Invitation to Systemic Functional Linguistics

the Cardiff Grammar as an extension and simplification of Halliday's Systemic Functional Grammar

(second edition)

Robin P. Fawcett

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Contents

Preface to Second Edition iii

1 Introduction: where this book comes from 1

2 The place of syntactic structure in an overall model of language 5

3 Introducing TRANSITIVITY and MOOD: a simple example 9

4 Exploring criteria for establishing reliable *Guidelines* 17

5 Introducing the *Subject Test* 19

6 Elements, words and units: keeping things simple 23

7 Conflating the Main Verb with the Operator (O/M): the special case of 'being' 25

8 The Auxiliary Verbs: a brief introduction 29

9 Improving the Subject Test: introducing forms of *do* 31

10 More on TRANSITIVITY: Participants as Subjects and Complements 35

11 A brief outline of some other aspects of clause structure 43

12 The *Guidelines* for clause analysis 47

13 Final Analysis Task 59

14 Conclusions 61

Appendix 1: A systemic functional grammar for some of the structures presented here 69

Appendix 2: A summary of English syntax for the text analyst 71

References 77

List of Figures

Figure 1: a simple model of any sign system 5

Figure 2: the core components of a simplified systemic functional grammar 7

Figure 3: the relations of Process and Main Verb 12

Figure 4: The TRANSITIVITY in Example 1 12

Figure 5: The MOOD in Example 1 14

Figure 6: Two major functions of language and two types of clause meaning 14

Figure 7: TRANSITIVITY and MOOD in Example 1 15

Figure 8: The full clause analysis of Example 1 16

Figure 9: The clause analysis of Examples (2) and (2a) 18

Figure 10: The TRANSITIVITY and MOOD of Example (2a) 21

Figure 11: Analyses with several words at S, C and A 23

Figure 12: The conflation of the Operator and Main Verb 25

Figure 13: Two examples with O/M 26

Figure 14: A clause with three Auxiliary Verbs 30

Figure 15: the analysis of Example (9) 31

Figure 16: the analysis of the polarity seeker that is the equivalent of (9) 32

Figure 17: The representation of ‘unmarked negation’ as a suffix on the Operator 32

Figure 18: A summary of some major types of Processes and Participant Roles 37

Figure 19: The analyses of fourteen clauses 60

Figure 20: TRANSITIVITY, MOOD and THEME in the structure of a simple clause 63

Figure 21: The full analysis of a simple sentence 64

Figure 22: The syntactic and semantic representation of a simple clause 65

Figure 23: Strands of meaning and the major system networks for the clause 66

.

In addition, the different stages of a ‘worked example’ are shown on pages 49, 51, 52, 53, 54, 55, 56 and 57.

Preface to the Second Edition

This short book began its life as the annual Open Lecture given at Tezukayama College in Nara, Japan, in the Autumn of 1996, and it was the lightly edited written version of that lecture that was published in Japan as the first edition of *Invitation to Systemic Functional Grammar* (Fawcett 1997). Although it was not written as a textbook, I hope that this thoroughly revised edition may be found useful in teaching - as its distant predecessor (Fawcett 1974-6) was in a number of universities in various parts of the world in the late 1970s and early 1980s. This second edition has therefore being prepared for the use of students and others who would like a short and - as I hope it is - a readable introduction to the Cardiff Grammar. Thus the purpose of the original lecture was to present the basic concepts of the version of **Systemic Functional Grammar** (SFG) that has come to be known, for reasons that I shall explain in Chapter 1, as 'the Cardiff Grammar', and this second edition aims to meet the same need.[1]

This book describes the functional syntax of the **simple clause** in **English**. But it doesn't just describe it - it also shows you how to analyze examples of clauses in texts in these terms. So by reading this book you will learn about the grammar of English THROUGH USING IT. One of the particular strengths of the Cardiff Grammar's approach to text analysis is that it provides clear criteria at every point. This means that when you are analyzing a text-sentence there are always tests that you can apply to ensure that your analysis is on the right lines - the 'right lines', that is, in terms of this particular model of language.

Any framework that provides a **description** of all or a part of a language must, if it is to be insightful and reliable, be based in a sound **theory**. The theory of syntax on which this book is based is set out in full in Fawcett 2000a - a book which also provides, as an illustration of the concepts, a detailed overview of the theory as applied to English. The full description of the functional structure of English (from which the material presented in this book is taken) will be found in Fawcett forthcoming a. However, a great deal of that description has already appeared in other publications and, since the present book covers only the simple clause (though with summaries of the other units in Appendix 2), you may want to complement this book by consulting those other works for descriptions of the other units. There are summaries of all the main units in Fawcett 2000a, but you should read Tucker 1997 for the most complete study ever made of 'qualities' and their realization in the 'quality group', and Huang 1996 & 2002 for the 'experiential enhanced theme construction'. Fawcett 1996 describes in detail the Cardiff Grammar's position on the main types of dependent clauses, and Ball & Tucker 2004

1. The research reported here arises out of the COMMUNAL Project. COMMUNAL was supported by grants from the Speech Research Unit at DRA Malvern for over ten years, as part of Assignment No. ASO4BP44, on Spoken Language Understanding and Dialogue (SLUD), by ICL (in Phase 1) and by Cardiff University. However, I would also like to express my personal thanks to the two friends and colleagues to whom I feel most indebted. The first is Michael Halliday, the 'father' of systemic functional linguistics and the linguist to whom I, like many others, owe the basis of my current model of language. However, this has not prevented me from differing from his position on certain points (indeed, as in this book). The second major debt has been to Gordon Tucker, who has been the main co-developer with me of the version of Systemic Functional Grammar that has come to be known as the Cardiff Grammar, and without whom the COMMUNAL Project could not have achieved all it has.

list almost 40 functionally distinct ‘experiential’ Adjuncts. Tench 1996 provides the functional description of English intonation which complements the Cardiff Grammar descriptions of functional syntax. Fawcett 1999 sets out the argument for the Cardiff Grammar’s position on the concept of the ‘Subject’ in English and Fawcett 2000b & 20003 show the advantages of a model of syntax in which there is no ‘verbal group’ - and on both of these issues our position is rather different from that of Halliday.

Surprisingly, perhaps, the clearest and most readily available published accounts of the aspects of functional syntax that are not covered here (or in the other works mentioned above) are to be found in the relevant parts of Butler 2003a & 2003b - even though Butler does not consider himself a systemic functional linguist. See, for example, pages 309-17 for insightful summaries of the nominal and quality groups in the Cardiff Grammar (though there is unfortunately no account of the structure of the quantity group). Butler’s descriptions of the Cardiff Grammar are included as part of his impressively thorough survey of the three current ‘structural-functional’ theories of language that he considers most valuable.[2] In his ‘final assessment’, he states that ‘there can be no doubt that SFG has lived up to its claim to be a text-oriented theory of language; ... it has achieved a much wider coverage of English grammar than other approaches, this being especially true of the Cardiff grammar’ (2003b:471). And on the same page he also writes ‘in my view the Cardiff model represents a substantial improvement on the Sydney account.’ Perhaps these comments will encourage you as you tackle the task of reading this little book.

Let me end this Preface as I began my introduction to the original lecture - by expressing my very warm thanks to the President of Tezukayama College and Professor Achio Ichise for inviting me to Nara to give the Open Lecture (in the Autumn of 1996). But I also want to thank, equally warmly, Professor Masa-aki Tatsuki of Doshisha University for inviting me to address the annual meeting of the Japanese Association for Systemic Functional Linguistics at Ritsumeikan University. It was these joint invitations that made it possible for me to pay a second visit to the beautiful and wonderfully hospitable country of Japan, to enjoy the spectacular beauty of the Autumn trees in various temple gardens in the Kansai region - as well as delivering the Open Lecture and meeting with fellow systemic functional linguists in Japan.[3]

2. Indeed, his comparisons between the Cardiff and the Sydney versions of SFL (and with the two other ‘structural-functional’ theories of Dik’s Functional Grammar and van Valin’s Role and Reference Grammar) are equally valuable.

3. The research reported here is part of the COMMUNAL Project. COMMUNAL is or has been supported by grants from the Speech Research Unit at DRA Malvern as part of Assignment No. ASO4BP44, on Spoken Language Understanding and Dialogue (SLUD), from the University Research Council of International Computers Ltd and from Longman, and by Cardiff University COMMUNAL stands for COnvivial Man-Machine Understanding through NAtural Language, and it is a long-term project in building a system for communication with computers that draws on systemic functional linguistics (supplemented by other concepts when they are found useful). At its heart lies the GENESYS sentence generator, so called because it GENErates SYStemically, i.e. using a systemic functional grammar (SFG). For a recent and thorough summary of how a SFG works (with special reference to how it works in a computer) see Fawcett, Tucker and Lin (1993). The lexicogrammar that is used in this computer implementation - as well as for work in textual description (which is what is being presented in this book) has for some years now been referred to as ‘the Cardiff Grammar’.

1

Introduction: where this book comes from

Let me begin by asking this challenging question: "Who is the world's greatest living linguist?" No doubt many would give this honour to Noam Chomsky, and it is certainly true that his influence, especially on the theoretical wing of linguistics, has been very great. But I do not think that it has always been good, and in my view the world's greatest living linguist is beyond doubt Michael Halliday - the 'father' of **Systemic Functional Linguistics**. That is, I believe that he has given us more insights into the nature of language and its use than any other linguist since Saussure.

But to say that doesn't mean that I think that Michael Halliday is always right about every aspect of the grammar of English! In this short book I shall give you an introductory picture of a version of systemic functional grammar which has certain important differences from Halliday's current version. It has the same roots and the same basic concepts as Halliday's - those roots being in Halliday's earlier work on grammar in the 1960s and 1970s. But it has some important differences from the grammar presented in his well-known *Introduction to Functional Grammar* (Halliday 1985/94; Halliday & Matthiessen 2004) - as readers who know that work will notice as they work their way further into the present book. (I shall refer to it occasionally simply as *IFG*.[4]) We shall refer to Halliday & Matthiessen's version of SFG as presented in *IFG* as 'the Sydney Grammar', and to the version presented here and in Tucker 1997, Fawcett 2000a, etc. as 'the Cardiff Grammar'. (I shall say a little more about the source of these labels in a moment.) As this book's title says, the framework to be presented here both EXTENDS the Sydney Grammar in various ways that we believe are necessary to provide a full and consistent coverage of English, and at the same time it is SIMPLER than the Sydney Grammar, some parts of which we consider to be unnecessarily elaborate.[5] I shall point out some of these differences in some of the footnotes, marking each by the words 'Comparison with the Sydney Grammar'.

4. The third edition of *Introduction to Functional Grammar* h (Halliday & Matthiessen 2004) has appeared since the first edition of *Invitation to Systemic Functional Linguistics* was published. Disappointingly, the descriptive framework for analyzing English is virtually identical with that which Halliday presented ten years earlier in Halliday 1994, and indeed nine years before that in Halliday 1985. Thus there has been no acceptance of any of the published suggestions by my colleagues and myself for improving and extending the description (e.g. the full and persuasively argued description of the **quality group** - the unit with adjectives and derived adverbs as its apex - in Tucker 1997). Nor, so far I can discern, have the suggestions of other SFL scholars been accepted (e.g. those of Downing 1991). Because of this lack of development in the Sydney Grammar, the comparisons between the Cardiff Grammar and the Sydney Grammar that you will find in the footnotes can be read as referring to any of the three editions. However, page references are usually to Halliday 1994.

5. Butler's view (Butler 2003b:471), which I noted in the Preface, supports the first half of this claim, i.e. he states that 'SFG ... has achieved a much wider coverage of English grammar than other [structural-functional] approaches, this being especially true of the Cardiff grammar.'

However, it is important to emphasize that what the Sydney and Cardiff Grammars have in common is far more important than the things over which we differ, and this too will, I hope, be very clear. So, for example, the framework for understanding language that you will meet here is **functional** rather than merely **formal** - which means in fact that it is BOTH functional AND formal, for the simple reason that every functional model of language must, if it to be worthwhile, also attend carefully to the level of form. However, within the family of functional approaches to understanding language, the theory that is used by both Sydney and Cardiff grammarians - and of course by many thousands of others - is also **systemic**. In formal grammars language is often presented as having at its core a set of 're-write rules' of the form S -> NP VP, but Systemic Functional Linguistics is built around a very different concept. This is the idea that a language is best conceptualized as a giant network of meanings, in a very broad sense of that term, which are related to each other by 'or' relationships (and some others). In principle, the producer of a text chooses between these as he or she generates a spoken or written text.[6] It is therefore a theory of language as **choice between meanings.** This aspect of the theory is described briefly in Chapter 2 and illustrated in Appendix 1.

The version of SFG that I want to introduce you to here has come to be called 'the Cardiff Grammar' (e.g. in Butler 2003a and 2003b, where he compares the Sydney and Cardiff Grammars with each other, as well as with two other 'structural-functional' theories). The model of language presented here is called the Cardiff Grammar because it has been developed by myself and a number of other linguists working at (or otherwise associated with) Cardiff University - most notably my colleague Gordon Tucker, but also by Paul Tench, a specialist in intonation and Huang Guowen. There have also been valuable inputs from many others: in the early days from David Young (now retired); from other members of the research team, especially Professor Francis Lin, now of Beijing Normal University, China; from a series of gifted PhD students who have worked with us over the years; and from a number of distinguished scholars who it has been our good fortune to have as visitors to Cardiff - including Professor Guowen Huang, now of Sun Yat-sen University, Guangzhou, China and Professor Masa-aki Tatsuki and Dr Hiroshi Funamoto of Doshisha University, Kyoto, Japan, Dr Zhou Xiaokang from Melbourne, Australia, Professor Victor Castel from Mendoza, Argentina, and others. The 'Cardiff Grammar', then, is not confined to Cardiff! Descriptions using the same theortetical frame-work have so far been developed for two major languages other than English, i.e. Chinese and Japanese (small but significant computer implementations having been built for both) and members of the Cardiff team are constantly considering the implications of using the theory for other languages that we know, including French, German, Italian and Swahili, as a further check on the validity of our framework.

One of the good things about systemic functional linguistics is that we who work in its framework are able to accept that there can be differences between our preferred versions of the theory. Michael Halliday has suggested a useful metaphor for this, i.e. that our different versions of SFL are like different 'dialects' of the 'language' of Systemic Functional Linguistics - the Sydney dialect, the Cardiff dialect, the Nottingham dialect, and so on. What is more, we who 'speak' these different dialects remain friends - something that doesn't always happen when linguists disagree! So in what follows I shall refer from time to time to the two 'dialects' of the **Cardiff Grammar** and the **Sydney Grammar** - just as does Butler in his

6. Note the words 'in principle'; in practice the choices may become fused over time and function and be used as formulaic 'chunks' of language.

comprehensive and masterly comparison of the two models in Butler 2003a and 2003b. The functional structure of the Sydney Grammar is set out in Halliday (1985/94), and the system networks can be found in Matthiessen 1995 and Halliday & Matthiessen 2004.

Before I start in earnest, I should perhaps say just a little more about the experience that I bring to the writing of this book. In the period since 1987 I have held the position of Director of the Computational Linguistics Unit at Cardiff University, UK. But I have also taught undergraduate and MA students about language throughout this time (and long before) - largely through teaching them how to analyze texts systematically. It is important to emphasize, therefore, that there are two inter-related sides to my research interests: (1) modelling language through the metaphor of the computer, and (2) the development of an adequate framework for describing texts.

Here at Cardiff my research team and I have developed, over the last fifteen years, a series of increasingly complex computer models of sentence generation, as part of a wider program for modelling the generation and understanding of texts. The generative grammar for English developed for the project has been described as ‘among the largest grammars existing anywhere in computational form’ (Halliday 1994:xii). Thus one important side of our work at Cardiff is concerned with building a **computer system for generating texts** in English.

However, Cardiff grammarians are equally interested in developing a genuinely adequate **framework for describing texts**, e.g. for the purposes of language teaching, literary stylistics, and the many other areas where there is a crying need for a genuinely applicable, functionally motivated description of English and other languages. This is why I am also working concurrently on a handbook that is designed for just this purpose: *The Functional Syntax Handbook* (Fawcett forthcoming a). In the present book I shall draw directly on this much larger body of work. I shall give only a general picture of language as a whole, before focussing down onto the syntax (or ‘grammar’) of individual text-sentences (here single clauses). The relation to the work on the computer model of text generation is that these clauses are the **outputs from the generator** - whether that generator is a computer or a human being. What I shall set out here is therefore a central portion of a descriptive framework which can be used for **textual analysis** - and which has been used by many hundreds of students, taught both by myself and by others, who have found our approach helpful.

Appendix 2 provides an important supplement to this book. It consists of just four pages, but these are sufficient to summarize most of the syntax of English. These are pages that summarize much of what can be taught in a ten-week course on the functional structure of English - so we shall not expect to cover every aspect in the present short book! My goals are, firstly, to make the main features of the sheet that summarizes the **clause** INTELLIGIBLE to you and, secondly, to show you why we consider this approach to the unit of the clause works in a way that is both insightful and straightforward. My hope is that, if you find the way of analyzing English that I shall demonstrate here insightful, you may use Appendix 2, perhaps supplemented by Fawcett 2000a or Butler 2004a and 2003b, to explore it further. And perhaps in due course you will make use of the full *Functional Syntax Handbook: Analyzing English at the Level of Form* on which I am currently working, when it is finally published!

In introducing you to the basics of the English clause, as it is seen in the Cardiff Grammar, I am going use a method that is still relatively experimental. In the past, diagrams were used quite sparingly in books, probably because it has till recently been expensive to reproduce them and because they take up a lot of space. But in the age of electronic publishing, where an author can prepare his or her own diagrams to a high standard, the problem of cost is significantly reduced. The problem of space remains, but it is rightly said that a good diagram is worth a thousand words. In this book I am going to show you the analysis of quite a number of sentences, in the belief that diagrams are the best means of communicating ideas about the structure of language. And, on the principle of 'learning through doing', I shall invite you to make your own analyses from time to time. So I am going to work your diagram-reading and diagram-drawing skills as hard as your text-reading skills!

2

The place of syntax in an overall model of language

Saussure and Systemic Functional Grammar

Saussure is widely recognized as the 'father' of modern linguistics. His ideas have provided the overall framework for most of the theories of language developed in the 20th century, and for some quite specific aspects of several of those theories. The influence of Saussure's ideas on the version of Systemic Functional Grammar (SFG) presented here will quickly become clear in what follows.[7]

Saussure: form and meaning

Saussure's most basic concept was that of the 'linguistic sign'. For Saussure, any 'sign' consists of a 'signifier' and a 'signified' - i.e. a **form** and a **meaning**. It was he who showed us that forms and meanings are mutually defining.

However, what we need is not simply an insightful model of a single 'sign', such as the sentence I'm *hungry*, but a model of the full set of signs that make up the whole 'sign system'. In other words, just as a SIGN has both a form and a meaning, a SIGN SYSTEM such as a natural human language has, at its simplest, two main levels, as shown in Figure 1. Figure 1 can therefore be seen as a very simple model of A LANGUAGE AS A WHOLE.

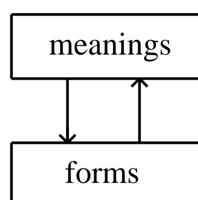


Figure 1: a simple model of any sign system

Because a sign system is something to be used, Figure 1 includes two arrows. These indicate that the function of a sign system is to turn meanings into forms, and forms into meanings. For example, a simple traffic control system has just two FORMS - a red disk and a green disk - and two MEANINGS - which we can express as 'stop' and 'go'. A human language, however, is rather more complex than this, as we shall soon see - but it is often useful to recall

7. Comparison with the Sydney Grammar: The main influences on Halliday - and so in turn on other Sydney grammarians such as Matthiessen - are the Chinese linguist Wang Li, and J.R. Firth, the leading figure of the London School of Linguistics. The main influences on myself are Saussure and, of course, Halliday - and so, indirectly, Wang Li and J.R Firth.

this very simple model when we are working within some sub-component of the overall model of language, as we shall be for most of this book. In other words, we cannot expect to understand the FORMS of language without considering the MEANINGS of language - and vice versa.

Saussure: language and text

In adding the concept of a 'sign system' to the concept of a 'sign', we have already made use of a second vital distinction made by Saussure - i.e. the distinction between a sign system and a sign. Essentially, this is the distinction between a **language** taken as a whole - i.e. as a resource for communicating meanings to our fellow human beings - and an output from it, i.e. a **text**. So a text is defined here as an instance of language in use - and it may therefore be either spoken or written (though in everyday usage a 'text' is assumed to be written.)

This distinction between a language and a text can be expressed more generally as the distinction between a **potential** and an **instance**. So it is logical to expect that an adequate model of language will have, at the levels of both **meaning** and **form**, ways of specifying both the potential and the instances that are the output of a use of that potential. At the level of **meaning**, then, we expect to find what Halliday has aptly termed the **meaning potential** of the language. This is where the **system networks** of choices between **semantic features** that are the core of a systemic functional grammar are located - but we shan't discuss these here because these are not the topic of this book. (However, see Appendix 1 for an introductory example of a system network.) Given the concepts of 'potential' and 'instance', we would logically expect the model to provide **instances** of meanings. It does - but, while we shall see examples of some of these in the concluding chapter - we must leave these too aside for now.

In a similar way, we should expect to find, at the level of **form**, a component that specifies what we might term the **form potential** of a language - and that, like the level of meaning, this component too should have its **instances**. The form potential consists of **realization rules** (and for 'groups' the associated **potential structures**), but once again space prevents me from saying more about these. However, there is no difficulty in giving examples of **instances** at the level of form, because these are the topic of this book - and they are familiar to us in the concept of a sentence (frequently a single clause) such as *I've been discussing that new student with Peter*. And if we wish to we can also treat a group of words such as *that new student* as an instance, or even a single word such as *that, new* or *student.*

However, while a single word has a 'sense' - i.e. a meaning - a word cannot REFER to anything. Only a clause or a group can refer. What they refer to is a **mental referent** (which may or may not have a correlate in the real world). Thus clauses refer to 'events', and nominal groups to 'objects', and so on - but a word cannot refer to anything (unless it happens to constitute a nominal group on its own, e.g. *grass* or *boys*).[8]

8. Comparison with the Sydney Grammar: While the Sydney model of language is very strongly oriented to the SOCIAL rather than the COGNITIVE, the overall model of which the Cardiff Grammar is a part is COGNITIVE-INTERACTIVE - that is, it brings 'social interaction' within a cognitive model of a communicating mind. It is therefore both 'cognitive' and 'interactive' (and it is also 'social' in the broader sense, in which social and cultural beliefs are seen as important influences on choices in language). The basic principles of the overall framework were described in Fawcett (1980); see Fawcett (1993) for a more recent introductory presentation of the overall model (which by that time had some additional components). Here, however, we shall limit ourselves to the lexicogrammar.

From Saussure to Systemic Functional Grammar

Figure 2 brings these concepts from Saussure together in an outline model of a systemic functional grammar. It summarizes the model of language within which the contents of this book are to be understood.[9]

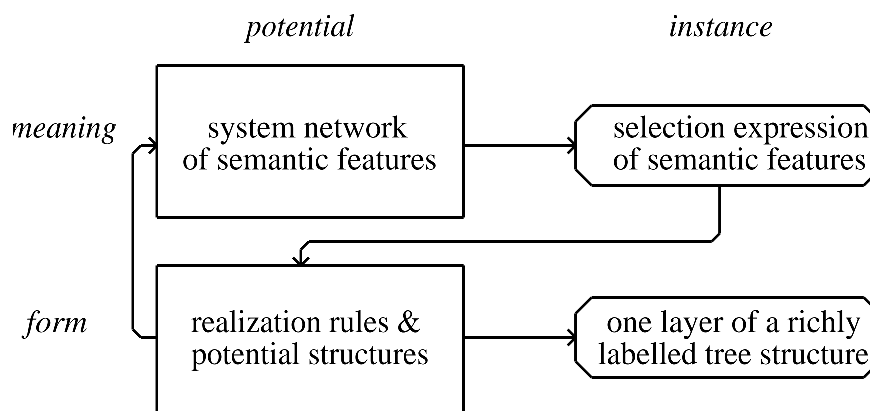


Figure 2: the core components of a simplified systemic functional grammar

In the rest of this short book we shall focus our attention almost exclusively on the contents of the bottom right box of Figure 2 - and specifically on the central unit of English syntax: the clause. However, the other components of the overall model will strongly influence those

9. Comparison with the Sydney Grammar: Halliday (1994:xix) describes a functional grammar as 'one that is pushed in the direction of the semantics', and he goes on to state that the Sydney grammar has been 'pushed fairly far' in that direction. (Later on the same page he seems to go even further when he says that 'the higher rank choices in the grammar can be essentially choices in meaning', but he surely cannot mean this, given what he says elsewhere; see below.) The general picture that emerges from *IFG* is that the system networks of TRANSITIVITY, MOOD and THEME, etc. are to be seen as capturing what he has termed the 'meaning potential' of language, but that he thinks that they need to be pushed a little further if they are to constitute the system networks at the level of semantics. In the Cardiff Grammar we consider that we have done just that - i.e. that we have pushed our system networks of 'meaning potential' the further distance towards the semantics that is needed to reach the point where they ARE the semantics.

In the light of Halliday's own description of his networks, you might think that this would result in relatively little difference between the two models. However, at other points in his writings (e.g. (Halliday 1994:xx) Halliday makes it clear that his system networks for TRANSITIVITY, MOOD and THEME have NOT been pushed as far as the semantics, and that they constitute a layer of 'meaning potential' that lies somehow WITHIN the same general level as the formal output from the lexicogrammar. On the other hand, they seem to be well above the level of form itself, because, as Halliday himself says, his grammar has been 'pushed fairly far' towards the semantics. So the picture that he gives us of the level of these system networks is not as clear as it might be. (This is a long-standing criticism. As I wrote in 1987, 'Halliday's own position [on this matter] is his writings of the 1970s and 1980s is not fully clear' (Fawcett 1987:132). And Butler writes (1985:94) '... it is frankly difficult to know what counts as semantic and what as syntactic in this latter work.')

What is now clear, however, is that Halliday assumes that there is in fact a need for a higher layer of system networks - i.e. ANOTHER level of 'meaning potential' - and that this constitutes the 'true' semantics. However, he considers that 'at the present state of our knowledge we cannot yet describe the semantic system of a language' (Halliday 1994:xx). It is an interesting fact that the fragments of 'semantic' system networks drawn by adherents of the Sydney Grammar are no more semantic than the Cardiff Grammar's system networks - and yet the Cardiff networks are related directly, via fully explicit realization rules, to their corresponding forms. (Note that the Cardiff Grammar has been implemented in a large computer model, so we know that the realization rules that convert its semantic features into strutures really do work.) What this fact suggests is that when the system networks are pushed all the way to the semantics, as in the Cardiff Grammar, THERE IS NO NEED TO HAVE TWO STRATA OF SYSTEM NETWORKS OF 'MEANING POTENTIAL', as proposed by Halliday. The Cardiff Grammar therefore has ONLY ONE such layer of meaning potential, while the Sydney Grammar has two (or will, when fuller sets of networks for the new 'semantics' are produced). This difference in the number of strata of system networks is therefore a fundamental difference between the two models.

outputs, because the ‘richly labelled tree structures’ that we shall use to describe the syntax of the English clause are as they are because of the meanings that they express.

If you find the analyses of the functional structure of simple clauses presented here insightful, you would almost certainly find the whole lexicogrammar from which they are generated even more valuable. In this ‘Invitation to Systemic Functional Linguistics’, therefore, I am inviting those who are relatively new to linguistics to sample the approach introduced here, and I am inviting you who are experienced linguists to set aside for a short while your existing assumptions about how the English clause should be modelled; to study the ideas presented in this book; and then to evaluate how far this approach meets my claim that it provides a principled, functionally oriented and applicable account of the simple English clause. In the space available it will of course not be possible to cover all aspects of the clause, but the many central examples that are discussed here - together with the additional material in the two appendices should give you a sufficient ‘feel’ for this approach for you to be able you to decide if you want to investigate it further. Some suggestions for further reading are given at the ends of the Preface and of Chapter 14.

3

Introducing TRANSITIVITY and MOOD: a simple example

The clause in its context

Sentences occur in texts, and texts - whether spoken or written - occur in specific social contexts. As our first example, we shall consider a sentence that occurs in the following social context. Paula is teaching her eight year old nephew Adam how to cook a particularly delicious vegetable dish. It is carrots and leeks, cooked in a little water and butter. They have just sliced the vegetables and put them in the saucepan, and now Paula says to Adam: “And what do you think we are going to do next?” Then she answers her question herself: “We shall simmer them gently. For about ten minutes.”

We shall take just one of Paula’s sentences as our first example to be analyzed. Our **sentence** consists of a single **clause**, and it is:

(1) We shall simmer them gently.

The multifunctional principle

Before we begin work on the analysis itself, I must introduce one of the most important ideas in modern linguistics. It was introduced by Halliday as a founding principle of Systemic Functional Grammar. We shall call it the **multifunctional principle**, and it states that:

Every clause serves several different functions at the same time.

The structure of a clause is rather like the structure of a strong hemp rope. A rope of this kind consists of several strands, each of which is itself made up of countless fibres. In other words, every clause expresses several strands of meaning, each being of a different type and each serving a different function - and each containing within itself finer structures. These different strands of meaning are closely interwoven, and together they make up what we perceive as a single entity - the rope as a whole. So ‘meaning’ is to be understood in a broad sense, which includes several different types of meaning. Every clause of every text that is ever produced is, in this special sense, ‘multifunctional’. Three of the main strands of meaning are **experiential, interpersonal** and **thematic** meaning (though there are others), and we shall meet the first two of these very soon. This ‘multifunctional principle’ does not apply just to English, but to all natural human languages.[10]

10. Comparison with the Sydney Grammar: The multifunctional principle was first made explicit in Halliday (1967-8), and it is developed in many subsequent works, including Halliday (1985) and (1994). Halliday first presented a picture of three main parallel 'metafunctions' (the 'ideational', the 'interpersonal' and the 'textual,'

One of the most amazing things about human language is the way in which it succeeds in combining all of these various strands of meaning into a SINGLE STRUCTURE. In other words:

a single TWO-DIMENSIONAL 'branching' diagram
can capture all the necessary information from
a MULTI-DIMENSIONAL array of types of meaning

- often simultaneously in the same element.

In this book we shall steadily build up the full picture of the various strands of meaning that get expressed in English syntax, and of how they combine in the structure of the clause. We shall focus first on just TWO of the strands of meaning that are found in the clause. The two are called TRANSITIVITY and MOOD. I shall now explain what each of these terms means.

The TRANSITIVITY strand of meaning

The first strand of meaning in the clause is TRANSITIVITY. (The word 'transitivity' is written in capital letters because, in systemic functional grammar, we usually signify important types of meaning in this way.) TRANSITIVITY is in fact one of the major strands of meaning in the clauses of all human languages. It defines the range of types of **process** that it is possible to express through the language concerned (English, in our case) and the **participants** in each of those types of process**.**

That description of TRANSITIVITY is rather too abstract to mean much on its own - so let's use Example (1) to make it clearer. We shall begin with some key points about the **process**. In Example (1) the process is 'simmering'.

The first point is that the word 'process' is being used here is a broad sense. It may be an action such as 'simmering' or 'kissing', or a mental state such as 'knowing' or 'loving', or a relationship such as 'being' or 'having'. The second point is that the term 'process' belongs at the level of MEANING rather than at the level of FORM. And, since the word 'semantics' is simply a more technical name for 'the level of meaning', we can use the derived adjective 'semantic' to say that the term 'process' is part of the **semantic description** of a clause.

with the 'ideational' being then sub-divided into the 'experiential' and the 'logical'). There have been some changes since then, but broadly this is still the position in the Sydney Grammar. However, in Fawcett (1980) I suggested that Halliday's four metafunctions should be expanded to EIGHT main metafunctions, plus THREE minor ones. LIke Halliday, I have slightly modified my model of the metafunctions over the last 17 years, but only slightly. The main strands of meaning that I think it is important to pay attention to are: experiential (including temporal), interpersonal, polarity, validity assessment, affective, logical relations, thematic and informational (the last two corresponding roughly to Halliday's 'textual'). It is not that Halliday necessarily ignores these types of meaning, but by recognizing only four metafunctions he naturally finds himself showing these other types of meaning as parts of the semantic structure of one or other of his four major strands of meaning, and this often appears misleading. His four major strands are 'experiential', 'interpersonal' and 'textual' but with 'logical relations' now being seen as 'above' the clause, however - and above each other unit that enters into 'unit complex' relationships (Halliday 1994:215f.). In my view this amalgamation of some of the various strands of meaning has led to insufficient attention being paid to certain ones - especially 'affective' meaning. (In addition to the eight major strands mentioned above, we need a number of minor strands of meaning, rather as in Fawcett 1980, i.e. the 'inferential', for meanings such as *even* and *only*, the 'metalingual' and the 'discourse organizational'.)

Every process functions as the pivotal element of a **situation** - the name for the unit at the level of semantics that is equivalent to the clause a the level of form.[11] So we can say that, in Example (1), the **situation** of 'Paula and Adam simmering the vegetables gently' has 'simmering' as its **Process**. And, similarly, the **clause** whose words are *We shall simmer them gently* has *simmer* as its **Main Verb**.

We have just made statements about each of the two levels of MEANING (or SEMANTICS) and FORM. So, to summarize so far, we can say:

1 At the level of MEANING:
the semantic unit of the **situation** has, as a pivotal element, a **Process**.
2 At the level of FORM:
the syntactic unit of the **clause** has, as a pivotal element, a **Main Verb**.
3 And the **Process** is typically expressed in the **Main Verb** (90% valid).

You may have noticed that I have been writing 'Process' and 'Main Verb' with initial capital letters. This is because it is the practice in SFG to write the names of ALL the elements of a situation and a clause in this way, to help them to stand out from the rest of the text.

This brings us to the **MOST BASIC PRINCIPLE** of syntax analysis, which is that:

There is one Main Verb per clause.

This principle is 100% valid - and you will find that this simple principle provides the basis for all of our work on the analysis of clauses.[12]

We can summarize the ideas presented so far in the diagram in Figure 3:

11. Comparison with the Sydney Grammar: In the Cardiff Grammar the term 'situation' is the equivalent, at the level of semantics, of the 'event' in the mind of the Performer. (It is therefore NOT used here to refer to the 'situation in which the interaction occurs', which is here termed, following Firth and Halliday, the 'context of situation' - or, to avoid using the word 'situation', the 'social context'.) Halliday, however, has no equivalent term to ours for the 'situation' as a semantic unit. (His term 'figure', as used in Halliday & Matthiessen 1999) seems to be very roughly equivalent to our 'event'.) Halliday tends to use 'clause' for both the level of 'meaning potential' within the lexicogrammar and for the syntactic unit that is the output from the grammar. It seems likely that this follows from the fact that he no longer treats the meanings that are expressed in the clause as being at the level of semantics, as we saw in Note 9.

12. Comparison with the Sydney Grammar: In the Cardiff Grammar the Main Verb is an element of the clause structure. But in the Sydney Grammar it is an element of a unit that has been in Halliday's framework since his earliest writings, but which we who use the Cardiff Grammar do not find useful, i.e. the 'verbal group'. The Main Verb has a direct relationship with many aspects of the meanings and forms of the clause, including the rather important fact that it expresses the Process which 'predicts' the Participant Roles of the clause (as will shortly be explained). Similarly, the various 'aspectual types' co-occur with different tenses, etc. There are many other reasons why it is better to treat the elements that in the Sydney Grammar are elements of the 'verbal group' as direct elements of the clause, and we shall meet some of these as the book progresses. In recent years, however, Halliday has recognized that one element of the 'verbal group' (the 'Finite operator', our equivalent of which we shall come to soon) is best regarded as an element of the clause, and in my view it would be logical for him to 'promote' the others in the same way. Halliday's 'verbal group' is unlike other types of group in several ways: (1) all the elements in it express meanings that are aspects of the 'situation' (i.e. the semantic equivalent of the clause); (2) the elements of the 'verbal group' are very frequently interrupted by elements of the clause (even in the newer version of the Sydney Grammar in which the Finite operator is not treated as an element of the group); and (3) it cannot stand on its own as a referring expression - as all the other groups can (e.g. *those boys over there* is a refering expression, but *have been playing* is not).

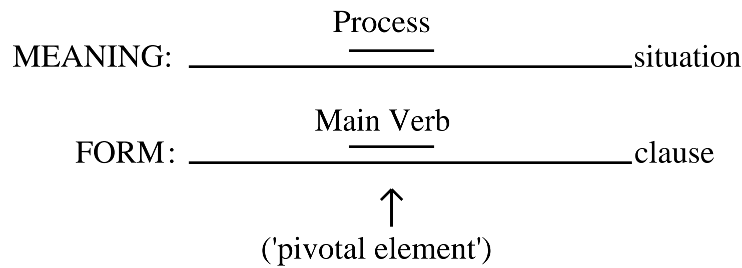


Figure 3: the relations of Process and Main Verb

'Form' is a general term that includes items, syntax and (depending on whether the medium is speech or writing) intonation or punctuation. So in Figure 3 we could replace the word 'FORM' by 'SYNTAX', since it is the syntax of English that we are focussing on in this book. However, because Systemic Functional Grammar takes a **functional** approach to language, we match the units of SYNTAX as closely as possible to the units of SEMANTICS. The effect of this is that, as we learn about syntax, we shall regularly need to bring into the picture the **functions** that syntax serves - i.e. the **meanings** that syntax expresses. And we shall find that this is a great help in analyzing the syntax.

We come now to the **Participants** in the Process. All we need to say at this point is:

Just as:
the PROCESS is typically expressed in the Main Verb,
so too:
the PARTICIPANTS are typically expressed in the Subject and Complement.

There is more on the Subject and Complement in Chapter 10.

Now we are ready to identify the first strand of meaning in our example. The analysis of the TRANSITIVITY of *We shall simmer them gently* is given in Figure 4.

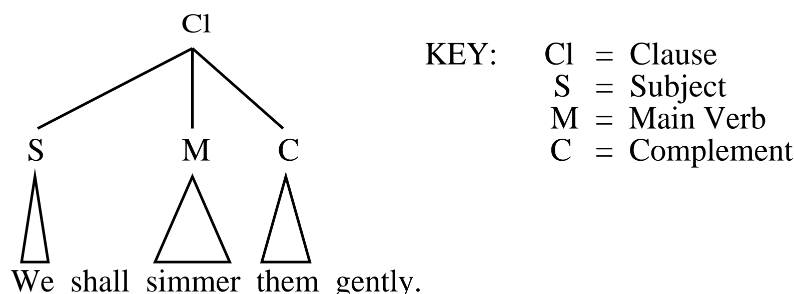


Figure 4: The TRANSITIVITY in Example 1

I have not so far explained HOW to recognize that *we* is the Subject and *them* is a Complement. We shall come to those questions very soon, but at this point we are simply illustrating the vital point that syntax is **multi-functional**.

The general name for the first of the two strands of meaning that we are introducing in this chapter is **experiential.** TRANSITIVITY is simply the most important of a number of types of **experiential** meaning that are found in the **clause**. It is called 'experiential' because it represents the 'experience' that is being referred to.

The MOOD strand of meaning

The second major function of language is to express **interpersonal** meaning. And the main type of interpersonal meaning expressed in the clause is MOOD.

MOOD is meaning in terms of **communication roles**. But before we can describe these we need to introduce two even more basic concepts: the **Performer** and the **Addressee**.

Why do we use these terms rather than, say, 'Speaker' and 'Hearer'? The reason is that the performer of an act of communication may be either a **speaker** or a **writer,** and the addressee may be either a **hearer** or a **reader**. So, since we often need to generalize across speech and writing,we shall use the terms **Performer** and **Addressee** (with an initial capital letter to signify that these are roles). Sometimes we shall abbreviate the word 'Performer' to P and 'Addressee' to A - so when Paula is speaking to Adam, P and A can also stand for 'Paula' and 'Adam'. And we shall also assume that the performer is female and that the addressee is male, because this will save having to use clumsy expressions such as *he/she*, and *himself/herself.*

So we can say that Paula is the **Performer** of the information-giving act of *We shall simmer them slowly* and that Adam is the **Addressee.**

It is the Performer who assigns the communication roles of MOOD that are expressed in the clause. So in our example Paula is, through the act of uttering this clause, assigning herself the role of 'giver of information' (i.e. information about what she and Adam are about to do), and she is assigning Adam the role of 'receiver of information'.

There is an interesting relationship between the Performer of the communicative act and the act itself. Notice that we can call both of them an **information giver**. Paula, in her role as the Performer, is an 'information giver', but so is her one-clause utterance. The relationship is that the clause functions as a sort of temporary 'extension' of P, so that P and her utterance are each, in their different ways, an 'information giver'.

The crucial question is: How is the meaning 'information giver' signalled at the level of form? The answer is that, in English, it is done by the sequence of two elements of clause structure, the **Subject** and the **Operator.**[13] (I shall shortly explain how to recognize them.)

13. Comparison with the Sydney Grammar: In the Sydney Grammar the nearest equivalent to the Operator is the 'Finite' - which Halliday explains (1994:196) is short for 'Finite Operator'. And in both grammars this element is treated as an element of the clause. But this apparent similarity of name and function hides a major difference. In the Sydney Grammar the 'Finite' is said to be conflated with the Main Verb in an example such as *Ike likes Ivy*, while in the Cardiff Grammar there is simply no Operator in such cases. A problem for the Sydney Grammar is that for Halliday the Main Verb is, as we saw in Note 12, an element of the 'verbal group',

The syntax of MOOD in Example 1 is shown in Figure 5.

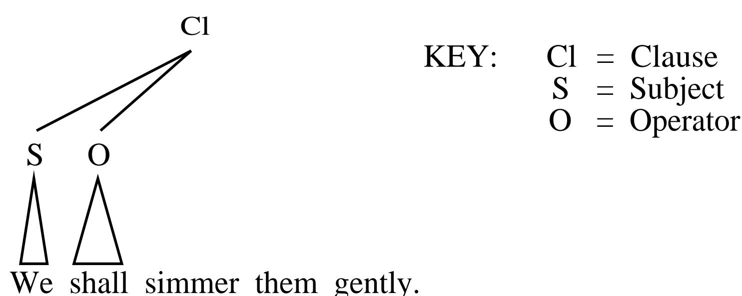


Figure 5: The MOOD in Example 1

So MOOD is the main part of the **interpersonal** meaning of a clause. More precisely, it is the main way through which we represent in grammar the **discourse act** that is performed through uttering the clause.

Strands of meaning and system networks

We have now introduced two pairs of terms that appear to overlap: (1) ‘experiential’ and TRANSITIVITY, and (2) ‘interpersonal’ and MOOD. This apparent duplication occurs because we are so far considering only the clause - and not all of the other units of syntax. In fact the concept that there are ‘experiential’ and ‘interpersonal’ strands of meaning is also relevant to other units of language - though the concept is most clearly represented in the structure of the clause. The terms TRANSITIVITY and MOOD are simply the names of two major **system networks** of meanings that are expressed in the clause - and so, by extension, they can be used as the names of the expression of those broad areas of meaning in **structures**. The full set of such relationships can be summarized in a diagram. We shall meet a large part of it in the final chapter of this book, but for our present purposes all we need to note is the corner of it that is shown in Figure 6.

strand of meaning or 'function of language'	expressed in the unit of:
	clause
experiential	TRANSITIVITY
interpersonal	MOOD

Figure 6: Two major functions of language and two types of clause meaning

and not the clause. Yet ‘conflation’ is, of its nature, a procedure that occurs between two elements of the same unit. So the conflation of the ‘Finite Operator’ and the Main Verb, which is needed in any case (as we shall see in Chapter 7) for examples such as *Ivy is clever*, is a further reason to make the Main Verb an element of the clause, as is done in the Cardiff Grammar. The same point applies to other elements of what would be the ‘verbal group’ in the Sydney Grammar. (In the Cardiff Grammar we allow that the MOOD of an information giver may be expressed either by S O or by S M, as we shall see in due course.)

As this diagram shows, a ‘function of language’ and a ‘strand of meaning’ are two ways of expressing the same thing. In general in this book we shall use the term that most clearly reminds us of the multifunctionality of language, i.e. the metaphor of **strands of meaning**.

It is interesting that both TRANSITIVITY and MOOD are concerned with meanings that are ‘roles’. But it is not surprising, in a functional approach to language - since a ‘role’ IS a **function.** It is in fact quite easy to keep the two types of role separate:

TRANSITIVITY - covers the roles of the **participants being referred to**, while
MOOD - covers the roles of the **interactants** in the act of communication.

Putting the TRANSITIVITY and MOOD structures together

If you compare Figure 4 and Figure 5, you will see that the Subject is involved in the syntax of both TRANSITIVITY and MOOD. This illustrates nicely the principle of ‘multifunctionality’ that I introduced at the start of this book. Later we shall find that the Subject typically has a further role - that of being a type of THEME which we shall call SUBJECT THEME - so that any Subject typically serves THREE functions at the same time. I shall say a little more about the different types of THEME in Chapter 11. The multifunctional principle applies to other elements too. For example, the item *shall* has its own internal meaning (roughly, ‘future time’), as well as its function as the Operator in expressing the MOOD meaning of ‘information giver’. So the **multifunctional principle** applies to many of the individual elements within the clause - and so by extension to the clause as a whole.[14]

If we now put the TRANSITIVITY and MOOD analyses together into one unified structure, we get the analysis shown in Figure 7:

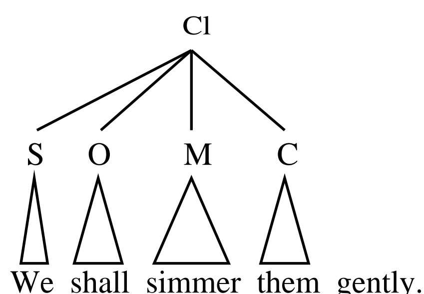


Figure 7: TRANSITIVITY and MOOD in Example 1

14. Comparison with the Sydney Grammar: The analyses in *IFG* show several lines of analysis, so implying that there are several structures. In Chapter 7 of Fawcett 2000a I point out the serious problems that this relatively unchallenged assumption of Halliday’s brings with it, and that - whether or not these multiple simultaneous structures are desirable - they must ultimately - if they are to be part of the model at all - be mapped onto each other in a single structure, as Halliday himself would agree. So, if you are one of those who are used to thinking in terms of the structural analyses in *IFG*, you will find it easiest to make sense of the structures proposed here if you think of them as representing the final stage in the process of ‘generation’ - i.e. the stage when the various structures represented in *IFG*-type diagrams are unified in a single structure.

The Manner of the Process

This leaves only the word *gently.* What kind of meaning is it? Is it experiential, like TRANSITIVITY, or interpersonal, like MOOD? Or is it a new type of meaning?

Since we are taking a functional approach to understanding language, we should ask: "What function does *gently* perform here?"The answer is that it describes the way in which 'we' are going to simmer 'them'. But it is not a Participant in the Process of 'simmering', for reasons that will become clearer in Chapter 10 - and so it is not part of TRANSITIVITY. The function served by the word *gently* is that of giving Adam further valuable information about the **Manner** in which Paula plans to cook the sliced leeks and carrots. And, since Adam is only eight, Paula may at the same time be teaching Adam the meaning of the word *simmer* - or at least re-enforcing it. After all, to 'simmer' something means to 'gently cook' it. So the answer to our question is that it is another part of the **experiential** meaning - even though it is not a Participant in the Process, and not a part of the Process itself. The meaning of 'Manner' is one of many types of meaning that are expressed at the level of syntax as an **Adjunct.**

So a first analysis that covers all of the clause elements is as shown in Figure 8:

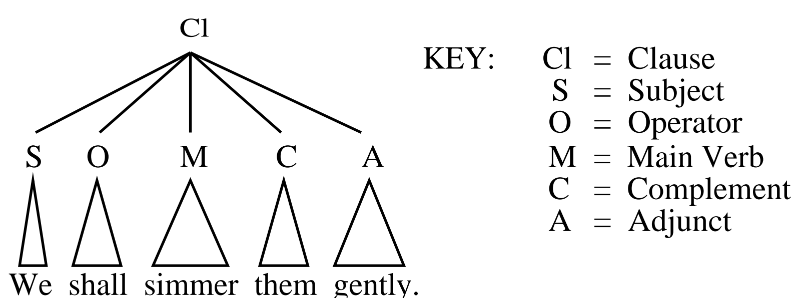


Figure 8: The full clause analysis of Example 1

If we wished to specify the POSITION IN TIME at which the event occurs, we would use a different type of Adjunct, as in *We shall simmer them now.* The 'Time Position' and the 'Manner' of an event are two types of what is termed 'Circumstance'- in a very broad sense of the term. Each such **Circumstance** is realized as a separate Adjunct - and we shall gradually learn more about Adjuncts from the examples given in this book. For a fuller summary, see Appendix 2.

4

Exploring criteria for establishing reliable *Guidelines*

The time has come to start laying the foundations for efficient clause analysis skills. In Chapter 12 I shall provide a relatively full set of *Guidelines* for analyzing clauses, with clear critera and their associated tests. The small set *Guidelines* that follow here simply give you the ORDER in which you should look for the elements of clause structure.

Note that the analysis starts with the Main Verb, and so typically in the MIDDLE of a clause. It is interesting that this is a much better starting point than the one which we use when we hear or read a piece of text. When we are listening to a spoken text we start analyzing as soon as we have heard the first word - or even the first bit of a word. And when we read we normally start at the left and work through it to the right. DO NOT TRY TO ANALYZE CLAUSES BY WORKING FROM LEFT TO RIGHT. It pays to start by locating the Main Verb. By the end of this book you will have discovered the reasons why this is the best approach.

The preliminary *Guidelines* (lacking criteria)

1	Find the Process.	(M)
2	Find the elements that show the MOOD.	(S and O)
3	Find any other Participants.	(C)
4	Find any Adjuncts.	(A)

Preliminary analysis task

Now it is time for you to do your first clause analysis - using the *Preliminary Guidelines*. There will be other 'Analysis Tasks' later in this book, and they are intended be done as part of the Process of reading it. These 'Analysis Tasks' add important extensions to ideas that have just been introduced - so they are NOT AN OPTIONAL EXTRA. (So I suggest that you should have a pencil and paper at hand while reading this book.) You should try to find your own criteria in tackling this first 'Analysis Task', but afterwards we will discuss the important question of the best criteria to be used when making such decisions.

So, on the basis of the impressions you have gained so far, try to analyze these:

(2) Ivy might visit Fred. (2a) Might Ivy visit Fred?

Three tips for drawing syntax diagrams

1 When you write down the clauses to be analyzed, you should LEAVE FOUR OR FIVE LINES OF SPACE ABOVE THE TEXT itself, for the analysis diagram. (We would need more for the full analysis of sentences, i.e. if we were analyzing the units that fill the elements of

clauses, and the units that fill their elements - and so on. See Figure 21 in Chapter 14 for an example of the full analysis of a complex sentence.)

2 You can save space by writing two or more sentences side by side.

3 It is best to WORK IN PENCIL, with an ERASER ready in case you change your analy

4 Cover the 'Solutions' below so that you can't see them as you tackle the analysis task.

When you have done the analyses of (2) and (2a), compare then with mine, as shown below in Figure 9.

Solutions

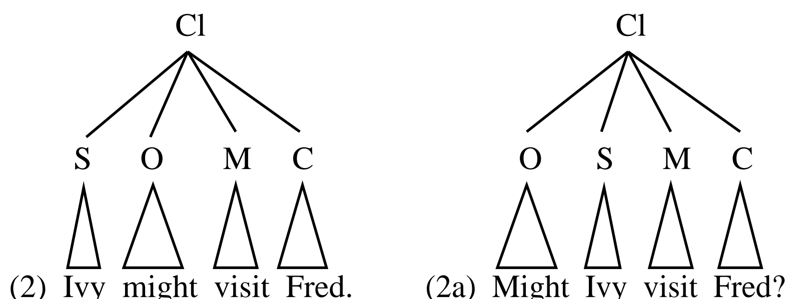


Figure 9: The clause analysis of Examples (2) and (2a)

What were your criteria?

Assuming that your solutions agrees with mine, the question is: "How did you do it?". Let's take (2) first. Since I haven't yet given you any criteria to use, you are quite likely to have analyzed (2) by recognizing its close semantic and syntactic similarities to (1). It is just possible that you operated purely AT THE LEVEL OF FORM, e.g. reasoning as follows:

> *The first word of (1) was S, so the first word of (2) is probably S too. The second word of (1) was O, so the second word of (2) is probably O also....* and so on.

But that would not give you any sense of having explained anything. Alternatively, you may have operated at the level of MEANING, perhaps reasoning along these lines:

> *Although the Process in (2) is different from the Process in (1) - i.e. it is 'visiting' rather than 'simmering' - both clauses have two Participants. And in both clauses the FIRST Participant is 'doing the simmering' or 'doing the visiting', while the SECOND Participant is having the 'simmering' or 'visiting' done to it. Therefore the first Participant is S and the second is C.*

If you analyzed (2) in this way, you will have got the right answer - but in a very unreliable way. Surprising as it may seem, reasoning like this is NOT a good way to identify the Subject. This is because the role of Subject is not part of the clause's EXPERIENTIAL meaning, but part of its INTERPERSONAL meaning. The fact is that the task of identifying the Subject in English is a problem - but it is one that can be solved quite easily, if you follow the guidelines set out in the *Subject Test* given in the next chapter.

5

Introducing the *Subject Test*

The best way to identify the Subject (S) in English is by using two of the major meanings of the MOOD system.[15] Examples (2) and (2a) show us that, typically:

S O means 'information giver', and
O S means 'information seeker'.

Note too that:

In any one clause there can be only ONE Subject and only ONE Operator.

In order to identify the **Subject (S)**, we must first be able to identify the **Operator (O)** - if there is one. It is in fact usually fairly easy to recognize, since the words that **expound** it (to introduce the technical term for the relationship between an **element** and the **item** or **items** that come below it in the diagram) can be grouped into a small number of easily remembered sets of words. We will meet these in later chapters, but for now I shall only use Operators of the type found in the previous examples, i.e. ones like *shall* and *might* - and now we shall add *will.*

We come now to the first version of the *Subject Test.*

15. Comparison with the Sydney Grammar: Many grammar books, including *IFG* and its derived introductory texts, use the terms 'declarative' for our 'information giver', and 'interrogative' for our 'information seeker'. There are three reasons for preferring our terms. First, for many linguists the terms 'declarative' and 'interrogative' refer to particular sequences of clause elements (e.g. Quirk *et al* 1985), so that they talk about the 'interrogative syntax' of *So do I*. But since a functional approach should give priority to function over form, we need terms that cannot be interpreted as referring to the level of form. The reason is that there are a number of non-typical but frequent cases of what are clearly, in semantic terms, 'information givers' (e.g. *So did John* and *Seldom have I heard such rubbish*, both of which have the sequence O S). Moreover, a very frequent type of information seeker (e.g. *Who can read this?*) has the sequence S O. The second reason for using the terms 'information seeker' and 'information giver' is that they express in simple language the meanings that we wish to convey. These two terms correspond to the **semantic features** that occur in the **system network** for MOOD, i.e. the specification of the meanings available in English in this area of the semantics. (However, the terms 'declarative' and 'interrogative', together with 'indicative' and 'imperative', are still regularly found in the system networks shown in most systemic functional grammars, with no change from the early 1960s. In my view the MOOD network in the Sydney Grammar needs to be 'semanticized' (as it was long ago in the Cardiff Grammar, in Fawcett 1980 with extensions in later publications) - in a manner thaat is parallel with Halliday's semanticization in Halliday 1967-8 of th earlier system networks for TRANSITIVITY.) You might then ask : "Why not use the even simpler terms 'statement' and 'question' for the semantic equivalents of 'declarative' and 'interrogative'?" It is tempting to do this, and both Halliday (1994:69) and Quirk *et al* (1985:78) do in fact use these terms. The reason why the Cardiff Grammar does not is that they are also often used as names for the classes of **act** in the structure of **discourse** - and the analysis of a text in terms of its discourse structure is a different level of analysis. So the third reason for preferring the terms used here is that they make it clear that we are not equating the concept of 'act in discourse' (e.g. in the sense of Sinclair & Couldhard 1975) or 'speech act' (in the sense of Ausitn 1962 or Searle 1969) with 'meaning of type of clause'. Thus in the present approach there are THREE relevant levels of representation to take into account: (1) the discourse act (which is outside the lexicogrammar), and (2) the semantics of MOOD and (3) the syntax of MOOD (both of which are parts of the two levels of the lexicogrammar, as described in Chapter 2). (In Martin 1992 (1) and (2) are treated as the same.)

The *Subject Test* (first version)

1 **Preparation**: if the clause to be analyzed does NOT have the structure of an **information giver**, first re-express it as one.
Example: re-express *Will Fiona see him?* as *Fiona will see him.*

(Of course, if the clause to be analyzed already has the structure of an information giver, such as *Fiona will see him*, there is no need to re-express it.)

2 **Find the Operator.** The Operator is either (a) a 'modal verb' (i.e *may, might, shall, should, will, would*, etc.) or (b) one of a small number of other types of verb which we will meet shortly.

3 Re-express the clause as an **information seeker.** (There are several types of information seeker, and the type we need here is the one that seeks the answer *Yes* or *No.* There is more about types of information seeker later.)

Example: re-express *Fiona will see him* as *Will Fiona see him?*

4 Now you are in a position to identify the Subject (S). **The Subject is the word or words which, by occurring before or after the Operator, shows whether the clause is an information giver or an information seeker.** In other words:

S O means 'information giver', and
O S means 'information seeker'.

Example: The word *will* is the Operator, and so *Fiona* is the Subject.

Information seekers and polarity seekers

In the test introduced above, I have used the term 'information seeker', in order to bring out directly the contrast with 'information giver'. But in fact there are several different types of information seeker - and we must therefore be clear as to which type is needed for the *Subject Test*. The type needed is the **polarity seeker**. This is the type of information seeker that seeks the answer *Yes* or *No*.

Why does it have the name 'polarity seeker'? The first part of the answer must be to clarify that the meanings expressed by *Yes* and *No* . These are:

Yes = 'If I said this clause in full it would be **positive**.'
No = 'If I said this clause in full it would be **negative**.'

In other words, a polarity-seeker asks the Addressee to choose between the two 'poles' of 'positive' and 'negative' (rather as a magnetized iron bar has a **positive** pole and a **negative** pole). So, when your purpose is to get the Addressee to answer *Yes* or *No*, you typically produce a 'polarity seeker'. This is why an informal name for a polarity seeker is a 'Yes-No

question'. (We will introduce some of the other major types of 'information seeker' in Chapter 11.)[16]

Summary so far

To summarize the main concepts introduced so far, please consider again the combination of MOOD and TRANSITIVITY in (2a), as shown in Figure 10:

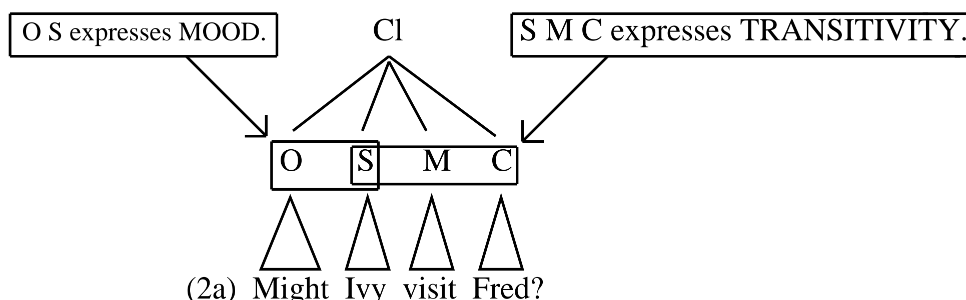


Figure 10: The TRANSITIVITY and MOOD of Example (2a)

16. Comparison with the Sydney Grammar: The approach to the concept of the 'Subject' in English that is presented here is essentially the same as that found in standard systemic writings such as Berry (1975:77). However, Halliday has suggested in his more recent works (1985, 1994) both a different TEST and a different MEANING for the Subject from those proposed here.

On the test, he writes (1994:73) 'The Subject ... is that element which is picked up by a pronoun in the tag'. For example, in *Fred was visited by Ivy*, the addition of a tag would give us *Fred was visited by Ivy, was*n't *he?* In Halliday's test, the acceptability of *was*n't *he* (together with the fact that *he* is interpreted as having the same referent as *Fred*) shows that Fred is the Subject. The result of his test is therefore the same as ours - but it has two disadvantages. The first is that it only identifies the S through a secondary connection, i.e. by matching the original S with the S IN ANOTHER CLAUSE (the clause *was*n't *he*, which in the present model is, as Appendix 2 shows, a clause embedded at A). Thus Halliday's 'tag test' depends on the analyst's ability to recognize intuitively that the referent of the S in the tag is the same as the referent of the S in the main clause. The test used here is more direct, in that it uses CRITERIA THAT ARE STATED IN TERMS OF THE MAIN CLAUSE ONLY. Thus the present proposal has the advantage of using a more central part of the grammar, i.e. the core of the MOOD system. The second disadvantage of Halliday's test is that there are certain types of clause which do not accept a tag. Examples are information seekers such as *Will you be there?* and *Where do you live?*, and proposals for action such as *Could you turn the volume down, please?* and *Shall I open the window?* Such examples would therefore need to be turned into information givers before the test can be applied. In our approach no such 're-expressions' are required. The second difference from the Sydney Grammar concerns Halliday's new definition of the MEANING of the Subject. This is discussed fully in Fawcett 1999, so we will say no more about it here. For the reasons set out above, then, the test for the Subject used here is essentially a reformulation of the earlier SFG position, as stated in Berry (1975:77). Finally, we should note that the approach to recognizing the Subject taken here works for English, but it is not relevant to most other languages, in which the meanings of MOOD is realized differently.

6

Elements, words and units: keeping things simple

The problem

The main problem for the syntax analyst is usually: "Which words go with which?" We have avoided this problem so far, because I have been careful to choose examples in which there is just ONE WORD FOR EACH ELEMENT of the clause. It would take a little more work to analyze an example in which this was not the case, such as (1a):

(1a) That nice lady will cook those delicious vegetables very carefully indeed.

The key point is that, for every example given so far, I could have used a clause with exactly the same structure, but with SEVERAL WORDS at each of S, C and A. As an example of this, we shall take the analysis of our very first clause (which was *We shall simmer them gently*) as shown in Figure 7, and compare it with *That nice lady will cook those delicious vegetables very carefully indeed.* This is done in Figure 11:

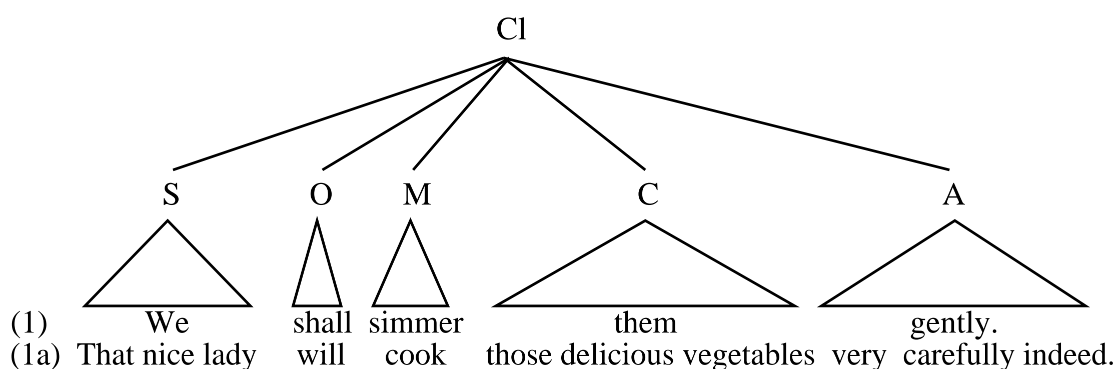


Figure 11: Analyses with several words at S, C and A

As you can see, in terms of their clause elements the structures are identical.

In fact, each of *that nice lady*, *those delicious vegetables* and *very carefully indeed* is a **unit** - just as the clause as a whole is a **unit.** Each of these units has its own elements - and in Appendix 2 you can find the two **classes of unit** that happen to be used here (the 'nominal group' and the 'quality group'), as well as the other main classes of unit. But here we shall continue to make our analysis task easier by simply including under one broad triangle any cases where an element of a clause contains more than one word - exactly as in Figure 11.

Notice, though, that this still leaves the problem of how to answer the question "Which words go with which?" For example, how do you decide whether *those* should stand on its

own or be put together with *delicious vegetables* - or even with *cook*? The answer to such questions lies in considering the functions served by the elements of the clause, i.e. in the careful use of the tests summarized in the *Guidelines* that will be given in Chapter 12.

Can all clause elements be filled by units?

But the complexity in (1a) raises an important question, which is: "Can every one of the elements of every clause be replaced by groups of words in this way?" As Appendix 2 shows, the Cardiff Grammar uses several other clause elements - so, if the answer were to be "Yes", this would greatly add to the complexity of the work of analyzing clauses. Luckily, the answer is "No". In fact:

Only Subjects, Complements and Adjuncts can be replaced by 'units'.
(99.9% reliable)

So the good news for the analyst is that there is no possibility of having more than one word for either the Operator or the Main Verb - and virtually none for any of the other types of clause element. (One other clause element which is regularly filled by a unit is the **Vocative**; for examples of this see Appendix 2.)

However, it is one of the most important facts about language that there is enormous scope for complexity within each of S, C and A. Appendix 2 summarizes the ways by which the English language supplements the structure of a single clause, in order to attain this great complexity. It may sound as if there is a lot to learn about the structure of English. It is true that there is quite a lot - but it is not too much for the average human mind to grasp quite easily. As Appendix 2 shows, the essentials of English syntax can be summarized on JUST THREE PAGES. Surprisingly, perhaps, we shall find that quite a SMALL SET OF PRINCIPLES will enable us to understand almost all of the potentially VERY GREAT COMPLEXITY found in the structure of English sentences.

However, the foundation for understanding of the rich complexity of English syntax is a good understanding of the structure of the CLAUSE. It is because we need to focus our attention on the clause itself that I shall generally use single words for each S, C and A (unless it sounds unnatural).

7

Conflating the Main Verb with the Operator (O/M): the special case of 'being'

Now we shall consider the special case when a form of the verb *be* (here *are*) is used as a **Main Verb** (M). Since one or other of the forms of *be* is by far the most frequent verb at M, it is important to deal with this 'special case' early on. Consider (3) in Figure 12:

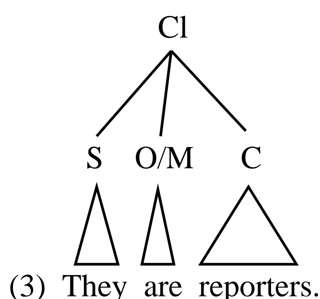


Figure 12: The conflation of the Operator and Main Verb

First, apply the *Subject Test* to check that *are* really is the O as well as the M.

You will find that *They are reporters* changes to *Are they reporters?*, showing that the word *are* is indeed the O - as well as the M. There are three key points:

1 In (3), MOOD is realized by S O, and TRANSITIVITY is realized by S M C - just as with our earlier examples. In other words, O and M have been 'fused' together in the word *are*, so that they function as one element. The technical term for this in SFG is to say that they have been **conflated**. We shall find that this concept of 'conflation' is needed at several places in this type of grammar. In the present example - as is often the case - the two elements that are conflated represent meanings from two different strands of meaning. The M is the pivotal element of the clause's TRANSITIVITY, and the O is a key element of its MOOD.

2 In most modern dialects of English the ONLY M that can be conflated with O is one of the following forms of the verb *be:*

am, are, is, was, were .[17]

17. We should note that some older people in Britain still say *Have you a pen?* rather than the more frequent forms *Do you have a pen?* or *Have you got a pen?* - so for them forms of *have* can still be O/M.

It is important to emphasize that not all cases of *am*, *are*, *is*, *was* and *were* are to be analyzed as O/M. We shall mention these other uses briefly in Chapter 8.

3 In cases like *They are reporters* it is reasonable to ask the question: "How many Participants are there in this Process?" We shall assume here that there are TWO referents:

(1) the two or more people who are presumed to be already identified for the addressee, and who are referred to by *they*, and

(2) the general class of 'reporters'.

In effect, the clause says that one referent ('they') is to be classified as a member of another referent, the class of 'reporters'. But you may want to ask: "Can a class of things really be a 'referent'?" The simple answer is that it can. In other words, if we are to make sense of the 'meanings' in language, we must have a concept of 'referent' that is broad enough to include classes of things. In the clause *Reporters are untrustworthy*, for example, we would surely not wish to say that there was no referent for *reporters*. The referent is 'members of the class of reporters'. And it is 'members of class of reporters' also in *They are reporters*. So in *They are reporter*s we shall say that there are TWO **referents,** and consequently TWO **Participants.**

Analysis task

Now try analyzing (4) and (5) - covering up the solutions below until you have finished. You will find that they take a stage further the principle about the number of Participants established for (3), and that (5) also raises a question about the status of the concept of a **word**.

(4) Is Ivy happy now? (5) Ivy's wealthy.

When you have finished, see how your analysis compares with mine, as shown below in Figure 13.

Solutions

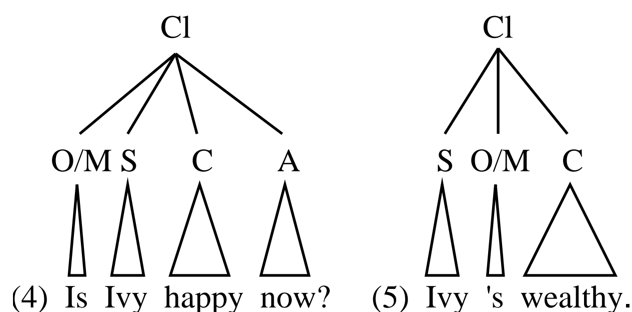


Figure 13: Two examples with O/M

Qualities as Complements

In both (4) and (5) we have a new type of Complement: a word that expresses the **quality** of a 'thing'. (In this technical sense of 'thing', a 'person' is a type of 'thing'.) The question is: "If *happy* and *wealthy* are to be analyzed as Cs, what is it that they have in common with *reporters* in *They are reporters*?"

The answer is that, just as 'being a reporter' means 'being a member of the class of reporters', so 'being happy' means 'being a member of the class of happy people' and *wealthy* means 'being a member of the class of wealthy people'. The purpose of (4) is therefore to ask whether Ivy is now a member of the class of those who are happy, and the purpose of (5) is to tell us that Ivy belongs to the class of people who are wealthy. So the 'qualities' expressed in *happy* and *wealthy* in fact refer - if only in an indirect way - to 'things'. i.e. they are 'qualities of things'.

Contractions

In (5) there is a second point that requires a brief comment. This concerns **contractions**. In *Ivy*'s *wealthy!* the single letter *s* - together with the preceding apostrophe - stands for the full form *is*. You can test this claim by changing it into a polarity seeker, i.e. *Is Ivy wealthy?* Conversely, (4) could be changed into the 'information giver' *Ivy*'s *happy now*.

Luckily, very few contractions are a source of problems in sentence analysis, so you won't have difficulties in this area. In (5), for example, it is easy to work out that the *'s* must be the M, because we expect every clause to have a M (99.99% reliable, with only very rare exceptions). In general the presence of an apostrophe (') is a warning that one or more letters are missing - and that what follows the apostrophe is a SEPARATE ELEMENT of syntax. Some of the most frequent cases are:

with forms of the verb *be:*	*'m* for *am*	*'s* for *is*	*'re* for *are*
with the auxiliary verb *have:*	*'s* for *has*	*'ve* for *have*	*'d* for *had*
with modal verbs:	*'ll* for *will*	*'d* for *would*	

Note the ambiguity of *'s* between *is* and *has*, and *'d* between *had* and *would*. Another frequent contraction is the use of *n't* for *not,* as in *isn't* , etc. None of these contractions is likely to cause problems in analysis. (There is an interesting case where the apostrophe marks the start of a separate element, but where no letters are missing - at least, not in modern English. This is the genitive *'s*, as in *Ivy's* in *Ivy's car.* For analyzed examples of this construction, which is called the 'genitive cluster', see Appendix 2.)

8

The Auxiliary Verbs: a brief introduction

In this chapter we will another type of clause element: the **Auxiliary Verb** (or Auxiliary, for short). It is represented by **X** - and not **A**, since this is already in use for 'Adjunct'. The Cardiff Grammar recognizes many different types of Auxiliary, this being one of its major extensions of existing grammars. But here I shall introduce just the three most frequent types. If you look at the examples in Note 5 on the clause in Appendix 2, you will get a fair idea of some of the others, most of which occur with an accompanying Auxiliary Extension (XEx).

The first two types of **X** express 'time' meanings. (See Chapter 4 of Fawcett forthcoming a for definitions of these meanings and the reasons for the change of names from the traditional ones.) The first type of **X** is exemplified by *have* in (6) and the second by *were* in (7):

(6) They have besieged the castle.
(7) They were besieging the castle.

Let's look more closely at (6), the 'retrospective' Auxiliary. There are three points to note. The first is that it is always expounded by a form of the verb *have* - so it is always *have, has, had,* or *having.* This makes it very easy to recognize, as the *Guidelines* in Chapter 12 will show. Secondly, if (a) it is the first Auxiliary and (b) there is no Operator, it is conflated with the Operator, and so shown as **O/X**. Thirdly, it exemplifies one of the minor challenges of English syntax for the builder of generative grammars. This is the fact that the meaning of 'retrospective' that is expressed in the Auxiliary *have* also typically requires the use of the 'past participle' form of the following Auxiliary - or, if there isn't one (as in the present case), the past participle form of the Main Verb. So here the expression of the meaning 'retrospective' is completed by the suffix *-ed* in *besieged.*

Example (7) is similar to (6) in all three ways. The meaning of 'period marked' is always expressed by a form of the same verb - but in this case the verb is *be*, and so one of *am, is, are, was, were, being* or *been.* And it too gets conflated with **O** if it is the first **X** and there is no **O** already. Finally, it too typically requires the use of a second element to expresses its meaning - in this case the suffix *ing* on following **X** or **M**. In (7) this is the *-ing* on the **M** *besieging.*

The good news for the text analyst is that when we are analyzing test-sentences we only need to identify the Auxiliaries, so we can ignore the suffixes and past participle forms.

Let's now put both Auxiliaries in the same clause, and add an Adjunct - here one that expresses 'Duration'. The result is (8), in which the two Auxiliaries are *have* and *been..*

(8) They have been besieging the castle for over two years.

The third Auxiliary is often introduced as a result of a decision by the Performer to present the PR that typically comes SECOND as the Subject Theme. So this 'passive' Auxiliary is often introduced as the by-product of a very different type of choice. It is one that belongs in a third major strand of meaning: the 'thematic' strand. This choice arises whenever a Process involves two Participants, either of which can be made the Subject Theme - i.e. it tells the Addressee 'what the clause is about'. So the event of 'Henry's besieging the castle' can be reported as EITHER (9a) or (9b):

(9a) Henry besieged the castle.
(9b) The castle was besieged by Henry.
(9c) The castle was besieged for over two years.

As you can see, in (9b) the 'typically second' Participant - i.e. the castle - has been made the Subject Theme.[18] However, by far the most frequent reason for using this construction is as the result of a choice by the Performer to leave out the typically first PR. So in (9c) the 'besieger', i.e. Henry, has been omitted, and in such cases we say that the Participant is **covert**. (There is a little more on covert Participants in Chapter 11.) In other ways this X is like those in (8) and (9). As in (8), the **X** is expounded by a form of *be*, but in this case the following suffix is the past participle. And like both (7) and (8) the **X** is conflated with **O** if there isn't an **O** already.

Let's summarize the ideas that we have introduced in this chapter in a single diagram. Example (10) in Figure 14 shows that all three **Xs** can occur in the same clause, and also the way in which we represent a covert PR, i.e. the **C** is placed in brackets.[19]

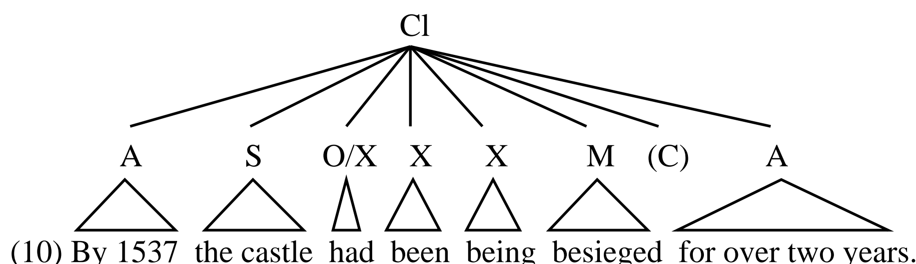


Figure 14: A clause with three Auxiliary Verbs

18. Comparison with the Sydney Grammar: In the Cardiff Grammar the words *by Henry* function as a Complement, as Figure 14 shows. This is because Henry is a Participant in the Process of 'besieging', whether he is the Subject or not. But in the Sydney Grammar the words *by Henry* would be treated as a Adjunct. The reason given is that it is a role that can't become the Subject - but it clearly can, if we drop the word *by*. It seems to be an analysis that derives from the early days of the model, before the distinction between function and form became strongly emphasized. It seems that in the Sydney Grammar any unit introduced by a preposition (such as *by* in *by Henry*) is automatically treated as an Adjunct. But in an explicitly FUNCTIONAL grammar the fact that the realization happens to be in a nominal group in one case and a preopositional group (or 'prepositional phrase') in another should surely be subordinate to the fact that the referent is in both cases a Participant in the Process. (Two similar cases are discussed in Notes 26 and 29.

19. Comparison with the Sydney Grammar: In the Sydney Grammar the Auxiliary Verbs are elements of the 'verbal group', and this in turn fills the 'Predicator', which is an element of the clause. In the Cardiff Grammar the Auxiliary Verbs are themselves elements of clause structure, just as the Main Verb is. **Xs** are very frequently conflated with **O**, and for this to be able to happen they need to be elements of the same unit as **O**. So, since **O** is a clause element, the **Xs** must be too. See Note 12 for other arguments for treating all elements that would be elements of the 'verbal group' in the Sydney Grammar as elements of the clause.

9

Improving the *Subject Test*: introducing forms of *do*

The fact that either (1)*be* (when it is a Main Verb) or (2) any one of the Auxiliaries can be conflated with the Operator has already given us two reasons why we need to expand the wording of Step 2 of the *Subject Test.* Here are a three more reasons.

Clauses with no Operator

Consider the problem of analyzing (6):

(6) Adam visited Paula yesterday.

You will probably be able to analyze it quite easily, and your analysis will be as in Figure 15. But if you follow the recommended procedure strictly, you will meet a problem.

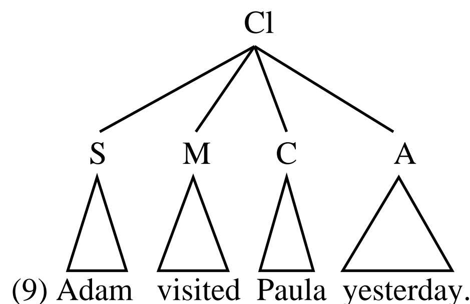


Figure 15: the analysis of Example (9)

The problem comes with Step 2 of the existing *Subject Test.* It is that, since there is no Operator in (6), there is no element which can form a polarity seeker. Clauses such as (6) in fact occur very frequently in texts, especially narratives - as the underlined **Ms** in the following example show: *Fred walked down to the shops and Ivy went with him. Then they visited Phoebe and she gave them a cup of tea.*

So how is the equivalent polarity seeker to be formed in such cases? The answer is that in such cases we simply introduce a form of the verb *do* as an Operator, as in Figure 16.

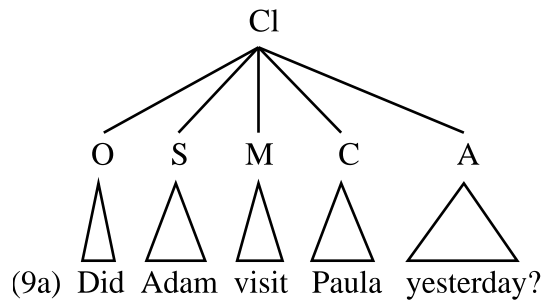


Figure 16: the analysis of the polarity seeker that is the equivalent of (9)

Up to this point we have found that, when we needed an Operator to change the meaning to 'polarity seeker', there was one in the clause already. Thus in *Ivy might visit Fred* the word *might* is already present, since the meaning of 'possibility' is needed, whatever the MOOD.

So we test for the Subject in a cases such as *Ivy wants coffee* by changing it to *Does Ivy want coffee?* However, there are two more reasons why a form of *do* may be introduced as a default Operator, and before we come to the *Revised Subject Test* we must consider these.

Negation: a second reason for introducing *do* as a default Operator

We have already met the concept of POLARITY, in Chapter 5. Clauses may be 'positive', as in *Adam ate the icecream*, or 'negative', as in *Adam did*n't *eat the icecream.* This is the 'unmarked negative', and the 'strong negative version would be*Adam did not eat the icecream.*

So in *Adam did*n't *eat the icecream*, the word *did*n't is an Operator. For a diagram to show this, we shall return briefly to Example (3), i.e. *They are reporters*. The analyses of the 'positive' and 'unmarked negative' versions of the clause are as in Figure 17.

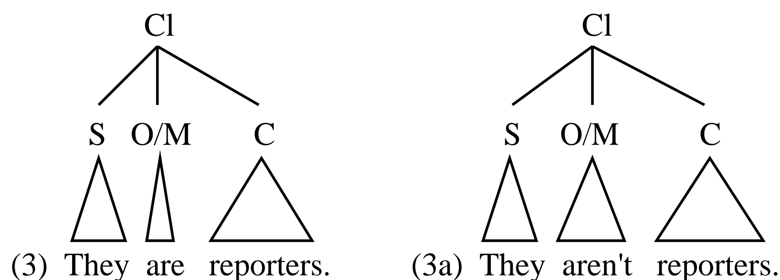


Figure 17: The representation of 'unmarked negation' as a suffix on the Operator

In other words, the item that expresses the meaning 'negative' isn't a separate element of the clause, but an integral part of the Operator. The reason is that, if you change the form of (3b) into *Are*n't *they reporters?*, the O/M functions as a single element.[20]

20. In this book we are focussing on **syntax**, and it is a matter of **morphology** that the item n't is a **suffix** that is added to the **base** of the Operator (in this case, the base of an Operator which is conflated with the Main Verb). There is no need to analyze the base and suffix as separate 'elements', because they always function as a single syntactic element.

It is an interesting fact of English that the Operator is not simply required as a form to which the suffix n't can be attached. It is also required for the 'strong negative'. Here a new element is introduced, i.e. the **Negator** - which is always the word *not.* In other words, we cannot say * *He not accept your excuse.* We must introduce *do* as a default Operator, and say *He does not accept your excuse.*

Polarity correction: a third reason for introducing *do* as a default Operator

There is a third function of the Operator that may introduce a form of the verb *do*. Consider the following scrap of conversation, which concerns the question of how Fred feels about Fiona - and notice in particular Paula's response.

Adam: Fred doesn't like Fiona.
Paula: He DOES like her.

Adam's clause is 'negative', but Paula's response doesn't simply give the 'positive' version of it (which would be *He likes her,* allowing for the use of pronouns). Paula introduces the Operator *does*, the effect being to emphasize that the POLARITY of the clause is 'positive', and SO TO CORRECT AN APPARENT MISAPPREHENSION. (This is traditionally referred to as 'emphasis', but 'polarity correction' describes the function much more accurately.)

The *Revised Subject Test*

Altogether, then, there are three main functions for which an Operator is required. If the clause contains (1) a modal verb as Operator, (2) an Auxiliary Verb or (3) *be* as a Main Verb, then there is no need to introduce the default verb *do.* Otherwise *do* is required.[21] It is ONLY IF NO OTHER MEANING HAS BEEN CHOSEN WHICH IS EXPRESSED IN AN OPERATOR that a form of *do* gets introduced. In other words, a form of *do* is only used as a default. The forms are:

do, does, did.

We are now in a position to introduce the *Revised Subject Test* - with a much fuller Step 2.

1 **Preparation:** If the clause to be analyzed does NOT have the structure of an **information giver**, first re-express it as one.

Example: re-express *Will Fiona see him?* as *Fiona will see him.*

2 **Find the Operator.** It is:
EITHER (a) a modal verb such as *may, might, shall, should, will, would*,
OR (b) *do, does* or *did* (as in polarity seekers such as *Did you see it?*)
OR (c) *am, is, are, was* or *were* as O/M), expressing a Process of 'being',
OR (d) *am, is, are, was* or *were*, or *have*, *has* or *had* as O/X.

21. There is a fourth situation in which a form of *do* is introduced if there would not otherwise be an Operator. This occurs when as in *The reviews recommend the film quite strongly, and so do I (* or *... and I do too*).

3 Now re-express the information giver as a **polarity seeker**, i.e. as seeking the answer *Yes* or *No.* If the clause has no Operator, supply *do, does* or *did,* as appropriate, as **O**.

   Example: re-express *Fiona saw him* as *Did Fiona see him?*

4 Now you are in a position to identify the Subject (S). **The Subject is the word or words which, together with the Operator** (which we have already identified) **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', and
   O S or S O/X or O/M S means 'polarity seeker'.

This 'improved version' of the *Subject Test* can also stand as a summary of what this book has said so far about MOOD. I shall add a little more about MOOD in Chapter 11, but in the next chapter we will learn about the important basic patterns in the other main strand of meaning, i.e. TRANSITIVITY.

10

More on TRANSITIVITY: Participants as Subjects and Complements

The main purpose of this chapter is to give a clearer picture of what Subjects and Complements are. The questions to be answered are:

Question 1: What is a Subject - in addition to being an element that helps define the MOOD?
Question 2: What is the significance of labelling part of a clause as a Complement - rather than as an Adjunct?
Question 3: How many Complements can there be in a clause?
Question 4: What sub-types of Complement is it useful to recognize?[22]

To answer these questions we must first have a clear picture of what a **Participant Role** is.

How to identify a Participant Role

Till now, we have been using the term 'Participant' informally, without defining it. The full name for this concept in SFG is **Participant Role**, and Participant Roles are contrasted with **Circumstantial Roles**. The abbreviations for these are PR and CR. We have already met two types of CR: *gently* in Example (1) is a 'Circumstance of Manner', and *now* in (4) and *yesterday* in (6) are both 'Circumstances of Time Position'. Here we shall concentrate on PRs.

So we begin by asking: **What is a Participant Role (PR)?**
And the answer is: **A PR is a role that is 'expected' by the Process.**

Or, to express it a little more precisely: A PARTICIPANT ROLE IS A ROLE WHICH WE EXPECT TO OCCUR IN THE CLAUSE, AS A RESULT OF KNOWING WHAT THE PROCESS IS. (I shall explain shortly to why we say 'which we expect to occur' rather than simply 'which occurs'.)[23]

22. The traditional approach to grammar makes a distinction between 'Objects' and 'Complements' - and, within 'Objects', between 'Direct Objects' and 'Indirect Objects'. Some grammars also make a further distinction between 'Subject Complements' and 'Object Complements'. Yet here we shall simply treat them all as 'Complements'. So this question arises: "Does SFG recognize such distinctions, and, if so, where?" The answer is that SFG in fact recognizes an even fuller and finer set of distinctions. These are the various types of **Participant Roles** (such as Agent and Affected, and Carrier and Attribute), and once these are introduced there is no longer any need for terms such as 'Direct' and 'Indirect Object', etc.

23. It is tempting to say that it is the Main Verb (rather than the Process) that 'expects' the PRs - and in around 70-95% of cases (varying with different types of text) it would do no harm to work on this assumption. But if we did we would find that we had two additional problems. The first is that quite a few verb forms are ambiguous, so that ONE FORM CAN CO-OCCUR WITH TWO (OR MORE) SETS OF PRS. As we shall shortly see, Figure 18 provides examples of this. So it is the Process - i.e. the SENSE of the lexical verb at M rather than its FORM - that must be our guide.

The second problem is that the expression of the Process is regularly spread over M and one or even two

We are now ready to answer the first two of the four questions.

Answer to Question 1 (What is a Subject? - in addition to helping express MOOD):
Typically, the Subject (S) is a PR (over 99% reliable).

Answer to Question 2 (What is a Complement?):
A Complement (C) is any PR that is not S (100% reliable when analyzing only elements of clauses, as here, but to be re-expressed later)[24]

In other words, a Complement is a PR because it 'complements' the Process - in the sense that it is needed to 'complete' the meaning expressed in the Process.[25] Typically, the Subject too is a PR (99% reliable).

So when the Subject is a PR - as it typically is - it has the following THREE functions: (1) a TRANSITIVITY function, (2) a MOOD function (i.e. it tells us whether the clause is an information giver or a polarity seeker, etc, through its relation to the Operator or Main Verb), and (3) a THEME function (as we shall see in Chapter 11).

Answer to Question 3 (How many Complements?). It will now be clear that we need to answer it in terms of PRs, so we shall re-express it as Question 3a:

Question 3a: How many Participant Roles can be associated with a Process?

The answer is that:

The vast majority of Processes have TWO associated PRs,
a small number have ONE associated PR,
a small number have THREE associated PRs - and
a very few - all concerning the 'environment' - have NO PRs
(e.g. *It*'s *raining*, where *it* does not refer to anything).

Let's now answer the original Question 3. Because the Subject is typically a PR (over 99% reliable), we can say that, typically:

The vast majority of clauses have ONE Complement,
a small number have NO Complement
(including those expressing 'environmental' Processes), and
a small number have TWO Complements.

other elements. These are termed 'phrasal verbs', 'prepositional verbs', and 'phrasal-prepositional verbs' in traditional grammar, and Appendix 2 includes examples of these. Chapter 11 briefly introduces the clause element needed to handle phrasal verbs, but prepositional verbs are not discussed.

24. This important modification is needed because, in cases such as *Ivy was seen by Ike* and *Ivy looked at Ike*, the PR is in fact not conflated with the C, but with the 'completive' of the 'prepositional group' that fills the C. See Appendix 2 for the prepositional group.

25. The one exception, which accounts for the fact that the guideline is only 99.99% valid, is the 'empty' *it* found in examples such as *Ike resented it that Ivy had visited Fred.*

Figure 15 shows examples of clauses with one, two and three PRs - and so with zero, one or two Complements. It shows the main types of Process with one PR and with three PRs, and some of the more frequent of the many types of process that have two PRs. In fact, the two-role Processes shown here have all been chosen because they have an interesting semantic relationship with the example in the neighbouring column - as you can see for yourself.

Finally, we turn to:

Answer to Question 4 (What sub-types of Complement is it useful to recognize?)

I shall answer this fourth question in a new way - i.e. by setting out in Figure 18 the analyses of a set of KEY EXAMPLES, and then commenting on them in a set of **Notes.** The first five notes contribute to the answer to Question 4, but because Figure 18 provides a visual summary of practically all that we have learnt so far about TRANSITIVITY, there is a lot of material in these notes that is of general importance. So Figure 18 and its set of Notes, taken together, are a crucial stage in building an adequate picture of the TRANSITIVITY structure of English clauses. It provide a simple, clear framework for many important aspects of analysis work. Please now take a few minutes to try 'reading' Figure 18 for yourself, before going on to the Notes that follow it.

	Cl			Cl			Cl			
	S	M	(A)	S	M	C	S	M	C	C
(1)	They	died	(today).	Typhoid	killed	them.				
(2)	The door	opened	(slowly).	Ivy	opened	the door.				
(3)	The snow	melted	(fast).	Rain	melted	the snow.				
(4)				Ivan	became	rich.	The war	made	Ivan	rich.
(5)				Fred	became	chairman.	They	made	Fred	chairman.
(6)				Fred	remained	in Paris.	Fiona	sent	Fred	to Paris.
(7)				Ike	has	money.	Ivy	gave	Ike	money.
(8)				Ivy	knows	the answer.	Fiona	told	Ivy	the answer.
(9)							Ivy	gave	money	to Ike.
	ONE PR (A)			TWO PRs (B)			THREE PRs (C)			

(10) Ivan [S] is [O/M] rich [C].
(11) Ivan [S] is [O/M] in Paris [C].
} TWO PRs (with a form of *be* at M)

(12) It [S] snowed [M] (yesterday [A]). - NO PR

Figure 18: A summary of some major types of Processes and Participant Roles

Notes on Figure 18

The following notes refer to the examples in Figure 18 by both numbers - (1), (2), (3), etc - which indicate their 'row', and by letters - (A), (B) or (C) - which refer to their place in one of the three columns. Apart from (12A), the examples in the Column A have one Participant Role, those in Column B have two, and those in Column C have three. For the use of brackets in Column (A) see Note 2.

1 While the referents of S and C in Rows (1), (2) and (3) are all 'things' of one sort or another (e.g. *they, typhoid* and *them* in Row (1)), the examples in Row (4) remind us that with some types of Process the PR can be a 'quality', such as *rich*. We met examples of this type of Complement in Chapter 7.) And the example in the third column (4C) shows that in such processes an Agent can be a brought into the picture as an Agent of change, making it a three-role Process.

2 If you now compare Rows (4) and (5), you will see that the pattern with a QUALITY at C occurs also with a THING at C. The PRs are the same for both - though there are certain verbs which practically always occur with a quality rather than a thing, and vice versa (e.g. *turn* in *The leaves have turned red)* and *elect* in *They elected Ivy (as) chairperson*).

3 Consider Row (6). This illustrates the important fact that a 'place' can be a PR, as well as a 'thing' (an object or person) or 'quality'. So a PR can, in these two types of clause and in the type shown in (11), answer the question "Where?".[26]

4 At the foot of Figure 18 there are two types of clause with a form of *be* at M. Example (10) has a quality at C and (11) has, like (6B), a 'place'. Like the examples above them in Column (B), (10) and (11) are Processes which expect two roles. The only reason for not including them with the two-role Processes above is that their M is a form of *be*, and so also an O, and they therefore require the label O/M. The two PRs are nearly always overtly present (99% reliable). But their Cs vary greatly - between 'things', 'qualities', 'places' and even 'situations' - for which see the next note. In some cases the 'place' is a 'place in time', as in *Her birthday is in November.*

5 An important extension to the concept of a Complement is that some Processes expect CLAUSES as their Complements. These are particularly frequent with 'mental process' clauses such as those shown in Row (8), but they also occur regularly with 'relational process' clauses with a form of *be* (e.g.(e.g. the underlined Subject in *To err is human*). This crucial concept of a 'clause within a clause' is a major source of the richness and complexity of syntax - as Appendix 2 shows.

That ends the answer to Question 4. The rest of the notes make other important points.

26. Comparison with the Sydney Grammar: The Sydney Grammar treats *in Paris* and *to Paris*in (6B), (6C) and (11B) as Adjuncts, while the Cardiff Grammar treats them, as Figure 18 shows, as Complements. The situation is similar to that described in Note 18. Here, as in Note 18, we treat these cases as Complements because they function as Particpants in the Process. See the similar case covered in Note 29.

6 Rows (2) and (3) illustrate an uncomfortable fact for the syntax analyst. This is that there are many lexical verbs which can occur with EITHER ONE OR TWO PARTICIPANT ROLES. This is in contrast with Row (1), where essentially the same meaning is expressed in two different verb forms, depending on whether there is one PR or two. The fact is that the same 'structural ambiguity' illustrated here with *open* and *melt* occurs with many other verbs: (a) with *boil bake* and *simmer,* and most other 'cooking' verbs; (b) with *break* and *crack* and most other verbs expressing the idea of 'destroying' (but not, interestingly, *destroy* itself), and with others as well. What do they all have in common? The answer is that they are all Processes of 'changing'. The examples in Column (A) simply describe that Process of 'changing', but those in Column (B) additionally have a PR which tells us who or what CAUSED the Process of changing. This PR is an **Agent.** So, in the examples in Column (B) of Rows (2) and (3), *Ivy* and *rain* are both Agents. The problem for the analyst is that we often find the same verb being used to refer to BOTH 'something changing' AND 'causing something to change'. This is a type of ambiguity that the analyst must learn to look out for - but it is one that can be dealt with without too much difficulty, with a little practice. This is because the verbs fall into clear semantic classes, and it is easy to learn to recognize the most frequent types.

7 The concept of **Agent** is one which will also help in understanding many of the other main types of TRANSITIVITY. An Agent is an entity that the Performer is presenting to the Addressee as the PR that CAUSES some situation (where 'situation' includes 'state of affairs'). As we have seen, an Agent is typically an 'agent of change'. Usually the 'causer' of the change is a person, or a social group of persons such as a committee. But sometimes the Agent of change may be an animal, or some object that is presented as acting in the way that animate beings do, such as a car. It may also be a natural phenomenon (as in (3B)) or, as in (4C), an event. (The Agents in Column C are discussed in the next note.)[27]

8 The third column (C) of Rows (4) to (8) shows the five main types of TRANSITIVITY which have THREE PRs - but NOT, of course, all of the many verbs that occur with each type. It is an interesting fact that each type has an equivalent Process with TWO PRs (as the diagram shows). This raises the following question "What do these three-role Processes all have in common?" The answer is that, in each case, a 'third party' Agent CAUSES the equivalent event in Column (B). In other words, the situation referred to in (4C) causes the situation in (4B), and the situation in (5C) causes that in (5B), and so on. In relation to (4C), *The war made Ivan rich*, it may be useful to say that the Cardiff Grammar analyzes examples such as *The heat turned the milk sour, He got his hands dirty* and *He painted the shed green* in exactly the same way. In other words, a process of 'painting the shed green' is essentially the same as one of 'making the shed green'. The verb *make* in (4C) doesn't tell us anything about HOW the change was brought about, but in *He painted the shed green* the verb is lexically richer, and it DOES give us this information. This pattern of variation in the semantic specificity of a verb is a common phenomenon; for example the verb *made* in

27. Comparison with the Sydney Grammar: This book is not about the types of Particant Role, but it may nonetheless be useful to say that, in the Cardiff Grammar, we find that we can adequately characterize the different PRs by giving each a single label. Thus these PRs are not both 'Agents' and 'Actors', as in the Sydney Grammar, but simply 'Agents'. We find that we can adequately describe both clauses that express the 'ergative' organisation of experience and the 'transitive', using the terms associated with the 'ergative' analysis for both.

(5B) could be replaced by semantically richer words, such as *elected* or *appointed*, and *went* in (6B) could be replaced by *flew, drove* or *marched.* And it would be perfectly possible to say *Fiona flew / drove / marched Fred to Paris*. In other words, the present approach allows a single framework to be used to explain a number of otherwise problematical examples.[28]

9 We can summarize what we have learnt from examining rows (4) to (8) by saying that, in each case, the Agent in Column (C) causes something (or someone) to 'be' something or somewhere, or to 'have' or to 'know' something. With the two types of Process shown in (7C) and (8C) there are alternative sequences of elements: compare (7C) with (9C).[29] And there are a number of Processes with three PRs, such as 'reminding' (in two senses, in fact) which have three PRs but which may not at first be easy to match with the examples given in Figure 18.

10 In Note 6 above I pointed out one type of ambiguity to look out for. There are others, as the word *made* in (4C) and (5C) reminds us. There are at least two senses of the verb *make*: the THREE-role sense in which someone makes something into something, as in *They made Fred Chairman*, and the TWO-role sense, as in *They made a cake*. Many other high frequency verbs (such as *get*, *go*, *keep*, *leave*, *put* and *send*) are ambiguous - sometimes with different numbers of PRs. So it really is important to decide on the MEANING of the verb - and so the number of PRs to expect - ON THE EVIDENCE OF ITS LINGUISTIC CONTEXT. With isolated examples this can be difficult, but it is much less of a problem with sentences that occur in their natural setting, i.e. in real texts.

11 Note the example of an 'environmental' Process with no PR at all in (12).

12 The final point concerns Adjuncts. The examples in Column (A) illustrate the fact that clauses that have only one PR are, in general, more likely to be given an Adjunct than clauses with two or three PRs - though Adjuncts do of course regularly occur with all TRANSITIVITY types. The point to note is that these Adjuncts are NOT 'expected' by the specific types of Process, in the sense described earlier. The brackets round *today*, *slowly* and *fast* show that these items are fully optional. So the example *They died (today)* in fact illustrates TWO clauses in one example: *They died*, and *They died today.*

All of these points are highly relevant to understanding the structure of English clauses. Notes 1 to 5 provide the answer Question 4 - as far as is possible without starting on the major

28. Comparison with the Sydney Grammar: Halliday treats the second of the two Complements in such examples as a new (but in my view unneccessary) type of role. Moreover it is an analysis that loses the generalizations that are neatly expressed by relating (4B) to (4C), (5B) to (5C) and so on. So Halliday's example *He moulded the army into a disciplined fighting force* is like our (4C). But Halliday describes *into a disciplined fighting force* as a Circumstance rather than a Participant, and of a type that he calls 'Product' (1985:157). But our analysis allows us to capture neatly the semantic relationships to *The army became a disciplined fighting force* and *The army was a disciplined fighting force*. See Fawcett 1987 for a fuller statement of the rationale for this approach to 'relational' Processes.

29. Comparison with the Sydney Grammar: The Sydney Grammar treats *to Ike* in (9C) as a Adjunct, while the Cardiff Grammar treats it, as Figure 18 shows, as a Complement. It is hard to see how this Participant, which is an Agent in both cases, should be treated as a Complement in (7C) and an Adjunct in (9C), but this is what an analysis in the Sydney Grammar terms would demand. The situation seems to be similar to those described in Notes 18 and 26.

task of listing and defining the various types of Participant Role. This is done in Chapter 2 of the *Functional Semantics Handbook* (Fawcett in preparation b). You can now see that there is also quite a wide range of variation in the INTERNAL semantics of Complements - i.e. that they can be 'things', 'qualities', and 'places' etc, and in some cases full 'events', and so embedded clauses, as described in Fawcett 1996.[30] But this criterion should always be secondary to the main test - i.e. the semantic test of asking what the Process 'expects'. At this point you simply need to be able to decide whether or not the entity is a PR, and so a S or C.

Summary of TRANSITIVITY

TRANSITIVITY is the **system network** of meanings that get expressed as Processes and Participant Roles. But we can also use the term to refer to the manifestations of these meanings in **syntax**. From the **semantic** viewpoint, then, TRANSITIVITY is concerned with:

1. the TYPE of **Process**,
2. the NUMBER of **Participant Roles** in each type of Process,
3. the TYPES of **Participant Roles**, and
4. whether the PRs are **overt** or **covert** (covered briefly in Chapters 10 and 11).

But from the **syntactic** viewpoint, the key points are:

1. ALL clauses have at least one PR - which is typically the **Subject** -
   UNLESS **M** is an 'environment' Process, when the **S** is not a PR.
2. MOST clauses have TWO PRs - so a **Subject** and a **Complement**.
3. SOME clauses have THREE PRs - so a **Subject** and TWO **Complements**.
4. A Subject or Complement is quite frequently **covert**.

From the viewpoint of using the internal meanings and forms to help in recognizing PRs, the key points are:

1. **Subjects** are typically **'things'** (including **'persons'**) - and occasionally **'situations'.**

2. **Complements** may be:
   EITHER (a) **'things'** (including **'persons'**)
   OR (b) **'qualities'** (such as *happy* and *amazing*)
   - with Processes of 'being', 'becoming' and 'making', etc.
   OR (c) **'places'** (such as *there* or *to/from Paris*) and occasionally **'times'**,
   - with Processes of 'being', 'going' and 'sending', etc.
   OR (d) **'situations'** (such as *that she was here*)
   - with Processes of 'knowing', 'saying', 'wishing' etc.

This chapter has given you the essential criteria for recognizing Participant Roles, and so Complements. Essentially, a Complement is a PR that is not the Subject. You will find that **Figure 18 is a helpful SUPPLEMENT to the following *Guidelines***, and you are likely to find it helpful to consult it regularly - especially in the early stages of learning to analyze the TRANSITIVITY of clauses.

30. A particularly valuable source of insights, when you are trying to decide whether a possible PR is a Participant or a Circumstantial Role, is Neale's Process Type Data Base (Neale 2002). For the first published account of a recently identified set of 'relational' Processes in English, which we call 'matching' Processes, see Neale 2004.

11

A brief outline of some other aspects of clause structure

In this chapter I shall introduce a number of other constructions that use the elements which we have met already. In doing this, I shall make use of a **linear diagram** to represent clause structure. While this type of diagram is certainly far more economical in its use of space than the tree diagrams used so far, it is of limited value. This is because it only gives a clear representation of the structure FOR A SINGLE LAYER OF ANALYSIS. It is useful for times when we are only interested in the structure of a single unit - as in most of this book, in fact - but for the full analysis of almost any text-sentence there is no adequate substitute for a tree diagram. I therefore recommend this as the best way of representing the full syntax of a sentence. See Figure 21 in Chapter 14 for an example of the full functional analysis of a complex sentence.

A note on 'overt' and 'covert' Participant Roles

Let's assume for the moment that we are able to recognize which 'things', 'qualities' and 'places', etc. in a clause are 'expected' by the Process. Unfortunately there is one further complication that we have to deal with - one example of which we have already met. It is that THE EXPECTED PR IS QUITE OFTEN NOT ACTUALLY PRESENT AT THE LEVEL OF FORM.

When a PR is PRESENT at the level of form in the clause, we say that it is **overt** - and it is usually a straightforward task to identify it as a S or C. And when a PR is ABSENT from the clause, it is said to be **covert.**

The example of a covert PR that we have already met is the **covert Complement in** (10) in Figure 12 in Chapter 8. Here it is again, this time in the new linearized notation:

(10) By 1537 [A] the castle [S] had [O/X] been [X] being [X besieged [M] ([C])
for two years [A].

Notice the use of SQUARE BRACKETS in the linear diagram to identify the clause elements. This is in contrast with the use of ROUND BRACKETS in diagrams to indicate **covert** elements, and in the case of **([C])** we can see both in use together, to show that the Complement in covert.

A second frequent type occurs in a simple 'directive' such as *Watch this space!* Here we have a **covert Subject**, and it can be covert because it is so easily recoverable - i.e. it is the Addressee. But the Subject would be overt in strongly expressed directive such as *You watch your language!* The analysis of the simple directive is as shown in (11):

(11) ([S])Watch [M] this space [C]!

There is a second and much less frequent type of **covert Complement**, and this is illustrated in (12):

(12) He [S] should [O] shave [M] ([C]) more often [A].

And the Subject and Complement can both be covert in the same clause, as in (13):

(13) ([S]) *Push* [M] ([C]) *now* [A]!

Finally, note that the concept of'covertness' only applies to PRs. So it is only Subjects and Complements that can be covert, and not Adjuncts. (All three - and indeed any element - can be **ellipted**, i.e. omitted because the wording is deemed to be fully recoverable by the Addressee - but **ellipsis** is a different and far more widespread phenomenon which we must omit here.)

'New content seekers' and 'choice of alternative content seekers'

We have already met the type of information seeker which seeks from the Addressee the answer *Yes* or *No.* The second major type seeks information about an element of the clause, and here we shall call it a 'new content seeker'. This is in contrast with another type of information seeker which also seeks to know about a piece of 'content', but which provides two or more specifications and then asks the Addressee to say which is correct. Here we call these 'choice of alternative contents seekers'. In a 'new content seeker' the 'new content' may be about a PR or about a Circumstance - i.e. any EXPERIENTIAL element of the clause. Examples are:

What are you reading? *When will you finish it?* and *Who lent it to you?*

The analyses of these three, using the linear notation, is as follows:

(14) What [C] are [O/X] you [S] reading [M]? - with O S
(15) When [A] will [O] you [S] finish [M] it [C]? - with O S
(16) Who [S] lent [M] it [C] to you [C] ? - with S O or S M

As these examples show, there is a general pattern for information seekers, in which **O** precedes **S** - except when the element about which the information is sought is the Subject. Then the order is **S O** or **S M**. A typical 'choice of alternative contents seeker' would be (17):

(17) Will [O] Chomsky or Halliday [S] be [X] regarded [M] as the greater linguist of the twentieth century [C]?

The Infinitive Element (I)

There is a minor element that cannot, as the examples given below show, be treated as part of another: the Infinitive Element. It is always expounded by *to*, as illustrated in (18):

(18) You [S] ought [O] perhaps [A] to [I] have [X] left [M] the party [C] earlier [A].

The Main Verb Extension (MEx)

One of the more frequent elements in English - especially spoken English - is what we shall here term the **Main Verb Extension (MEx)**. As its name implies, it is a 'extension' of the **Main Verb**, and the two elements jointly express the **Process**. This combination of **M** and its **MEx** is often referred to as a 'phrasal verb'. Compare (19a) and (10b):

(19a) They [S] threw [M] out [MEx] the troublemakers [C].
(19b) They [S] threw [M] the troublemakers [C] out [MEx].

This element is also used for examples such as the following:

(20a) Fred [S] gave [M] a kiss [MEx] to his beloved fiancee [C],
(20b) Fred [S] gave [M] her [C] a kiss [MEx].

(21a) He [S] walked {M] off [MEx] into the night [C].
(21b) Off [MEx] he [S] walked {M] into the night [C].

The vast majority of phrasal verb have as their Main Verb Extension one of these items:

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 the possible MEx is one of these, there is a probability of over 95% that it is a MEx - and this probability rises to 99.9% if it is *out*, *away* or *back* (from the 'most frequent' set) or *apart, aside, ahead, forward, in front* or *together* (from the 'less frequent' set).[31]

Examples of phrasal verbs that use a MEx from the 'less frequent' list are: *come across, pull apart, stand aside, go ahead; step forward, stay behind, go in front; stand by, stick together,* and *go under.*

In this grammar we also treat *a bath* in *have a bath*, *in love* in f*all in love* and *swimming* in *go swimming* as MExs - so that the grammar allows for the possibility that an MEx may be filled by another unit (typically a group).

Complements as Marked Theme

When a Complement occurs before the Subject we have a case of what is termed **Marked Participant Role Them**e. This occurs relatively rarely, but when it does the clause typically expresses either contrast or a considerable strength of feeling in the Performer - or both.

31. However, there is an occasional informal spoken British English usage in which *out* is a preposition, as in *He looked out the window*. And in American English the preposition *in back of* functions as the converse of *in front of* (so corresponding to the British English *behind*). But the word *back* on its own is never a preposition.

(22) That book [C] I [S] just [A] couldn't [O] understand [M]
(23) Boring [C] it [S] was [O/M] not [N].

A note on Adjuncts

Up to now most of the Adjuncts that we have encountered - but not quite all of them - have been tidily placed at the end of a clause. This has given a misleading impression, because one of the major challenges of English syntax to anyone who is trying to build generative grammar - but especially to formal grammarians who use 'phrase structure rules' - is the immense variation in the places in the clause at which Adjuncts of various types can come. Indeed, Adjuncts and their various complexities are given far too small a role in most grammars. (The term 'Adjunct' is used here in a sense that includes the 'Adjuncts', 'Disjuncts', 'Conjuncts' and 'Subjuncts' of the useful description given in Quirk *et al* 1985.) The fact is that we do not yet have a full list of the functional types of Adjunct, but ongoing work at Cardiff suggests that the number is over sixty (see Ball & Tucker 2004 for a discussion of some experiential Adjuncts and a list of nearly 40 of them. Thus there around 20 'non-experiential' types of Adjunct.)

We need to recognize that almost all types of Adjunct occur very regularly at several different places in clause structure. Firstly, an Adjunct may be **thematized**, i.e. placed in an early position in the clause. When this happens the effect is very different from the thematization of a Complement - and for two reasons. Firstly, the probabilities are quite different, in that many types of Adjunct are regularly thematized, while the thematization of a Complement is very infrequent - and so heavily marked. Secondly, with a Complement there are just TWO choices: either it comes in its usual place, or it is thematized.[32] But for an Adjunct there are THREE major choices, with several variations within each. An Adjunct can occur early in the clause, e.g. to set the scene for what follows); it can occur medially (when it is 'integrated'), and it can occur late in the clause (when it has the potential for being marked as 'new' information, so is 'potentially new'). In each there are variations expressed in intonation or punctuation, and in each there are finer variations in position. When an Adjunct is 'integrated' it occurs at the heart of the clause, usually this is immediately after the Operator (if there is one). But note that Adjuncts can occur between most elements of the clause - as well as in varying sequences initially and finally, as in the examples throughout this book. Here are four examples that illustrate a few of these possibilities:

(24) In the morning [A] he [S] usually [A] has [M] a shower [MEx].
(25) Last week [A], (when I was) in Dublin [A], I [S] unfortunately [A] lost [M] my umbrella [C].
(26) I [S] have [O/X] always [A] very much [A] preferred [M] dark chocolate [C].
(27) She [S] ran [M] quickly [A] into the hall [C].

For further examples, see the diagram for the clause in Appendix 2.

32. In a sense there is also a third choice for a 'typically second' PR, in that it can also be made the Subject Theme. But there is no parallel to this for a Circumstantial Role, and the systems of choices open to a PR and a CR are quite different, as explained in the main text - with a great deal of variation between the different types of CR.

12

The *Guidelines* for clause analysis

This is the key chapter of this book. As I said earlier, it draws on the *Functional Syntax Handbook* on which I am currently working. The following *Guidelines* are taken from a little further on in the *Handbook* than the chapters on which I have primarily drawn, in order to give you a fuller tool for analyzing clauses. I have mentioned the main points that it covers in the preceding chapters, though some only very briefly. Even though the *Guidelines* provide for some possible constructions not described here, I think that you will be able to make sense of them, since they are illustrated by examples throughout.

Remember the **three tips for drawing syntax diagrams** given in Chapter 4:

1. When you write down the clauses to be analyzed, you should LEAVE FOUR OR FIVE LINES OF SPACE ABOVE THE TEXT itself, for the analysis diagram. (We will need more space for the full analysis of sentences, later in the book.)
2. You can often save space by writing two or more sentences side by side.
3. It is best to WORK IN PENCIL, with an ERASER ready in case you change your analysis.

Guidelines - 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 or the Main Verb and Main Verb Extension.	M M + MEx
3	Working leftwards, find any Auxiliary Verbs.	X, 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). **S** may be a *wh*-item. If **S** is covert, place it in brackets.	S (S)
8	Find the Let element, if there is one.	L
9	**S** is probably a PR. Confirm any Complements (0, 1 or 2). If a **C** is a *wh*-item, it comes early in the clause. If a **C** is covert, place it in brackets.	C, C (C)
10	Find any Adjuncts. If an **A** is a *wh*-item it comes early in the clause.	A, A ...
11	Find the Ender.	E

Guidelines - full version

1 Preparation Most clauses are **information-givers with no thematized elements**. If the clause to be analyzed does NOT have this structure, you should first re-express it as one, 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**, **S O/X**, **S O/M** or **S 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:

(a) and (b)	Re-express *Sit down*	as *You will sit down.*
(a) and (c)	Re-express *Where will she live?*	as *She will live somewhere.*
(e)	Re-express *That film I did*n't *like*	as *I did*n't *like that film.*
(e)	Re-express *Yesterday I saw Ivy*	as *I saw Ivy yesterday*.
(e)	Re-express *Off they went to York*	as *They went off to York.*

Worked example

The social context is that Paula has just heard from a friend about a couple who have recently told their fifteen year old daughter that she is adopted. Paula is hardly able to believe that they didn't tell her the true facts of her birth at a much earlier age, and she puts this 'confirmation-seeker' to her informant:

Has she really not been told the truth all this time? We must re-express this as:

She has really not been told the truth all this time.

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

(a) a **lexical verb** at **M** (around 70-95%, varying with different types of text);
OR
(b) a **lexical verb** at **M** and one (or occasionally two) **Main Verb Extensions (MEx)** (i.e. a 'phrasal verb'), as in *He put the light out*;, *she went away*, and (with TWO MExs) *He came back in* and *He put the key (back) in.*

So the main task is to find **M**, which is OBLIGATORY (99.9% RELIABLE), and any **MEx** (there could be two if one is *back* or *on*).

A limitation of this book Note that the Process can also be expressed in a prepositional verb, as in *She looked at them*, and even in a 'phrasal-prepositional verb' as in *How does she put up with him?* These are not covered here because they involve a preposition, and so the **prepositional group** as well as the **clause** - and this book is confined to the clause.

2.1 The Process and PR test (99% reliable)

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

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

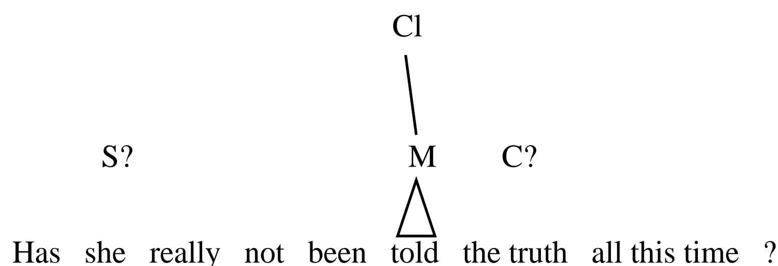
(The last line says that the possible second or third PR is sometimes preceded by *to* or *from*.)

Each of **someone** or **something** or **somewhere** is likely to be a PR. Remember that it is the **Process** of **xxx-ing (yy)** 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 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 all of the following:

1 **M** above **xxx**,
2 **MEx** above **yy**,
3 **Cl** above the **M**, and so the line to link **Cl** with **M**,
4 **S?** and **C?** above the elements that you think are PRs in the Process.

Worked example: 'In this Process of 'telling', we expect to find someone telling someone something." This makes sense, so the M is *told.* The analysis at this point is:



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 correspond-ing to **yy** (if there is one) is a **MEx.**

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.'
I've worked the answer out -
'This clause is about someone working out something.' (2 PRs)

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

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 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 made a sand castle* (2 PRs) and *Racial prejudice makes him angry* (3 PRs). Figure 3.16 in Section 7.7 illustrates many of the main patterns.
3 When the item *it* occurs at S, it may be EITHER an 'empty Subject' expounded directly 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?* And by extension we also analyze *it* in *It*'s *sunny* as an 'empty Subject'.
4 In *It*'s *sunny*, the Process is 'being sunny', and the word *sunny* is treated as a MEx.
5 As we have seen, *somewhere* is used in the test for a PR. But occasionally *some time* is needed instead, e.g. in testing *That war 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.

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

3 Check whether the possible MEx really is one.

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?**

> **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 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.*

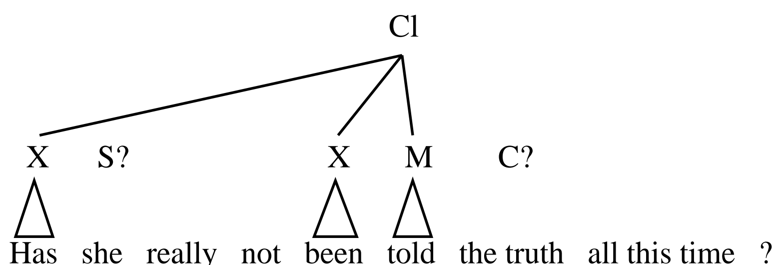
Worked example: There is no 'possible MEx' in this example.

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

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

We have introduced three different types of X, and in principle all three may be present at the same time in a clause. But in practice there are rarely more than two. Xs usually express meanings related to the TIME of the 'situation' (90% reliable), but we also regularly find the 'passive' X. These guidelines cover about 95% of cases of X.

Worked example: The analysis is:



Problem to watch out for: An X may be separated from a following X or M by one or more other elements, as in our worked example.

5 Find the **Infinitive Element** (**I**), if there is one. It is always the word *to*, and it is typically predicted by a 'modal' meaning at O, expressed as

EITHER:

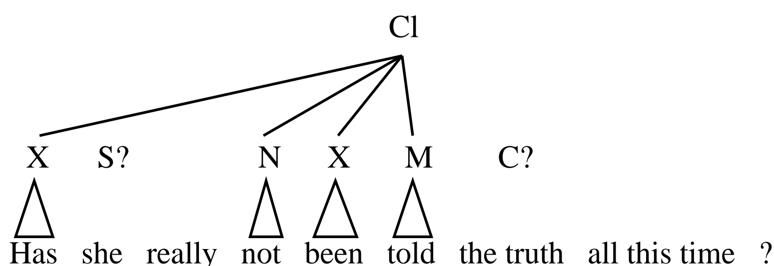
(i) *ought* OR

(ii) *am, is, are, was,* or *were*. (However, there are other types, as Appendix 2 shows.)

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

6 Find the **Negator** (**N**), if there is one (probability: under 5%). It is always the word *not.*
Reminder: n't is always part of O, because it would precede S in a 'polarity seeker'.

Worked example: The analysis is:



7 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 *are*n't *I ... ?*).

Examples:

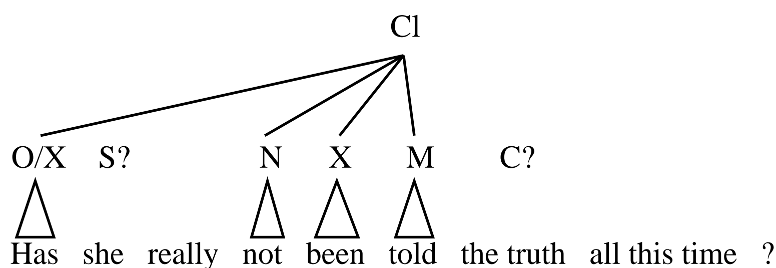
of (a) In *Ivy will/may arrive soon,*	the word *will or may* is O.
In *She is to be told the truth,*	the word *is* is O and *to* is I.
of (b) In *What did they tell her?*	the word *did* is O.
of (c) In *She was here*,	the word *was* is a Process of 'being', so is M as well as O - and so O/M.
In *She is reading your letter*	the word *is* is X as well as O - and so is O/X.
of (d) In *She has read your letter*	the word *has* is X as well as O - and so is O/X.

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), and
(b) very frequently as X, and so also as O/X,
3 Forms of the verb *do* occur as two different elements (e.g. as *Did* and *do* in *Did he do it?*)
(a) quite frequently as O, and
(b) occasionally as M.

Worked example: The analysis is:



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

(a) If the clause has no Operator, supply the test version of the clause with *do, does* or *did* to function as **O**. Then re-express the clause as a **polarity seeker** (seeking the answer *Yes* or *No*).

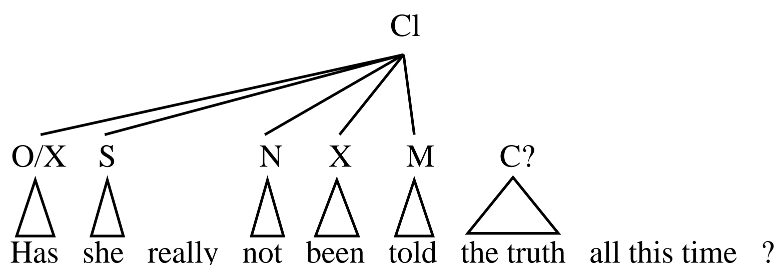
(b) The Subject is the word or words which, by occurring before or after the Operator, shows whether the clause is an **information giver** or a **polarity seeker**. In other words:

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 in which the S is 'sought'** we find **S O (or S O/M or S O/X or S M)**.
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'.

Worked example: Re-express *She has really not been told the truth all this time* (the form into which we changed the original clause, for testing purposes) as *Has she really not been told the truth all this time?* The change of sequence of the words *Had* and *she,* and so of O and S, shows the change of MOOD. So *she* is S, and the analysis is:



9 **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].

10 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.*

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.*

Any PR that is not **S** is typically a **Complement** (**C**).[33] Most Processes have two associated PRs (around 80%). But some expect one PR and some expect three (and some environmental Processes expect none), so 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*).

10.1 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. *Do*n't *touch!* If you are in any doubt about a possible **covert PR**, re-run the **Process and PR test** from Step 2.

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

33. However, it may be a **completive (cv)** in a prepositional group (e.g. *Ivy* in *You were seen by Ivy*). And in a **nominalization** such as *your being seen by Ivy* we will find PRs functioning as elements of a nominal group. But since this book is limited to the elements of the clause we will say nothing further about these here.

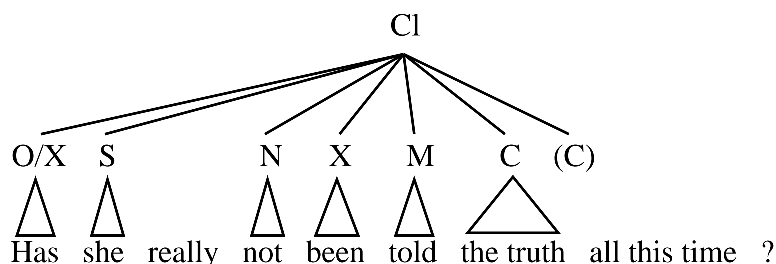
The C or A test (99% reliable)

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.

Worked example: In *Has she really not been told the truth all this time?* it makes sense to say "This clause is about someone telling someone something", i.e. the Process of 'telling' expects a 'teller', a 'person who is told', and 'what is told'. Since*she* is the 'person who is told', *she* is a PR as well as S, and since *the truth* is the 'something' that is told', *the truth* is a PR that is C. But the 'teller' is not expressed, so there must be a **covert Complement**, shown as **(C)**. It should be placed where it would appear in the clause if it was present, so the analysis is:



11 Find any **Adjuncts (A)**. These are inherently **optional**, in the sense that they are not expected by the Process. (They are normally NOT optional for the purpose of the Performer of the act, e.g. *at one o'clock* in *He'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:

- Any element that is not a PR and that nonetheless expresses an **experiential** meaning. These are **Circumstantial Roles** (CRs), and they refer to 'things' (including 'times' and 'places') 'qualities' and 'quantities'. Note that we include here the 'quantity' (or 'degree') of the Process, as in *She loves him very much indeed.* Some aspects of the event which CRs frequently refer to are: **Place** (e.g. *in the garden*), **Time Position** (e.g. *yesterday*), **Time Duration** (e.g. *for two days*), **Usuality** (e.g. *occasionally*), **Manner** (both *in a very clumsy manner* and *very clumsily*), **Instrument** (e.g. *with a knife*), **Degree** (e.g. *a lot* in *Ike loves her a lot*) - and over thirty other types (see Ball & Tucker 2004 for a recent list).

- **Validity** meanings, such as *perhaps, definitely*, etc.

- **Affective** meanings, such as *unfortunately*, etc.

- **Logical relationship** meanings, such as *however, therefore, for this reason,* etc.

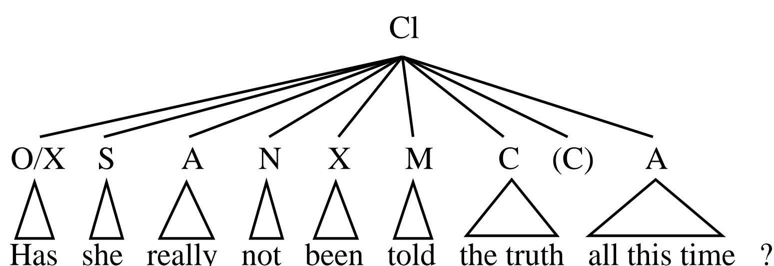
- **Interpersonal** meanings, such as *please*, *if you please,* and 'Tag' Adjuncts such as *is*n't *she* and *shall we.*

- contributions to organizing the **discourse** as a whole, (e.g. *firstly, finally* etc.)

- Other types of meaning such as **inferential** meaning (*even, only*).

Recent research at Cardiff (e.g. as reported for Circumstantial Roles in Ball & Tucker 2004) suggests that there are probably over sixty functionally distinct types of Adjunct in all (using their potential for co-occurrence as the main criterion). Here, however, we will not differentiate between them in the analysis, e.g. by giving a different functional label to each type. (For this, see Ball & Tucker 2004 and Fawcett forthcoming b.) Simply **mark them all as A**.

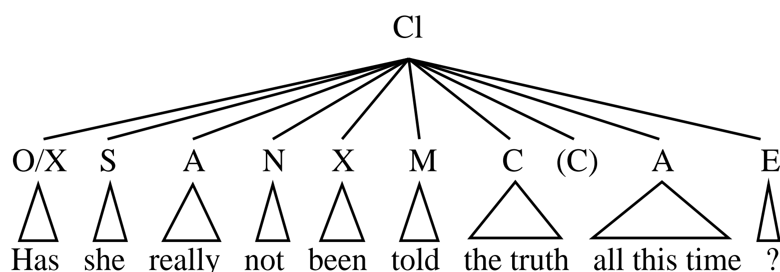
Worked example: In *Has she really not been told the truth all this time?*, *all this time* is not expected by the Process of 'someone telling someone something'. So *all this time* must be an A. The analysis is:



12 Find the **Ender (E).** This is any **punctuation** that indicates the end of a clause that is the only clause in a sentence - i.e. a full stop (or 'period' in US English) (.), a question mark

(?) or an exclamation mark (!) .[34]

Worked example: The analysis is:



And that completes the analysis.

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

(a) ONE of each of **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) UP TO THREE **Xs** (the first of which typically gets conflated with **O** as **O/X**),
(c) ONE OR OCCASIONALLY TWO or even three **MExs**,
(d) UP TO TWO **Cs** (either or both of which can be **covert**),
(e) MANY **As**, expressing many types of meaning, in many different positions.
(f) 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**),
(g) if the clause is a new content seeker where either **C** or **A** is sought, **C** or **A** before **O**,
(h) **S** in a simple directive is typically **covert.**

34. There are similar elements for analyzing intonation, which is as important a part of a spoken text as its syntax and lexis, but we will not analyze intonation here. In my view, Tench 1996 provides the best introduction to how to analyze the intonation of spoken texts. (Fawcett 1990 shows how such a description can be turned into the relevant component of a fully generative SFG.) However, if the text that you are analyzing is a spoken text, there is an alternative - but inferior - solution to the problem of how to analyze its intonation. This is to first express the intonation in terms of the punctuation that a novelist might use in reporting speech, and then to analyze that.

13

A final analysis task

The task

Here are some clauses to analyze. They will give you practice in most of the main points covered in this book. Before you start, remember the **three tips for drawing syntax diagrams** given in Chapter 4:

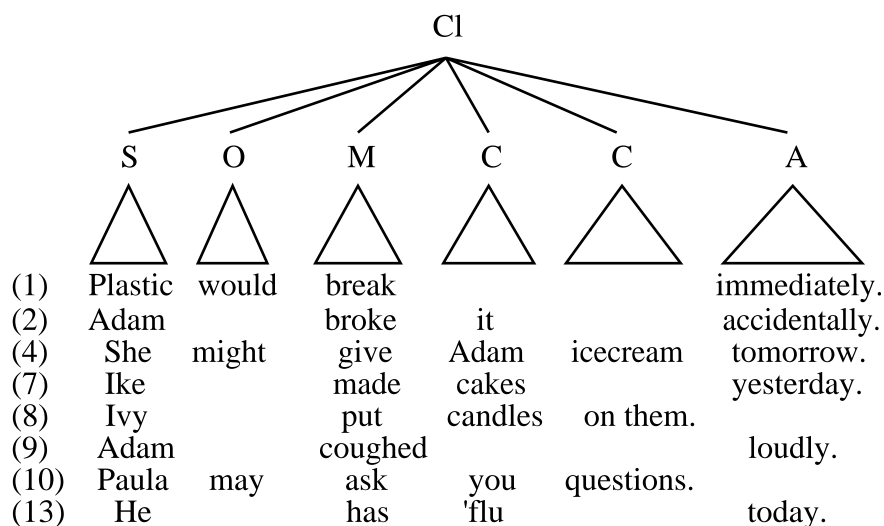
1 When you write down sentences that are to be analyzed, you should leave FOUR OR FIVE LINES OF SPACE ABOVE the line of text itself, for the analysis diagram.
2 You can save space by writing two or more sentences side by side.
3 Work in pencil, with an eraser ready for when you change your mind.

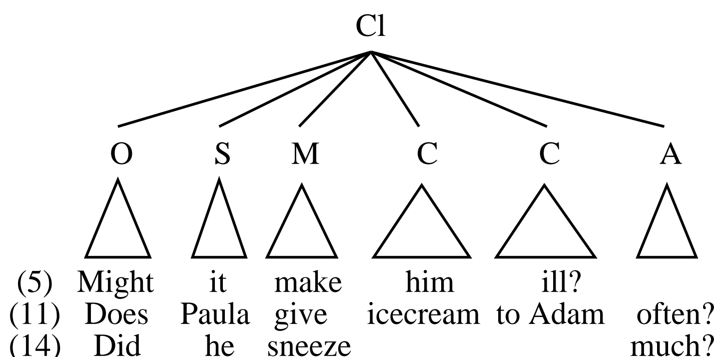
Four of the examples for analysis contain words which are very minor extensions to what has been covered so far, but they are so minor that you may not even notice them. I shall comment on them in the notes on the solutions to the analyses.

1 Plastic would break immediately.
2 Adam broke it accidentally.
3 Paula is happy now.
4 She might give Adam ice-cream tomorrow.
5 Might it make him ill?
6 Ivan was here.
7 Ike made cakes yesterday.
8 Ivy put candles on them. (NB *on them* is a single clause element.)
9 Adam coughed loudly.
10 Paula may ask you questions.
11 Does Paula give ice-cream to Adam often? (NB *to Adam* is a single clause element.)
12 Is Adam well?
13 He has ‘flu today.
14 Did he sneeze much?

When you have finished, turn the page and check your analysis by the answers given in Figure 19. You will find that I have placed the answers in groups, depending on their structure.

Solutions





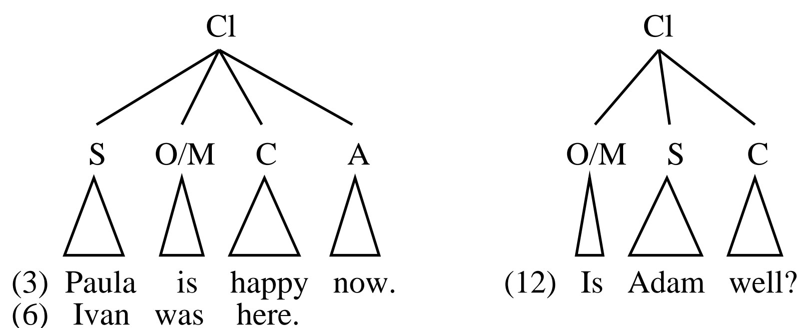


Figure 19: The analyses of fourteen clauses

Comments on the analyses

1 Clauses (1) and (2) illustrate Note 1 on Figure 16. ‘Breaking’ is like ‘opening’ and ‘melting’, in that it can occur with one PR or with two.

2 The ‘minor extensions’ are in (1), (10), (11) and (14). In (1) you need to reason that, if *will* and *shall* are Operators, *would* is probably one too - especially as it functions as O when you apply the *Subject Test.* And in (10) you need to decide that *may* is an Operator, for similar reasons. In (11) and (14) two new types of Adjunct are introduced.

14

Conclusions

A brief comparison between the Cardiff Grammar and the Sydney Grammar

I said at the start of this book that the grammar of English presented here is both a SIMPLIFICATION and an EXTENSION of Halliday's grammar. However, I have tried to avoid letting the question of the differences invade the main text. I have made the comparisons in a series of footnotes, headed 'Comparison with the Sydney Grammar', and in those footnotes I have also allowed myself to write in a manner that assumes rather more specialist knowledge. So it is in those footnotes that the detailed comparisons between Halliday's model of language and the Cardiff model are to be found.

Here I shall not recapitulate the differences in the overall model of language, and you are referred to the earlier footnotes for these. In this closing chapter I shall focus on just those differences that are located in the part of the language which we have been examining in this book. i.e. the differences between the functional syntax of the two models.

Let me start with the ways in which the Cardiff Grammar is SIMPLER - and so in our view easier to use - than the Sydney Grammar, and then I shall go on to list some of the ways in which it extends the Sydney Grammar - i.e. ways in which it gives more coverage. I shall do both in the briefest possible form.

The Cardiff Grammar is SIMPLER than the Sydney Grammar in the following ways:

1 There can be no more than one Main Verb (M) per clause.
2 There is no 'Predicator' and no 'verbal group', because the Operator (O), the Negator (N), the various Auxiliary Verbs (X), the Main Verb (M) and the Main Verb Extension (MEx) are all direct elements of the clause. This might appear to make the analysis more complicated, in that there will often be more than one such element in the clause, but the reality is that it avoids so many problems - both theoretical and practical - that the overall effect is a great simplification of the grammar.
3 The test for the Subject (which applies to English but not to most other languages) is simple, and relates solely to basic MOOD meanings.
4 The tests for distinguishing a Complement from an Adjunct are clear, and they are based on explicitly functional criteria. (However, having clear criteria does not necessarily mean that all such decisions are easy to make.)
5 Above all - the Cardiff Grammar uses just ONE TWO-dimensional diagram to shown the functional syntax of a clause, while the diagrams in Halliday 1985/94 (e.g. in the analyses of 'The "silver" text' on pages 368-85) typically show SEVEN lines of boxes (and sometimes more), to show the different structures that Halliday claims are

present.[35] This leaves unresolved the question of how the various structures are to be mapped onto each other - as Halliday agrees they must. (See Chapter 7 of Fawcett 2000a for a full discussion of this topic.) But in the Cardiff Grammar the mapping of multifunctional meaning into a single, two-dimensional structure is accomplished by the realization rules, without the seven (or more) intermediate structures that Halliday postulates (e.g. as in Fawcett, Tucker & Lin 1993).

6 There are many simplifications within the grammar of TRANSITIVITY, e.g. (1) the overall grammar of relational processes (see Fawcett 1987) is simpler than it is in Halliday (1985/94); (2) 'projected' clauses are simply treated as embedded clauses that fill the PR of Phenomenon; (3) the double analysis of many clauses, one from a 'transitive' viewpoint and one from an 'ergative' viewpoint, is seen as an unnecessary complication; etc.

7 In the Cardiff Grammar, many of the phenomena for which Halliday has introduced the concept of 'grammatical metaphor' are treated as being directly analyzable, and so as NOT requiring the 'double analysis' that Halliday gives them in the analyses of 'The "silver" text' on pages 368-85 of *IFG*). In a model in which the system networks are explicitly semantic this is often no longer necessary (e.g. as a result of the semanticization of the system network for MOOD).

8 We dispense with Halliday's concept of 'hypotaxis', i.e. 'dependency without embedding', without losing any essential insights. We simply treat most of Halliday's types of 'hypotactic clauses' as embedded (but not all; see Fawcett 2000a:271-2 for a summary. And there are similar simplifications to his 'parataxis'.

The Cardiff Grammar EXTENDS the Sydney Grammar in the following ways:

1 The **Main Verb Extension** (MEx), as a frequently occurring element, has a central place in the syntax of the clause in its own right, and may itself be filled by units.

2 The Cardiff Grammar has a far greater coverage of units other than the clause. It greatly extends the **nominal group** (especially in the determiners, through the concept of 'selection'), and it introduces the new syntactic units of the **quality group**, the **quantity group** and several types of **cluster**. (For all classes of groups and one class of cluster, see Appendix 2). Halliday 1985/94 handles the *very slowly* sub-type of quality group as an 'adverbial group' and the *very slow* type, when it is a Complement, as a type of nominal group - so missing their common structure. He has no equivalent to our quantity group or the various classes of cluster.

3 The Cardiff Grammar recognizes many more type of **Auxiliary** than does Halliday - and with them many **Auxiliary Extensions** (see Appendix 2 for some examples).

4 Halliday's 'projection' relationships are treated as Participant Roles in mental processes, i.e. as **clauses embedded as Complements**, as in Figure 21.[36]

5 The element **Binder (B)** is introduced for 'subordinating conjunctions' (these not being provided for explicitly in Halliday 1985/94, e.g. his analysis of *if* on p. 367).

35. Thus there are always more lines of analysis in an *IFG* analysis than is suggested by the frequently repeated claim that there is one for each metafunction - which should imply that there would be only three or at most four. And in those introductory analyses where there are indeed only four lines of analysis, the fourth is not the analysis of the fourth metafunction (the 'logical') but the result of Halliday's providing two analyses for the 'textual': the 'thematic' and the 'informational'.

36. The fullest published coverage of this is in Fawcett 1996.

6 The **MOOD** network has been semanticized, having features such as 'information giver', 'polarity seeker', 'confirmation seeker' etc., to parallel the earlier 'semanticization' of TRANSITIVITY.
7 Other extensions of the lexicogrammar cover areas that are omitted in *IFG*. These include the grammars of **compound nouns, proper names**, other types of name, **addresses**, **dates**, **clock time**, **cardinal numbers**, **telephone numbers,** and a wide variety of other linguistic phenomena not covered in traditional grammars Yet these take up quite a large proportion of many types of text, and they all have their own formal structures and semantic values.

Summary: the simple clause in English

This book has presented the Cardiff Grammar's approach to the simple clause in English. It has in fact covered a very large part of the functional syntax of this unit - but not, of course, anything like all of it. I have presented a **multifunctional** view of the clause and, while we have concentrated chiefly on aspects of TRANSITIVITY and MOOD, we have also taken a quick look at THEME. We have seen that the Subject also expresses the type of 'theme' that is called SUBJECT THEME; we have noted MARKED PR THEME, as in *That omission I just could*n't *have accepted*; and we have noted that Adjuncts too may be thematized. But there are many other types of 'theme'; for one important construction see Huang 1996 and 2002, and for a fuller picture see Fawcett forthcoming a.

Figure 20 provides a simple reminder of some of the most central concepts that we have covered. For a fuller picture of the clause - and of the other units - see Appendix 2.

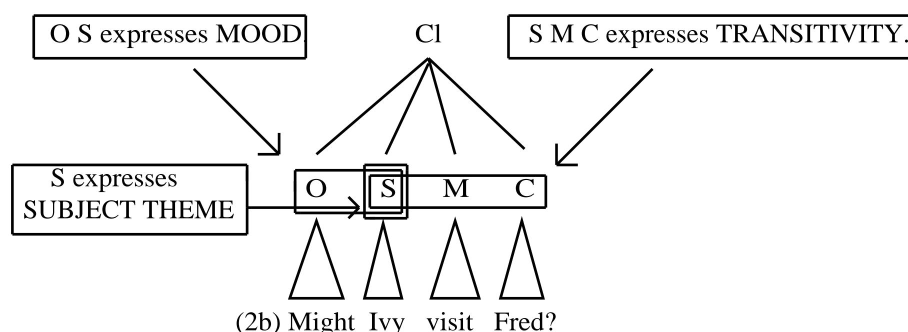


Figure 20: TRANSITIVITY, MOOD and THEME in the structure of a simple clause

Two further dimensions: (1) adding units within units

However, there are two dimensions in which the analysis must be extended from this, if it is to be a full functional analysis. Here I can do no more that indicate what these are by illustrating them in two diagrams.

The key concept in the first additional dimension is the relationship of **filling**, in which a unit **fills** an element of another unit that is higher in the structure. So far we have not analyzed

the internal structure of the various types of **group** - and the occasional **clause** - that have filled the elements of the **Subject**, **Complement** and **Adjunct** in our examples. We have restricted ourselves firmly to the **elements** of the structure of the simple clause - and we have therefore appeared to be making the simplifying assumption that they are all directly expounded by items. To get an idea of how we would analyze the functional structure of a text-sentence that is sufficiently complex to contain another clause - and so an **embedded clause** - look at Figure 21.

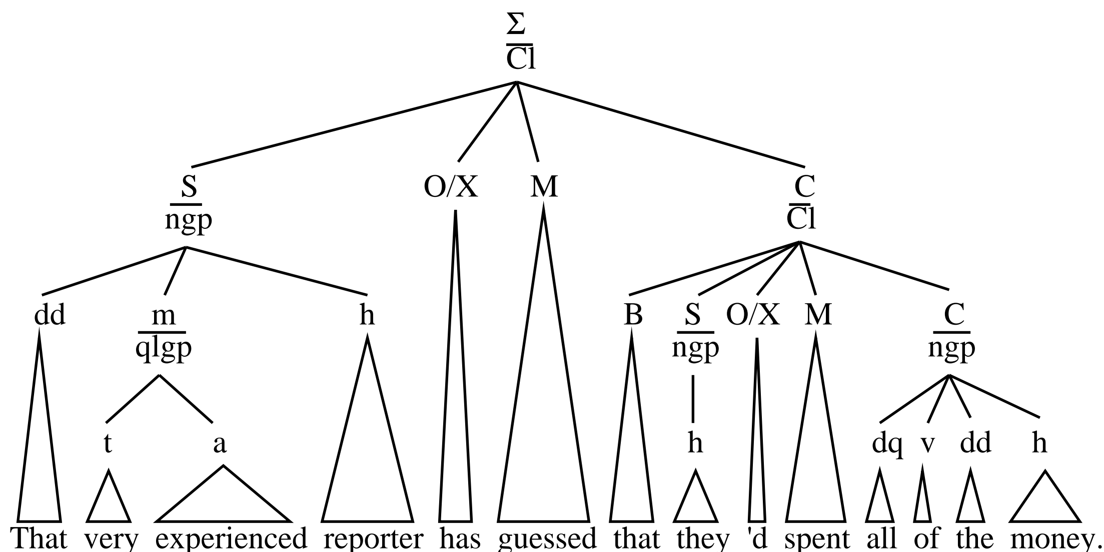


Figure 21: The full analysis of a simple sentence

Figure 21 also illustrates the full analysis of two classes of **group** that may fill clause elements, and in one case a group that fills an element of another group. All of the symbols used here are explained in Appendix 2, and you will learn a great deal about the fuller model of functional syntax presented here by a careful 'reading' of Figure 21, together with the parts of Appendix 2 to which this leads you.

Two further dimensions: (2) adding the semantic representation

The second dimension of extension that would be required in a full functional analysis of the meanings expressed in a clause such as that shown in Figure 21 requires an analysis in terms of the various **strands of meaning**. This is a representation in terms of THE SEMANTIC FEATURES THAT HAVE BEEN SELECTED IN GENERATING THE STRUCTURE (such as that in Figure 22).

The way in which we display a 'multi-strand' semantic analysis is to show the main **semantic features** from the system networks in lines that correspond to each strand of meaning. I give an example of the semantic analysis of a simple clause in Figure 22.

	Σ / Cl					
	A/TP	S/Ph	O/X	M	C/Ag-Perc	SYNTAX
(1b)	Last night	the ... film	was	watched	by the others.	TEXT
experiential	time position	phenomenon	past	perception	agent-perceiver	SEMANTICS
interpersonal		information giver				
polarity			positive			
validity			unassessed			
thematic	themat-ized	subject theme				
informational					unmarked new	
(no realizations of 'logical relations' or 'affective' meaning)						

Key:

Σ = Sentence Cl = Clause S = Subject O = Operator X = Auxiliary
M = Main Verb C = Complement A = Adjunct / = 'is conflated with'
TP = Time Position Ph = Phenomenon Ag-Perc = Agent-Perceiver

Figure 22: The syntactic and semantic representation of a simple clause

As you can see, the key semantic features are shown beneath the elements that realize them. So the analysis in terms of **functional syntax** (of the type we have been working on here) provides the essential basis for this type of **semantic** analysis. However, it is a type of analysis which, unfortunately, we must leave for another occasion. The two complementary types are introduced and explained fully in the two handbooks, one for functional syntax and one for functional semantics, on which I am currently working (Fawcett forthcoming a & b).

In a full semantic analysis, we would consider the text-sentence from the viewpoint of all eight of the types of meaning listed in the left hand column of Figure 22. The words in the right hand column denote the main types of meaning within each, i.e. the different **system networks** in the meaning potential - and so the semantics - of the English **clause**. The ragged edge on the right signifies that many (though not all) of these strands of meaning have broadly comparable system networks of meanings that are realized in other units, such as the **nominal group** (including the nouns of the language, which provide a 'cultural classification' of our experience of 'things' that parallels the 'cultural classification' of Processes that we find in the lexical verbs (including phrasal and prepositional verbs, etc).

strand of meaning	expressed in the unit of: clause
experiential	TRANSITIVITY CIRCUMSTANCES CONTROL & DISPOSITION TIME
logical relations	CO-ORDINATION SUBORDINATION EXTERNAL LOGICAL RELATIONS
interpersonal	MOOD
negativity	POLARITY
validity	BASIC & AUXILIARY VALIDITY ADJUNCTIVAL VALIDITY
affective	AFFECTIVE ADJUNCTS
thematic	SUBJECT THEME NON-S PR AS MARKED THEME ADJUNCT THEME &INTEGRATION ENHANCED THEMES
informational	RECOVERABILITY UNMARKED NEWNESS CONTRASTIVE NEWNESS INFORMATION STATUS

Figure 23: Strands of meaning and the major system networks for the clause

The relationship between meaning and form

All in all, we can say that a description of the functional structure of English of the type proposed here, together with the extensions of it that are found in the full version of the Cardiff Grammar, provides a principled analysis of English syntax that is at every point explicitly functional. This framework covers both simple constructions such as those discussed here and the many types of complex constructions found in the literature, some of which have long presented difficulties to grammarians. See, for example, Huang 1996 & 2002 for the Cardiff Grammar's analysis of experiential enhanced theme constructions such as *It was in Kyoto that we first met.*

Ultimately, however, the strength of the model of language presented here is that it is not only **functional** but also **systemic** - i.e. it is at heart a theory of choice between meanings. What we have been examining in this book is just the syntactic component of a systemic functional grammar - the way in which the outputs from the generative SFG described in Chapter 2 are structured. In other words, each structure (such as that shown in Figure 21) is

the output from several passes through the system network, each of which generates another unit. In Figure 21, for example, there are six units, and so there will have been six passes through the system network to generate them - using different parts of the network to generate the different units. And that network includes choices between all of the types of meaning represented in Figure 22. For a fully worked example of the generation of a text-sentence, see Fawcett, Tucker & Lin 1993.

And next?

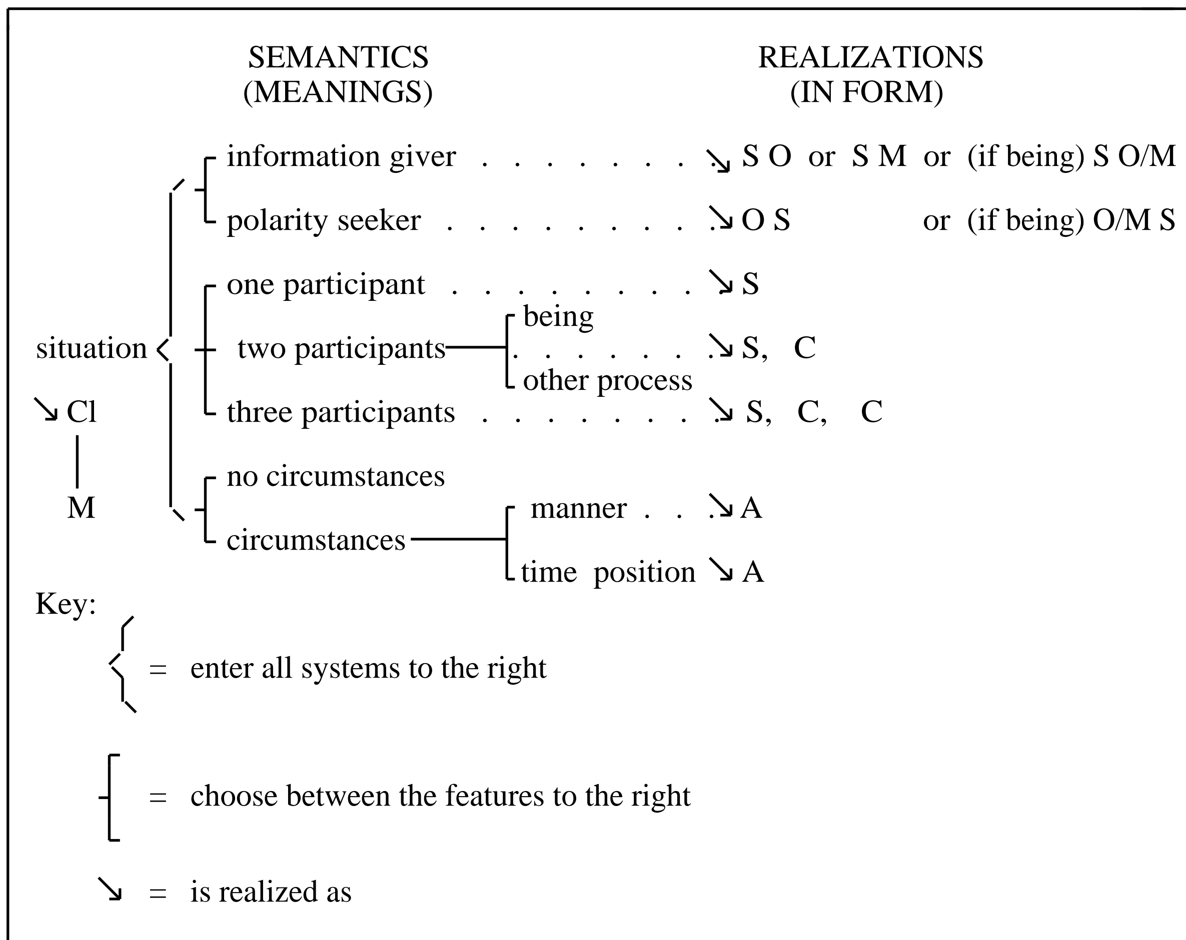
Let me end by expressing my hope is that, if you have found the way of analyzing English that I have demonstrated here insightful, you will use the Guidelines in Chapter 12 - which would need to be supplemented by drawing on the summaries of the structures of the units of English in Appendix 2 - to explore this approach further. A careful study of the latter will show you the many ways in which clauses may fill elements of both clauses and other units- together with the probabilities of their doing so - and this should enable the experienced linguist to attempt the analysis of most aspects of the clause in most English texts. And perhaps in due course - when it is finally published - you will want to use the full version of what is presented here that will be found in my *Functional Syntax Handbook: Analyzing English at the Level of Form.* If you want further works to consult immediately, you can supplement the description given here by various other works that describe parts of the functional structure of English that are omitted here, as found in Fawcett 1996 and 2000a, Tucker 1997, Huang 1996 & 2002, Ball & Tucker 2004, and Butler 2003a & 2003b.

Meanwhile, Appendix 1 gives you a highly simplified picture of how a SFG works, and Appendix 2 fills out the picture of the clause presented here, and introduces the other major units of English. Good analyzing!

Appendix 1:

A systemic functional micro-grammar for some of the structures presented here

The little grammar presented here - the ‘micro-grammar’ - is limited to what has been covered in this book as far as Chapter 7. It is therefore very far from being a complete grammar of English. Its purpose is to give you a sense of what the very large overall grammar of English that is the source of what has been presented in this book might be like. It gives you a very informal introduction to the 'core' portions of a small **systemic functional grammar**.



The little grammar shown in the figure above does TWO jobs. First, it summarises the main choices in 'meaning potential' that have been introduced in the chapters named above - i.e. the

main **semantic** choices - using a **system network** to express the relations between the semantic **features**. Second, it provides very informal **realization rules** for them. These show how the MEANINGS are expressed at the level of FORM - here, in syntax.

As you can see, the entry condition to the system network as a whole is the feature 'situation'. Notice that its realization rule is shown directly below it (rather than in the right hand column, as with all the others). The rule says: "Insert in the structure being built a clause and its Main Verb".) The rest of the grammar should be clear.

Notice that this type of grammar makes no attempt to summarize in one diagram the potential structure of the clause as a whole (as some other types of grammar try to do). The reason is that SFG linguists recognize that, when certain meanings are chosen in the system network, they are expressed by quite small CONFIGURATIONS OF ELEMENTS - in the way that we have seen for TRANSITIVITY and MOOD, for example, throughout this book. If you examine the elements that get generated as a result of choices in the network - i.e. those listed under the heading of REALIZATIONS in the column on the right - the same picture emerges. It is specific configurations of elements, such as 'S O' or 'S C C', that express the different types of meaning. 'S O' expresses the MOOD meaning and 'S C C' expresses the meaning of TRANSITIVITY.

This little grammar is too small to be useful for any practical purpose. But it illustrates those essential characteristics of language structure which have led systemic functional grammarians to use the combination of system networks and realization rules for modelling language. This meaning-oriented approach captures the facts of syntax more naturally than a purely structural approach.

Appendix 2
A summary of English syntax
for the text analyst

The figures in this Appendix are very slightly updated versions of those published as Appendix B of my book *A Theory of Syntax for Systemic Functional Linguistics,* Current Issues in Linguistic Theory 206, Amsterdam: John Benjamins, 2000. They are essentially as they will appear in my forthcoming *Functional Syntax Handbook: Analyzing English at the level of form.* London: Equinox.

Introductory notes

1 This summary is organized round the main syntactic units of English. For each unit the diagram shows: (1) which elements of structure that unit can fill, (2) the probability that it will fill each such element (if over 0.5%), and (3) the elements of which the unit is composed.
2 In each diagram, the 'pivotal element' is shown vertically below the unit. The item that expounds it is typically - but not absolutely always - present in the text.
3 The key below gives the full forms of the abbreviations used on the next three pages, and it explains the symbols. For all units except the clause, the elements are listed in their typical sequence. For the clause (in which sequence varies greatly) they are listed alphabetically.
4 For each unit, the elements expounded in punctuation or intonation are listed last. (The full model of intonation has additional elements.)

KEY

Units

Cl = Clause
ngp = nominal group
pgp = prepositional group
qlgp = quality group
qtgp = quantity group
genclr = genitive cluster
'text' = text (simplified model)

Elements of the Clause

A = Adjunct (many types, including the Inferential Adjunct (A/I)
B = Binder
C = Complement
F = Formulaic Element
I = Infinitive Element
L = Let Element
M = Main Verb
MEx = Main Verb Extension
N = Negator
O* = Operator or O/X or O/M (where / = 'is conflated with')
S = Subject
V = Vocative
X = Auxiliary Verb (several types)
XEx = X Extension (several types)
& = Linker
St = Starter
E = Ender (a final comma, full stop, question mark, exclamation mark, semi-colon or colon, or the equivalent in intonation)

Elements of the nominal group

rd = representational determiner
v = selector (always *of*, = [v])
pd = partitive determiner
fd = fractionative determiner
qd = quantifying determiner
sd = superlative determiner
od = ordinative determiner
qid = qualifier-introducing determiner
td = typic determiner
dd = deictic determiner
m = modifier (many types)
h = head
q = qualifier (many types)

Elements of the prepositional group

p = preposition (or postposition, if *ago*)
pt = prepositional temperer
cv = completive

Elements of the quality group

qld = quality group deictic
qlq = quality group quantifier
et = emphasizing temperer
dt = degree temperer
at = adjunctival temperer
a = apex
s = scope
f = finisher

Elements of the quantity group

qtd = quantity group deictic
ad = adjustor
am = amount
qtf = quantity group finisher

Elements of the genitive cluster

po = possessor
g = genitive element
o = own element

Elements found in all groups

& = linker (e.g., *and, or*, etc)
i = inferer (e.g., *even, only*)
st = starter (an initial comma, or the equivalent in intonation)
e = ender (a final comma, or the equivalent in intonation)

Elements of a text (simplified model)

Σ = Sentence
OQ = Opening Quotation mark
CQ = Closing Quotation mark

Other symbols

x(70%) y(30%) / zgp means: 'The probability that unit 'zgp' fills 'x' is 70% and that it fills 'y' is 30%.'
(...) means: 'Also consider examples without this element'.
[...] means: 'Typical co-text' OR 'Preceding item is this element.'