- (c) Typically, any determiner that is not the last determiner in the nominal group is separated from what follows by a **selector (v)**. This statement is 99.5% reliable. An exception occurs when *of* is omitted following *all*, *both* and *half*, as in *all (of) the girls* (see Sections 7 and 8 below).
- (d) The **selector** element (**v**) is almost always expounded by *of*. (Here we borrow from the phonetic representation of the item *of* and represent it by the symbol **v**.) As a rough guide we can say that EACH DETERMINER TYPICALLY INTRODUCES AN ASSOCIATED SELECTOR - unless it is the last determiner in the ngp, when it may or may not have one. The deictic determiner, which is always the last one, does not ‘select’ from what follows and it is consequently never followed by a selector.
- (e) Among the many different types of determiner, the MOST FREQUENT by far are (1) the **deictic determiner** (especially when expounded by *the*) and (2) the

**quantifying determiner.** The rest are all much less frequent, but one or other of them appears fairly often.

In analyzing a ngp, you should begin with the determiner NEAREST TO THE HEAD. The determiners occur in an ALMOST COMPLETELY FIXED SEQUENCE in relation to each other, and the following notes introduce the determiners in this sequence (with the exception of two special cases, which are dealt with in Notes 11 and 12).

#### 4.4.2 The deictic determiner (dd)

Look first for a **deictic determiner**. It is by far the most frequent type of determiner in a ngp. It answers the question:

**Which (or whose) thing?**

It is EITHER

- (a) expounded by the item *the* OR
- (b) expounded by a ‘demonstrative’ item (*this, that, these, those*, or the ‘interrogative’ forms *which* or *whichever* and occasionally *what* or *whatever*), OR
- (c) (i) expounded by a ‘possessive’ item (*my, your, his, her, our, their* or the ‘interrogative’ form *whose* or *whoever’s*), OR
- (ii) filled by a **genitive cluster** expressing a ‘possessive’ meaning, e.g. *Fred’s, the new doctor’s, my very own*, etc. (For the genitive cluster, see Section 8.1)

#### 4.4.3 The superlative determiner (sd)

Look for a **superlative determiner** - an OCCASIONAL determiner in a ngp. It answers the question:

**Which thing (or things) is/are being identified in terms of a unique quality?**

More precisely, it is being identified as UNIQUE IN BEING AT THE TOP OR BOTTOM OF A SCALE OF THINGS OF THE SAME TYPE, WHERE THE THINGS ARE ARRANGED ON A SCALE IN TERMS OF THE QUANTITY OF A COMMON QUALITY THAT THEY SHARE. Examples are: *the tallest girl, the most important people, the biggest boys, the five biggest of the boys, the biggest five of the boys, the biggest boys in the class*. (For **discontinuity** in a unit, as in this last example, see Section 12.)

- (a) The **sd** is filled by a **quality group** (qlgp). This is a special type of qlgp that includes certain elements that are only used when it expresses a ‘superlative’ meaning - typically filling a sd (or an od; see Note 6.2 immediately below).
- (b) If the sd is followed by a dd (or, as happens very occasionally, an od), there will typically be an intervening **v**. The exception is when the rest of the ngp is unrealized, as with *the fastest in the fastest (of them) will arrive at 5 a.m.*

#### 4.4.4 The ordinative determiner (od)

Look for an **ordinative determiner** - an OCCASIONAL element. It answers the question:

**Which thing (or things), in terms of ITS POSITION IN A SEQUENCE OF THINGS?’**

Examples are: *the first person the next moment, my fifth icecream, the very last drop, the first five of the boys to arrive*).

- (a) It is rare to have both a sd and an od. If both do occur in the same ngp, it is possible for the sd to precede the od.
- (b) Like the sd, the od is filled by a quality group (qlgp), and as with the sd, the qlgp at od has additional elements. (See Note 8 of Section 6 below.)
- (c) If the **od** is followed by a dd (or, as happens very occasionally, a sd), there will typically be an intervening **v**. The exception is when the rest of the ngp is unrealized, as with *the first* in *the first (of them) will arrive at 5 a.m.*

#### 4.4.5 The quantifying determiner (qd)

Look for a **quantifying determiner** - THE SECOND MOST FREQUENT type of determiner. It answers the question

**How much? or How many? (of whatever comes after it)**

The question is about WHATEVER IS SPECIFIED TO THE RIGHT OF IT IN THE NOMINAL GROUP. Usually this is simply a head, possibly preceded by one or more modifiers, such as *thirty muddy footballers*, but it can include any of the determiners identified so far - most frequently the **dd**, as in *five of my friends* and *a lot of those chairs*.

(a) A qd may be EITHER:

- (i) expounded directly by an item (such as *one / a/an, some, five, many, all, every* etc, (as in the first example in Figure 3 below), OR
- (ii) filled by an **embedded nominal group or by a quantity group**.

(b) The **nominal group** may have as its head EITHER

- a ‘measure’ meaning, e.g., *two glasses of water, a cup(ful) of sugar, a kilo of nails, a dollar’s worth of icecream*, etc, OR
- a ‘collective noun’, e.g. *several flocks of birds, a library of books; an impressive collection of medals*, OR
- an ‘approximate’ quantity’ as in *a very large number of sheep / a smaller amount of liquid than we had expected*, OR
- a ‘cardinal number’, as in *four thousand sheep* - or, in a structure that is unusual outside the cardinal numbers in that (1) it contains two (or more) co-ordinated ngps and (2) the last ngp has no head, *five hundred and fifty sheep* (see Note 19.1 below for the analysis of a complex example) OR
- a cardinal number plus a fraction (where again two co-ordinated ngps are used), e.g. *five and a quarter years ago*. (NB if a fraction occurs on its own,

it should be analyzed as a fractionative determiner - because it is, in principle, a fraction of whatever occurs after it, and a qd could follow (as in *Two thirds of all of his friends were there*) OR

- a ngp with a highly restricted range of possible elements and items, as in *every single one of the cats*. For the analysis, see the third example in Figure 3 below (except that in *every single one* the word *every* directly expounds the qd, since there is no degree temperer such as *practically*).

(c) The **quantity group (qtgp)** will typically have an item such as *very*, *over* or *virtually* as its **adjustor (ad)**, and EITHER

- the **amount (am)** is directly expounded by an item, as in *very many of us*, *quite a few people*, and *virtually every cat* (as in the second example in Figure 3) OR
- it is filled by a ngp, as in *over four thousand people* (which has the ngp *four thousand* as its am) or
- The second type may occur within the first, as in *practically every single one of the cats* (analyzed in the third example in Figure 3 below).

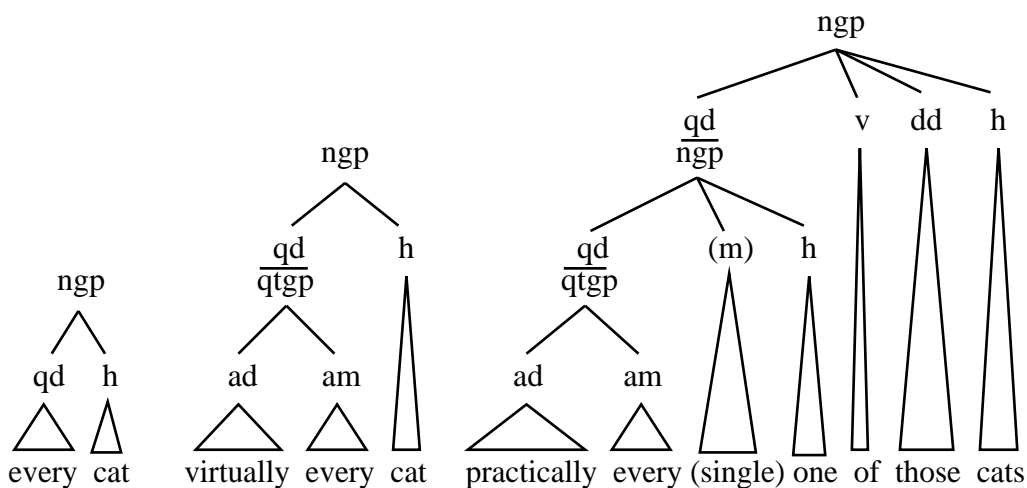


Figure 3: Three structures in which *every* occurs

(d) If the **qd** is followed by another determiner (which is most often a dd), there will typically be an intervening **v**. The exception is when the rest of the ngp is unrealized, as with *about ten* in *About ten (of them) will arrive at 5 p.m.* Also, if the item at qd is *all* or *both* and a dd follows, the expected **v** is often omitted, especially in casual usage (e.g. *All (of) the boys will arrive by 5 p.m.*).

(e) Occasionally, when the quantifying determiner is *all*, *both* or *each*, it may occur AFTER the **head**, as in *He ate them all* and *The boys both saw it*. Indeed, when a qd follows the head in a ngp WHICH FILLS THE SUBJECT of a clause, as in that last example, the qd may be **discontinuous** with the rest of the ngp. The position that it occupies in the overall structure is in fact the PLACE FOLLOWING THE OPERATOR in the clause (if there is one), as in *The boys have both seen it* (where the meaning is close to that of *Both (of) the boys have seen it*).

#### 4.4.6 The fractionative determiner (fd)

Look for a **fractionative determiner** - an OCCASIONAL element. It answers the question

##### What fraction? (of whatever comes after it)

(a) It is rare to have both a fd and a qd, but the two can co-occur (as in *Two fifths of all the men over fifty are unemployed*), and ‘sums’ such as *Three quarters (fd) of seven thousand (qd) is five thousand two hundred and fifty*. There are four main ways of expressing the concept of a ‘fraction’, e.g. (a) *two fifths*, (b) *twenty per cent*, (c) *point five* (h + q in ngp), and (d) *two out of (every) five (of the population of Wales)*.

(b) It is filled by:

- most frequently, an **embedded ngp**, with a noun denoting a fraction at its head, as in *two thirds of them*. Note that the head can have internal complexity of the same type as that found in cardinal numerals, as in *seven three hundred and sixtieths* (see Note 19.1).
- However, if the ‘fraction’ is preceded by *about*, etc, fd is filled by a qtgp, with the ngp as its am (see Section 7).
- The most frequent ‘fractionative’ item is *half*, and it directly expounds fd - unless it is preceded by *about*, etc, when it is the am in a qtgp, as in (b) above.
- In the case of percentages, such as *ninety per cent of them*, we borrow the ngp and treat *ninety* as a qd and *per cent* as directly expounding the qualifier. Not the absence of any head.
- With fractions expressed as decimals, such as *point seven nought nine five four one of all men in Britain*, we again borrow the ngp, but here we treat *point* as h (since it and each following digit as the qd of a series of co-ordinated ‘cardinal’ ngps at q).
- With expressions such as *Seven out of every ten cats prefer dogfood*, the ngp is borrowed again, but again, as in (d) above, without a head. The analysis of the fd is *seven* (qd) *out of every ten* (q) *cats*, with *every ten* being a qtgp (see Section 7).

(c) If the **fd** is followed by another determiner, there will typically be an intervening **v**. The exceptions are (a) when the rest of the ngp is unrealized, as with *two fifths* in *Two fifths (of them) will arrive by 5 a.m.* and (b) the optionality of *of* after *half*, as in *half (of) my time*.

#### 4.4.7 The partitive determiner (pd)

Look for a **partitive determiner** - an OCCASIONAL determiner. It usually contains more than one word, and it answers the question:

### What part or parts of the thing or things that come after it?<sup>11</sup>

- (a) The pd is always filled by an **embedded ngp** whose head refers to a part of the thing or things specified to the right of it in the ngp, e.g. *the back of the lorry*, *the fronts of the shops*, *the head of the company*, *the edge of the road*, *the roof of the house*.
- (b) Occasionally the only element is the head, i.e. *part of the field*, *part of me*.
- (c) This is also where *the whole* fits into ngp structure. The meaning of ‘whole’ involves the concept of ‘part’, in that it means ‘not just part of the thing, but the whole of it’. (e.g. *the whole (pd) of the/his (dd)time in London*).

#### Problems to watch out for:

- 1 In *The whole room was covered in dust*, the item *whole* is a modifier.
  - 2 A problem arises in cases such as *She showed me the structure of the molecule / sentence*. At first the idea that the structure of something is a ‘part’ of it may be surprising, but this is, in an abstract sense, just what the structure of something is. In some cases the sense may be ‘a representation of the structure of the molecule / sentence’ (see Note 10 below), but this does not affect the analysis. The alternative analysis is to treat *structure* as the head of the whole nominal group - as we have to do in any case for examples such as *function / role / purpose of this component (of xxx)*. Here the analyst must decide in the light of the context.
- (d) If the **pd** is followed by any other determiner, there will typically be an intervening **v**. The exception is when the rest of the ngp is unrealized, as with *the tops in the tops (of them) will visible at 5 a.m.*

### 4.4.8 The representational determiner (rd)

Look for a **representational determiner** - an OCCASIONAL determiner. It usually contains more than one word, and it meets the test of being a ‘representation’ of the thing (or things) specified to the right in the ngp. The representation may be physical, as in *those photos of Julia* and *a portrait of his wife*, or abstract, as in *the concept of liberty* or *my impression of James*. Abstract items such as *conception*, *memory*, *impression*, *vision*, *reputation* and perhaps *status* can therefore be handled here, so long as they conform to the semantic and syntactic pattern of this type of ngp. In this type of **selection**, then, the ‘selection’ is of a highly abstract type.

- (a) The rd is always filled by an **embedded ngp** whose head expresses this type of meaning, e.g. *picture*, *photograph*, *sculpture*, *copy*, *map*, *concept*, *idea*.
- (b) Unless the following item is *of*, it is not a rd. So *a plan* in *a plan of the house* is a rd, but *a plan for tomorrow* is a ngp with *plan* as its head, *a* as its qd, and *for tomorrow* as a qualifier.
- (c) One test which suggests that a rd is a type of ‘abstract selection’ from a referent is that you can omit the rd (and so its following *of*). So you can say, looking at a photograph, *That’s Ivy* or, to a child, pointing to a picture of a farmyard, *Can you see a cow?*

11. Halliday calls this type of meaning the ‘facet’ (Halliday 1995:196).

- (d) There are more difficulties about recognizing this type of determiner than with most others. In many cases we have to think carefully about whether the nominal group that we are considering as a possible rd - i.e. 'the candidate rd' - is or is not a rd. In other words, we often need to ask:

*Is the referent of the candidate rd a type of 'abstract selection' from the referent whose **cultural classification** as a **noun** (typically) is shown in the head of the main ngp? Or does the referent of the first ngp itself provide the main cultural classification, with the following words functioning as a qualifier to it?*

If in doubt, consult Section XXX of Chapter 15. This provides (a) fairly full lists of the various types of noun that can occur as the head of the ngp that fills a representational determiner, and (b) tests to help resolve problem cases.

- (e) If the **rd is** followed by another determiner, there will typically be an intervening **v**. The exception is when the rest of the ngp is unrealized, as with *a good photo* as in *If you want to see what the boys look like, this is a good photo (of them)*.

**Problem to watch out for:**

This is where words such as *analysis*, *description* and *representation* itself belong - BUT ONLY IF THEY ARE BEING USED IN THEIR 'PRODUCT' SENSE RATHER THAN THEIR 'PROCESS' SENSE. For example, in *He looked at my analysis of the sentence, my analysis* is a 'product', because it is what has been produced by the 'process' of analyzing'. It is therefore a type of 'thing', and consequently it qualifies to be considered as a 'representation' of the sentence. But in *He watched / listened to my analysis of the sentence, my analysis* refers to the 'process' of my analyzing the sentence. In this case the nominal group *my analysis of the sentence* is to be analyzed as a **nominalization** of the event which would, if it was expressed congruently, be a clause (as in *I analyzed the sentence*). See Chapter 17 for how to analyze the 'incongruent' realization of events as nominal groups, i.e. as nominalizations.

#### 4.4.9 The typic determiner (td)

Look near the head of the ngp for a **typic determiner (td)** - an OCCASIONAL determiner. I have left this type of determiner till now, because it involves a type of selection that is like the representational determiner in being highly abstract. But in terms of its place in the sequence of elements it occurs immediately before the dd - and, because it is unusual to select both to have a dd and a td, when it occurs it usually is the 'rightmost' determiner. It answers the question: 'What type of thing?'

- (a) It is filled by an **embedded ngp** whose head is one of a small set of items such as *type, sort, kind, species, breed, make, brand, variety, class, category*, etc.
- (b) If there is a td, it is followed by **v** - unless the rest of the ngp is unrealized, as in *He's just bought a new type (of computer)*.
- (c) Sometimes the meaning of 'type' is present in the nominal group but is not realized overtly. This is **covert typicity**. This is most obvious when the head is expounded by an inherently **mass** noun such as *oil*, as in *They have just launched a new oil on the market*. The presence of the word *a* signals here that the meaning is 'a new type of oil'. (Note that we will not say that the words *type of* have been ellipsed from between *new* and *oil*.)

- (d) However, **covert typicity** also occurs with **count** nouns - although in such cases it has to be inferred from the context. Consider the case of *The army acquired two new tanks in 1998, a lightweight one for rapid advances and a general purpose one.* Here, the structural analysis does not show any difference between the two potential interpretations of *two new tanks*. Yet common sense (i.e. our beliefs about the world) tells us that this is just as much a case of covert typicity as that in (c) above. (As in (c) above, we will not say that *type of* has been ellipsed.)
- (e) Typic determiners cannot have any other determiner to the left of them. This is because whenever a **td** is used it transports the meaning to a different level of abstraction, so that the meanings apply to the head of the ngp that fills td. Thus the nominal group that is embedded in the td may itself have considerable internal complexity. (See also Section 13.4 below.)
- (f) In expressions such as *a fool of a boy* and *a giant of a man*, the meaning is roughly ‘a foolish type of boy’ and ‘a gigantic type of man’. We can therefore analyse *a fool of a boy* with *a fool* as a typic determiner, i.e. *a fool* [td] of [v] *a* [qd] *boy* [h]. The unusual thing about such examples is that a qd comes after the td in such cases, but the realization rules can handle this exception.

#### 4.4.10 The qualifier-introducing determiner (qid)

There is a type of determiner which looks exactly like a deictic determiner (dd), but which is not one. This is the **qualifier-introducing determiner (qid)**. Its sole function is to signal that the head is about to be **classified** by information that will be given in a **qualifier** (see Note 13), e.g. *those candidates who have gained First Class Honours*, and *those of you that are over thirty*.

- (a) It is practically always used with plural referents, and the determiner is practically always expounded by *those*. (If it is *these* it is a dd.)
- (b) Notice that the qualifier-introducing determiner cannot be treated as a deictic determiner, because it can co-occur with one, e.g. *Those (qid) of (v) her (dd) friends (h) who wish to remember her by making a contribution to a charity (q) should ....* and *Those of the family who have not been remembered in her will may challenge it.*

#### 4.4.11 The embedding of nominal groups within determiners

As this section has shown, nominal groups frequently fill elements of a higher nominal group. This may result in structures of considerable complexity.

Some of the major types are illustrated in the nominal group shown Figure 4 (which could occur as the Complement to *Ike has...*)<sup>12</sup>

12. For those who do not know, *Private Eye* is a British satirical magazine, famous for its controversial covers.

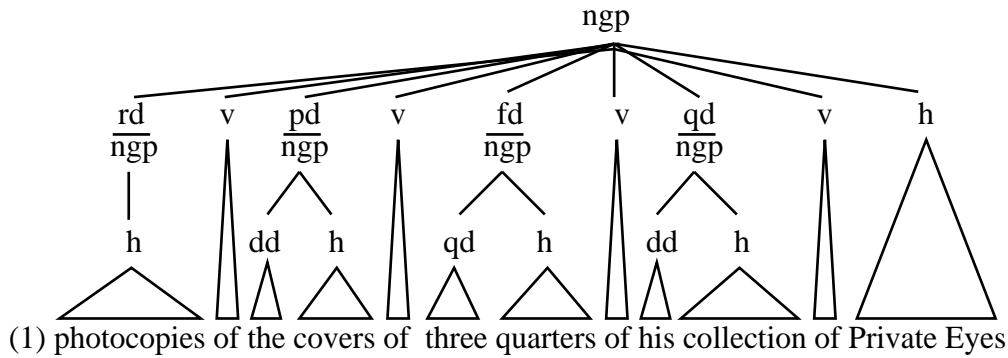


Figure 4: four cases of nominal groups embedded in a nominal group

The example shows four cases of embedding at a depth of one. Two questions now arise:

- 1 Can such embedded ngps themselves contain further embedded ngps? and
- 2 If so, how can we tell whether they are ‘sister’ elements of the ‘mother’ ngp, as in Example (1), or embedded in each other?

The answer to Question 1 is that several types can contain further embedding - and that they frequently do. The most frequent types are the **representational**, **partitive**, **quantifying** and **typic** determiners. The rest of this note answers Question 2.

In any one ngp, the sequence of the determiners that are filled by a ngp is:

**rd v pd v ... fd v qd v ...**

(This excludes the typic determiner, which is covered in the next note.) When the determiners occur in the above sequence there is NO FURTHER EMBEDDING. So in Example (2) below, the structure is simply **rd v qd v h**, with a ngp at each of rd and qd - as shown in Figure 5. We can say of the referent that it is not only *a picture of a bowl of fruit* but also *a picture of fruit*.

#### 4.4.12 The double embedding of nominal groups within determiners

However, IF THE DETERMINERS DO NOT APPEAR IN THE SEQUENCE GIVEN ABOVE, ONE DETERMINER AND ITS NOMINAL GROUP IS EMBEDDED IN ANOTHER. In this case the analysis is as shown for Example (3). Here we cannot say that the referent is *a roomful of fruit*. In other words, the quantifying expression *a roomful* applies only to the pictures, and not to the fruit.

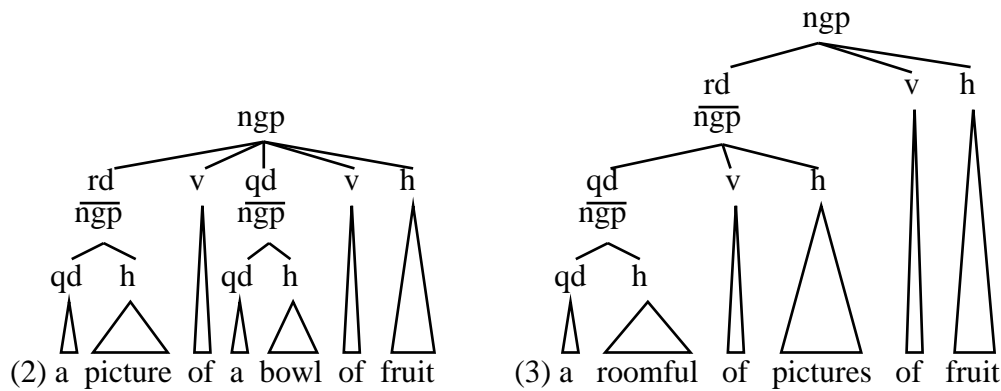


Figure 5:

Two nominal groups, only one of which has embedding to a depth of two

#### 4.4.13 The special case of the typic determiner

However, the **typic determiner** is a special case, in that none of the referents of the determiners that occur before it are selected from it (perhaps because it takes the referent into a new dimension of abstraction). Instead, EVERY DETERMINER THAT OCCURS BEFORE IT IS TO BE ANALYZED AS EMBEDDED IN THE NGP OF WHICH THE ITEM *type, sort, class, category, make, ETC.* IS THE HEAD. So in Example (4) the structure is essentially like that shown above for (3) - but with **rd** replacing the higher **qd**, and **td** replacing **rd**.

(4) a picture of three types of molecule

### 4.4 The qualifiers

#### 4.4.1 The classifying and depicting functions of the qualifiers

A ngp may also have a **qualifier (q)** - and occasionally more than one. Qualifiers serve one or other of the two 'general describing functions' that we first met when we were considering the modifiers, i.e. a qualifier is either **classifying** or **depicting**. Unlike the modifiers, which carry no overt markers that might show the analyst which of these two general describing functions is being served, you can practically always tell which of these two general functions a qualifier is serving. This is because, if it serves the depicting function, it will have a **separate information unit** - i.e. if it is a written text, the unit filling the qualifier will begin with a comma and it will end with a comma (or full stop, etc). But if it is classifying it will not.

#### 4.4.2 What fills a qualifier?

Qualifiers are typically filled by either:

- (a) A **prepositional group (pgp)**, as in *a girl with long hair* (see Section 5 below).
- (b) A **clause (CI)** as in *a girl who has long hair*. This type of embedded clause is called a **relative clause**, and it is usually introduced by a **relative pronoun** such as *who*. (Relative pronouns are listed in Section 2.2 above).

Less frequently a q may be filled by:

- (c) A **nominal group (ngp)**, which is usually given a separate information unit (so being preceded and followed (in the written form) by a preceding and a following comma, dash or bracket (as in *Peter Adams, a sixty year old farmer from Dorset, ...*).<sup>13</sup>
- (d) A **quality group** that would occur before the head as a modifier in an ordinary ngp will occur AFTER the head of the ngp - and so as the first qualifier - if the head is an **indefinite pronoun** (e.g. *something different / nice / new / Persian*. (However, examples such as *something iron /bronze* are unusual and \**something London* doesn't occur.)
- (e) Occasionally a qualifier is **discontinuous** with the rest of the ngp. We need to note two types.
- (i) In the first type a relatively long qualifier, i.e. one that is 'semantically heavy', is delayed so that it can occur AT THE END OF THE CLAUSE - but only when the rest of the clause is relatively short, and so 'semantically light' (e.g. *Then a man came in who I hadn't seen before.*) Here two general principles are operating: the first is the 'Get the pivotal element in soon' principle, and the second is the 'end weight' principle. (See Chapter 22 for these.)
- (ii) Occasionally in informal texts an **intensifying pronoun** such as *myself* is detached from the ngp. Consider the case of the two alternative later positions for *myself* in *If Herriot can't locate him, I <myself> will go up to Leeds <myself> to look for him <myself>*. (Note that the items in angle brackets are alternatives.)

**Problems to watch out for:**

- 1 Occasionally there is a post-head element that is not a q but a **quantifying determiner**, e.g. as in *We (h) all (qd) enjoyed it* and *We (h) have all (qd) seen it*.
- 2 Occasionally an **intensifying pronoun** such as *myself* occurs as q in a discontinuous ngp at S, often right at the end of the clause, as in *Peter (h) will announce the results himself (q)*.

#### 4.4.3 The role of qualifiers in nominalizations

**Nominalizations** may occasionally cause problems for the syntax analyst. A **nominalization** is a construction in which the meanings of an **event**, which are therefore typically expressed as a **clause**, are compressed into the more restricted structural resources of the **nominal group**. There is a full account of the various types of nominalization and the functions that nominalizations serve in Chapter 17. My purpose here is simply to provide CRITERIA FOR DECIDING WHETHER A PORTION OF TEXT IS A CLAUSE OR A NOMINAL GROUP THAT EXPRESSES A NOMINALIZATION. Consider the examples in Figure 6.

13. This relationship is known as 'apposition' in traditional grammars. We treat the second nominal group as a qualifier, because of its similarity in function to a qualifier such as that in *Peter Adams, who is a sixty year old farmer from Dorset, ...*

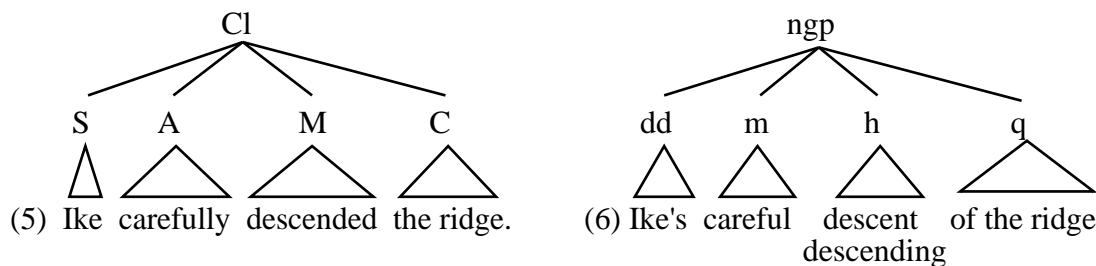


Figure 6: Two expressions of an event: in a clause and in a nominal group

Compare (5) and (6) in Figure 6. As you can, the Process that is typically expressed in a clause as the **Main Verb** is expressed in (6) as the **head** of a nominal group. The first Participant Role (PR) is expressed in (6) not as a **Subject** but as a **deictic determiner**, and the second PR is expressed not as a **Complement** but a **qualifier**. Finally, the ‘Manner’ of Ike’s descent is expressed not as an Adjunct but as a modifier. Note also that the head may be a **noun** like *descent* or a **lexical verb** like *descending*.<sup>14</sup>

The fact that a lexical verb may function as the head of a nominal group may cause difficulty at the very start of the analysis of a sentence. This is because, at that stage in the analysis, you are looking for the various **Processes** that are expressed in the sentence, in order to establish HOW MANY **clauses** there are in it. The question is:

**How do we know that *descended* in (5) is a Main Verb in a clause, and that *descent* and *descending* in (6) are the head of a nominal group?**

The answer has two parts:

- (1) **The problem only arises with any frequency with the *-ing* forms of verbs (and occasionally with *-ed* forms, such as *the seriously deprived*)**
- (2) **In such cases, we know whether it is M or h from the FORMS and FUNCTIONS of the other elements in the group, and from the FUNCTION that the clause or nominal group serves in some higher unit.**

In other words, *Ike’s* has the form of a typical deictic determiner (being a genitive cluster, as described in Section 8.1); *careful* is a typical modifier (being the apex of a quality group which could have a degree temperer such as *very* added to it, as described in Section 6), and *of the ridge* has the form of a typical qualifier, i.e. a prepositional group (as described in Section 5).<sup>15</sup> The function that the nominal group *Ike’s careful descent / descending of the ridge* serves is not clear from the example, but clearly it would function most typically as the Subject or Complement

14. This example illustrates the most frequent pattern - i.e. where the ‘typically first’ PR is expressed in the dd and the ‘typically second’ PR in the q. But it is possible for the ‘typically second’ PR to be expressed in the dd, as an example such as *the shooting of the policeman* shows. Here *the policeman* could be either the ‘shooter’ or the ‘shot’.

15. Strictly speaking, the first PR is the **possessor** in the **genitive cluster** at dd, and not the dd itself, and the second PR is the **completive** of the **prepositional group** at q, and not the q itself.

of a clause or the completive of a prepositional group - all typical places for a nominal group to occur. Thus it might be the Subject of a clause that continued .... *was a lesson to the whole party* or the Complement of *Everyone watched ...* or a completive in *The party was saved by ...*

Other types of nominalization are even more clearly ngps, such as *the destruction of the tombs* and *the first ascent of Everest* (in both of which the first PR is omitted, the dd being simply *the*). And in examples such as *the explosion* there is no problem at all.

#### 4.5 The Linker

Quite frequently a ngp that is not the first of a string of two or more co-ordinated units is introduced by a **linker (&)**. This element also occurs in all the other classes of group, in the genitive cluster, and in the clause.

- (a) It is typically expounded by *and* or *or*, but may occasionally be something else, such as *rather than*, *but not* and, in a recently greatly increased usage among those under about thirty, *plus*.
- (b) When *and* and *or* are used to link three or more units, there is very often no linker until the last unit, as in *my father, my mother and two of my aunts*. (Note that the commas are not **linkers**, but **enders**.)
- (c) Occasionally, at the start of the FIRST of two or more co-ordinated units, an 'anticipatory' linker occurs, as in *both X and Y, either X or Y, neither X nor Y, not X but Y, not only X but also Y*, etc.

#### 4.6 The Inferer

Occasionally a ngp has an **inferer (i)**. This element is most common in the ngp, but it also occurs in other groups. The equivalent in the clause is the Inferential Adjunct. The inferer occurs after the linker (if there is one).

- (a) It is typically expounded by *even*, *only* or *just* (when *just* is used in the sense of *only*), as in *Only Peter arrived on time*, and *Even Fred quite liked the play*.
- (b) In examples such as *He's such a fool (that we can't appoint him)* and *He's such a foolish man (that we can't appoint him)*, the inferer is filled by a qtgp, as in Figure 7. (For the structure of the quantity group, see Section 7.)

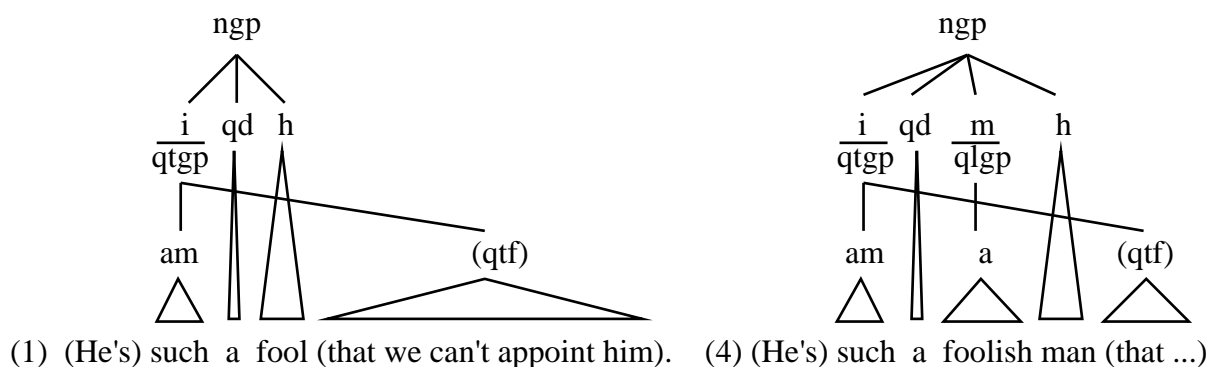


Figure 7:  
Two examples with *such* in a quantity group as the inferer in a nominal group

And in cases such as *He's so (very) foolish a man (that we can't appoint him)* the analysis is as in Figure 8. (For the structure of the quality group, see Section 6.)

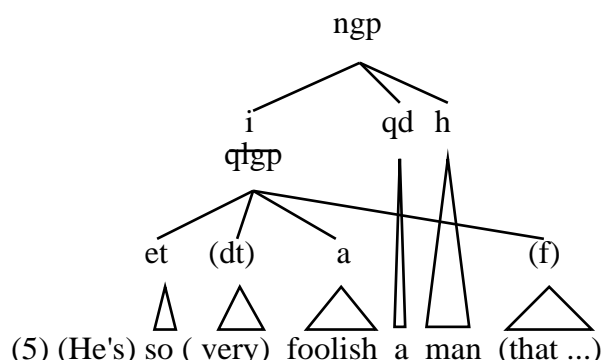


Figure 8: The word *so* in a quality group as the inferer in a nominal group

#### Problem to watch out for

Finally, we should note another meaning of *such*, which also precedes the quantifying determiner *a(n)*, as in *If you find such an offer (as this) acceptable, you should proceed immediately*. Here the meaning of *such* is 'similar in type to that specified in the preceding text. It has a similar meaning - except that it refers forwards in the text - in Such a man as Martin Luther King. Since, in such cases, this is a 'quality' rather than a 'quantity, we use the qlgp at i, rather as in Figure 8.

- (c) There are three other items which, like *such*, precede the qd when it is expounded by *a(n)*. They are *quite*, *rather* and *what* - as in *He's quite a (brave) man*, *She made rather a mess*, and *What a fool he is!* These examples follow the pattern of *such* in Figure 7, i.e. the items *what*, *quite* and *rather* are **amounts** in a **quantity group** at **i**.

### 4.7 The Starter and Ender

A ngp may also occasionally have an initial **starter (st)** and, more frequently, a final **ender (e)**. Starters and enders are introduced when the ngp is PRESENTED AS A SEPARATE INFORMATION UNIT.

In WRITTEN texts, the starter is typically a preceding comma, dash or opening bracket, and the ender is typically a final comma, dash or closing bracket. But the ender of the current unit is sometimes absent, when THE ENDER OF A HIGHER UNIT, such as a ngp or clause (**e** or **E**) occurs at the same point in the text.

In spoken texts, you should either reproduce the intonation by expressing it in terms of punctuation (as in dialogue in a novel), or - to give a much fuller representation - use a representation system such as that described in Paul Tench's *The Intonation Systems of English* (London: Cassell Academic, 1966).

### 4.8 Sub-grammar that use the nominal group

There are several areas of meaning in the language whose constructions can best be analyzed by using a SIMPLIFIED VERSION of the nominal group. These **sub-grammars** have only a restricted range of choices open to them, compared to the

range expressed in full nominal groups, but the functions served by their elements and even the items themselves reflect those of the nominal group. So, rather than setting up special syntactic units for these and so introducing a new set of labels to learn, we simply use the relevant elements of the ngp. Here is a brief guide to analyzing three of the most frequent types.

### 4.8.1 The cardinal numbers

These use just the **&**, **qd** and **h** of the ngp. Consider the case of *forty-two thousand, three hundred and ninety-seven people*. Here the qd *forty-two thousand, three hundred and ninety-seven* consists of three co-ordinated ngps. The first is *forty-two* (qd) *thousand* (h); the second is *three* (qd) *hundred* (h), and the third is *and* (&) *ninety-seven* (qd). The hyphenated items *forty-two* and *ninety-seven* are treated as single items. (Their internal morphology is a **base** (*forty* or *ninety*) plus a **suffix** (*-two* and *-seven*, but since our task here is to analyse syntax - not morphology - we simply show *forty-two* and *ninety-seven* as qds.) A ngp such as *ninety-seven* is very unusual - taking ngps as a whole - in having no head (in contrast with *ninety-seven thousand*, in which *thousand* is the head). **Filling:** typically either qd in a ngp, or the **amount** element (**am**) of a quantity group (see Section 7 below) - which itself fills the qd of a ngp - but also, more rarely, the ad of a qtgp as in *five hundred more*. (The same structures are used for complex ordinative numerals and fractions, as introduced in Sections 7.1 and 8.2 (a) respectively.) Figure 9 illustrates the analysis of an extremely complex cardinal number, and its complexity is such that all cardinal numbers can be analyzed within this framework. (For the ‘adjusting’ of a cardinal number, as in *around two hundred and fifty*, see Section 8.2 of Section 8, which is on the quantity group.)

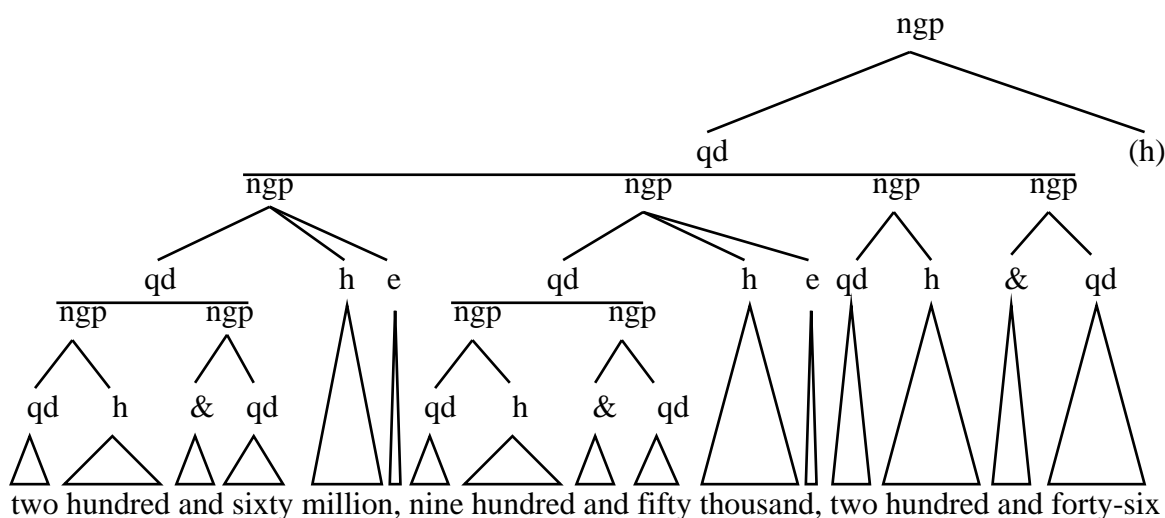


Figure 9: the analysis of the verbal form of the cardinal number 260,953,246

### 4.8.2 Deictic time and place

Like other types of ‘deictic’ meaning, part of the meaning of deictic time and place is that the ‘time’ or ‘place’ is located by reference to where THE PERFORMER IS LOCATED IN TIME AND SPACE. Semantically, ‘times’ and ‘places’ are simply types of

‘thing’, and on the principle that form should be shown as reflecting meaning whenever possible, we analyze examples such as *this week*, *today* and *the day after tomorrow* as nominal groups. The elements used for these structures are the **deictic determiner (dd)**, the **head (h)**, the **qualifier (q)** - and, when it is needed, the **inferer element (i)**. So, just as *this week* and *this morning* are analyzed as dd h, so too are *next week* and *last week*, and also *yesterday morning* and *tomorrow morning*. And *the day after tomorrow* is dd h q, with *after tomorrow* being analyzed as a prepositional group at q. When the items *yesterday*, *today* and *tomorrow* occur alone, they are heads - and so also are *then* and *now*, and the word that asks about time, i.e. *when*. As for deictic place, the only possible exponents of h are the equivalents of *now*, *then* and *when*, i.e. *here*, *there*, and *where*. Expressions such as *right then* and *over here* use the inferer element, so have the structure i h. **Filling:** ngps expressing deictic time typically fills A (specifying the ‘time position’), but sometimes S, C, or cv, and ngps expressing deictic place fill either an Adjunct expressing ‘place’ or a Complement in a locational clause such as *She is over there*.

### 4.8.3 Expressions of quantity

A third type of limited ngp is found at the various places in structure where quantity is expressed. at the **adjustor in quantity groups** at qd and A as in examples such as *a very great deal more (people)*. These use **qd, h** and occasionally **m**, with a rather restricted set of words and units at each. Ngps also occur as the ad in a qtgp filling p or B, e.g. the qtgp in *a few minutes before his arrival / he arrived*. Once the analyst has met a few such cases, others are readily recognized.

### Analysis Strategy

Analyzing a ngp (or any other group) is much easier than analyzing a clause, because the SEQUENCE of the elements is almost completely fixed. However, as with the clause (and indeed all units), you should NOT start on the left. The best strategy is to look for the elements in the following order:

- 1 the **head** (a ‘noun’, ‘pronoun’ or ‘proper noun’ - the last being, strictly speaking, a **human proper name cluster**, so having its own internal structure),
- 2 the **modifiers** (if any),
- 3 the **determiners** (if any, and their associated **selectors**, if any),
- 4 the **qualifiers** (if any),
- 5 the **starter, linker, inferer, and ender** (if any - as in all groups).

### Filling

Nominal groups may fill:

- 1 in the clause: S, C and, less frequently, A (e.g. *last week*)
- 2 in the pgp: cv,
- 3 in the ngp: rd, pd, fd, qd, m (in a truncated version)
- 4 in the qlgp: occasionally at dt (e.g. *two metres wide*),  
if the qlgp is at od: a (e.g. *the two hundred and fiftieth* (person))

- 5 in the qtgp: at am, when it is a cardinal number (e.g. *two hundred and fifty*)  
at ad, occasionally, when it is embedded in another qtgp,  
(e.g. *a very little bit over (a hundred)*).
- 6 in the genclr : po (See Section 8).

### **Problem to watch out for: the multiple ambiguity of *of***

The word *of* plays several different roles in the nominal group - and so may cause problems for the analyst. These roles are:

- 1 *of* as a **selector** (covered in Notes 3 to 13).
- 2 *of* as a **preposition** introducing a prepositional group as **qualifier**:  
Two of the most frequent types are:
  - (a) **nominalizations** (as covered in Note 15 above) and
  - (b) various types of **possession** relationship (ownership, social relationship, part-whole relationship, etc.) The concept is typically expressed in the deictic determiner (Note 4 above), but it is also expressed quite frequently - like the second PR in a nominalization, as a prepositional group in the qualifier of a ngp whose p is *of*. When this happens the 'possessor' is normally either (1) non-human or, if human, (2) semantically 'weighty' - and so formally 'long' in words.
3. In cases such as *a new way of opening cans*, we find a **clause embedded at q**, with *of* functioning as the **Binder**.<sup>16</sup>

## **5 The prepositional group (pgp)**

The **prepositional group** (pgp) typically contains an obligatory **preposition** (**p**) and a predicted (but occasionally **covert**) **completive** (**cv**). Most **prepositions** express a meaning of **minor relationship**. In over 99% of pgps a preposition occurs with the structure round it that is shown in Figure 10 (see below for the exceptions).

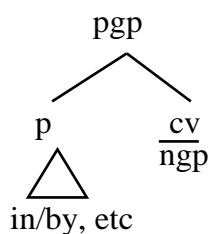


Figure 10: The typical structure of a prepositional group

At the end of the section you will find a summary of (a) the **Analysis Strategy** and (b) prepositional group's potential for **filling** elements of a higher unit.

- (a) The function of a **preposition** is to relate the referent of whatever fills the **completive** (almost always a **ngp**) to the referent of whatever unit the pgp is a part of. Usually this is EITHER:
  - (i) a nominal group that refers to an object, in which case the pgp fills a

16. There is also *of* as the preposition in a prepositional group that does not fill an element of nominal group structure at all. In *She reminds me of her mother*, the words *of her mother* constitute an unusual sort of Complement.

- qualifier (q)**, e.g. *the shop opposite the hairdresser's*,
- (ii) a clause that refers to an event, in which case the pgp fills EITHER an **Adjunct (A)**, e.g. expressing the ‘time’ or ‘place’ of the situation, etc, e.g. *She saw him in the afternoon*, OR a **Complement (C)**, e.g. in a ‘locational’ or ‘directional’ Process), as in *Ike went to Ireland*.

But pgps also regularly fill the **scope (s)** and **finisher (f)** in a **qlgp**, as in *more [t] skilful [a] with a scalpel s] than me [f]*, or a **qtf** in a **qtgp**, as in *more [am] (icecream) than that [qtf]*.

In functional terms, there are THREE MAIN TYPES of preposition.

- (b) The first type of preposition expresses a **minor relationship** THAT HAS ITS OWN SEMANTIC CONTENT. In such cases **p** typically expresses a ‘minor relationship’ of ‘location’ in ‘space’ or ‘time’, as in (i) and (ii) below, or a ‘direction’ (typically in space). But prepositions also express other meanings, as in (iii) to (viii).
- (i) location in ‘space’, i.e. ‘place’ (which may be ‘static’ or ‘directional’, with a large overlap of items between these two broad semantic types), including: *at, by, beside, near, close to, in, inside, within, out of, outside, in front of, behind, over, under, above, below, on top of, underneath, beneath; to the right / left of, (to the) north / south / east /west of; to, into, onto, on to, out of, away from, off; past, through, between, via, etc.*,
- (ii) location in ‘time’ (‘position’ or ‘duration’), including: *in, on, at, before, after, during, since, for*.
- (iii) ‘logical relationship’ (*because of, in spite of, despite*),
- (iv) ‘similarity’ (*like*),
- (v) ‘instrumentality’ (*with*),
- (vi) ‘accompaniment’ (*with*),
- (vii) ‘possession’ (*with* in *with long hair* and *of* in *the hands of the clock* and *a friend of mine*),
- (viii) ‘similarity’ (*like, unlike*)
- (ix) other types of relationship, as required in various types of Circumstantial and other Adjuncts.

We can also treat as prepositions (unless we introduce the concept of the ‘ancillary grammar’) the following items (which many other grammars simply ignore) e.g., *i.e., viz*, etc, as in *Mr Jones, i.e. the main suspect ...*

- (c) The second major type of preposition marks a **Role in an event** - where the event may be expressed in a **clause** or, through the nominalization of the event, in a **nominal group**. In a clause it is always **by**, but in a nominal group it may be either **by** or **of**. It expresses:

- 1 the concept that the cv is a PR IN AN EVENT, and
- 2 whether it is the ‘typically first’ or ‘typically second’ PR.

So in the **clause** *Their papers were checked by the customs officer* (i.e. in the ‘passive’ construction) the word *by* shows (a) that *the customs officer* is a PR - and (b) that it is the ‘typically first’ PR. **Hereby** is the p of a pgp that fills a C

in a clause. And when the word **of** is the p in a pgp at q in a ngp, it can serve a remarkably similar function. This occurs in a ngp that expresses the ‘nominalization’ of an event, such as *the shooting of the policeman*. Here the word **of** shows that *the policeman* is a PR in the Process of shooting - and the word **of** usually indicates that what follows is the ‘typically second’ PR (here, the person who was shot). However - as you may have noticed already - *the policeman* could just possibly be the ‘shooter’, though this is much less frequent. And in many cases, such as *the ascent of Everest*, the overwhelming probability is that Everest is the ‘typically second’ PR in the Process of ‘ascending’. But in principle what follows the word **of** could be either the ‘typically first’ or the ‘typically second’ PR, and the item **of** does not tell us for certain which it is. However, in natural texts our beliefs about the world and/or the preceding text practically always makes it clear whether the meaning of ‘typically first PR’ or ‘typically second PR’ is intended.

- (d) Thirdly, the preposition may be PART OF THE MEANING OF THE PROCESS, i.e. a **prepositional verb**, as in *She was listening to an old Bob Marley tape*. It may also occur in a **phrasal-prepositional verb**, as in the case of *with* in *I won’t put up with this any longer*. Note that the item **of** also occurs in this context, as in *He got rid of his debts* and *She is fond of him*.
- (e) The **completive (cv)** is almost always filled by a **ngp**, as in *with a load of groceries*. It tells us what thing is being related by the preposition to another thing (or situation). Very occasionally it is filled by a **clause**, as in *with what you can carry*, or another **pgp**, as in *from behind the shed*. Sometimes the cv is **not expounded** at all, as in *He got his left hand over the lower bough, and then reached for the branch above it*.
- (f) Occasionally a **preposition** is NOT directly expounded by a prepositional item - but is filled instead by a **qtgp** (see Section 7). This can occur with most types of p. Examples are: *right into the corner*, *just after breakfast*, *almost immediately after lunch*, and *five minutes before their departure*. The difference from the examples in Note 7 below is that here there is a closer semantic relationship between the two elements of the unit that fills the p than there typically is between the prepositional temperer and the preposition itself, as in Note 7.
- (g) Occasionally the p is preceded by a **prepositional temperer (pt)**, e.g. (*she is*) *out (pt) in (p) the garden (cv)*, (*She lives*) *up on the mountain*, (*He is*) *over/round by the shed*, (*I’m going to lay down my sword and shield*) *down by the riverside*, etc. Note that these differ in structure from the pattern described in Note 6 above, in that THE CONCEPT EXPRESSED IN THE **pt** APPLIES TO BOTH THE P AND THE CV. Indeed, in some cases the pt (or a closely related item) can also be used as a p, in roughly its same sense. Consider the following: (*she is*) *out (in) the garden* (in some dialects), (*she lives*) *up (on) the mountain*, and (*he is*) *round (at) the back (of the house)*. And in *She lives right up on the mountain*, the word *right* seems to ‘modify’ (in the general sense of the word) *up*, so we use the quantity group to analyze it, just as for the preposition itself (see Note 6).

- (h) There are TWO prepositions which occur quite frequently and which occasionally show patterns of structure that are typical of adjectives. When this occurs (but not otherwise) the preposition should be shown as being filled by a **qlgp** (see Section 6). The two words are *like* and *near*, as in *She is very like her mother*, and *Ivy lives nearer London than you do*. (For **discontinuity** in a unit, as in this last example, see Section 12.) But when *like* or *near* occurs alone, you can show it as directly expounding p.
- (i) A more complex type of filling occurs in *far / further (away) from*, where the item(s) (*away*) *from*, which would otherwise be treated as a simple preposition, constitute the **amount**, and the item *far* or *further* is the **adjustor**. So in *She lives further out of / (away) from London than I do*, the item *further* is an adjustor.
- (j) With some prepositions, when the cv is fully recoverable, we sometimes find an **unexpounded completive** - as in the last pgp in *He climbed out of the window and onto the roof above (it)*. Here *above* is the p in a pgp without a cv (with the pgp functioning as a qualifier in the ngp *the roof above*). (
- (k) There is one regularly occurring item that has the same general semantic function as a 'pre-position' but which occurs in a 'post-position' (also **p**). This is *ago*, as in *five weeks (cv) ago (p)*. (Note that *five weeks before / after* are all quantity groups at p; see Section 7.)
- (l) A pgp may also have any or all of the following: (i) a **starter (st)** and, more frequently, an **ender (e)**, (ii) a **linker (&)**, and (iii) an **inferer (i)**, just as described for the ngp (see Notes 16, 17 and 18 of Section 4).
- (m) When the cv is a **wh-item**, it typically occurs initially in the clause, with the result that it is separated from the rest of the pgp - e.g. *What at?* (For **discontinuity** in a unit, as in this last example, see Section 12.)

**Analysis strategy** You are likely to become aware that a unit may be a pgp by finding a ngp with a p in front of it (a 99% guideline). The best strategy is to identify the elements in the following order:

- 1 the **preposition** (or the 'post-position' *ago*),
- 2 the **completive**,
- 3 the **prepositional temperer** (if any),
- 4 the **starter, linker, inferer, and ender** (if any - as in all groups).

**Filling** pgps may fill

- 1 in the clause: C, A and occasionally MEx, XEx and S,
- 2 in the ngp: q,
- 3 in the pgp: rarely, cv,
- 4 in the qlgp: s and f,
- 5 in the qtgp: qtf.

**Problems to watch out for:**

- 1 The word *to* occurs frequently as a **preposition**, but even more frequently as an **Infinitive Element (I)**. When it is p it is almost always followed by a cv filled by a ngp, and when it is I it is followed by X or M.

- 2 The word *of* occurs very frequently, both as a **selector (v)** and as a **preposition** (typically in a q, often when the ngp is a nominalization).
- 3 Many other items occur as either a **Binder** or as a **preposition**. As Binders they occur regularly in either a **full clause** or a **partial clause**. In a full clause they are: *after, as, before, since, till, than, until*, and also (but only as B in modern usage) *like* (as in *like he always does*). Those that occur in a partial clause such as *before visiting her* include most of those just listed, and also *about, at, besides, between, by, from, in, in spite of, despite, for, of, on*.
- 4 Any item that can be either B or p can also be the **amount** in a **qtgp** at either **B** or **p**, as in *immediately after, five minutes before*, etc. (For the qtgp see Section 7.)

## 6 The quality group (qlgp)

We begin with standard quality groups, which are by far the most frequent type, and then expand the picture to include ‘superlative’ and ‘ordinative’ quality groups. Much of what is said in Notes (a) to (k) applies to the ‘superlative’ type, and some to the ‘ordinative’ type.<sup>f</sup>

At the end of the section you will find a summary of (a) the **Analysis Strategy** and (b) the quality group’s potential for **filling** elements of a higher unit.

(a) In the **quality group (qlgp)** the **apex (a)** is OBLIGATORY. All other elements are optional.

(i) Almost always a qlgp expresses:

EITHER a meaning of the **quality** of a **thing**,  
as in *he is very careful* - when the qlgp occurs at **C**, or  
as in *He is a very careful man* - when the qlgp occurs at **m**  
OR a meaning of the **quality** of a **situation**,  
as in *he folded it very carefully* - when the qlgp occurs at **A**.

(ii) The **apex** answers the question:

### What quality?

- (i) When the qlgp is a QUALITY OF A THING, the CLASS OF WORDS that expound the **apex** is the **adjectives**.
- (ii) When it is a QUALITY OF A SITUATION, THE CLASS OF WORDS that expound it is the **manner adverbs**. Manner adverbs are almost always formed from one of a sub-set of adjectives which could precede the word *behaviour*, plus the suffix *-ly*. (One exception is the adjective *fast*, which functions as an adverb without the *-ly* suffix.)

(b) The apex may optionally be tempered by a **temperer**. There are three types, and we deal first with the most frequent type. This type answers the question:

### How much of the quality is there?

In traditional grammar this element is often described as expressing the ‘degree’ of the quality (which comes to the same thing) so we could also express the question as:

### To what degree is the quality present?

We therefore term this type of temperer the **degree temperer (dt)**.

There are TWO TYPES of degree temperer: the **simple degree temperer** and the **referencing degree temperer**.

(c) **The simple degree temperer**

- (i) The most frequent type of degree temperer is a **simple degree temperer**. This type completes the meaning of ‘tempering’ in the qlgp on its own.
- (ii) The word that most frequently expounds dt is *very*, as in *very happy*. This expresses ‘amplification’ of the meaning of *happy*.
- (iii) Other ‘amplifiers’ include the underlined words in the following: *extremely wise*, *awfully sad*, *frightfully clever*, *marvellously amusing*, *terribly good*, *terrifically good*, *fairly clever*, *rather unhappy*, *quite rich* *pretty good*
- (iv) A special case is *most*, as in *That’s most impressive*. Note that here *most* is a simple degree temperer, and not a ‘superlative’ (as in *the most important*, for which see Note 9 below).
- (v) A few of the strongest ‘amplifiers’, including *very*, *quite* and *terribly*, occur with **reiteration**. This is a type of recursion that is used with relatively few items in English. Examples are: *She is said to be very, very, very rich*, and *His performance was quite, quite remarkable*. Such cases should be analyzed simply as having many degree temperers rather than one that is expounded by many items. (This necessary in order to allow for the insertion of information unit markers when needed, represented as i1, i2, i3 etc.)
- (vi) Some interesting cases include: *not unintelligent* (where *not* is not a Negator), *scarcely intelligible*, and *nearly dark*.

**Problems to watch out for:**

- 1 A degree temperer may be filled by a nominal group with a ‘measure’ word at its head, as in *two foot wide*, *three metres thick*, *five miles deep*, etc.
- 2 Sometimes the degree temperer is filled by a quantity group (which is described in Section 7). So in *about two foot wide* the expression *about two foot* is a quantity group, with *two foot* as its amount.
- 3 An unusual use of the item *this* is as a degree temperer, e.g. in *It was this high!*

(d) **The referencing degree temperer**

The second main type of degree temperer is the **referencing temperer**. This identifies the degree of the quality with reference to the degree of that quantity (and very occasionally another quality) in some other situation. These temperers therefore express a meaning which PREDICTS the presence of a following element, named a **finisher (f)**, in which the comparison is made. It is called a finisher’ because it ‘finishes’ off the meaning begun in the temperer (see Note 5 below). Thus, in the underlined qlgp in *He is more important than the Prime Minister*, the words *than the Prime Minister* ‘finish’ the meaning of *more*. They do NOT finish the meaning of *important*.

- (i) There are regular patterns of (a) **degree temperers** and (b) the following **Binders** (in clauses) or following **prepositions** (in pgps), i.e. in the unit that fills the finisher. These patterns are:

*more/less ... than* [B or p] ...,  
*as ... as* [B or p] ...,  
*too ... for* [B or p], followed by *to* [I] ...,  
*sufficiently ... for* [B or p], followed by *to* [I],  
*... enough for* [B or p], followed by *to* [I].

**Problem to watch out for** The item *so* in *he is so weak that he'll never get there* at first appears to be a temperer of this type, but in fact it is to be treated, as Note 3 below shows, as an **emphasizing temperer**.

- (ii) Sometimes the word that predicts the item introducing the finisher (e.g. as *more* predicts *than*) has to be analyzed NOT as directly expounding the degree temperer, but as the **amount** of a **quantity group** that fills it. For example, consider *more* in *She is much more important than the Prime Minister*. Here *much more* is the degree temperer of *important*, and it is filled by a qtgp with *more* as its amount. (For the quantity group see Section 7).
- (iii) All the words used in this type of degree temperer can occur WITHOUT A FINISHER. In other words, the meaning of comparison that is typically expressed in the finisher may be left unexpressed - e.g. as in *She is more important*. In such cases this unexpressed finisher is **covert** - just as, in a clause, a PR that is expected by the Process but unexpressed is covert.
- (iv) There is one type of referencing temperer, namely *enough*, which occurs AFTER THE APEX, as in *rich (a) enough (dt) to buy a Rolls Royce (f)*.
- (v) There is one **degree tempering meaning** which is regularly expressed in the **apex**. If the Performer chooses (a) the meaning of 'greater quantity' (which is also expressed by *more*) and (b) a 'quality' meaning that is expressed in a short word, then the suffix *-er* is attached to the apex - e.g. as in *greater* and *happier*.
- (vi) Typically, a degree temperer is directly EXPOUNDED by an **item** such as *very* or *more*, as above. But, it is also occasionally FILLED by a **quantity group**, as in *rather more promising* and *a little bit too inquisitive*, as in (7) in Figure 11. (See Section 7 for the types of quantity group that fill degree temperers.)

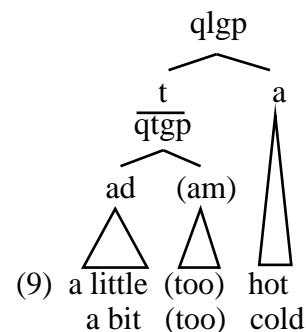
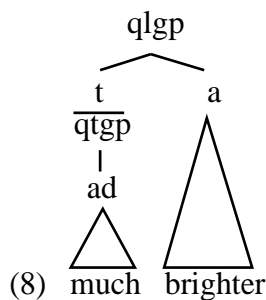
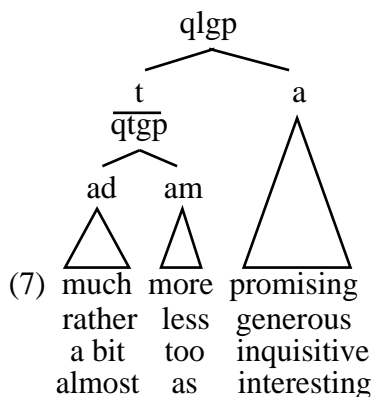


Figure 11:

Three types of complexity in the internal structure of degree temperers

- (vii) When the two phenomena described in (v) and (vi) occur together, we have an interesting case which is syntactically odd, but perfectly regular in semantic terms. The degree temperer is filled by a **qtgp** that only has an **adjustor**, as in *the weather's looking much brighter*, as in (8) in Figure 11. Compare this with *the weather's looking much more promising*, as in (7). To be consistent with the analysis of (7) we must show that *much* in (8) is also the adjustor in a quality group at **t**, and NOT SIMPLY A DEGREE TEMPERER. This example shows why we do not show *brighter* as 't/a' - i.e. if we did it would result in a qlgp with two degree temperers.
- (viii) In *It was a little / a bit hot* we find a rather similar phenomenon. The analysis is as in (9) in Figure 11.

(e) **The emphasizing temperer (et).**

It is almost always the word *so*, as in *he is so sad these days* (but see (iv) below). It has two uses, and these correspond to the 'simple quantifying' and 'referencing' meanings that we have met for the degree temperer.

- (i) The 'simple quantifying' use simply 'emphasizes' the sheer quantity of the quality - which is why it has the word 'emphasising' in its name. Semantically, then, it is very like an amplifying determiner. Indeed, it can be **reiterated**, as in *he is feeling so, so sad* (just as *very* can, as pointed out in Note (c) (v) above. When it is used in this sense it is typically SPOKEN WITH A STRONG SYLLABLE.
- (ii) The 'referencing' use predicts a finisher - again, as one type of degree temperer does. The finisher is always a clause and it is typically introduced by the Binder *that*, as in *he is so fat that he can hardly get into a car*.
- (iii) We cannot simply treat *so* as another degree temperer, because each of the two types can co-occur with the most frequent type of temperer, i.e. the degree temperer, as in *he is so very happy (that he does not want to move)*.
- (iv) The one exception to the generalization that the emphasizing temperer is expounded by *so* occurs in the superlative and ordinative types of quality group. Consider examples such as *the very biggest / best that I've ever seen*. Notice that in such cases the 'superlative' meaning that its typically expressed in the temperer is expressed within the apex.<sup>g</sup>
- (v) The two tests for the **emphasizing temperer** are therefore:
  - 1 **Is it the word *so*, such that it EITHER emphasises the quality OR predicts a finisher that describes a 'result'?**
  - 2 **Is it the word *very*, such that it precedes an apex that expresses a superlative or ordinative meaning?**

(f) **The adjunctival temperer (at)**

This type of temperer is given this name because it has a number of sub-types, each of which corresponds to the function of a type of Adjunct. So far three have been identified, as illustrated below.<sup>h</sup> This type of temperer is less frequent than the other two main types, but it clearly serves quite different functions, and it is required in a full description of English.

(i) We can demonstrate that it is needed as well as the preceding two, because ALL THREE CAN OCCUR IN THE SAME QUALITY GROUP - as in *so* [et] *very* [dt] *socially* [at] *inept* [a].

(ii) The three types express EITHER

a **viewpoint**, e.g. (*He is*) *socially inept* and (*They are*) *militarily weak*,

OR

a **result**, as in *disappointingly poor results* and *pleasingly high marks*,

OR

a **manner**, as in *quietly effective* and *very strongly suggestive* .

(iii) The first type expresses a meaning that is sometimes close to that of a scope in a qlgp, as in (*He is*) *inept* [a] *in social terms* [s]. As with other possible scopes, they sometimes seem to function more like Adjuncts; compare *He is socially inept* with *Socially, he is inept*. But this type of alternative near-equivalent expression as an Adjunct is less open to the second type and is not open at all to the third.

(iv) These items are generated from the same part of the system network as they would be generated from if they were simply functioning as Adjuncts, and they are therefore to be analyzed as **quality groups** that fill the adjunctival temperer (as is suggested by the presence of the degree temperer *very* in the last example above).

**Problem to watch out for** There are certain items, such as *deliriously*, *disgustingly*, *wildly* and *amazingly*, that can function EITHER as **adjunctival temperers** (in which case their experiential meaning retains at least some of its force) OR as simple **degree temperers**.

(v) The question it answers is therefore:

**Does this element express a ‘viewpoint’, ‘result’ or ‘manner’?**

(vi) Finally, note that an **adjunctival temperer** can occur AFTER THE APEX, e.g. as in *he is less* [dt] *inept* [a] *socially* [at] *than I had thought* [f].

(g) The function of the **finisher (f)** is to FINISH OFF the meaning that typically BEGINS in the degree temperer (or in the emphasizing temperer or in the apex in a case such as *taller* or *worse*). It therefore answers the question:

**How is the ‘tempering’ meaning finished?**

The finisher may be filled by:

(a) a **ppp**, as in *more intelligent than him*, where *than* is p, OR

(b) a **clause**, as in *more intelligent than he is*, where *than* is B.

When it is filled by a clause, there is nearly always a covert PR at C - this being OBLIGATORILY UNREALISED when it is the same as the item at the apex. So in *Ivy is more intelligent than he is*, the analysis of *than he is* is B S O/M (C). But on the relatively rare occasions when the ‘quality’ at C in the finisher is different from the apex, as in *He is more intelligent than he is rich*, the C is overt.

- (h) The function of the **scope (s)** is to specify further the meaning of an **apex**, as in *Fred’s good at tennis, better at tennis than I am*, etc. It is easy to distinguish it from the finisher, because the meaning that it completes is clearly the meaning of the apex and not the degree temperer. Occasionally there are **TWO scopes**, as in *angry (a) with me (s) about my plans (s)*.
- (i) If a qlgp has **BOTH a scope and a finisher**, the scope typically comes first (70-90% reliable). However, if a scope is semantically ‘heavier’ than the finisher (or than another scope) it is typically placed **LATER** in the qlgp.
- (j) Summary so far: the type of qlgp that we have been considering so far typically fills

EITHER a **modifier** in a **nominal group**  
OR a **Complement** in a **clause**.

- (k) When the qlgp fills a m of a ngp, and when it has a scope or a finisher (or both), **THE SCOPE OR FINISHER OCCURS AFTER THE HEAD OF THE NOMINAL GROUP**. In other words, this results in the relatively unusual phenomenon of **discontinuity** in the qlgp. For example, the analysis of the qlgp in *She is a more important person around here than he is* is as in (10) in Figure 12. Note that if the ngp has a qualifier, this typically follows the scope and/or finisher. (For other types of **discontinuity** in a unit, see Section 12.)

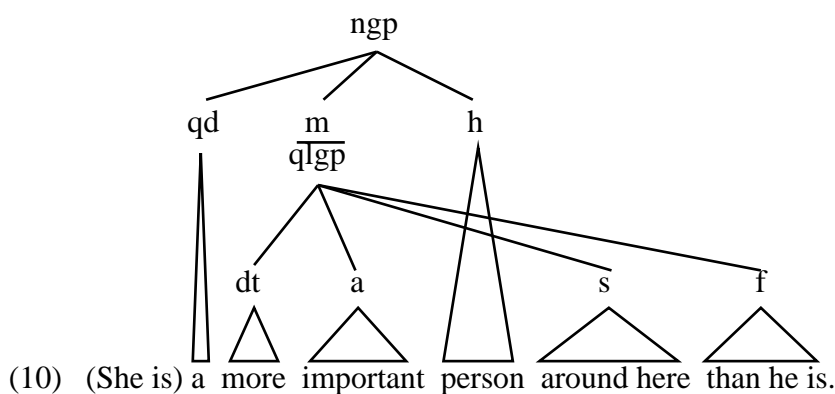


Figure 12: Discontinuity in a quality group at m

### (l) The ‘superlative’ quality group

This type of quality group has an internal structure that is partly different from the quality group structure that we have been considering so far, and it fills a partly different set of elements. It fills

EITHER a **superlative determiner** in a **ngp**  
OR a **Complement** in a **clause**.

Examples are the underlined portions of:

*These are the finest (sd) of (v) Fred's dd) roses (h) and  
They are the most prestigious (in the world).*

It answers the question:

### **What quality to a unique degree?**

- (i) The meaning of 'superlative uniqueness' is typically expressed in one of the following three ways:

in a **degree temperer**, typically *most* but sometimes *least*,  
in the **apex** where the word ends in *-est* (where the meaning is the same as *most*).  
in the **apex** if the item is one of the frequent but irregular forms *best* or *worst*.

- (ii) However, in the special case where

- 1 ONLY TWO of the things being compared, and
- 2 the register of the text is FORMAL,

we find examples such as *the elder of the two girls*

**Problem to watch out for:** This should not be confused with a simple comparative that fills the modifier of a nominal group. It can be recognized by re-expressing it in a casual style of speech, i.e. by replacing the *-er* from by a *-est* form. If there is no change of experiential meaning the unit is a quality group that is filling a superlative determiner.

- (iii) A qlgp functioning at **sd** almost always has ONE ADDITIONAL ELEMENT that does not occur in the type of qlgp that occurs at m - and may have two.
- (iv) The first new element is the **quality deictic (qld)**, as in the first element of *the most important of all*. Note that
- 1 It is VIRTUALLY OBLIGATORY.
  - 2 It is almost always expounded by the word *the*.
  - 3 Occasionally we find a possessive expression such as *my* or *the new teacher's* - but when this happens there can be no dd later in the ngp.

- (v) It may at first be tempting to analyze the items *the* and *finest* in an example such as *the finest of the cups* as if they were simply dd and m. This is what most other grammars do, but it leads to a serious problem which is avoided in the approach taken here. This is because it would introduce TWO DEICTIC DETERMINERS into the structure of a single nominal group - and this goes against one of the principles of a functional grammar, namely that EACH ELEMENT IN A UNIT IS FUNCTIONALLY DIFFERENTIATED FROM ALL THE OTHERS, i.e. EACH EXPRESSES A DIFFERENT TYPE OF MEANING. The analysis of such examples in the present grammar is as shown in Figure 13:

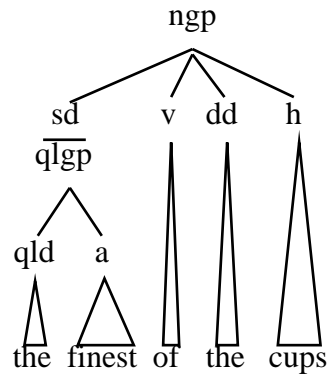


Figure 13: Two instances of *the* in the same nominal group

- (vi) The second additional element is the **quality quantifier (qlq)**. It occurs only occasionally. Note that
- 1 It can EITHER precede the degree temperer, as in *the (qld) five (qlq) most (dt) intelligent (a)*, OR follow the apex, as in *the (qld) most (dt) intelligent (a) five (qlq)*.
  - 2 Like the qld, the qlq can occur in the same ngp as an apparently similar element in the ngp above, as is shown by the occurrence of the two cardinal numerals *two* and *twenty* in *two (qd) of (v) the twenty most eligible (sd) princes (h)*.
- (vii) There is a special type of **finisher** for such qlgps, in which the meaning of ‘superlative uniqueness’ is ‘finished’ by stating the ‘realm’ (in space or time or some group of which the referent is a member) for which the uniqueness holds, e.g. *the cleverest of them all*, *the biggest in the world*, *the fastest this year*. This type of f is typically filled by a pgp with *in* or *of* as the p.
- Problem to watch out for:** Note that it is the ‘tempering’ meaning (*most*, *-est*) that this ‘realm’ meaning completes, and not the meaning of the apex - so it is not a scope.
- (viii) Like a qlgp at m, a qlgp at sd may be **discontinuous** if it has a scope or finisher - as in *the most skilful person in the world at scrabble*. The analysis is therefore fairly similar to that in Figure 12, with the obvious adjustments.
- (ix) Occasionally a ‘superlative’ qlgp occurs at sd in a ngp without a following head, as in *The smallest (ones/boys) won’t be able to reach the bar*.
- (x) While most ‘superlative’ qlgps fill a sd, a qlgp may also fill a C in a clause, when the type of thing is inferable - just as the more frequent type of qlgp can fill a C. Compare *She is very [t] clever [a]* and *She is the [qld] cleverest [ta] (in the room [s])*.
- (xi) When a ‘superlative’ qlgp is at C, it occasionally occurs without the qld, e.g. *He is happiest / most contented when he is alone.*)

**Problems to watch out for:**

- 1 The word *most* does not always signal a ‘superlative meaning’. It is sometimes used as a strong version of ‘very’, as in *This is a most important matter* - where the structure of the ngp is a (qd) *most important* (m) *matter* (h). The lack of a qld shows that the meaning is not ‘superlative’. On the other hand, the clause *This is the most important matter* is ambiguous.
- 2 Conversely, the word *more* may occasionally be used in a ‘superlative expression’ (as in Note 7.1. above).

**(m) The ‘ordinative’ quality group**

This type of quality group is like the ‘superlative’ quality group in having an internal structure that is partly different from the quality group structure that we considered in (a) to (k), and it too fills a partly different set of elements.

It typically fills the **ordinative determiner (od)** of a ngp, as in *the third of the runners*. Like the superlative quality group, this one too can directly fill the Complement, as in *She was the first to do it*.

It answers the question:

**What position in sequence?**

- (i) Here the apex of the qlgp is expounded by an **ordinative numeral**, such as *first, second, third*, etc., and also *next* and *last*. The term ‘quality’ in ‘quality group’ is therefore being stretched here to include the ‘quality of being first, second, next, last’, etc. When the ordinator numeral is complex, as in *the two hundred and twenty-ninth runner*, the structure of co-ordinated nominal groups is used to show what fills the apex, just as when complex cardinal numerals fill the qd of a ngp (see Section 17.1).
  - (ii) The element qld functions in a qlgp at od in a very similar way to the way in which it functions when a qlgp fills a sd.
  - (iii) The same is true of the **quality quantifier (qlq)**, as in *the first two of the runners*. Indeed, Notes (I) (iii) to (viii) on the superlative determiner apply here too. So the ordinator quality group can also occur as a discontinuous unit, e.g. *She was the (qld) first (a)woman in the history of the world (f) to swim the Atlantic (s)*. (For **discontinuity** in a unit, as in this example, see Section 12.)
- (n) It is very unusual for BOTH the **superlative** and the **ordinative determiners** to occur in the same ngp, since both can be used as ways of ‘uniquely’ identifying the referent. But the two can occur together, as in *the fastest [sd] of the first three [do] of the runners*.
- (o) Occasionally a qlgp fills an **Auxiliary Extension (XEx)** in a clause, as in *She’s absolutely bound to like him, She’s more likely than I am to like him*, and, with discontinuity, *She’s more likely to like him than I am*. (For **discontinuity** in a unit, as in this last example, see Section 12.)
- (p) Occasionally a qlgp fills the **degree temperer (dt)** of a qlgp. This occurs most frequently when the apex of the matrix qlgp is expounded by a ‘colour’ and the apex of its own qlgp by a ‘shade’ (*light, dark, bright, dull, pale, deep*) - as in *a very dark red cover* and *the lightest blue eyes of anyone I’d ever seen*.

(For **discontinuity** in a unit, as in this last example, see Section 12.)

- (q) Occasionally a qlgp fills the **preposition (p)** of a pgp, as in the underlined portions of *She is very like her mother* and *She lives quite near me*.

There are only two items of this sort, namely *like* and *near*.

- (i) When *like* or *near* occurs without any other element that requires you to introduce a qlgp at p, you should simply show it as directly expounding p.
- (ii) Despite the semantic similarity of *near: nearer* and *far: further*, the items *far* and *further* do not function as prepositions. In other words, in examples such as *far / further (away) from London*, it is *(away) from* and not *far* that functions in the equivalent way to *near*. In *She lives further out of / (away) from London than I do*, the item *further* is in fact an adjustor in a quantity group; see Section 7 for quantity groups, and Chapter 8 for the grammars of (1) *away from, out of*, etc, and (2) *near, close* and *far*.)
- (iii) Occasionally the qlgp at p is **discontinuous**, as in *Ivy lives nearer London than you do*. (For the analysis of discontinuity in a qlgp, see Figure 12 above, and for discontinuity in general see Section 12.)
- (r) Very occasionally, the qlgp fills the **head** of a **nominal group**, e.g. *very poor* in *The very poor (deserve our support)* and, even more rarely, *most privileged* in *The most privileged (should pay more taxes)*. The analyses in the two cases are shown in (1) and (2) in Figure 1 (in Paragraph 1.6 of Section 4 above).
- (s) A qlgp may also have any or all of the following: (i) a **starter (st)** and, more frequently, an **ender (e)**, (ii) a **linker (&)**, and (iii) an **inferer (i)**, just as described for the ngp (see Notes 16, 17 and 18 of Section 4).

### Analysis strategy

Analyzing a qlgp (or any other group) is much easier than analyzing a clause, because the SEQUENCE of the elements is almost completely fixed. However, as with all units, you should NOT start on the left. The first element to identify is the **apex (a)**. It is typically an ‘adjective’ (e.g. *careful*) or an ‘adverb of manner’ (e.g. *carefully*), and it answers the question ‘What quality (of the thing or situation)?’. But it can also be an ‘ordinative quality’ such as *first, second, fifty-fourth, next, last*, etc. The best strategy is to look for the elements in the following order:

- 1 the **apex (a)** (a ‘quality’ (including an ‘ordinative quality’),
- 2 the **degree temperer (dt)** (if any - typically a quantity; if the dt is *enough* it comes after the apex,
- 3 the **finisher (f)** (if any), which finishes the meaning typically begun in t,
- 4 the **scope (s)** (if any), which completes a meaning begun in a,
- 5 the **emphasizing temperer (et)**, realized by *so*, and by *very* if filling sd or od,
- 6 the **adjunctival temperer (at)**,
- 7 (if at **sd** or **od** or occasionally **C**): the **quality group deictic determiner (qld)** and the optional **quality group quantifying determiner (qlq)**,
- 8 the **starter, linker, inferer, and ender** (if any - as in all groups).

**Filling:** a qlgp may fill

- 1 in the clause: **C** (as an Attribute), **A**, and, occasionally, **S**, **XEx**, **MEx** and **XEx**.
- 2 in the ngp: frequently **m**, but also **sd** and **od** and occasionally **h** (e.g. *the very poor*) and **q** (e.g. *something new*).
- 3 in the qlgp: if **a** is a colour, quite frequently **dt**; otherwise only occasionally **dt**; and occasionally at, as in *very strongly suggestive*.
- 4 in the pgp: occasionally: **p** (for *like* and *near*).

## 7 The quantity group (qtgp)

As its name implies, the **quantity group** expresses internal complexity within the general meaning of ‘quantity’.

At the end of the section you will find a summary of (a) the **Analysis Strategy** and (b) the quantity group’s potential for **filling** elements of a higher unit.

- (a) Most quantity groups have two elements: an **amount** and an **adjustor**. In the following examples the first item in the underlined portion is an **adjustor** and the second is an **amount**.

In the clause the ‘quantity’ is expressed in an **Adjunct** (the Degree Adjunct), as in: *He loves her very much*. (c. 8% of quantity groups)

In the ngp it is expressed in the **quantifying determiner**, as in: *Much more tolerance is needed*. (c. 85% of quantity groups)

In the quality group it is expressed in the **degree temperer**, as in: *Ivy is much more popular than Ike*. (c. 6% of quantity groups)

In the quantity group itself it is expressed in the **adjustor**, as in: *Very much more tolerance is needed*. (c. 1% of quantity groups)

Here I have chosen examples that use only the words *very*, *much* and *more*. Notice that both *very* and *much* function here as adjustors.

### (b) The internal structure of the quantity group

In over 95% of cases, a quantity group has just the two elements of an **amount** (**am**) and an **adjustor** (**ad**).

The **amount** answers the question:

**What is the ‘amount’ of the quantity?**

e.g. *fifty* in *over fifty (children)*

The **adjustor** answers the question:

**How should this quantity be adjusted?**

e.g. *over* in *over fifty (children)*

- (c) When the meaning expressed in the ‘amount’ is a ‘compared quantity’, there may be a third element: the **quantity group finisher (qtf)**. This occurs less than 5% of cases.

The **quantity group finisher** answers the question:

**How is the meaning that is begun in the amount finished?**

e.g. *than I like it in (She likes custard) more than I like it.*

The quantity group finisher has this name because it has similar characteristics to the **finisher** in a **quality group** (where it ‘finishes’ the meaning of ‘quantity’ expressed in the degree temperer). But a **qtf** typically finishes the meaning of an amount, not an adjustor. (For more details see see Note (p) below.)

- (d) Note the analyses of (11) and (12) in Figure 14. These are shown there correctly, and it is therefore NOT the case that *many* in (11) should be shown as the **amount** of a qtgp at qd - as in (12). Thus **quantifying determiners** MAY BE EXPUNDED DIRECTLY BY ITEMS, even though there is a potential for structure. The same principle is followed for prepositions and Binders, but not for modifiers and most other elements. (For the reasons for this exception, see Chapter 10.)

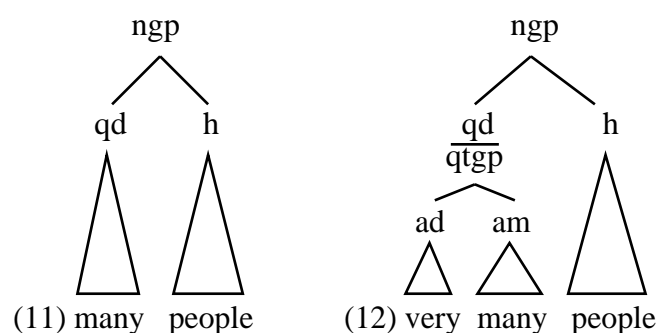


Figure 14: the analysis of two quantifying expressions

- (e) To summarize so far: when a **quantity group (qtgp)** occurs, there is always an **amount (am)**, and there is usually also an **adjustor (ad)**. Much less frequently there is a **quantity group finisher**, and this may occur with or without an adjustor.

We turn now to the **elements** that a quantity group may fill.

- (f) Most groups typically fill a clause element more frequently than they fill an element of a group. The quantity group is the exception; the only clause element that it normally fills is the Degree **Adjunct**, as in *He loves her very much* (8% of quantity groups).
- (g) The quantity group occurs most frequently as the **quantifying determiner (qd)** of a ngp ((85% of quantity groups).
- (i) However, before we look at the range of types of quantity groups that may fill a qd, we should note the important fact THAT THE MEANING OF ‘QUANTITY’

THAT IS EXPRESSED AT THE QUANTIFYING DETERMINER IS QUITE OFTEN **NOT** REALIZED AS A **quantity group** - BUT AS A **nominal group**. Some typical examples are the underlined portions of the following: *two glasses of water, a shoal of fish, a small number of sheep and five hundred and fifty sheep*. In other words, A MEANING OF 'QUANTITY' IS NOT NECESSARILY EXPRESSED THROUGH A QUANTITY GROUP.

(ii) The main types of meaning that are found as the **amount** element of a **quantity group** that fills a **quantifying determiner** are listed below.

- **cardinal numbers**, e.g. *exactly fifty, over twenty-one, about two thousand five hundred* etc. Other typical words include: *around, under, over, approximately, roughly, precisely, exactly, etc.*
- **approximate quantities**, e.g. *too many / quite a few, quite a lot*, etc. When the amount has a meaning expressed in *much* or *many*, the adjustor is often *very* or *rather*.
- **compared quantities**, e.g. *some more, fifty more than we had last time, rather fewer, a little bit less, as many as before*.
- **proportion quantities**, e.g. *almost all, some or all, rather few / little*, etc. When the amount is an 'extreme' **proportion** (*all, any, no* or *none*) typical adjustors include *absolutely, virtually, almost, practically, etc.*, as in *absolutely all / virtually none of us*.
- **measure quantities**, e.g. *under two spoonfuls, roughly five kilos*.

(iii) An additional source of difficulty in analyzing quantity groups with **cardinal numbers** is that some **adjustor** items consist of MORE THAN ONE ORTHOGRAPHIC WORD - just as some prepositions such as *in spite of* and *in front of* do. So besides *under a hundred* and *over a hundred* we find *less / fewer than a hundred, more than a hundred, and as many as a hundred*.

**Problem to watch out for:** Many of these orthographic words, such as *more* and *than*, also occur in quality groups - and yet the functions that they perform there cannot be mapped onto the 'adjustor' function that they serve in the present unit.

(iv) In many of the above cases the **amount** is NOT directly expounded by an item, but is filled by a **nominal group**. Examples of three frequent types are:

- **cardinal numbers:** *precisely five thousand, two hundred and fifty seven*. See Note 14 in Section 4 for the internal structure of cardinal numbers, and the **amount** in (13) in Figure 14 for a simple example of the analysis.
- **approximate quantities**, e.g. *rather a large number of youths, quite a small quantity / amount of gas*.
- **measure quantities**, e.g. *a little under two spoonfuls and round about five kilos*. See the higher of the two **amount** elements in (14) in Figure 15 for an example.

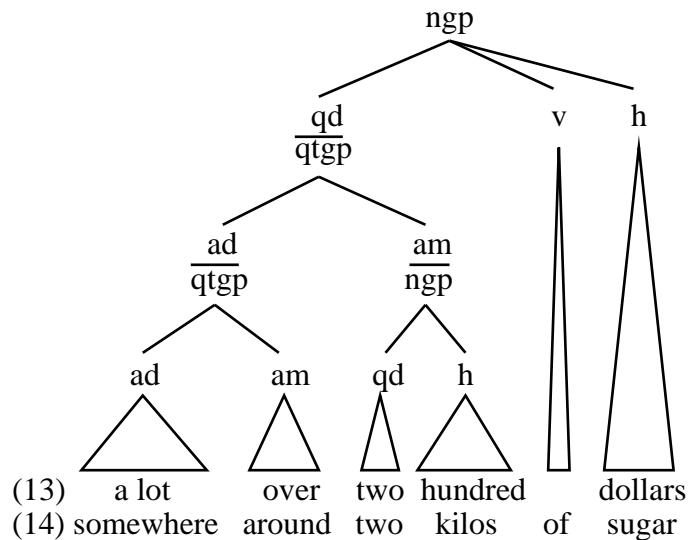


Figure 15:  
Internal complexity within the adjustor and the amount of a quantity

- (v) Very occasionally quantifying expressions are **co-ordinated** with other quantifying expressions within an amount. In such cases we have to recognize the presence of a quantity group (or, if it is appropriate, a nominal group) - EVEN WHEN THE QUANTIFYING EXPRESSIONS CONSIST OF SINGLE ITEMS. This is because the second (or third, etc.) co-ordinated item and its **linker** form a two-element unit. So in *Around five (hundred) or six hundred people were there*, the words *five (hundred) or six hundred* are the **amount** - which consists of two co-ordinated nominal groups - with *around* as the **adjustor**.
- (h) The third major function of the quantity group is to fill a **degree temperer** in a **quality group** (6% of quantity groups). Examples are: *much more interesting* and *far too clever for him*.
- (i) The fourth major function of the quantity group is to fill the **adjustor** of another **quantity group** (1% of quantity groups). Since quantity groups can fill many different elements, as we have seen, this can occur when the higher of the two quantity groups fills any one of them. Here are examples when it fills each of a **quantifying determiner**, an **Adjunct**, a **degree temperer** and an **adjustor**:
- (i) At **ad of a qtgp at quantifying determiner**: *quite a few more people* and *well over fifty people*.
- When the amount is a **cardinal number**, a **quantity group** is often found in this position, as in *almost exactly fifty books*, *a little over twenty-one years*, *(a)round about two thousand five hundred sheep* and *somewhere around a dozen staff*. Other typical items include: *just about / under / over fifty people*; *just below / above fifty degrees centigrade*; *well / considerably / a lot / somewhere / just over / under five thousand ants*. The analysis of a typical example is shown in the adjustor in (13) in Figure 14.

- With some types of **compared quantities** too a quantity group can be embedded in the adjustor, as in about fifty more / fewer bottles. The analysis is as for the adjustor in (13) in Figure 14, except that the amount is directly expounded by the item *more* (instead of being filled by the nominal group *two hundred*).
- A **compared quantity** may be filled by a nominal group with *deal* at its head, as in *She had a great / good deal less money than he thought*.

(ii) At **ad of a qtgp at A**: (*He now loves her*) very much more than before.

(iii) At **ad of a qtgp at t**: *Sh is very much more popular*.

(iv) At **ad of a qtgp at ad**: (*He owes her*) quite a bit over fifty pounds.

- With some types of **measure quantities** a quantity group can be embedded in the adjustor, as in a little under two spoonfuls of the medicine etc. The analysis of a typical example is shown in the adjustor of (14) in Figure 14.

Clearly, as Figure 14 shows, there can be the internal complexity of embedded units at BOTH the **adjustor** AND the **amount** of a quantity group.

- (j) The quantity group is used for the comparatively rare occasions when there is structure within a **preposition**. This is the first of three cases in which the meaning of 'quantity' is interpreted broadly. This enables us to use this unit to deal with these problems of analysis - and so to avoid introducing further units and their elements.

- Typical examples of adjustors that are used with **place** prepositions are the underlined parts of the following: just behind the house, a little to the right of it, immediately in front of it, and five miles from York. Notice that in the last case the adjustor is filled by the nominal group *five miles*.
- Typical examples of adjustors that are used with the **time position** prepositions *before* and *after* are the underlined parts of the following: just after the visit, a little after the visit, immediately after the visit and five weeks after the visit. Notice that in the last case the adjustor is filled by the nominal group *five weeks*.
- A more complex type of filling - again with a preposition that expresses place - occurs in *far / further (away) from*. Here the item(s) *(away) from*, which would otherwise be treated as a simple preposition, constitute the **amount**, and the item *far* or *further* is the **adjustor**. So in *She lives further out of / (away) from London than I do*, the item *further ... than I do* is a **discontinuous** adjustor to the amount *out of* or *(away) from*, and it too consists of a qtgp. So matters can become quite complicated!
- Other examples include right in the corner, right into the hole, a little / long way into the room, etc.

Note that the ideas explained in Note 5 apply here too. In other words, when a preposition contains only one item - including cases where there is more than one orthographic word, such as *out of* and *in spite of* - that item is seen as directly expounding the preposition. But when there is more than one item the

unit of the quantity group should be invoked to handle the structure, as in (15) in Figure 16.

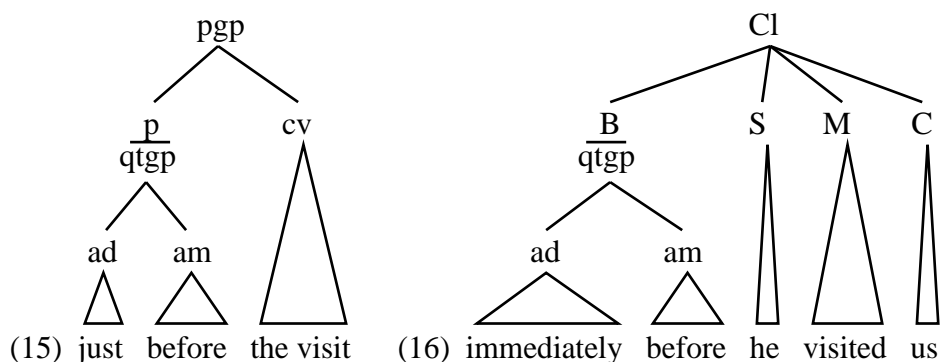


Figure 16: Quantity groups filling a preposition and a Binder

- (j) The same principles apply when the **Binder** in a clause contains structure, as is shown in (16) in Figure 16.
- (k) A semantically related set of quantity groups occur in cases when this unit fills a frequent type of **Adjunct** - the type that expresses the meaning of 'time position'. Examples include: *I visited her five weeks later / somewhat earlier / just afterwards / a little beforehand*. To analyze such structures we borrow the quantity group (which would be used in any case for *earlier* and *later* in examples such as *a much earlier / later train*). Given this guidance, the analyses of these examples will be clear. The items *two weeks*, *somewhat*, *just* and *a little* are all temperers, and while in some cases they are items that directly expound it in others they are units that have their own internal structure.
- (l) Now consider the question of 'adjusting' the types of 'quantity' that are expressed in the **fractionative determiner**. Just as we can say of a cardinal number in a quantifying determiner that it is *exactly / roughly / about* etc *fifty*, so too we can say of a fraction that it is *exactly / roughly / about* etc *a fiftieth / point nought five*, etc.
- (m) The concept of 'quantity' is very occasionally extended from the cardinal numbers in the quantifying determiner to the ordinal numbers that are found in the **ordinative determiner** (as described in Section 6.) Thus we can say *He finished about twelfth out of two hundred*. As with all the other cases described above, the analysis of such examples involves placing the quantity group (of which *twelfth* is the apex and *out of two hundred* the finisher) as the amount of the quantity group.
- (n) By a further extension - this time via the concept of 'unique identification' that links the ordinative determiner with the **superlative determiner** - it is also possible to say things like *He is (just) about the best in the world*. The representation in diagram form should be clear, i.e. *the best in the world* is a qlgp that fills the amount of a quantity group.

**Problem to watch out for:** Some items such as *very*, *much* and *rather* are used regularly as EITHER the degree temperer of a quantity group OR the adjustor of a quantity group. Such problems are bound to arise when we take a functional approach to language, i.e. when we

give priority to FUNCTION over FORM. This ‘syntactic ambiguity’ occurs, as we saw in Note 1, because degree temperers express the ‘quantity’ of a ‘quality’ - and one of the ways in which an ‘amount’ can be ‘adjusted’ is similarly to express the ‘quantity’ of it. But not all such items can serve as both degree temperer and adjutor with equal likelihood (e.g. *very many* occurs regularly, but *fairly many* is very improbable).

- (o) Expressions of quantity can occur as a **Complement** - and even sometimes as a **Subject**. These tend to be nominal groups, as in *The baby weighed seven pounds*. But because any such expression can be ‘adjusted’, it is always possible to find a quantity group instead, as in *The baby weighed over seven pounds*.. Occasionally a simple qtgp fills a Complement - or even a Subject - as in *The baby didn’t weigh very much* and *After five o’clock will be too late*. Thus clock time, dates, periods of time such as five hours, etc. can all be preceded by *roughly* etc. - and so become the amounts of a quantity group.
- (p) We return now to the **compared quantity** meaning, in order to look more closely at the **quantity group finisher (qtf)**.

- (i) This element may be required when the **amount** is a meaning that expresses ‘compared quantity’ - depending on whether the comparison is **explicit** or **implicit**. In *Ophelia loved Hamlet more*, the answer to the question ‘More than what?’ is left implicit, but in *Ophelia loved Hamlet more than Hamlet loved Ophelia* the comparison is made explicit.
- (ii) The **qtf** finishes a meaning that begins in the **amount**, rather than in the **adjutor**, as can be seen in (17) - the Adjunct of which is analyzed in Figure 11. (In a full analysis the clause embedded in the qtf would of course be analyzed too.)

(17) Ophelia loved Hamlet rather more than Hamlet loved Ophelia.

Here the quantity group fills an **Adjunct**, and such examples provide the simplest type of analysis.

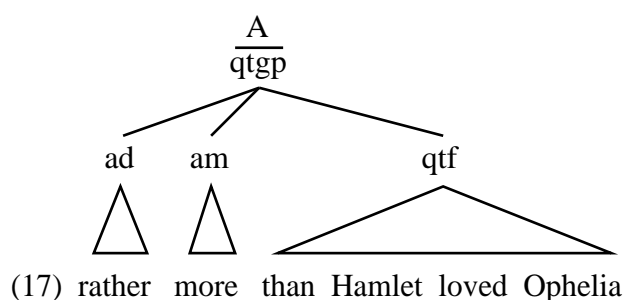


Figure 11: the analysis of a full quantity group that fills an Adjunct

- (iii) However, if the quantity group fills a **quantifying determiner**, it is a **discontinuous** unit. Consider the case of the underlined quantity group in (18):

(18) She had eaten rather more icecream than she wanted.

Here the head of the nominal group interrupts the quantity group that fills its quantifying determiner, the analysis being as in Figure 17.

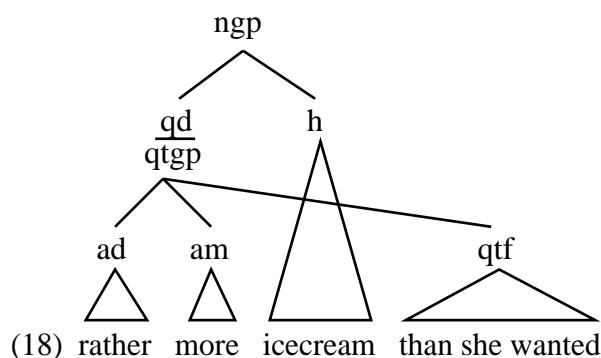


Figure 17:

A discontinuous quantity group finisher that completes the amount element

- (iv) We have to go one step further in analyzing an example such as *He had almost as much food as he needed*. Here we treat *almost as* as the adjustor of *much*, with *almost* as the adjustor of *as* in a quantity group that is embedded within another quantity group. Thus *almost as* is a quantity group that is the equivalent of the item *rather* in Figure 17.
- (q) Unlike the other groups, the quantity group does not enter into the relationship of **co-ordination**. Examples such as *Some or all of us will be there* do occur, but *Some and all of us will be there* sounds extremely improbable. In fact it is always natural to analyze such examples as consisting of two **co-ordinated nominal groups**, i.e. as *Some [of us] or all of us will be there*. (Here the square brackets represent ellipsis.) And the same analysis goes for *Either some or all of us will be there*.
- (r) A qtgp may also have - though normally much less frequently than the other classes of group any or all of the following: (i) a **starter (st)** and, more frequently, an **ender (e)**, and (ii) an **inferer (i)** (e.g. *only* in *Only five of them survived*) - as described in the relevant notes for the ngp (see Notes 17 and 18 of Section 4). But it will not have a linker (see Note 20 above).

## Analysis

In analyzing a qtgp, the first element to identify is the item that is at the **amount (am)** of the group. In 1 above it is a 'quantifier' (e.g. *much*), and it answers the question 'What quantity (of the thing or quality or quantity or situation)?'.

The best strategy is to look for the elements in the following order:

- 1 the **amount (am)** (obligatory; the main information as to the 'quantity'),
- 2 the **adjustor (ad)** (usually present; an item or ngp, qtgp or, occasionally, qlgp),
- 3 the **quantity group finisher (qtf)** (if any), which finishes a 'comparison' meaning begun in the am or sometimes the ad,
- 4 the **starter, inferer, and ender** (if any).

**Filling** Quantity groups may fill the following:

- 1 in the clause: occasionally A (Adjuncts expressing 'degree' and a few types

- of ‘time position’) and B (e.g. *soon after*) and very rarely S or C (*the baby weighed about seven pounds / about seven pounds was what it weighed*)
- 2 in the ngp: quite often qd (e.g. *very many people*, *about twenty cars*); occasionally fd (e.g. *roughly a fifth of them*, and very occasionally od (e.g. *approximately the fiftieth person*) or sd (e.g. *about the most important man I know*).
  - 3 in the pgp: occasionally p (e.g. *right into the hole*, *far / further (away) from London*) and very occasionally tp, as in *right up on the mountain*.
  - 4 in the qlgp: occasionally dt (e.g. *a great deal more interesting*, *far too rich*), *almost as silly*.
  - 5 in the qtgp: occasionally ad (e.g. *very much more satisfactory*).

## 8 The genitive cluster and the various classes of ‘name’ clusters

**Clusters** are unlike groups in that they can only fill elements of group structure - and this is practically always an element of the nominal group. They are best thought of as specialist units which enable the nominal group to express various types of semantic richness which would otherwise be inexpressible. There are the various classes of cluster.

### 8.1 The genitive cluster (genclr)

This consists of three basic elements. There is one obligatory element, the **possessor** (po); another that is almost always present, the **genitive** element (g); and a third that is occasionally present, the **owner** element (o).

- (a) The **possessor (po)** is nearly always filled by a ngp, as in *Ike’s*, and *the government’s*. Very occasionally it is filled by a clause, as in *whoever said that’s great mistake was in opening his mouth*.
- (b) The po may be filled by more than one ngp, as in *my brother and his wife’s*. Notice that the meaning of ‘possession’ expressed in the **g** refers to both referents, and that the words *my brother and his wife* are functioning as two coordinated nominal groups, exactly as they would be if they were filling S. (Thus in English there is no question, as there is in Latin, of a noun ‘having a genitive ending’.)
- (c) An unusual fact about this unit is that the **genitive element (g)** is expounded by a morpheme which cannot function on its own (i.e. a ‘bound’ morpheme). It is always ‘s (or occasionally just ‘, as in *the Jones’s*). But despite its small physical presence it serves a function that is equivalent to a preposition, by showing the relationship of ‘possession’. Compare *the dog’s back legs* and *the back legs of the dog*.
- (d) Occasionally there is an optional **owner** element (o), as in *the family’s own books* and *Ivy’s very own diary*. Note (a) that *own* cannot occur unless there is a possessor and (b) that it must occur immediately after g. It is thus dependent on the presence of po, so is a part of this unit and therefore **NOT** a modifier (as has sometimes been thought).
- (e) In cases such as *my own way*, it is necessary to introduce a genclr to fill dd; the

item *my* carries the meanings associated with both *po* and *g*. It can be treated simply as a *po*, so the structure of *my own* is **po o**.

- (f) Sometimes the *genclr* is introduced by a **linker (&)**. It is typically *and* or *or* but may occasionally be something else, such as *nor* or *rather than*. The items *both*, *either* and *neither* are also & when they introduce the first of two (and occasionally more) co-ordinated units.

**Filling:** usually **dd** but sometimes **h** in a **ngp**, and very occasionally (with a ‘truncated’ *ngp* without determiners at *po*) at **m**, as in *an older girl’s bike*. Here the sense is ‘a bike suitable for an older girl’, not ‘a bike belonging to some older girl’. So the *an* in the example belongs to the matrix *ngp*, and there is no determiner in the embedded *ngp*. It can also fill the other type of **deictic** that occurs in a quality group, i.e. the **qld**, as in *my mother’s best (friend)*.

## 8.2 The human proper name cluster (**hpnclr**)

This unit always (and only) fills the head of a *ngp*. It consists of the following elements:

t1	= first title	e.g. Mr, Mrs, Ms, Dr, Professor,
t2	= second title	e.g. Sir, Dame; Lord, Lady, Baroness
f1	= first forename	e.g. Michael, Judi
f2	= second forename	e.g. Alexander
f3	= third forename	e.g. Kirkwood,
nn	= nickname	e.g. Mike, Fatso
fn	= family name	e.g. Halliday, Dench, Mattingly-Kiljoy
hon1, hon2, etc	= first, second, etc. honours	e.g. CBE, DSO with bar
qual1, qual2, etc	= first, second, etc qualification	e.g. MA (Oxon), PhD (London)

No single element is obligatory, but some are dependent on others, e.g. *Sir Michael, Professor Halliday*

### Examples:

*Ivy* has the structure f1

*Dr Ivy Idle* has the structure t1 f1 fn

*Professor Sir Bernard Mattingly-Kiljoy, OBE, VC, MA (Oxon), PhD (York)*

has the structure: t1 t2 f1 sn hon1 hon2 qual1 qual2.

**Filling:** always and only **h** in a **ngp**.

## 8.3 The address cluster (**adclr**)

This unit always (and only) fills the head of a *ngp*.

Since there is a large overlap between the requirements of ‘home’ and ‘work’ addresses (e.g. the use of ‘house’ in the address), we use one unified potential structure which is, in effect, an amalgamation of two potential structures which have come to be intermingled. This broad approach enables us to handle most types

addresses.<sup>17</sup>

It consists of the following elements:

adclr = address cluster  
& = linker  
fl = flat  
sdep = sub-department (in organization such as company or university, etc)  
dep = department (in organization such as company or university, etc)  
org = organization (company or university, etc)  
hona = house name  
hono = house number  
rd = road  
offrd = off road  
ha = hamlet or sub-suburb  
vi = village or suburb  
pob = Post Office Box number  
to = town  
co = county  
pc = post code  
st = state  
i1 - i14 = first to fourteenth information unit boundaries.  
E = Ender

### Examples:

Select from the following to make a complete ‘home’ or ‘work’ address:

fl is *Flat 1*,  
sdep is *The Computational Linguistics Unit*,  
dep is *The Department of Physics*,  
org is *The University of Wales*,  
hona is *The Maltings*,  
hono is *12a*,  
rd is *The Avenue*,  
offrd is *off The Close*,  
ha is *Cregrina*  
vi is *Riverside, Hundred House*  
pob is *P.O.Box 1*,  
to is *Cardiff*,  
co is *South Glamorgan*,  
pc is *CF1 9BH*,  
st is *Great Britain / UK*.

**Filling:** as the head of a **ngp**, wherever a **ngp** occurs (but most frequently as the **cv** of a **pgp**).

17. These proposals are based on limited research, and will probably need to be expanded.

## 8.4 The date cluster

The following structure has the advantage of having all of its elements in one unit, and so avoiding embedding. The sequence of elements reflects the British English sequence of 'month day + month', and to model the American English sequence of 'month + month day' the order would simply be changed.<sup>i</sup>

dtclr	= date cluster
&	= linker
wd	= week day
i1	= first information boundary marker (realized in either intonation or punctuation)
md	= month day
i2	= second information boundary marker
vmd	= month day selector
mnth	= month
in	= in-element
th	= the-element
se	= season
vse	= season selector
yr	= year
E	= Ender

### Examples:

Monday, the seventh of February, nineteen ninety-nine  
has the structure:

Monday [wd] , [ i1] the seventh [md] of [vmd] February [mnth] , [i2] nineteen ninety-nine [yr]

**Filling:** wherever a ngp occurs, as its head, but most frequently as the **cv** of a **pgp**.

## 8.5 The telephone number cluster

telclr	= telephone number cluster
st	= starter
int	= international dialling number - e.g. 00 (from UK)
i1-4	= first, etc information unit boundary marker (expounded in intonation by a rising Tone and by a comma in punctuation)
nat	= national number - e.g.46
arna	= area code name - e.g. Cardiff
ob	= opening bracket - i.e. (
arno	= area code number - e.g. 29 if international to UK, 029 if internal to UK
cb	= closing bracket - i.e. )
loc	= local number
	NB in spoken mode, this has an internal structure, realized intonationally, e.g.    2084   2016
ext	= extension, i.e.ext

E = Ender

If we are concerned with the spoken form of the number, there are a number of internal structures within the local number, to account for the alternative groupings of digits. But here we shall simply treat the local number as a single unit.

**Examples:**

written: (*From Germany my number is*) 00 [int] 44 [nat] 290 [arno] 874000 [loc] ext 5309 [ext].

spoken: (*Call me back on*) oh two nine [arno], [i1] two oh eight seven [i2] four two nine three [loc].

**Filling:** wherever a ngp occurs, as head.

## 9 The nominal group revisited: multiple embedding

In the light of the descriptions of units that we have covered since Section 4, let me try to summarize the implications for the internal structure of nominal groups.

### 9.1 What makes nominal groups structurally complex?

While nominal groups - unlike clauses - have very little variation in the position in sequence of their elements, they can still be very complex. The complexity may lie in either (a) the number of elements of structure, or (b) the embedding of units within the nominal group - or, quite often, in both.

In Figure 1 in Section 4 we saw how complexity can arise within the ngp through having determiners that are filled by ngps (the **retrospective**, **partitive**, **fractionative** and **quantifying** determiners, as well as the **typic** determiner). Then in Figure 5 in Section 4 we saw that these could be embedded within each other. Now, in Figure 18 below, I summarize some the main ways in which **other units than the nominal group** can be embedded within a ngp. (Two of these, however, have elements that are in turn filled by a ngp.) In this example a unit fills every element that is shown except the head (h) - and, of course, the selectors (v). On the other hand, Figure 18 leaves out the complexity that may result from having a clause in the qualifier, or the various units that may fill modifiers - which may - again - be clauses or ngps.

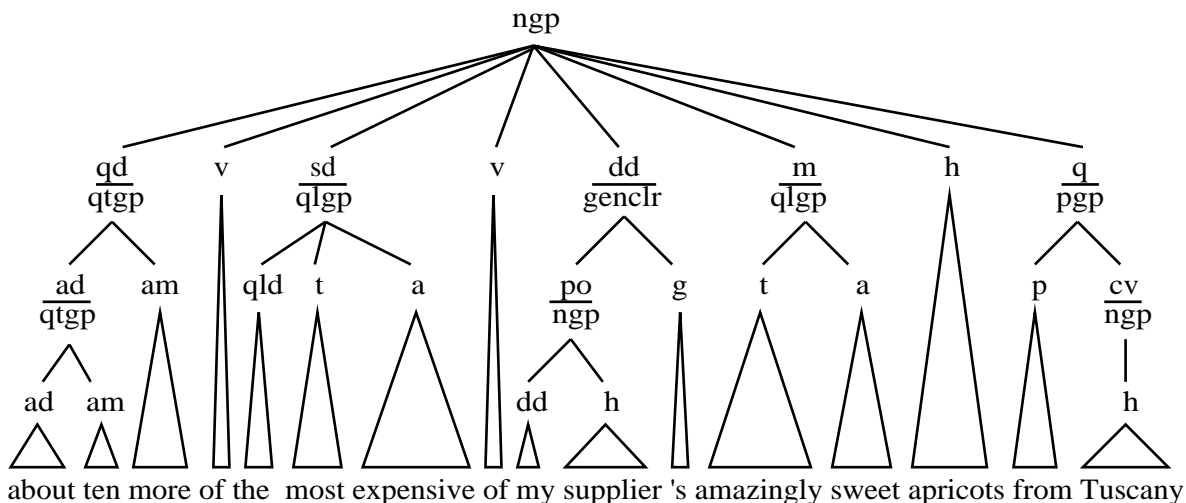


Figure 18: Some units other than nominal groups embedded in a nominal group

Notice that, in the above example, only two elements are filled by a ngp: po and cv. But we saw in Section 4 that ngps may also fill several other elements, many of which may occur at one point or another in a complex ngp such as that above, so that the potential for **recursion** in the nominal group is enormous.

## 9.2 What limits syntactic complexity?

The same principles apply to the clause, but to an even greater extent. Wherever a clause appears in a structure, the full complexity of syntax described in these *Guidelines* may, in principle, occur. But, luckily for the human analyst of texts, the memory of the producers of texts is quite limited, so that THERE ARE SELDOM MORE THAN SEVEN ELEMENTS IN A UNIT AND SELDOM A DEPTH OF UNITS GREATER THAN ‘THE MAGICAL NUMBER SEVEN’. This coincides with the fact that the depth of a structure is seldom more than what can be fitted onto a piece of A4 paper or US letter or legal size, laid on its side.

## 10 Quoted text

1 A typical quoted text is (19):

(19) Fred said "I love you."

2 Quoted text starts the analysis off again at the top of the structure - indeed, higher than  $\Sigma$ . But since a quotation may consist of more than one sentence ( $\Sigma$ ), the analysis of a sentence containing quoted text involves, in principle, analyzing THE STRUCTURE OF THE DISCOURSE OF THE TEXT. Thus a whole text may occur inside a sentence, as in (20):

(20) Then he burst out "I love you. I really do! But I can't marry you, because I'm married already, and my wife would never give me a divorce."

In principle we should at this point introduce a ‘grammar of discourse

structure'. This is because any set of quoted sentences is not simply a string of sentences; it is all or part of a **move** in discourse.]

- 3 However, the study of the structure of discourse is beyond the scope of this handbook, and here we shall simply:
  - (1) indicate clearly that a quoted text is involved and
  - (2) represent its elements by a 'placeholder' model of discourse in which a text is represented as consisting of a string of sentences.
- 4 I must emphasize that this is a seriously inaccurate model of discourse structure. It is about as misleading as the view that a sentence consists directly of a string of words. However, if we restrict its use to explicitly QUOTED TEXT (and so typically to quoted text that is embedded in a sentence), this simple model will be adequate for our present purposes. This is because examples such as (20) with more than one sentence are very unusual in naturally occurring texts. (However, if you are familiar with a good model of discourse structure, you can introduce it at this point.)
- 5 Here, then, I shall simply show the structure of such examples as a series of one or more sentences ( $\Sigma$ ). We need to provide for more than one sentence for examples such as (20). In examples such as this that consist of a continuous stretch of text, the analysis is quite straightforward, and it is a simple matter to insert the **opening quotation marks (OQ)** and **closing quotation marks (CQ)**, as in Figure 19.

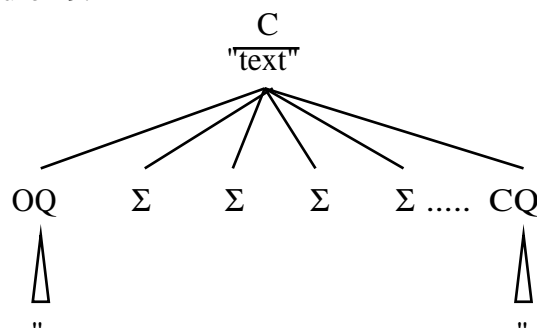


Figure 19: the representation of text ('direct speech')

6. Texts typically occur at C, so when they do we show the element C as filled by the unit **“text”** (where the quotation marks that precede and follow the word “text” are a further reminder of the 'quoted' status of this class of unit). The text has as its elements a string of  $\Sigma$ s - each of which may be filled by a clause, as already accounted for. Notice that the alternation in the tree structure between **unit** and **element** that we have found throughout the structure of the sentence is found here too.
- 7 In practice, short extracts of quoted text - typically FRAGMENTS OF TEXT that are far shorter than a clause - CAN OCCUR ANYWHERE IN SENTENCE STRUCTURE. Consider Example (21):

- (21) Ike: Don't be such a bloody fool!  
 Fred: Don't you call me "a bloody fool"!

Here, Fred's "a bloody fool" is a direct quotation from Ike, so that it is a fragment of Ike's text. We show this in the following way. It is a **nominal group** that fills a **C** in a **clause** that is the only one in a **sentence**, that sentence being the only one in a **text** that fills the **second C** in the clause whose M is *call*. That may at first seem unnecessarily complicated as an expansion of a simple quoted nominal group, but because people often use several elements of a clause when they quote a fragment of what someone else has said or thought, we frequently have to provide much of the structure of the original clause. There is no reason to ignore the clause structure in those cases where there happens to be just one clause element. In this case we know the clause element is **C**. If any element is unknown, simply write ?

- 8 However, we shall frequently find cases of discontinuity in the text - and very often these also involve discontinuity in the clause, as in Example (20a) in Figure 20.

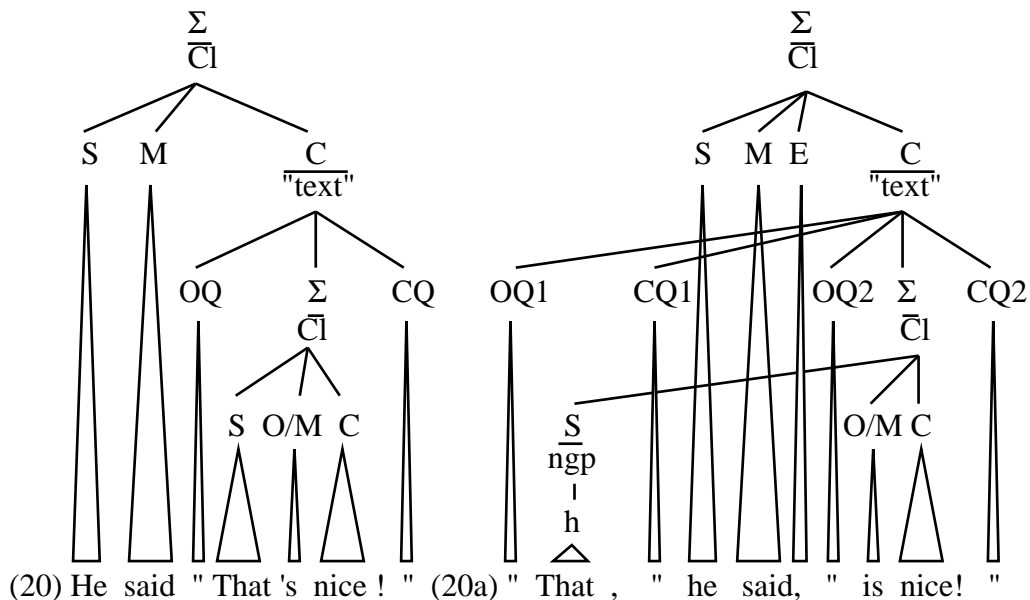


Figure 20: The representation of simple and discontinuous text ('direct speech') with only 'quoting' punctuation

Note that this discontinuity leads to the need to introduce an additional pair of quotation marks (OQ1 and 2 and CQ1 and 2). The analysis of Example (20) in Figure 20 sets the general framework in which examples such as (20a) have to fit also, and it follows logically from the analysis of Example (20). The unusual thing about (20a) in Figure 20 is that nothing appears between the quotation marks at the layer of structure at which they are shown. However, the diagram shows clearly that the rest of the clause that fills the sentence between the first pair of quotation marks - and through that the rest of the sentence itself - does occur between the second pair.

- 9 So far, however, we have not shown any punctuation other than the 'quoting' punctuation, and if we add that, as is done in Figure 21, the picture becomes a

little more complex. Notice that the Opening and Closing Quotation marks for each quoted segment are still seen as elements of the “text”, but the comma that is introduced in (20a) in Figure 21 after *That* is introduced as an ender of the unit that has been separated from the rest of the clause.

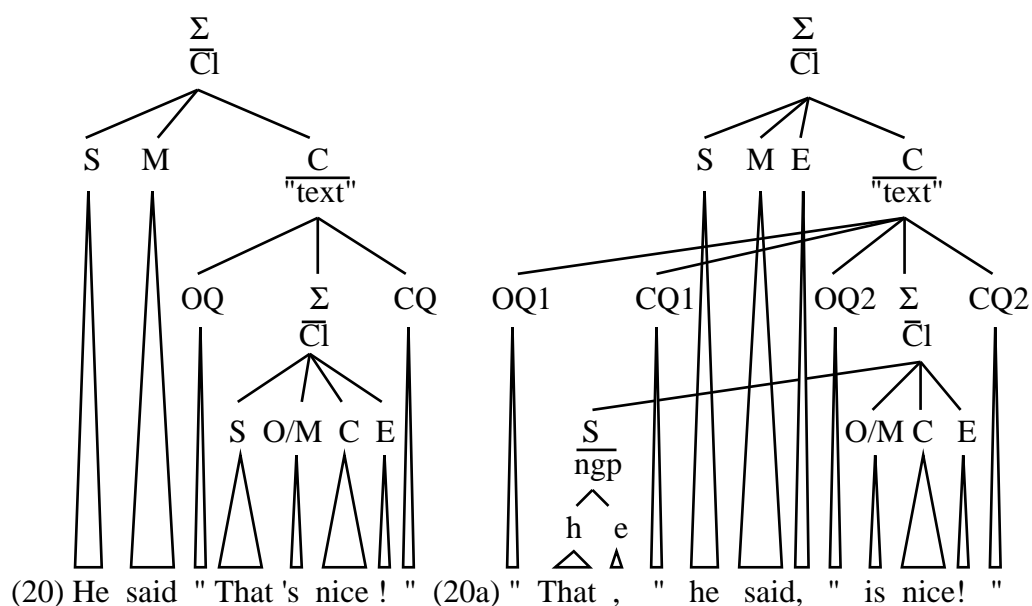


Figure 21: The representation of simple and discontinuous text ('direct speech') with full punctuation

- 10 Note that if a colon had followed *said* in Example (20), it would be shown as a part of the OQ as “: OQ”. This may at first seem surprising, but notice the following facts: (1) no other element can occur between the colon and “OQ”; (2) there is an implicit colon (“:” at the beginning of all quoted texts that follow *She said*, *He thought*, etc); and (3) a similar phenomenon where two potentially independent items are treated as a single item occurs at other points in the grammar, when we treat *and*, *then* and *and then* all as Linkers, or *out of* as a single preposition (here, by analogy with *into*).
- 11 Sometimes, when a conversation is reported in direct quotation marks, the writer does not make the reporting clause explicit in every case. The occasional presence of *she said* and *he replied*, etc. are considered to give the reader sufficient guidance. When direct quotation marks appear WITHOUT their accompanying *she said*, etc, you should simply treat such cases as having an ellipped reporting Process and Subject. In other words, they are marked as directly quoted texts, and *X said* - or occasionally *X thought* - is always recoverable.
- 12 Finally, note the possibility that quoted text may occasionally occur inside quoted text. You will find that the descriptive apparatus introduced here is able to handle this.

**Filling:** a “text” typically fills a C in a clause, occasionally a S, and sporadically any other element, as described above.

## 11 Formulas

Some parts of language have become fixed as formulas, so that it is misleading to analyse them internally. Examples are greetings such as *Hello*, *Good afternoon*, etc.

An problem arises when a formula is used in close conjunction with a stretch of language whose syntax clearly should be analyzed. Typically this occurs in a clause. In such cases we show this as expounding a Formulaic Element (F) into the clause, as in *Thanks very much [F] for being a good friend [A]*.

## 12 A note on discontinuity

All units other than clauses always occur inside other units. As a general principle, once we have begun on the production (and so understanding) of such a unit, we prefer to finish it, before introducing the next element of the unit above.

Sometimes, however, one of these lower units may be broken in two, and an element of it may appear in a structure with one or more elements of a higher unit interrupting it. This occurs most frequently with prepositional and quality groups, but it also occurs with with nominal groups and quantity groups. In such cases the units are **discontinuous**.

In some cases the reason for the discontinuity is the **thematization** in the **matrix clause** of an element of a lower unit. In other cases the reasons are the ‘Get the pivotal element in soon’ and the ‘End weight’ principles, as discussed in Chapter 22. The first two examples are of the ‘thematization’ type.

### 12.1 Discontinuity in a prepositional group

Consider *Who were you seen by?* Here, a **prepositional group** whose p is *by* and whose cv is *who* appears in the unusual sequence of cv ... p. To analyse such cases, first place the pgp in its usual place, i.e. filling the C at the end of the clause. Then place the thematized cv TO THE LEFT OF THE ELEMENTS OF THE CLAUSE (not to the left of the cv). This is to show that it occupies a **place** in the higher unit (i.e. the clause). Finally, show that it is nonetheless still an **element** of the pgp, by drawing a line like that shown in Figure 22. The analysis is as in Figure 22:

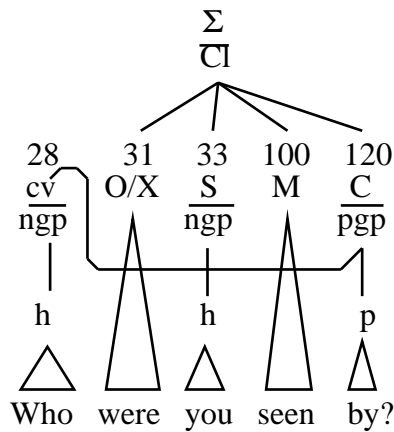


Figure 22: An element of a prepositional group at a place in a higher clause

We need to make an exactly similar analysis of the case where there is a **relative clause at q in a ngp**, such as *the man who I was seen by*. The main difference is that in this case the clause is embedded inside a ngp, while that in Figure 22 is a free-standing clause.

### 12.2 Discontinuity in a clause

In both of those cases the discontinuity was in a pgp. The same motivation and the same general principle of analysis applies in cases where the discontinuity is in a **clause**, as in cases sometimes described as ‘raising’, such as *Who did you say she saw?* Here the item *who* is the Complement of the embedded clause, as Figure 23 shows:

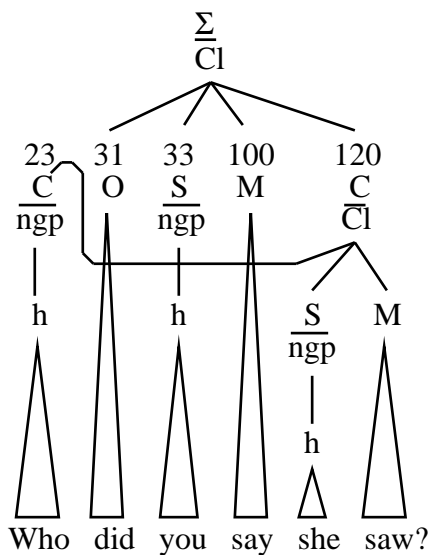


Figure 23: An element of a clause at a place in a higher clause

See Chapter 23 for a fuller discussion of this and a number of similar constructions.

Another type of discontinuity in the clause occurs when there is direct quoted speech (or occasionally thought) speech. Figures 16 and 17 in show how to analyze examples such as *"Ivy," he said, "is nice!"*

### 12.3 Discontinuity in a quality group

Another reason for introducing discontinuity is the desire, in a nominal group, to reach the element that typically has the most important information - i.e. the head - as soon as possible. Following this principle, we normally only tolerate short structures in **quality groups** that fill modifiers. Consider the ngp in *(She is) a more important person around here than he is*. It has the structure **qd m h** - and the m is filled by the discontinuous qlgp *more important .... around here than he is* (dt a s f). In other words, the scope *around here* and the finisher *than he is* comes AFTER the ngp's head. See the analysis of this example in Section 6 above, on the quality group.

That section also shows how to analyse the rather different type of discontinuity that can arise in the qlgp when *so* is used, as in *so clever (a girl) that ...*

### 12.4 Discontinuity in the quantity group

A similar type of discontinuity occurs in the **quantity group**, in cases such as *such (a fool) that we can't appoint him*. Here the qtgp fills an inferer in a ngp, and Section 4 includes the analysis of this example.

A second - and more frequent - type occurs at the quantifying determiner of a nominal group, as in *rather more (icecream) that she wanted*, Here *rather more ... than she wanted* is all a quantity group that fills the quantifying determiner of the nominal group of which *icecream* is the head. The analysis is given in Section 7.

### 12.5 Discontinuity in a quantity group within a quality group

A particularly complex case arises in examples such as *She was so much more skillful than Ian that they gave her the job*. Here *more* (the am of a qtgp at t) predicts as its f \ *than I am*, and *so* (an adjustor in the qtgp *so much*, which is itself at the ad of the qtgp *so much more*) predicts the qtf *that they gave her the job*. The final clause at qtf is separated by four elements from the

amount that it 'finishes'.

### 12.6 Discontinuity in the nominal group

We have been considering several types of discontinuity that occur in units WITHIN the nominal group. But there are two types that occur directly in the ngp.

The first is when a qualifier becomes detached from the rest of the nominal group, as in *The time came when we had to leave*. Here *when we had to leave* qualifies the head *time*.

The second type occurs when the **quantifying determiners** *all*, *both* or *each* occur in a ngp that fills a **Subject** - but when the qd follows the head, and is separated from the rest of the ngp by the **Operator** in the clause. A typical example is *The boys have both seen it* (where the meaning is close to that of *Both (of) the boys have seen it*). Following the pattern set above, the qd should be shown as a discontinuous element of the ngp at S.

## 12.7 The role of the concept of 'place' in a unit

In the computer implementation of a GENERATIVE systemic functional grammar which has been developed in parallel with the framework for syntax analysis presented here, **elements** occur at numbered **places** in a unit. So far, in this TEXT-DESCRIPTIVE grammar, we have been able to simplify the picture by leaving the 'places' out. But at this point we need to bring them in, because it is these numbered places that enable us to say that, in for example *Who were you seen by?* the cv *who* is located **at a place in the clause**. It is not that the cv is 'raised' to the higher unit (as is suggested in a transformational approach): the cv is simply placed there at the time when the structure is generated. See Fawcett 2000 for the concept of 'place' in the theory of syntax assumed here - and for all of the other concepts.

RPF, 16.1.92, revised several times since then, most recently 7.11.03

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## Endnotes

a. Drawing clear diagrams of the structure of text-sentences is not an unnecessary chore - nor is it a self-indulgent luxury. The forms of representation used in a theory are so important to the understanding of that theory that they should be regarded as an integral part of it. As I wrote in Chapter 2, I take the view that, in any semiotic system, **form** and **meaning** are mutually dependent. It follows that the diagrammatic representation of the functional syntax of a sentence is a form whose meaning is a theory of syntax. So the form of a tree diagram is as important as its meaning.

b. Many grammarians follow traditional grammar in recognizing the two word classes of 'preposition' and 'subordinating conjunction'. Here we focus on the function of the items, and those that introduce clauses are termed Binders, while those that introduce nominal groups are prepositions. Downing and Locke (1992:294), who typically use functional criteria, defer to the 'word class' tradition at this point in their grammar, reflecting essentially the position in Quirk et al. 1985:660. They recognize a category of 'conjunctive prepositions' which function as what we term Binders, while Quirk et al simply assert that *by*, e.g. in *by reading the label*, is a preposition. One factor in this decision (for both sets of authors) is likely to have been the fact that this set of items includes quite a few items that can also function as prepositions. But so does the generally recognized class of Binders (e.g. before, after, since and until). If we give precedence to functional criteria, as we should in a functional grammar, we shall treat all of the items that introduce clauses as Binders, irrespective of what other functions the same item may also have. In support of this position, notice that, in the one clear case where there is both a Binder and a preposition with a similar meaning, it is the Binder that is used in partial ('non-finite') clauses - i.e. we say *While reading that book*, ... rather than *\*During reading that book*, ...

c. *In traditional grammar, a Linker is termed a 'co-ordinating conjunction'. The one exception to the generalization that the Linker is always first in the clause occurs in examples such as I neither like it nor do I dislike it*, in which the 'intensifying' Linker in the first clause occurs in a 'medial' position, perhaps influenced by the fact that the Negator occurs there. See Fawcett (in preparation) for a discussion of the treatment of this example and ellipted alternatives, such as *I neither like nor dislike it*.

d. *For a description of English intonation that complements the description of the rest of lexicogrammar given here very closely, see Tench's excellent introductory text The Intonation Systems of English (1996). For my proposals for this area in a fully integrated generative grammar, which are based on Tench's proposals, see Fawcett (1990).*

e. One might object that, although this approach may work well in the written mode of language, there are likely to be problems in transferring the principle to the equivalent realizations in the spoken mode. The question arises because, in speech, the **tonic syllable** that carries the information that an **intonation unit** is about to be interrupted by a **subsidiary intonation unit** (typically expressing this with a rising tone) falls on **THE LAST LEXICAL ITEM OF THE FIRST PORTION OF THE INTERRUPTED INTONATION UNIT**. The **BOUNDARY** between the interrupted unit and the start of the embedded unit is marked by the Starter of the embedded unit, this being expounded, in the notation of the generative grammar on which this descriptive grammar is based by 'j'. But the tonic signalling 'interrupted information unit' (typically by a rising tone) in fact clearly falls **BEFORE** the Starter. So this question arises: How can the Tonic be modelled as part of the 'interrupting' unit?

The generative grammar handles this apparent problem very neatly. It introduces to the structure of the unit the concept of a **Preceding New** element (PN), which is placed in the structure of the interrupting unit, anomalous though it may at first seem, **BEFORE** the **Starter**. The PN is expounded by the rising Tone. The problem of deciding which element the PN is conflated with - and so which item carries the rising Tone - is exactly the same as the problem of where to place the nuclear tonic in the main information unit when there is no contrastive newness

- so in both cases a default rule applies, late in the generation process, to perform this task.

What happens in the descriptive version of the grammar? In this *Handbook* we are representing intonation by punctuation, so this apparent problem does not arise - because the comma, signifying the start of the interrupting unit, always occurs just where you would expect it, i.e. at the start of that unit (even though it is written, by convention, as if it was part of the previous word). But in the analysis of a text which shows the intonation directly the tonic expressing the Previous New is often discontinuous with the rest of the structure of the 'interrupting' unit. However, this is not a problem, in that we already have to provide for other types of discontinuity (see Section 12), and essentially the same representation can be used here.

f. This section is based closely on Gordon Tucker's *The Lexicogrammar of Adjectives: a Systemic Functional Approach to Lexis* (London: Cassell Academic, 1998).

g. Interestingly, it sounds a little odd to have *very* in the qlgp when there is an ordinary temperer, as in *the very most significant of all*. This suggests that we have a sense that *very* is functioning here as an ordinary degree temperer - which it clearly is not, because the meaning for which it would be required is already expressed in the apex.

h. This element has only been recognized as a distinct element relatively recently, and there may be more types.

i. However, this misses out on certain generalizations that can be made about the internal structure of this unit. Here it is considered simple to work with a single layer of structure.

j. The best framework for describing interactive texts such as conversation, interviews, service inquiries, etc is the framework developed initially for classroom discourse and then generalized beyond that, as described in Sinclair and Coulthard (1975) and Coulthard and Montgomery (1981). With colleagues, I have extended that framework so that it is capable of describing the structure of all types of interactive discourse (Fawcett et al 1988). The best framework for analyzing the internal structure of moves is found in the framework of Rhetorical Structure Theory (RST), as developed by Mann and Thompson (1987). Fawcett and Davies (1992) and Lin and Fawcett (1996) show how it can be integrated into the framework of exchange structure, so forming a single descriptive framework. See Fawcett (forthcoming xxx) for a brief introduction to such a framework.