



A SYSTEMIC FUNCTIONAL GRAMMAR OF ENGLISH

A Simple Introduction

DAVID BANKS

ROUTLEDGE


A Systemic Functional Grammar of English

Providing a simple – but not simplistic – introduction to the Systemic Functional Grammar (SFG) of English, this book serves as a launching pad for the beginning student and a review for the more seasoned linguist. With an introduction to SFG through lexicogrammar and the concept of rankshift, this book is the first introduction to SFG (including Appraisal) with examples exclusively sourced from twenty-first century texts. Written for those learning English and English linguistics as a foreign language, this serves as an easy-to-read introduction or refresher course for Systemic Functional Linguistics.

David Banks is Emeritus Professor at the Université de Bretagne Occidentale in France. He is former Head of the English Department, Director of Equipe de Recherche en Linguistique Appliquée (ERLA) and Chairman of Association Française de la Linguistique Systémique Fonctionnelle (AFLSF). He is author or editor of 30 books and has published over 110 academic articles. His publication *The Development of Scientific Writing: Linguistic features and historical context* (2008) won the European Society for the Study of English Language and Linguistics Book Award in 2010. His research interests include the diachronic study of scientific text and the application of Systemic Functional Linguistics to English and French.

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Preface

No one writes a book like this without becoming indebted to a great number of people. For me these fall into two main groups. First, the numerous students who attended my lectures over a lengthy career, and who, probably unwittingly, helped me hone this version of the Systemic Functional model for beginners' consumption. Second, the many colleagues who over the years, at linguistic conferences and in informal discussions, have helped me move towards a greater understanding of language and how it works. The members of both these groups, whether they recognise themselves in these few words or not, have my grateful thanks.

I would like also to thank the following for permission to use copyright material:

- Cambridge Alumni Magazine for extracts from *CAM*.
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Note on activities and exercises

After each chapter, you will find a series of suggested practical activities, the aim of which is to help you deepen your understanding of what you have read in that chapter. A key of suggested solutions to these exercises can be found after the exercises. However, this requires a word of warning. Analysing language is not a mechanical affair. Language is created by humans, and humans are infinitely subtle in the ways they use language. So the fact that you have come up with a different answer to that given in the key does not mean that your answer is “wrong”. It may mean that you have a different interpretation of the extract analysed to the interpretation implied by the key. You should then consider this difference in

interpretation. You may decide that your interpretation is much less likely than that given by the key and wish to exclude it, or you may decide that your interpretation is quite viable, in which case it is an alternative to that given by the key.

If you are using this book in a classroom situation, you can work in small groups (four or five persons per group) and discuss possible differences of opinion (and therefore interpretation) between yourselves, or the key, with your fellow students, and subsequently, if necessary, with your teacher or lecturer.

David Banks
Université de Bretagne Occidentale

1 Some introductory remarks to get us started

Language is a weird phenomenon. It is something we make use of constantly, every day of our lives, to communicate with those around us, and so it is fairly natural for us to suppose we know what it is. It is only when we begin to think about it, and to try to understand what it is and how it works, that we realize just how little we really know about it. Even the phrase which I have just used, “make use of”, is misleading. This gives the impression that language is some sort of external object, albeit, perhaps, an abstract object, something “out there”, a toolbox, a set of rules, which we can “use” in order to communicate. I would like to put forward the idea that language is not “something”, not some sort of entity, but simply what happens when people communicate. From this point of view, language is not separate from the communication; it is not used to communicate, it is the communication.

There are many different ways of thinking about language, but I feel they fall into three broad groups. We can call these “formal”, “cognitive” and “functional”. Formal theories of language treat language as being basically form (hence the name); that is, they are structures which can be reorganized, moved around and built up in different ways. Without wishing to seem disparaging, I often think of this as the Lego model of language. The most well-known approach of this type is that of Chomsky and his followers. Chomsky is probably the nearest thing in linguistics to a household name, with the result that many people think that this is the only possible kind of linguistics, but, in actual fact, it is only one of several possible ways of looking at language. Cognitive theories of language are those which attempt to discover what happens in the mind of the speaker (I shall use “speaker” as a holdall term for speaker and/or writer) when he communicates. So, cognitive theories are about the thought processes which produce communicative language. The third possibility is that of functional approaches: these attempt to discover how language works (i.e. functions).

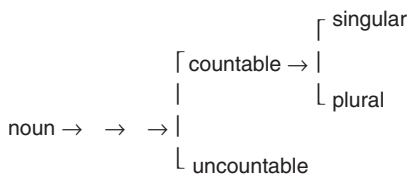
Each of these approaches has something to be said for it, and interesting work has been done in all of them. However, they do present different viewpoints. Cognitive and functional approaches tend to converge on

2 *Some introductory remarks to get us started*

language from opposing directions, as if they were travelling in different directions along the same road, and thus might meet somewhere in the middle. Cognitive approaches start from cognition and move towards language. Functional approaches start from language and move towards cognition. Formal approaches are somewhat separate from the other two, but since language is ultimately expressed in forms, any approach must deal with the question of form at some point.

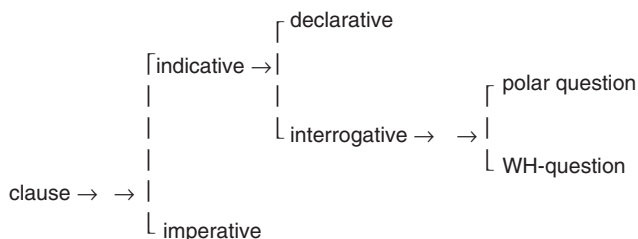
Within each of these three broad groups there are many varieties, and this applies to functional approaches too, of which there are many forms. However, the form which interests me, and which I shall outline in this book, is that of Systemic Functional Linguistics, which is based on the work of the linguist Michael Halliday. Systemic Functional Linguistics is functional in two ways. First, it is concerned with the ways in which the various parts of the language function together in order to provide the resources for meaningful communication. Second, it is concerned with the ways in which language functions in society as a means of communication. Different linguistic theories often have a common frontier with other disciplines, like logic or psychology for example. From this point of view, Systemic Functional Linguistics could be said to have a common frontier with sociology. At the same time, it is probably worth pointing out that linguistics, as the study of language, and from one point of view, is different from all other disciplines. If you study anthropology, the results of your study are expressed in language; if you study physics, the results are expressed in language; but if you study linguistics, that is language, the results are expressed in language! Linguistics is the only type of study where the object of study and the means of expression are the same.

As we have just explained, Systemic Functional Linguistics is said to be functional because it is concerned with the internal functioning of the parts of the language and the way it functions externally in society. The other term in the name of this approach, systemic, is perhaps more obscure. By systemic we mean that this approach is concerned with systems; systems are the networks of choices which are available to the speaker. For example, if we are at the point in the creation of a piece of language where we are choosing a noun, we are faced with the choice between countable and uncountable nouns. If we choose countable, we would then have to choose between singular and plural. This gives us a mini-system.



Or, if we are at the point where we are creating a clause, we have the choice between indicative clauses and imperative clauses. If we decide on

indicative, then we have the choice between declarative clauses (statements) and interrogative clauses (questions). If we subsequently decide that we want to ask a question, then we have the choice between polar questions (which require a *yes* or *no* answer) and WH-questions (those that begin with *who*, *when*, *where*, *why* or *how*). This again gives us a mini-system.



These mini-systems are parts of a much larger network of systems, and ultimately the whole of a language would constitute a single, huge and fairly complicated system network. At each point in the system the steps which follow are obligatory. You cannot choose indicative without choosing between declarative and interrogative; it must be one or the other. So in creating language we move through the system from left to right, and the final choice that is made at the extreme right of this complex system is the choice of the individual words that make up our message. This is an important point. Most theories of language distinguish between the grammar of the language, and the list of words that are available in that language (frequently called the “lexicon”). Here we see that in Systemic Functional Linguistics, the lexicon, or vocabulary list, is part of the grammar itself, and not a separate item. The choice of an individual word is the final choice in a series of grammatical choices. For this reason, we usually speak of the “lexicogrammar”. The fact that we present language in this way does not imply that the speaker actually consciously goes through all the choices; that is obviously not true. This is intended to be a model, or image, of what language is like and the resources that the speaker has available to him.

The lexicogrammar provides the functions whereby the message is expressed in speech or writing. In some ways it is the most immediately visible part of the language, the tip of the iceberg.

However, if the lexicogrammar exists it is only to express meaning. The meaning of a message, or its “semantics”, functions in three different ways, which we refer to as “metafunctions”. These metafunctions operate at the level of the clause. All three metafunctions are present in any clause, and none of them is more important than the others. In reality, they are woven together in the fabric of the message, which is the clause. However, in order to talk about them we have to separate them, and since I cannot write, nor you read, three things at the same time, I shall start with the “ideational” metafunction. The ideational metafunction deals with the way in which the clause represents the world in terms of a process, the participants in that

4 *Some introductory remarks to get us started*

process and, sometimes, the circumstances in which the process takes place. For example, consider the following.

Peter worked in my department for a long time ...

(CAM, 77, 2016)

In this single clause, there is a process, *worked*, one participant, *Peter*, and two circumstances, *in my department* and *for a long time*. The “interpersonal” metafunction concerns the relationships established by the speaker. These are of two types. The first type of relationship is between the speaker and the person or persons with whom he is communicating. The following example creates a relationship with the reader by suggesting future action that he should take.

Discover how the magic of Christmas has been recreated through the years at Fenwick Newcastle.

(Advertisement, 2016)

The second type of relationship is between the speaker and the message he is conveying. In the following example, the use of the modal verb *may* indicates that the speaker is presenting something as a possibility rather than a fact. Throughout this book, where necessary, relevant parts of examples are printed in **bold**.

If your other half starts steering you towards Cyprus for your summer break, they **may** be thinking less about the sunshine than the state of their bank account.

(Metro, 8 April 2016)

Finally, the “textual” metafunction deals with the way in which the message is structured. This metafunction, like the two others, functions at the level of the clause, but is also concerned with the ways in which the clauses are linked together to make a text. One of the main factors in the way the clause is structured is the element that the speaker selects as the starting point of his clause. This is known as the “theme”. In the following example *Daniel Brine, director at Cambridge Junction* is the theme.

Daniel Brine, director at Cambridge Junction, has also objected to the plans which could scupper his own vision for the square.

(Cambridge News, 21 April 2016)

Language is not created in a vacuum; it is created in a context. We frequently tend to underestimate the extent to which context is important in the creation of discourse. To a large extent, language depends on the context in which it comes into existence; it could not exist without that context,

and in a different context the language would be different. So, in a sense, language is created by its context, but it then becomes part of that context, thus changing the context which created it. There is, then, a constant mutual system of modification going on between the context and the language which is created in that context. Systemic Functional Linguistics sees the context, or at least the close or immediate context, sometimes called “register”, in terms of three functions. These are “field”, “tenor” and “mode”. Field is the ongoing activity of which the language is a part. Tenor is the relationship between the person who is communicating and those he is communicating with. Mode is the form through which the message is communicated, that is, basically, spoken or written.

This relationship between the lexicogrammar, the semantic metafunctions and the context has often been represented diagrammatically as a series of concentric triangles, with lexicogrammar at the centre, the metafunctions at the three points of the inner triangle and the functions of context at the points of the outer triangle, as in Figure 1.1. This also shows that there is a correspondence between field and the ideational metafunction, between tenor and the interpersonal metafunction and between mode and the textual metafunction.

An alternative to this, suggested by the iceberg metaphor that I used a little earlier, would be to see lexicogrammar as the tip of the iceberg, with the metafunctions below the waterline, and context at an even greater depth below the surface. This is shown in Figure 1.2.

Recent introductions to Systemic Functional Linguistics have tended to concentrate on the three semantic metafunctions (ideational, interpersonal and textual). The grammatical functions which constitute the lexicogrammar are hardly treated at all. However, it is this part of the model which those unfamiliar with this approach will find corresponds most closely to what they think of as “grammar”. So that is where we are going to start

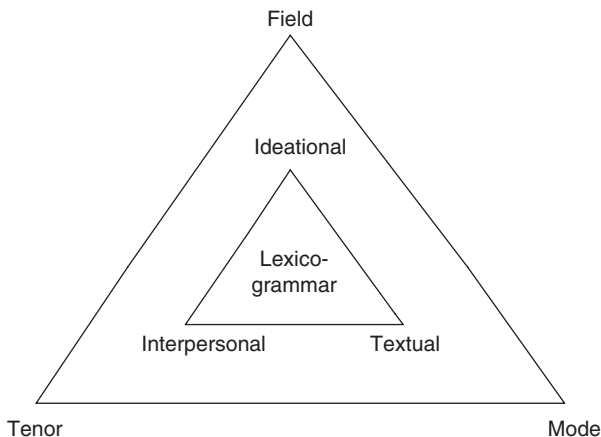


Figure 1.1 Triangular representation of the Systemic Functional Model.

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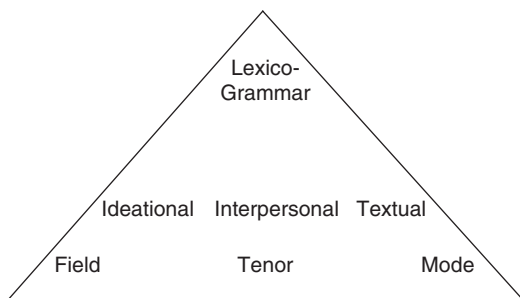


Figure 1.2 Iceberg representation of the Systemic Functional Model.

in the following section. However, I would like to emphasize the fact that whereas in most other approaches this would be a question of structure, here we are dealing with functions. The chapters which follow this one will deal in turn with the ideational metafunction, the interpersonal metafunction, the textual metafunction, appraisal, grammatical metaphor and, finally, context.

Throughout the book, the examples used are all taken from real language; that is, they are all taken from authentic documents: newspapers, magazines, brochures, leaflets, letters and so on. None of them are made up. In each case I have given some indication of the source of the document. Moreover, all of the documents are recent (at least at the time of writing): most are dated 2016 or 2017. I have occasionally used older texts, but the very oldest I have used dates from 2004. So the examples used in this book can be said to be authentic twenty-first century English.

Summary

- Linguistic theories fall into three broad groups: formal, cognitive and functional.
- Systemic Functional Linguistics is both functional within language and functional within society.
- Systemic Functional Linguistics is systemic in the sense that it is concerned with language as a network of choices.
- There are three semantic metafunctions: ideational, interpersonal and textual.
- Context has three functions: field, tenor and mode.

2 Grammatical parts and how they work together

Consider the following.

A crash involving four vehicles caused delays on the A14 yesterday.
(*Cambridge News*, 20 April 2016)

This piece of language gives us a single piece of information, and we call this a “clause”. Sometimes clauses may be combined; in this case we talk about a “clause complex”.

He spent nearly two years doing his coursework and he’s been staying late at the school every Wednesday to do it.
(*Cambridge News*, 20 April 2016)

Many approaches would call these “sentences”, but the term “clause complex” is preferred in Systemic Functional Linguistics. In the first of these examples, we recognise that the clause is basically about something causing something. So the word *cause* is central: it tells us about the action, event or state which the clause represents. We call this the “predicator”. We can now turn to the first of our “somethings”. We can ask: what (or who) caused something? The answer to this here is *A crash involving four vehicles*. We call this the “subject”. We can then ask: a crash involving four vehicles caused what? (Or: what did a crash involving four vehicles cause?) The answer gives us the “complement”; in this case, *delays*. So we have: *A crash involving four vehicles caused delays*. This in itself is a coherent clause, but we can ask further questions, such as where, with the answer: *on the A14*, or when, with the answer: *yesterday*. Why and how would be possible further questions. Parts of the clause which answer questions like these are called “circumstantial adjuncts”, or simply “adjuncts” for short. So this clause has two adjuncts. Using S as a symbol for subject, P for predicator, C for complement and A for adjunct, we can analyse our clause as follows.

S	P	C	A	A
A crash involving four vehicles	caused	delays	on the A14	yesterday.

Subject, predicator, complement and adjunct are known as “groups”. So we can say that a clause is made up of one or more groups. A simple imperative clause (like *Jump!*) would constitute a clause with only one group, the predicator.

The decapitated body of a cat has been discovered, raising fears that the Croydon Cat Killer has struck again.

(*Metro*, 11 April 2016)

In the above example, the group *The decapitated body of a cat* functions as subject. One word is central to this group; if we had to reply in a single word to the question “what has been discovered?”, that word would be *body*. We call this the “headword”, or “head”. The head can be preceded by one or more words which give us extra information about the head. We call these “modifiers”. In this case we have *the* and *decapitated*. *Decapitated* here fulfils an adjectival role and describes the head. *The*, the definite article, also tells us about the head (basically saying that we can identify it). The definite article belongs to a special category of modifiers called “determiners”; many linguists separate these from the other modifiers, but to keep things simple we will group them together as modifiers. The head can also have elements which follow it and which also tell us about it. We call these “qualifiers”. In a sense modifiers and qualifiers have the same function, that of supplying information about the head, so the difference is simply one of position; however, it is useful to have separate names for these two elements. In our example, *of a cat* follows the head and tells us about it. So *of a cat* functions as qualifier. Just as clauses are made up of groups, groups are made up of (one or more) words. However, it might be objected that *of a cat* is not a word. It looks more like a group. This is true, and it is a point we will come back to shortly.

In fact, single word qualifiers are relatively rare in English. English is a language which tends to place single words with an adjectival function before the head. However, consider the following example.

The College today consists of a master; over 160 fellows, most of whom are engaged in teaching; about 320 postgraduate students; and about 650 undergraduates.

(Trinity College Cambridge brochure, 2016)

The word *today* could be said to be functioning as qualifier in the subject group *The College today*. A possible alternative might seem to be to think of *today* as an adjunct. If this were the case, it would mean that it expresses

the temporal circumstances of the predicator *consists*. On the other hand, the clause seems to be contrasting the College as it is today with the College as it was some time ago, so it seems more reasonable to consider that *today* is describing the College, in which case it is indeed a qualifier.

Using m, h and q as symbols for modifier, head and qualifier respectively, we can go back and analyse the subject groups in the last two examples as follows.

S
 m m h q

 The decapitated body of a cat

S
 m h q

 The College today

The mhq structure is typical of nominal groups, but it is also found in adjectival and adverbial groups. Although adjectival and adverbial groups only rarely have all three elements, the following provides an example.

There are around 1250 medieval manuscripts in the collection, all of which will, in time, be **freely available online**.

(Wren Digital Library brochure, 2016)

The complement of the predicator *will ... be* is the adjectival group *freely available online*. This has a head, *available*, modified by *freely* and qualified by *online*.

C
 m h q

 freely available online.

Each group of this type will always have a head, but it may have more than one modifier, or none, and it may have more than one qualifier, or none.

Now consider the following example.

For more than a week these vast nocturnal protest gatherings – from parents with babies to students, workers, artists and pensioners – **have spread** across France, rising in numbers, and are beginning to unnerve the government.

(*Guardian Weekly*, 15–21 April 2016)

The first predicator in this clause complex is *have spread*. This is a group made up of two words. One of these words tells us the nature of the action,

10 Grammatical parts and how they work together

event or state that the clause describes; in this case, that word is *spread*, and we will call this, simply, the “verb”. The verb may be preceded by one or more words which tell us about the tense, aspect or modality of the verb. Here we have the word *have*, which tells us about aspect, and we will call this (as you might expect) the “auxiliary”.

British boxing is buzzing like never before at heavyweight level after Anthony Joshua **bashed up** Charles Martin.

(*Metro*, 11 April 2016)

In the above example, the predicator *bashed up* also has two words, but in this case the verb is followed by another word. This second word which forms part of the same group is called an “extension”. Notice that *up* must be part of the *bashed up* group, otherwise we would have to consider that *up Charles Martin* constituted a group. But this would not make sense; there is no possible circumstantial question (when?, where?, why?, how?) to which *up Charles Martin* would give us the answer! The extension is a peculiarity of English (which many foreign learners discover to their cost). Where they occur, there is usually only one, but there are occasional examples where there are two (for example *put up with*, in the sense of “tolerate”). The words which occur as extensions frequently function as prepositions or adverbs. So the verb can be preceded by one or more auxiliaries, and followed by one or more extensions. We use the symbols a, v and e for auxiliary, verb and extension. This ave structure is typical of verbal groups. The two examples we have considered can be analysed as follows.

P
a v
have spread

P
v e
bashed up

There is one grouping of words which, in Systemic Functional Linguistics, has traditionally been called a phrase rather than a group, though for our present purpose it functions in the same way as a group. This is the “prepositional phrase”.

We sailed **from Gothenburg**, then down to Germany, then up to the island of Gotland in the Baltic Sea and back to Stockholm.

(*Metro*, 11 April 2016)

These groups can now be analysed in terms of words. The single word subject is head and the single word predicator is a verb, whereas the adjunct has a preposition followed by a completive.

S				
h	q	P	A	
	S			
	h	v	p	c
WallQuest, [which started in 2012]				

This is another form of rankshift.

Sometimes a unit may be discontinuous, with another type of unit inserted in it. For example in the following.

Visitors **are always struck** by the light and vastness as they enter this wonderful space.

(Ely Cathedral brochure, 2016)

The predicator *are struck* has the adjunct *always* inserted between the auxiliary and the verb. This will be indicated in our analyses by putting angled brackets round the inserted item.

P	A	
a	h	v
are <always> struck		

So far we have talked about clauses without any specific distinctions. There are basically two types of clause. The first type is “main” or “coordinate main” clauses; these are known as “ α -clauses”, symbolized by the Greek letter α . And the second type is “subordinate” clauses which have not been rankshifted; these are known as “ β -clauses”, symbolized by the Greek letter β . Consider the following example.

When Aeneas meets Anchises in the land of the dead, earthly duress has been replaced by the administrative duties of the afterlife.

(Guardian Weekly, 8–14 April 2016)

This clause complex has two clauses, of which *earthly duress has been replaced by the administrative duties of the afterlife* is the α -clause; this is preceded by a β -clause *When Aeneas meets Anchises in the land of the dead*. This can be analysed as follows.

β										
A	S	P	C	A						
h	h	v	h	p	c					
					m	h	q			
							p	c		
							m	h		
When Aeneas meets Anchises in (the land (of (the dead)))										

14 Grammatical parts and how they work together

α														
S	P			A										
m	h	a	a	v	p	c	m	m	h	q	p	c	m	h
earthly duress	has	been	replaced	by	(the	administrative	duties	(of	(the	afterlife))				

The β-clause begins with the temporal conjunction *When*. Since this tells us about a temporal relation, it is functioning as an adjunct, and at the rank of word it is head. The subject has *Aeneas* as head. The predicator is the verb *meets*. The complement is the simple head *Anchises*. And there is an adjunct which has the preposition *in* followed by a rankshifted completive, made up of the definite article *the* as modifier, *land* as head and a rankshifted qualifier. This in turn has the preposition *of* followed by a rankshifted completive, made up of the definite article as modifier and *dead* as head. The α-clause which follows has a subject with the modifier *earthly* and *duress* as head. This is followed by the predicator which has two auxiliaries, *has* and *been*, with *replaced* as verb. Finally, there is an adjunct which has the preposition *by* followed by a rankshifted completive. The completive has the definite article and *administrative* as modifiers of the head, *duties*, followed by a rankshifted qualifier. The qualifier is made up of the preposition *of* followed by a rankshifted completive, itself made up of the definite article as modifier and the head, *afterlife*. Spelt out in this way the analysis may seem complicated, but it can be seen from the diagrams that this is a fairly straightforward application of the relatively simple rules laid out above.

Analysing a more extended example

The following is an extract from the entry for Chesters Roman Fort and Museum from a tourist brochure for Hadrian’s Wall in 2016.

A new visitor experience has revitalised Britain’s most complete cavalry fort. Inside the Victorian museum visitors will gain a deeper insight into the story of John Clayton, the saviour of Hadrian’s Wall. New site interpretation will help visitors understand the ancient Roman ruins and Britain’s best preserved military bath house.

The following is an analysis, with explanatory comments where necessary.

S	P			C							
m	m	m	h	a	v	m	m	m	m	m	h
A new visitor experience	has	revitalised	Britain’s most complete cavalry fort.								

This is, of course, an α -clause, but where there is a single clause this will not be indicated in the diagram and we will consider it to be an α -clause by default.

A		S	P	C
p	c m m h	h	a v	m m h
Inside (the Victorian museum) visitors will gain a deeper insight				

[C continued]

q				
p	c m h	q p	c h	m h q p c
(into (the story (of (John Clayton, the saviour (of Hadrian's Wall))))))				

Proper names will be treated as single words since they refer to single entities. This is the case for *John Clayton* and *Hadrian's Wall* in this clause. It wouldn't seem coherent to treat *John* as a modifier of *Clayton*. In the segment *John Clayton, the saviour of Hadrian's Wall, the saviour of Hadrian's Wall* is in apposition to *John Clayton*. This means that they refer to the same person and we have simply repeated something in different words. Hence, here, there are two heads, *John Clayton* and *saviour*, one for each of the expressions used to refer to this person.

S		P	C	A
m	m h	a v	h	P v
New site interpretation will help visitors understand the ancient Roman ruins				

[A continued]

[C continued]

	m m m m m h			
and Britain's best preserved military bath house.				

The adjunct is a rankshifted non-finite clause, with the infinitive (without *to*) as its predicator. The complement of this rankshifted clause has two elements linked by the simple conjunction *and*, which is not separately labelled, and so there are two heads.

Summary

- A clause may have four types of group: subject, predicator, complement and (circumstantial) adjunct.
- Groups are made up of words.
- Nominal groups have a head, which may be preceded by modifiers and followed by qualifiers.
- Adjectival and adverbial groups may also have the same structure as nominal groups.
- Verbal groups have a verb, which may be preceded by auxiliaries and followed by extensions.
- Prepositional phrases are made up of a preposition and a completive.
- Rankshift occurs when a unit of one rank functions at a different rank.

Activities and exercises

- 1 Give an analysis of the highlighted (in **bold**) nominal groups in the following clauses. They are taken from a DVD booklet for the opera *Billy Budd* (2011).
 - a The biggest change, however in **the original four-act version** was the creation of a finale to Act 1, in which Captain Vere heroically addresses the crew as HMS Indomitable sails into enemy waters.
 - b Christopher Oram's set makes all the detail of naval hierarchy crystal-clear, but otherwise **its ribbed, claustrophobic space** is a semi-realistic abstraction of 18th-century shipbuilding, from which the sea is completely excluded, a far cry from its constant presence in *Peter Grimes*.
 - c In **his 2010 Glyndebourne programme book article**, Paul Kildea discusses what might euphemistically be called the creative tension between Glyndebourne's founder John Christie and Britten.
 - d Billy is brought before **the drumhead court martial**.
- 2 Analyse the highlighted verbal groups in the following, taken from CAM (82, 2017).
 - a I've **been helping** freshers move in.
 - b Rumours **had been flying** round for months.
 - c Pomerantsey **was brought up** in the West but worked as a television producer in Russia in the 2000s.
 - d Students **may also be asked** to send in written work, such as school essays.
- 3 Analyse the following highlighted prepositional phrases which are taken from a Forecast Station User's Guide (2017).
 - a The station automatically resets minimum and maximum values daily **at midnight**.

- b The specifications of this product may change **without prior notice**.
 - c Charge a smart phone, camera or other device when the projection alarm is plugged **into a power outlet** with the included 5V AC adaptor.
 - d Press the SNOOZE/LIGHT button to exit, or wait 20 seconds without pressing buttons to return **to the normal time display**.
- 4 Identify and analyse the nominal groups in the following extract from *The Guardian Weekly* (15–21 January 2017).

The first visit to Greece by a Turkish president in 65 years began in hostile fashion last Thursday as Recep Tayyip Erdoğan flouted the niceties of diplomacy and crossed an array of red lines.

- 5 Identify and analyse the finite verbal groups in the following extract from *Metro* (11 April 2017).

Three men have been rescued from a deserted Pacific island after spelling ‘Help’ in palm leaves on the beach. They were spotted by a US Navy plane after being reported missing for three days. Their boat capsized near the Micronesian island of Fanadik, hundreds of miles north of Papua New Guinea. ‘Fortunately for them, they were all wearing life jackets and were able to swim to the island’, said Melissa McKenzie from the US Coastguard. Two hours after being found the men were picked up by a local boat and taken to hospital.

- 6 Identify and analyse the prepositional phrases in this extract from the *Guardian Weekly* (19–25 January 2018).

The Italian-backed project, which began in the late 1980s, was designed to revolutionise tourism in the remote Cook Islands by providing the tiny nation with its first five-star resort. But the house of cards collapsed at the 11th hour, with the project 80% complete, amid allegations of mafia involvement and money laundering. The Cook Islands government was left with a debt of \$120m and was almost bankrupted. In the years since, repeated attempts to finish the project have foundered, but now a new effort to salvage the buildings is under way, and could have an even bigger impact on the tiny Pacific state than the original plans were expected to.

- 7 The following short extracts are taken from a Tyne & Wear Archives and Museums booklet “Must-see Exhibitions October 2015 – April 2016”. Give an analysis of the grammatical functions of each.

- a The range includes jewellery, glassware and ceramics.
- b The show draws on objects from around the world in the museum’s collections.

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- c Refugees and people seeking asylum have been the object of much press attention.
- 8 The following extracts are taken from the *Guardian Weekly* (19–25 January 2018). Give an analysis of the grammatical functions of each.
- a Nobody cares, because her performance is sensational.
- b If there is a weakness in this book, it stems from its Gibbonian roots.
- c Renzi was forced to resign in late 2016 after he badly lost an ill-advised constitutional referendum.
- d In the cradle of the Arab spring, it has been reckoning time again, when the hopes for the Tunisian revolution of seven years ago are measured against its gains.
- 9 Give an analysis of the following extract, which is taken from the back-cover blurb for *The Moth Catcher*, by Ann Cleeves (2015).

DI Vera Stanhope arrives on the scene with her detectives, Holly and Joe. When they look around the big house, Vera finds the body of a second man. All the two victims have in common is a fascination with moths – and with catching these beautiful, intriguing creatures.

- 10 Take a children's story book and analyse the grammatical functions of the first five clauses or clause complexes.
- 11 Find an official government leaflet and analyse the first five clauses or clause complexes.
- 12 Take a popular daily newspaper and analyse the first five clauses or clause complexes of any article or report.

Key to activities and exercises

1

a.

m m m h
the original four-act version

b.

m m m h
its ribbed, claustrophobic space

c.

m m m m m h
his 2010 Glyndebourne programme book article

d.
m m h q
the drumhead court martial

2

a.
a a v
've been helping

b.
a a v
had been flying

c.
a v e
was brought up

d.
a a v
may ... be asked

3

a.
p c
at midnight

b.
p c
m h
without (prior notice)

c.
p c
m m h
into (a power outlet)

d.
p c
m m m h
to (the normal time display)

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4

The first visit to Greece by a Turkish president in 65 years began in hostile fashion last Thursday as Recep Tayyip Erdoğan flouted the niceties of diplomacy and crossed an array of red lines.

m m h q q q
p c p c p c
m m h m h

The first visit (to Greece) (by (a Turkish president)) (in (65 years))

m h
hostile fashion

m h
last Thursday

h
Recep Tayyip Erdoğan

m h q
p c
the niceties (of diplomacy)

m h q
p c
m h
an array (of (red lines))

5

Three men **have been rescued** from a deserted Pacific island after spelling 'Help' in palm leaves on the beach. They **were spotted** by a US Navy plane after being reported missing for three days. Their boat **capsized** near the Micronesian island of Fanadik, hundreds of miles north of Papua New Guinea. 'Fortunately for them, they **were all wearing** life jackets and **were** able to swim to the island', said Melissa McKenzie from the US Coastguard. Two hours after being found the men **were picked up** by a local boat and **taken** to hospital.

a a v
have been rescued

a v
were spotted

v
capsized

a v
were ... wearing

v
were

a v e
were picked up

v
... taken

6

The Italian-backed project, which began **in the late 1980s**, was designed to revolutionise tourism **in the remote Cook Islands by providing the tiny nation with its first five-star resort**. But the house of cards collapsed **at the 11th hour, with the project 80% complete**, amid allegations of **mafia involvement and money laundering**. The Cook Islands government was left **with a debt of \$120m** and was almost bankrupted. **In the years since**, repeated attempts to finish the project have foundered, but now a new effort to salvage the buildings is under way, and could have an even bigger impact **on the tiny Pacific state** than the original plans were expected to.

p c
m m h
in (the late 1980s)

p c
m m h
in (the remote Cook Islands)

p c
P C A
v m m h p c
m m m h
by [providing | the tiny nation | with (its first five-star resort)]

p c
of cards

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p c
 m m h
 at (the 11th hour)

p c
 m h q
 m h
 with (the project (80% complete))

p c
 m h m h
 of (mafia involvement and money laundering)

p c
 m h q
 p c
 with (a debt (of \$120m))

p c
 m h q
 In (the years since)

p c
 m m m h
 on (the tiny Pacific state)

7

a

S P C
 m h v h h h
 The range includes jewellery, glassware and ceramics.

b

S P A A
 m h v e h q p c m m h
 p c
 p c
 m h
 The show draws on objects (from (around (the world))) in (the museum's collections).

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d

α

A S P C A
 p h a v m h h
 m h q
 p c
 m m h

In (the cradle (of (the Arab spring))), it has been reckoning time again,

β

A S P
 h m h q a v
 p c
 m m h q
 p c
 m h q

when the hopes (for (the Tunisian revolution (of (seven years ago)))) are measured

(β continued)

A

p c
 m h

against (its gains).

9

DI Vera Stanhope arrives on the scene with her detectives, Holly and Joe. When they look around the big house, Vera finds the body of a second man. All the two victims have in common is a fascination with moths – and with catching these beautiful, intriguing creatures.

S P A A
 m h v p c m h p c m h h h

DI Vera Stanhope arrives on (the scene) with (her detectives, Holly and Joe).

β

A S P A α
 h h v p c m m h h v m h q
 p c
 m m h

When they look around (the big house), Vera finds the body (of (a second man)).

S h q S m m h	P A v p c	P C v m h q p c
------------------------	------------------------	-----------------------------------

All [the two victims | have | in common] is a fascination (with moths) – and

(C continued)

q p c P V	C m m m h	
--------------------	-----------------------------	--

(with [catching | these beautiful, intriguing creatures]).

3 Representing the world

The Systemic Functional approach sees meaning in terms of three strands or metafunctions: ideational, interpersonal and textual. The ideational metafunction deals with the actions, events and states which occur in the world, the entities, or participants, which are involved in those processes and the circumstances in which they take place. The ideational metafunction can be divided into a “representational” function and a “logical” function. The logical function deals with the ways in which the elements of the representational function are linked together. In this section, in talking about the ideational metafunction, we will deal only with the representational function. The interpersonal metafunction concerns the relationships established between the speaker and his addressee, or between the speaker and his message. The textual metafunction concerns the way in which the message is put together. None of these should be thought of as first in importance; they are all equally important. Moreover, they are all present in every clause. It is the first of these, the ideational metafunction, that probably corresponds most closely to what those who are unfamiliar with this approach think of as “meaning”, so that is where we shall start.

The ideational metafunction

A simple clause consists of a process (action, event or state) and one or more participants in that process. To this may be added various circumstances. The relationship between a process and its participants and circumstances is known as “transitivity”, and this constitutes a major part of the ideational metafunction. In other theories, the notion of transitivity is restricted to the distinction between transitive and intransitive verbs, but, as can be seen, in Systemic Functional Linguistics the term involves a much more complex set of relationships. I shall use a system with five process types. In the following examples, the relevant part of the extract is printed in **bold**.

“Material” processes are actions and events which take place in the physical world.

The UK's star student hackers **will descend** on Cambridge this weekend, to show off their skills of cyber-sabotage.

(*Cambridge News*, 20 April 2016)

“Mental” processes are events of a cerebral nature: these can be “cognitive”, dealing with types of thinking, “perception”, dealing with types of sensing (seeing, hearing, etc.), or “affective”, dealing with liking and disliking.

Why do we **believe** in the unbelievable?

(*The Crack*, 333, April 2016)

As this gentleman passed along, he **saw** three little girls standing before a shop window.

(Religious tract, 2016)

If, however, you would **like** to stroll through the College's spacious grounds, a pathway (accorded a national 'biodiversity' award) that starts near the vehicle entrance gates on Victoria Avenue will take you through the Grove – where on 10 February 1792 Coleridge composed his poem “In Jesus Wood” – to the rear of North Court.

(Jesus College, Cambridge, tourist guide, 2016)

“Relational” processes simply state a relationship between two entities, or between an entity and its characteristics. Here again there are three types: “attributive”, which gives the characteristics or features of an entity, “identifying”, which refers to the same entity in different words, and “possessive”, which, in addition to possession properly so-called, deals with things like the relationship of inclusion, which can be assimilated to possession. The first of the following examples has two relational attributive processes, the second is an example of identifying relational process and the third of possessive relational process.

The book is a splendid thing, its musical notations and Latin text meticulously inked on the vellum (calfskin) pages which **are** still firm and flexible after nearly half a millennium.

(*The Journal Culture*, April 2016)

Sasha Regan is the founder and artistic director of a multiple award winning theatre in London's Southwark area.

(Cambridge Arts Theatre programme, 20–23 April 2016)

This well-stocked shop **includes** brands such as *Floris*, *Cath Kidston*, *Peony* and *Dents* plus luxury cards and gift wrap.

(Ely Cathedral brochure, 2016)

“Verbal” processes are processes of communication.

For the moment, however, he **said** the most effective way to tackle *Ades aegypti* is to mobilise the public.

(*Guardian Weekly*, 8–14 April 2016)

“Existential” processes simply state the existence of something. The most common way of expressing this in English is the *There is/are* construction.

There **has been** a church on this site since the early 12th century, although only a little of the first church building **remains**.

(St. John the Baptist Church, Newcastle, tourist guide)

In this example, there are two cases of existential process. The verb *has been* is a fairly typical example of existential process, while *remains* provides a less typical example.

Material process

Each of the process types is associated with one, two or occasionally three participants. Material processes typically have a participant of an “agentive” type. This is the participant which carries out the process or causes the process to take place. Most introductions to Systemic Functional Linguistics group these together as a single participant type, usually calling it the “actor”. However, I think it is useful to distinguish three different types. Consider the following examples.

William, 33, and Kate, 34, played cricket and football with children from the slums of Mumbai yesterday, delighting them despite their less than perfect efforts.

(*Metro*, 11 April 2016)

Just the smallest amount of plutonium – about the size of an apple – could kill and injure hundreds of thousands of innocent people.

(*Guardian Weekly*, 8–14 April 2016)

But temperature affects reefs in so many ways in addition to coral bleaching.

(*Guardian Weekly*, 15–21 April 2016)

In the first of these examples, the participant which brings about the process, *William, 33, and Kate, 34*, is a conscious agent, and I shall reserve the term “actor” for this type of participant. In the second example, the causal participant, *the smallest amount of plutonium – about the size of an apple* is not a conscious agent, but it does require some conscious agent,

usually, as here, unmentioned, if it is to act to bring about the process. I shall call this type of participant an “instrument”. The final type is also non-conscious, but in this case, no other conscious agent is necessary; it is a natural phenomenon which acts of its own accord. I shall call this type of agent a “force”.

Sometimes a process has only one participant. This is the case with those verbs traditionally called “intransitive”, as in the following.

Vandals ran across the roof of a car causing dents and leaving muddy footprints in an incident in Cambourne.

(*Cambridge News*, 20 April 2016)

Vandals	ran...
Actor	Pro: Mat

Here, the material process (Pro: Mat in the table), *ran*, has a single participant, the actor, *Vandals*. The clause also has a number of adjuncts, but for the moment we will show only participants and processes in the analyses.

Where material process verbs have two participants (traditionally transitive verbs), the second participant may be an entity which is in some way altered or modified by the process. The modification can be as simple as a change of place or position. We call this participant the “affected” (alternative terms found in some books are “goal” or “patient”).

He takes **the valuables** and discards **the bag**, unaware that a bomb is buried inside.

(*Cambridge News*, 21 April 2016)

In this example, *the valuables* is the affected of the process *takes*, and *the bag* is the affected of the process *discards*. The first clause of this clause complex could be analysed as follows.

He	takes	the valuables...
Actor	Pro: Mat	Affected

Sometimes the second participant is not modified by the process but is actually created by the process. We call participants of this type a “result”.

Members of Village Stitches in Fulbourn have made **90 crowns** using a variety of craft techniques – which will be on display in pubs and shop windows up and down the high street today in the Queen’s honour.

(*Cambridge News*, 21 April 2016)

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Here the participant *90 crowns* is a result. Obviously, they did not exist before they were made. The relevant part of this clause complex can be analysed as follows.

Members of Village Stitches in Fulbourn	have made	90 crowns...
Actor	Pro: Mat	Result

Now consider the second participant of the α -clause in the following example.

Paul Stearn, Head Gardener at Jesus College, has visited **the shelter** many times, particularly when it was dry enough to be used as storage space for gardening materials.

(CAM, 60, 2010)

The second participant, *the shelter*, is neither modified nor created by the fact that someone visits it. It is, in a sense, where the visiting takes place, but it is not the circumstances of visiting, it is what is visited. That is why it is a participant and not a circumstance. We call this type of participant a “range” (or in some recent books “scope”). So the relevant part of this clause complex could be analysed as follows.

Paul Stearn, Head Gardener at Jesus College,	has visited	the shelter...
Actor	Pro: Mat	Range

The type of participant known as range is fairly complex. Take the following example.

This year is the turn of the instrumentalists, who will perform a **concerto** with the Guildhall Symphony Orchestra.

(Barbican programme, 2016)

The second participant of the relative clause, *a concerto*, is, again, neither modified nor created by being performed. What it does is to make the process more explicit. The concerto is the performance. This we also call “range”, and the relevant part of the clause can be analysed as follows.

...who	will perform	a concerto...
Actor	Pro: Mat	Range

This means that we have two slightly different types of range. The first of these can be thought of as an “entity range” and the second as a “process range”, but in this book, we will group these together as range.

Sometimes, material processes have a third participant. This is the participant to whom the process is directed, like the person to whom one gives a present. We call this participant the “recipient”. In the following example, the pronoun *her* has this function.

Kennedy had no idea how he would pay for the rest of her schooling, but he reasoned that even a few months’ secondary teaching would give **her** a chance.

(theguardian.com, 4 July 2016)

...even a few months’ secondary teaching	would give	her	a chance.
Instrument	Pro: Mat	Recipient	Range

There is a variant of this function which is the participant for whom the process is carried out, like the person for whom one buys a present. We call this participant the “beneficiary”. In the following example *your wife* has this function.

So why should you buy **your wife** flowers?

(professorhouse.com, 4 July 2016)

...should	you	buy	your wife	flowers?
Pro: ...	Actor	...Mat	Beneficiary	Affected

Because of its interrogative nature the process is here discontinuous, with the actor inserted in the middle of it.

It should be noted that the participants, recipient and beneficiary are only direct participants in the clause when they do not form part of a prepositional phrase. It is easy to think of variants of the *to your wife/for your wife* type. In cases like this, although in a sense we still have a recipient or beneficiary, it is no longer encoded in the clause as a participant but as an adjunct. We can think of it as an oblique or indirect participant. So these would be adjuncts expressing indirect participants. This is the case in the following.

Maybe you are a man who initiates many kindnesses **to your wife** and you don’t receive much respect or kindness in return.

(familylife.com, 4 July 2016)

Of course, if you aren’t prone to surprising your wife for no reason, be warned that the first time you buy flowers **for your wife**, she may be a little suspicious, wondering what indiscretions you have made that you are trying to make up for.

(professorhouse.com, 4 July 2016)

Taking these to be circumstantial adjuncts (Circs in the table) encoding indirect participants (such as Recipient in the table) gives an analysis like the following.

...who	initiates	many kindnesses	to your wife...
Actor	Pro:Mat	Range	Circs: Recipient

Mental process

Mental processes are processes that take place in a cerebral environment, that is, in the mind. They are of three types: cognitive, that is, processes of thinking, perception, that is, processes of perceiving, and affective, that is, processes of liking. However, these three types all have the same sort of participants. Typically, there are two. First, there is the conscious being whose mind is the site of the mental process and the content of the mental experience. The conscious being who is the site of the process is called the “senser”, and the content of what he senses is called the “phenomenon”. The following are examples of cognitive, perception and affective mental processes (Pro: Ment in the following tables) respectively.

We believe young women are the leaders of change.
(CAM, 59, 2010)

See world-class exhibitions in our stunning exhibition galleries.
(British Museum map, 2016)

He also disliked the increasingly unrealistic elements in Gilbert’s writing.
(Cambridge Arts Theatre programme, 20–23 April 2016)

The relevant parts of these can be analysed as follows. Since the second of these is imperative in form, the senser is not expressed.

We	believe	young women are the leaders of change.
Senser	Pro: Ment	Phenomenon

See	world-class exhibitions...
Pro: Ment	Phenomenon

He	(also) disliked	the increasingly unrealistic elements in Gilbert’s writing.
Senser	Pro: Ment	Phenomenon

As in the first of these examples, the phenomenon will frequently be a rank-shifted clause.

Relational process

Relational processes (Pro: Rel in the following tables) link two items, or an item and one of its features. Here again there are three types, but in this case these differences imply different types of participant. The first type is attributive: this links an item and one of its features.

The interior of the Hall, when completed in 1451, was very plain.
(Queen’s College Cambridge brochure, 2016)

Examples like this have an item which is being described, called the “carrier”, and the description is called the “attribute”. So the participants and process of this example can be analysed as follows.

The interior of the Hall,was	very plain.
Carrier	Pro: Rel	Attribute

The attribute may also be in the form of a prepositional phrase. The following example has a prepositional phrase giving the location of the item, which is placed in initial position. Here the location is fixed, but even a temporary location can be considered to be a feature, albeit ephemeral, and hence function as attribute.

On the wall opposite the College Shop are two slate plaques commemorating our modern Patroness, the late Queen Elizabeth; the Queen Mother, and Her Majesty, Queen Elizabeth II.
(Queen’s College Cambridge brochure, 2016)

On the wall opposite the College Shop	are	two slate plaques commemorating our modern Patroness, the late Queen Elizabeth; the Queen Mother, and Her Majesty, Queen Elizabeth II.
Attribute	Pro: Rel	Carrier

The second type of relational process is the identifying type. This type of process links two expressions which refer to the same entity.

John Wolfson is Honorary Curator of Rare Books for Shakespeare’s Globe.
(Globe Theatre programme, 2016)

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In this case, the item being identified is called the “sign” and the expression used to identify it is the “value”. This gives the following analysis.

John Wolfson	is	Honorary Curator of Rare Books for Shakespeare’s Globe.
Sign	Pro: Rel	Value

The third type of relational process is possessive. This again has two participants which we call the “possessor” and the “possessed”.

Unlike many other historical places, Hadrian’s Wall has something for everyone.

(Northumberland tourist guide, 2016)

The relevant part of this clause can be analysed as follows.

...Hadrian’s Wall	has	something for everyone.
Possessor	Pro: Rel	Possessed

This type of analysis can also be used for clauses which express a form of abstract possession, such as that of something being contained within something else. That is the case in the following example.

Located in the heart of Newcastle city centre, the Great North Museum: Hancock contains a Roman collection of international significance from along the length of Hadrian’s Wall and its outpost forts.

(Hadrian’s Wall tourist brochure, 2016)

Located in the heart of Newcastle city centre, the Great North Museum: Hancock	contains	a Roman collection of international significance from along the length of Hadrian’s Wall and its outpost forts.
Possessor	Pro: Rel	Possessed

Verbal process

Verbal processes (Pro: Verb in the following tables) are processes of communication. These typically have two participants, the person who is communicating, called the “sayer”, and the content of his message, called the “verbiage”.

In a speech last year, British prime minister David Cameron said “the corrupt, criminals and money launderers” take advantage of anonymous company structures.

(*Guardian Weekly*, 8–14 April 2016)

The relevant part of this clause can be analysed as follows.

...British prime minister David Cameron	said	“the corrupt, criminals and money launderers” take advantage of anonymous company structures.
Sayer	Pro: Verb	Verbiage

The verbiage, like the phenomenon in mental process clauses, will often have the form of a rankshifted clause, as in this example. The person to whom the message is addressed in verbal process can also be expressed. If this is done in non-prepositional form, this constitutes another participant and can be analysed in the same way as the entity towards whom the process is directed in material process, that is as a recipient.

The Prime Minister told the Commons he went over to help Mr. Brown through a “gaggle of MPs” who were impeding his progress down the aisle so the House could get on with the vote.

(theglobeandmail.com, 18 May 2016)

In this example, *the Commons* functions as recipient.

The Prime Minister	told	the Commons	he went over to help Mr. Brown through a “gaggle of MPs” who were impeding his progress down the aisle so the House could get on with the vote.
Sayer	Pro: Verb	Recipient	Verbiage

In the two examples used here, the items functioning as verbiage would, traditionally, have been called reported speech. In examples like this, many linguists call this a projected clause and feel that it is not, strictly speaking, a participant in the main (projecting) clause, and so, they do not use the term “verbiage” in these cases. However, I feel that whether it is a projected clause or not, it still tells us what was said, so its function is the same and the term “verbiage” is justified. A similar point could be made about some examples of phenomenon in mental processes.

Existential process

Existential processes (Pro: Exist in the following tables) simply state the existence of something. The most common form this takes (though it is not the only possibility) occurs in clauses beginning *There is* or *There are*. These clauses have only one participant which is the entity that is said to exist, and it is called the “existent”.

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There was even a swimming pool – which my three were so excited about.

(*Voyage*, Summer 2016)

In clauses of this type, the word *There* has no transitivity function. It simply announces the existential nature of the clause. Hence, the relevant part of the first clause of this example can be analysed as follows.

There	was	... a swimming pool...
	Pro: Exist	Existent

If the clause is negative, then the existence of an entity is denied, as in the following.

There could not have been a better setting for my first journey to the centre of the Loire – here I was spending a night in a chateau rather than merely visiting one.

(*Voyage*, Summer 2016)

Here, *a better setting* is said not to exist, but this is still analysed as existential process with an existent.

There	could not have been	a better setting for my first journey to the centre of the Loire...
	Pro: Exist	Existent

Oblique participants

There may be occasions when an item which is ostensibly a participant does not appear to be functioning as a participant in the clause. Consider the following example.

The BTR Wirral 10K was won for the second consecutive year by 23-year-old Dejene Gezimu from Liverpool Harriers AC in 31:09.

(*Good News Liverpool*, October 2016)

In this clause there is a material process, *was won*, and its subject is *The BTR Wirral 10K*, functioning as a range. So this would give the following analysis.

The BTR Wirral 10K	was won...
Range	Pro: Mat

But we might reasonably say that the one who won was *Dejene Gezimu*, so isn't he the actor in this clause? In one sense this is true, but in this clause he appears as part of a prepositional phrase, and a prepositional phrase looks more like an adjunct (therefore circumstance) than a component which can contain an actor. So, in this case the actor is being presented (or encoded in the clause) as a sort of circumstance. We could think of this as being an "agentive" circumstance (Circs: Agent in the table below). In this case, we talk about an "oblique participant". Agentive circumstances occur in passive clauses, like this one. If we compare this with the reconstructed active variant of this clause, *23-year-old Dejene Gezimu from Liverpool Harriers AC won the BTR Wirral 10K for the second consecutive year in 31:09*, we can see that here *23-year-old Dejene Gezimu from Liverpool Harriers AC* is functioning as actor in the full sense of the term. So we could extend the analysis of the clause above like this.

The BTR Wirral 10K	was won...	...by 23-year-old Dejene Gezimu from Liverpool Harriers AC...
Range	Pro: Mat	Circs: Agent

The same sort of thing, as we saw earlier, can happen with recipients and beneficiaries. In the following clause *start-ups* is an oblique recipient.

The Centre provides flexible accommodation and business advice to start-ups.

(CAM, 59, 2010)

Taking the oblique recipient into account, this could be analysed as follows.

The Centre	provides	flexible accommodation and business advice	to start-ups.
Actor	Pro: Mat	Range	Circs: Recipient

Of course, a fuller treatment of transitivity would take circumstantial adjuncts fully into account, analysing them as different types of circumstance, such as manner, time, place and so on, but this will be left aside for the moment.

Analysing a more extended example

The following text is an extract from an explanatory pamphlet for the Church of St. John the Baptist, Newcastle, available in the church in 2016.

The font is used in the rite of baptism, by which **one becomes a Christian**. **Water from the font is poured** over the head of the person being baptised. **The font cover is one of the oldest pieces of woodwork** in the church. **The font itself is a late 17th century replacement**; the

original was destroyed by the Scots when they came to Newcastle during the Bishops' War in 1640. **The vaulting of the tower (1475) was the gift of Robert Rhodes, whose coat of arms you can see above the font.**

The following is an analysis of the processes and participants, but circumstances will not be dealt with here. The segments to be analysed are in bold in the extract above. Where necessary the analysis of a clause will be followed by explanatory comments.

The font	is used...
Affected	Pro: Mat

You may think that the font is not altered when it is used in a baptism, and that range might be a possible analysis of this participant. However, it does have water poured into it and so can be considered to be an affected.

...one	becomes	a Christian.
Carrier	Pro: Rel	Attribute

A relational process is usually a state, but it can also be a change of state. In this case, the process brings about the state. That is the case here.

Water from the font	is poured...
Affected	Pro: Mat

Material processes expressed by a passive verb usually have the affected in subject position.

The font cover	is	one of the oldest pieces of woodwork...
Carrier	Pro: Rel	Attribute

The font itself	is	a late 17th century replacement...
Carrier	Pro: Rel	Attribute

...the original	was destroyed	by the Scots...
Affected	Pro: Mat	Circs: Agent

In this clause, we have an example of an oblique participant in the form of *by the Scots*, which is agentive.

...they	came...
Agent	Pro: Mat

The vaulting of the tower (1475)	was	the gift of Robert Rhodes...
Carrier	Pro: Rel	Attribute

Usually a relational process where both of the participants begin with the definite article, *the*, are examples of identifying processes, but in this case that is not so. Identifying processes indicate a unique relationship, so in order for this to be an identifying clause, we would need to know that this was the only gift that Robert Rhodes ever made!

...whose coat of arms	you	can see...
Phenomenon	Senser	Pro: Ment

Finally, we have a mental perception clause. Because the phenomenon is introduced by a possessive relative, it is placed in initial position.

Overall, it can be seen that this short extract is doing two main things. It is describing, and for that, it uses relational clauses, and it gives historical background, and for that, it uses material processes.

Summary

- Clauses are made up of a process, its participants and, if there are any, the circumstances.
- There are five types of process:
 - Material processes express physical actions and events.
 - Mental processes express events of a cerebral nature.
 - Relational processes express a relationship between two entities or between an entity and its characteristics.
 - Verbal processes are processes of communication.
 - Existential processes express the existence of an entity.
- The participants which can appear in a material process are actor, instrument, force, affected, result, range, recipient and beneficiary.
- Mental processes can be cognitive, perception or affective.
- The participants which occur in a mental process are senser and phenomenon.
- Relational processes can be attributive, identifying or possessive.
- The participants in an attributive relational process are carrier and attribute.

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- The participants in an identifying relational process are sign and token.
- The participants in a possessive relational process are possessor and possessed.
- The participants in a verbal process are sayer and verbiage; a recipient can also occur in a verbal process.
- Existential processes have a single participant known as the existent.
- If a participant occurs as part of a prepositional phrase, the prepositional phrase functions as an adjunct and the participant is said to be an oblique participant.

Activities and exercises

- 1 The following short extracts are taken from the *Guardian Weekly* (26 January – 1 February 2018). Suggest what type of process is expressed by each of the highlighted (in **bold**) verbs.
 - a “They **have** a relationship of mutual benefit with the Chinese state”, says Jamie McEwan of Enders Analysis.
 - b A wallaby **was apprehended** after hopping along the Sydney Harbour Bridge just before rush hour.
 - c Astronomers **do not yet understand** the circumstances under which neutron stars would unleash such powerful blasts of radiation.
 - d Critics **say** President Nicolás Maduro’s government has disrupted domestic food production by expropriating farms and factories.
 - e If you **can move** it, it’s a prop.
 - f Nobody **saw** the murder.
 - g Soon, behind the silent sitters, there **was** an excited crowd.
 - h The scientists **asked** the volunteers to perform a creative thinking task as they lay inside a brain scanner.
 - i Then there **is** the national talent for taciturnity.
 - j Trump **was** at the Camp David presidential retreat with Republican senators to plot the year ahead.
- 2 The following short extracts are taken from *Churchill Review* (51, 2014). Give an analysis of the highlighted processes and participants.
 - a In the following months, **an enthusiastic crowd attended the academic seminar series**, where speakers from both MCR and SCR communities alternated to present their work.
 - b Next morning **the full extent of the revelry was obvious**.
 - c **The Ultimate Frisbee club has had a fantastic year**.
 - d **There was no tradition** to direct us and so Cambridge came to expect something unusual, modern “sixties” even, from the “Madingley Road Tech”, as we were sometimes unkindly called, and we rarely disappointed.
 - e **We hope to organise more events throughout the United Kingdom in 2015**.

- f We now **train** in the new University Sports Centre, which has modern facilities and is much closer to the College grounds than previous venues.
 - g We were **delighted** to obtain planning consent for the new court of student accommodation in April 2014.
- 3 The following is an extract from an article in *CAM* (60, 2010). Analyse the highlighted processes and participants.

One evening in 2005 a **small group of dark-suited, middle-aged men gathered** in a private dining room at one of London's most venerable clubs. **It included a senior member of the Tory frontbench**, the influential former editor of a broadsheet newspaper, a successful writer **who enjoyed close links with the Blair administration**, a brace of well-known columnists (one political, the other from the financial pages) and a high-profile public servant with a string of top flight jobs in finance and industry to his name. **If the Establishment really did exist with a capital 'E', this is what it would look like.**

As **the candle-light danced** on the mahogany and **warmed the tones of the book spines lining the walls**, **I indulged myself in a fantasy: the club servant would discreetly close the door** at the end of our dinner, leaving us to enjoy the coffee and port, then **one of our number would tap his wine glass and say something along the lines of "Gentlemen, we meet in a time of grave national peril..."** and propose that we plot a coup d'état.

- 4 The following extract is taken from the operating instructions for a negative digitiser (2016). Analyse the highlighted processes and participants, including oblique participants.

This device may be used by children aged 8 years and above and by people with limited physical, sensory or mental capabilities, or lack of experience and knowledge, provided that they are under supervision, or have been told how to use the device safely and are aware of the potential risks. Children must not play with the device. Cleaning and user maintenance tasks may not be carried out by children unless they are supervised.

- 5 In the following extract from *Voyage* (Summer 2016), the finite verbs have been highlighted. Identify the participants that go with the processes encoded by these verbs and analyse the processes and their participants.

There **are** railway stations throughout the Loire for those looking to do the 'cycle and train' trip, and many tourists **enjoy** riding through the fields of vines both along the Loire and above it. It **is** especially beautiful between Tours and Saumur and through the Chinon appellation.

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Driving through the countryside, I **called in on** Domaine de Rochville in the village of Parnay. As well as some fantastic award-winning wines to taste, Philippe Porche's winery **has** a superb new reception hall for visitors, along with an adjoining terrace, where I **enjoyed** the spectacular view of the valley below.

- 6 The following is an extract from a car hire document dated 2011. Identify and analyse the processes and participants.

Customers who arrive 1 day or more early at our rental stations with a reservation that does not match the current date will not be able to use the reservation reserved online. The branch may be able to offer an alternate reservation but please note the rates will not match the online reservation. If you fail to collect your car on the specified pick-up date, we reserve the right to charge a no-show fee of either the cost of the booking or up to a minimum of £50, whichever is the lesser. In the event of a no-show, your credit card will be refunded, less the no-show charge.

- 7 Take a recently published novel. Open it at any page and analyse the processes and participants of the first five clauses, beginning at the first full paragraph.
- 8 Take a report on the sports pages of a newspaper. Analyse the processes and participants of the first five clauses.

Key to activities and exercises

1

- a have: relational process
- b was apprehended: material process
- c do not ... understand: mental process
- d say: verbal process
- e can move: material process
- f saw: mental process
- g was: existential process
- h asked: verbal process
- i is: existential process
- j was: relational process

2

a

an enthusiastic crowd	attended	the academic seminar series
Actor	Pro: Mat	Range

b

the full extent of the revelry	was	obvious
Carrier	Pro: Rel	Attribute

c

The Ultimate Frisbee club	has had	a fantastic year.
Possessor	Pro: Rel	Possessed

d

There	was	no tradition
	Pro: Exist	Existent

e

We	hope	to organise more events throughout the United Kingdom in 2015.
Senser	Pro: Ment	Phenomenon

f

We...	train
Actor	Pro: Mat

g

We	were delighted
Senser	Pro: Ment

3

a small group of dark-suited, middle-aged men	gathered
Actor	Pro: Mat

It	included	a senior member of the Tory frontbench
Possessor	Pro: Rel	Possessed

who	enjoyed	close links with the Blair administration
Possessor	Pro: Rel	Possessed

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the Establishment...	did exist
Existent	Pro: Exist

this	is	what it would look like
Carrier	Pro: Rel	Attribute

the candle-light	danced
Force	Pro: Mat

(the candle-light)	warmed	the tones of the book spines lining the walls
(Force)	Pro: Mat	Affected

I	indulged	myself in a fantasy
Senser	Pro: Ment	Phenomenon

the club servant	would... close	the door
Actor	Pro: Mat	Affected

one of our number	would tap	his wine glass
Actor	Pro: Mat	Affected

(one of our number)	say	something along the lines of “Gentlemen, we meet in a time of grave national peril...”
(Sayer)	Pro: Verb	Verbiage

(one of our number)	propose	that we plot a coup d’état
(Sayer)	Pro: Verb	Verbiage

4

This device	may be used	by children aged 8 years and above and by people with limited physical, sensory or mental capabilities, or lack of experience and knowledge
Affected	Pro: Mat	Circs: Actor

they	are	under supervision
Carrier	Pro: Rel	Attribute

(they)	have been told	how to use the device safely
(Recipient)	Pro: Verb	Verbiage

(they) are aware of the potential risks
 (Carrier) Pro: Rel Attribute

Children must not play
 Actor Pro: Mat

Cleaning and user maintenance tasks may not be carried out by children
 Range Pro: Mat Circs: Actor

they are supervised
 Affected Pro: Mat

5

There are railway stations
 Pro: Exist Existent

many tourists enjoy riding through the fields of vines both along the Loire and above it
 Senser Pro: Ment Phenomenon

It is especially beautiful
 Carrier Pro: Rel Attribute

I called in on Domaine de Rochville in the village of Parnay
 Actor Pro: Mat Range

Philippe Porche's winery has a superb new reception hall for visitors
 Possessor Pro: Rel Possessed

I enjoyed the spectacular view of the valley below
 Senser Pro: Ment Phenomenon

6

who arrive
 Actor Pro: Mat

that does not match the current date
 Token Pro: Rel Value

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customers... current date will not be able
 (Carrier) Pro: Rel Attribute

The branch may be able
 Carrier Pro: Rel Attribute

note the rates will not match the online reservation
 Pro: Ment Phenomenon

the rates will not match the online reservation
 Token Pro: Rel Value

you fail to collect your car
 Actor Pro: Mat Range

we reserve the right to charge a no-show fee
 Possessor Pro: Rel Possessed

whichever is the lesser
 Token Pro: Rel Value

your credit card will be refunded
 Affected Pro: Mat

4 The speaker's relationships

The interpersonal metafunction deals with the speaker's relationships. These can be of two types. First there are the relationships which the speaker establishes with his addressees, and second, there are the relationships he establishes with the content of his message. The first type of relationship is mainly dealt with by the system of "mood" and the second by the system of "modality".

Mood

Here we will basically be interested in the difference between "declarative" mood and "polar interrogative" mood. Declarative mood gives information, and in doing so attributes roles to the speaker and to his addressees. The speaker is the giver of information and the addressees are receivers of the information. In a polar interrogative, the speaker takes on the role of questioner and the addressees are potential answerers. Let's start with an example of a polar question.

Would you like to know more?

(Newspaper advertisement, 11 April 2016)

The reason we know this is a question is the relative positions of *would* and *you*. If the positions of *would* and *you* are reversed, we get the statement *You would like to know more*; that is, the declarative form. The element of the verbal group which is used to distinguish declarative and interrogative mood in this way is known as the "finite". In some cases, the verbal group has a single word, like *sail* in the following example.

On our return journey **we sail** along the beautiful coastline, allowing magnificent seaward views of both Bamburgh and Holy Island Castles.

(Boat trip leaflet, 2016)

In this case, the finite and the verb are fused in a single word. In such cases, English uses *do* as a default finite to form the interrogative (for example, *Do we sail... ?*).

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The mood structure can be analysed as a mood element (or simply mood for short), which is made up of the subject and the finite, and a residue, which is the rest of the clause. So, the first of the above examples can be analysed as follows.

Would you	like to know more?
Mood	Residue

In the second example the mood is made up of the subject *we* and that part of the verbal group, *sail*, which constitutes the fused finite. So, part of the residue is before the mood and part after it. The word *sail* is partly finite and partly residue, and so is split between the two. This can be represented as follows.

On our return journey	we sa-	-il along the beautiful coastline, allowing magnificent seaward views of both Bamburgh and Holy Island Castles.
Res-	Mood	-idue

The mood analysis of WH-questions depends on whether the WH-word functions as the subject or as complement or adjunct. Where it functions as subject it will be part of the mood, but where it functions as complement or adjunct it is part of the residue. In the following example *What* functions as the subject of *keeps*. So, the mood is the subject, *what*, plus that part of *keeps* which constitutes the fused finite.

What keeps you awake at night?

(*Cambridge News*, 20 April 2016)

What ke-	-eps you awake at night?
Mood	Residue

In the following example *How* functions as an adjunct; so the mood is made up of the finite *would* and the subject *you*.

How would you explain your current work to a stranger on the bus?

(*Cambridge News*, 20 April 2016)

How	would you	explain your current work to a stranger on the bus?
Res-	Mood	-idue

Where the main verb of a clause is a verb which can function as finite (like *be* or *have*) it functions as finite from the point of view of mood structure.

Analysing a more extended example

The following extract is taken from an interview in *The Crack* (April 2016), a local events and culture magazine.

There seems to be a big schism between Labour party members and the Parliamentary Labour Party at present. Can you see that circle ever being squared?

Our MPs, Police & Crime Commissioners, councillors, trade unions and party members in the north-east are all focused on one thing – getting the best deal possible for local residents. I'm standing up to deliver a better police service; our councillors are standing up to protect local services such as adult care; libraries and social services and our MPs are taking the government to task over the unfair cuts that continue to hit our police forces and local councils. Jeremy Corbyn was elected with a huge mandate. He has a job to do and it is our job to support him in delivering policies that make a real difference to hard working families across the north-east.

There se-	-ems to be a big schism between Labour party members and the Parliamentary Labour Party at present.
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Mood	Residue
------	---------

Can you	see that circle ever being squared?
---------	-------------------------------------

Mood	Residue
------	---------

Our MPs, Police & Crime Commissioners, councillors, trade unions and party members in the north-east are	all focused on one thing – getting the best deal possible for local residents.
--	--

Mood	Residue
------	---------

I'm	standing up to deliver a better police service...
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Mood	Residue
------	---------

...our councillors are	standing up to protect local services such as adult care; libraries and social services...
------------------------	--

Mood	Residue
------	---------

...our MPs are	taking the government to task over the unfair cuts that continue to hit our police forces and local councils.
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Mood	Residue
------	---------

Jeremy Corbyn was elected with a huge mandate.

Mood Residue

He has a job to do...

Mood Residue

...it is our job to support him in delivering policies that make a real difference to hard working families across the north-east.

Mood Residue

Modality

Modality is the way in which a speaker expresses his relationship with his message. This has basically two types. One is the way in which a speaker expresses his judgement as to the likelihood of something being true. This is referred to as “modalization” (or frequently “epistemic modality” in other approaches). The second type is the expression of permission and obligation and is known as “modulation” (or frequently “deontic modality” in other approaches). English has a wide range of ways in which modality can be encoded, but the most common is the use of modal auxiliaries. The modal auxiliaries of English are *will*, *would*, *shall*, *should*, *may*, *might*, *can*, *could* and *must*, as in the following.

If soap operas had been around in the Middle Ages, the Plantagenets **would** surely have topped the list of dysfunctional families with a plot line that reads like a royal version of *Eastenders*.

(*Voyage*, Summer 2016)

Why **should** I be required to drive on the left or right side of the road according to the law of the country?

(Religious tract, 2016)

Perhaps Petruchio **might** take her on for a bet: he’s a bit of a gold-digger and as wild and rebellious as our Kate.

(Globe Theatre programme, Summer 2016)

To these can be added verbal expressions which I refer to as “semi-modals”, but which some assimilate to the modal auxiliaries. These are verbs like *ought*, *have* and *be* followed by the infinitive, as in the following.

You only **have to arrive** 45 minutes before departure and there’s no need to worry about finding parking and then getting everyone from the car to the departure lounge on time.

(*Voyage*, Summer 2016)

The verb *need* is also sometimes assimilated to this group.

Volunteers **need** to be 16+ and be able to make a regular commitment.
(*Cambridge News*, 21 April 2016)

There are in addition a number of lexical verbs that can be considered to have modal content, such as *seem*, *permit*, *allow* and *oblige*.

Photography is **permitted** in selected galleries, for non-commercial uses.
(British Museum map, 2016)

And modality can also be expressed through adverbs (like *possibly*), adjectives (like *possible*) and nouns (like *possibility*).

There is **certainly** no doubt that HMS Pinafore presents a very British, very eccentric kind of humour through parody cocking a snook at pompousness in witty words and catchy music.
(Cambridge Arts Theatre programme, 20–23 April 2016)

It's only **possible** to apply to stay indefinitely after five years.
(*North East Times*, April 2016)

In the meantime, the **uncertainty** this brings to those businesses is most unfortunate and one would have thought could have been avoided.
(*Cambridge News*, 21 April 2016)

Speech acts

Speaking, that is communicating, is a type of act. When we speak we inform, question, order, praise, thank, suggest and so on. There are basically four types of act that are performed when we communicate. We either give something or request something, and the thing that we give or request can be either information or goods and services. This gives four possibilities:

- 1 Giving information.

The font is used in the rite of baptism, by which one becomes a Christian. (Explanatory leaflet, Church of St. John the Baptist, Newcastle, 2016)

- 2 Requesting information.

Which feathered friends can you spot from the deck? (*Voyage*, Summer 2016)

- 3 Giving goods or services.

How about learning a new skill for free? (What's On in Newcastle, 30 March – 13 April 2016)

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4 Requesting goods or services.

If you would like to make a donation while enjoying fast track access to the Cathedral for 12 months, please enquire about purchasing our new Annual Pass. (Wells Cathedral tourist brochure, 2016)

This can be expressed diagrammatically as follows:

	Commodity exchanged	
Type of act	information	goods or services
giving	The font is used in the rite of baptism, by which one becomes a Christian.	How about learning a new skill for free?
requesting	Which feathered friends can you spot from the deck?	If you would like to make a donation while enjoying fast track access to the Cathedral for 12 months, please enquire about purchasing our new Annual Pass.

Summary

- Mood can be analysed in terms of a mood (element) and a residue.
- The mood (element) is made up of the subject and the finite.
- There are two types of modality: modalization and modulation.
- Modalization is the speaker's judgement about the likelihood of something being true.
- Modulation deals with permission and obligation.
- Speech acts is the giving and requesting of information or of goods or services.

Activities and exercises

- 1 Give an analysis of the mood structure of the following extracts from *London Planner* (April 2016).
 - a Deer have roamed freely around Richmond Park since 1529.
 - b You might catch the last of the season's shoveler and gadwall ducks, too.
 - c More than 500 items from the band's personal archives and private collections are on display in *Exhibitionism*, including rare guitars, outrageous costumes and backstage paraphernalia.
 - d Visitors can watch part of the Queen's Guard mount daily at 11am in Friary Court.
 - e Originally a novel about a show boat on the Mississippi River in the late 1800s, the story was adapted into a Broadway musical in 1927.
 - f This month, Dame Kelly Holmes – Olympic gold medallist in Athens 2004 in the 800m and 1,500m – steps out of retirement to make her debut in the race.

- g More than 100 high-calibre bottles have been chosen from around the world to pair with the burgers.
- 2 Give a mood structure analysis of this paragraph taken from the Globe Theatre Summer Season programme (2016).

Having opened the Sam Wanamaker Playhouse in 2014, the Globe is now actively planning its very own library and archive on site, on London's Bankside. John has generously agreed to bequeath to the Globe an important collection of rare and valuable volumes, including a First Folio and Quarto editions. Having these texts will cement the Globe's reputation as the first point of reference for teaching, research and interpretation of Shakespeare in performance.

- 3 The following is the final paragraph of an academic article (Martinez, Ron (2018): "Specially in the last years...": Evidence of ELF and non-native English forms in international journals, *Journal of English for Academic Purposes*, 33, 40–52). Identify any examples of modality in the extract.

Any venturing of ideas about the practical implications of the present research should probably be reserved for future studies that can corroborate or otherwise compare with the results of this study. Again, it seems the surface has just been scratched here. Nonetheless, as Heng Hartse and Kubota (2014) have observed, "a broadening of EFL to writing would have a great impact on pedagogy, writing and publishing practices" (p. 75). It is hoped that this study has contributed to that broadening.

- 4 Identify any examples of modality in the following extract from an article in *North East Times* (April 2016).

Having your own IT department also plays a key part in ensuring we are using the best technology and systems available as our systems manager is able to implement new resources where he feels they are required. This can be anything from the team being able to remotely access central systems while working from home or at an event easily and securely, to ensuring our websites work effectively in handling and answering queries or questions from prospective clients and associates.

Communication is undoubtedly the key facilitator in doing business and to do this effectively, technology must play a vital part, whatever sector you work within.

- 5 Say what type of speech act each of the following short extracts from the *Wasafiri New Writing Prize 2017* leaflet is expressing.
- a How did you hear about the competition?
- b I enclose a stamped addressed postcard for proof of receipt.

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- c Please tick if you would NOT like to receive our updates.
- d Simply fill in the entry form and send it to us with your entry and fee of UK Sterling £6.00 if entering one category, £10.00 for two and £15.00 for three categories (please see terms and conditions).
- e The competition is open to anyone who has not published a complete book in the category entered.
- f The path to literary success can sometimes seem elusive, even for those with talent.

Key to activities and exercises

1

a

Deer have	roamed freely around Richmond Park since 1529.
Mood	Residue

b

You might	catch the last of the season's shoveler and gadwall ducks, too.
Mood	Residue

c

More than 500 items from the band's personal archives and private collections are	on display in <i>Exhibitionism</i> , including rare guitars, outrageous costumes and backstage paraphernalia.
Mood	Residue

d

Visitors can	watch part of the Queen's Guard mount daily at 11am in Friary Court.
Mood	Residue

e

Originally a novel about a show boat on the Mississippi River in the late 1800s, the story was	adapted into a Broadway musical in 1927.
Mood	Residue

f

This month,	Dame Kelly Holmes – Olympic gold medallist in Athens 2004 in the 800m and 1,500m – st-	-eps out of retirement to make her debut in the race.
Res-	Mood	-idue

g

More than 100 high-calibre bottles have	been chosen from around the world to pair with the burgers.
Mood	Residue

2

Having opened the Sam Wanamaker Playhouse in 2014,	the Globe is	now actively planning its very own library and archive on site, on London's Bankside.
Res-	Mood	-idue

John has	generously agreed to bequeath to the Globe an important collection of rare and valuable volumes, including a First Folio and Quarto editions.
Mood	Residue

Having these texts will	cement the Globe's reputation as the first point of reference for teaching, research and interpretation of Shakespeare in performance.
Mood	Residue

3

Any venturing of ideas about the practical implications of the present research **should probably** be reserved for future studies that **can** corroborate or otherwise compare with the results of this study. Again, it **seems** the surface has just been scratched here. Nonetheless, as Heng Hartse and Kubota (2014) have observed, “a broadening of EFL to writing **would** have a great impact on pedagogy, writing and publishing practices” (p. 75). It is hoped that this study has contributed to that broadening.

should: modal auxiliary

probably: adverb

can: modal auxiliary

seems: lexical verb

would: modal auxiliary

4

Having your own IT department also plays a key part in ensuring we are using the best technology and systems available as our systems manager is **able** to implement new resources where he feels they **are required**. This **can** be anything from the team being **able** to remotely access central systems while working from home or at an event easily and securely, to ensuring our websites work effectively in handling and answering queries or questions from prospective clients and associates.

Communication is **undoubtedly** the key facilitator in doing business and to do this effectively, technology **must** play a vital part, whatever sector you work within.

able: adjective

are required: lexical verb

can: modal auxiliary

able: adjective

undoubtedly: adverb

must: modal auxiliary

5

- a Requesting information
- b Giving goods or services
- c Requesting goods or services
- d Requesting good or services
- e Giving information
- f Giving information

5 Getting the message in order

The textual metafunction deals with the ways in which the message is structured. The two main resources through which this is achieved are “thematic structure” and “information structure”. Thematic structure has the clause as its basic unit and distinguishes between a “theme” and a “rheme”. Information structure has the tone group as its basic unit and distinguishes between a “given” and a “focalized”.

Thematic structure

Thematic structure is concerned with the way in which the speaker organizes his clause in terms of a theme and a rheme. The theme is what the speaker takes as his starting point, and, in English, it is placed at the beginning of the clause. The rheme is the speaker’s development of the theme. One part of the theme, or thematic material, is essential; it is the part of the theme which is made up of one of the major components of the clause: subject, circumstantial adjunct, complement or predicator. This is known as the “topical theme”, though it is often referred to simply as “theme” for short. Each clause has one, and only one, topical theme. In the following example, the subject, *Wookey Hole Caves and Hotel*, functions as the topical theme.

Wookey Hole Caves and Hotel are situated in the quaint village of Wookey Hole, less than two miles from the Cathedral city of Wells, with plenty of free secure parking on site and a regular bus service to Wells.
(Wookey Hole brochure, 2016)

This can be analysed as follows, where Th stands for theme, Top for topical and Rh for rheme.

Wookey Hole Caves and Hotel	are situated in the quaint village of Wookey Hole, less than two miles from the Cathedral city of Wells, with plenty of free secure parking on site and a regular bus service to Wells.
Th: Top	Rh

In the following example, the circumstantial adjunct *Across any sector* functions as the topical theme.

Across any sector, communication is absolutely critical.
(*North East Times*, April 2016)

This can be analysed in the same way.

Across any sector,	communication is absolutely critical.
Th: Top	Rh

Complements functioning as theme are relatively rare in English, but examples do occasionally occur, such as the first clause in this short extract.

Tall, elegant and softly spoken she might be, but under that calm exterior, Professor Smith has a startling – and seemingly highly incendiary – plan.
(*CAM*, 59, 2010)

In the first clause it is the complement, *Tall, elegant and softly spoken*, which functions as the theme, so this would be analysed as follows.

Tall, elegant and softly spoken	she might be, ...
Th: Top	Rh

In declarative clauses, you would not usually expect to find a predicator functioning as theme, but this is normal in imperative clauses.

Walk down the street of an excavated Roman garrison town.
(Hadrian's Wall leaflet, 2016)

Here, the imperative verb *Walk* functions as theme, so the analysis is as follows.

Walk	down the street of an excavated Roman garrison town.
Th: Top	Rh

There are two types of theme which sometimes, but not always, occur in addition to the topical theme. In this case, they always appear before the topical theme, which terminates the thematic material. Everything which follows the topical theme is part of the rheme. These two additional types of theme are “textual” theme and “interpersonal” theme (Txt and Interp respectively in the tables that follow). A textual theme precedes the topical theme and links the clause to the surrounding discourse. In the following

example, *But* functions as textual theme and *residents, and councillors in Coleridge* functions as topical theme.

But residents, and councillors in Coleridge say that they are preparing for “trench warfare against another ugly unwanted building that would compete to be as big an excrescence or eyesore as the Marque”.

(*Cambridge News*, 21 April 2016)

This can be analysed as follows.

But	residents, and councillors in Coleridge	say that they are preparing for “trench warfare against another ugly unwanted building that would compete to be as big an excrescence or eyesore as the Marque”.
Th: Txt	Th: Top	Rh

Interpersonal themes precede the topical theme and indicate the attitude of the speaker towards the content of the clause. In the following example, the word *Interestingly* tells us that the speaker finds this interesting.

Interestingly, this production minimises questions of race and racism.

(*Guardian Weekly*, 27 January – 2 February 2017)

This can be analysed as follows.

Interestingly,	this production	minimises questions of race and racism.
Th: Interp	Th: Top	Rh

In polar interrogatives, those that require a *yes* or *no* answer, the finite precedes the subject. This is the case in the following.

Do you have time for a mouse hunt?

(St. John the Baptist Church, Newcastle, tourist guide)

The finite, *do*, is the word which signals that this is a question, and thus attributes the role of questioner to the speaker, and potential answerer to the addressee, so this too can be considered to be an interpersonal theme since it is concerned with the relationship established between the speaker and the addressee. Consequently this can be analysed in a similar way.

Do	you	have time for a mouse hunt?
Th: Interp	Th: Top	Rh

Where a subordinate clause, either finite or non-finite, precedes the main clause, its function is circumstantial, and so it behaves in the same way as a

circumstantial adjunct and constitutes the topical theme. Consider the following example.

Although there's a long tradition of novels of adultery, there aren't many diaries of this kind.

(*Guardian Weekly*, 6–12 January 2017)

Here, the subordinate clause *Although there's a long tradition of novels of adultery* functions as the topical theme, and the clause can be analysed as follows.

Although there's a long tradition of novels of adultery,	there aren't many diaries of this kind.
Th: Top	Rh

In this case however, since the theme is a clause and thematic structure is a feature of the clause, the subordinate clause which functions as theme has its own internal thematic structure. In this internal thematic structure, *Although* functions as textual theme, because it gives us the relationship of the subordinate to the main clause, and *there*, the grammatical subject, functions as topical theme. So, we can extend our analysis as follows.

Although	there...	... 's a long tradition of novels of adultery,	there aren't many diaries of this kind.
Th: Top			Rh
Th: Txt	Th: Top	Rh	

It must be noted that the second line of the analysis only gives the internal structure of the subordinate clause. The first line gives the analysis of what we call the “ranking clause”. It might be thought that since the rheme has the structure of a clause (the main clause), it might also be further analysed, but it will be remembered that the (ranking) clause can only have one topical theme, and the main clause already has one in the form of the subordinate clause which precedes it and functions as topical theme. If, on the other hand, a subordinate clause follows the main clause, it is simply part of the rheme, just as any other adjunct would be, except that having clausal structure it does have its own internal thematic structure.

Unfortunately, we have not been able to process your payment **because your credit card has been declined.**

(Business letter, 17 January 2017)

In this example, the subordinate clause, *because your credit card has been declined*, functions as an adjunct, but has an internal thematic structure. This can be analysed as follows.

Unfortunately,	we	have not been able to process your payment	because	your credit card	has been declined.
Th: Interp	Th: Top	Rh			
			Th: Txt	Th: Top	Rh

One case which is slightly peculiar is that of the relative clause. The relative pronoun which occurs in a relative clause links it to the rest of the clause, and so functions as a textual theme, but it also fulfils a function within the clause, and so functions also as topical theme. Thus the relative pronoun has a double function. In the following example, the relative pronoun, *who*, functions as subject of the relative clause, and so is both textual and topical theme of the internal structure of the relative clause.

He was the fifth of nine children of Richard and Anne Avison **who** lived in the house beside St. Bartholomew's Nunnery in Nolt Market, Newcastle.

(Avison leaflet, St. John the Baptist Church, Newcastle, 2016)

This can be analysed as follows.

He	was the fifth of nine children of Richard and Anne Avison	who	lived in the house beside St. Bartholomew's Nunnery in Nolt Market, Newcastle.
Th: Top	Rh		
		Th: Txt/Top	Rh

In the case of coordinate clauses, these function, in principle, as separate ranking clauses. So, the following would be analysed as two separate ranking clauses.

Something like the rock wall built to shore up the cemetery would be ideal but it is simply too pricey to implement all the way round the island.

(*Guardian Weekly*, 27 January – 2 February 2017)

Something like the rock wall built to shore up the cemetery	would be ideal
Th: Top	Rh

but	it	is simply too pricey to implement all the way round the island.
Th: Txt	Th: Top	Rh

However, very frequently, in clause complexes of this type, where the subjects of the two clauses refer to the same entity, the subject is elided or “understood” in the second clause. The question of the analysis of such clauses then arises. Should we reinstate the elided subject so that it can be analysed as topical theme? This feels like rewriting the text to suit our purposes. Should we simply take the clause as written, in which case it would be the first overt component, usually the predicator, that would then be analysed as the topical theme? It doesn’t seem coherent in such cases, where the clauses seem to be working in parallel, to have the subject as theme of the first clause, but the predicator theme of the second. I prefer to consider that the theme of the first clause acts as theme for the two-clause complex.

The Great Gate, at the front of the College facing St John’s Street, was completed in 1516, and bears a carving of Lady Margaret Beaufort’s coat of arms.

(St John’s College, Cambridge, leaflet, 2016)

In this example, the subject, *The Great Gate, at the front of the College facing St John’s Street*, functions as topical theme of the first clause, and it has been elided in the second clause, of which it is also the subject. So, we will consider that this is the theme of both clauses, and analyse it as follows.

The Great Gate, at the front of the College facing St John’s Street,	was completed in 1516, and bears a carving of Lady Margaret Beaufort’s coat of arms.
Th: Top	Rh

English also has some less usual constructions which pose problems for thematic analysis. These are known as “extraposition”, or “thematized comment”, and “cleft structures”, or “predicated theme”.

In extraposition, the subject is replaced by the pronoun *it*, and the subject (usually fairly long, and with the form of a clause) is placed at the end, after the clause proper. The fact that it is placed “outside” the clause is the origin of the term “extraposition”. For example, in the following, what is the grammatical subject?

It’s no coincidence that Happer has been touted as Trump’s chief science advisor.

(*Guardian Weekly*, 31 March – 6 April 2017)

From a structural and grammatical point of view *it* functions as the subject of the elided verb 's. But if you ask what it is that is no coincidence, you will presumably say *that Happer has been touted as Trump's chief science advisor*. In a sense both of these are the subject; the subject is, as it were, expressed twice, once in the form of the pronoun, *it*, and once, in its full form, as an extraposed subject at the end. The non-extraposed variant of this would be *That Happer has been touted as Trump's chief science advisor is no coincidence*. How are we to deal with this in terms of thematic analysis? The initial component is *it*. But if we start from the point of view of what theme actually means and ask what constitutes the speaker's starting point, the answer would seem to be the fact that it's no coincidence. So here we can say that *It's no coincidence*, which I call the extraposition matrix, functions as theme, and so this clause can be analysed as follows:

It's no coincidence that	Happer has been touted as Trump's chief science advisor.
Th: Top	Rh

Fairly frequently however, the extraposition matrix is used to express modality, as in this example.

It's possible that every dream you have can be realized.

(Moore 2008, accessed via Google Books, 3 April 2017)

Here the extraposition matrix *It's possible that* functions as a modal, just as a modal adverb like *perhaps* would in the same position. In this case, from the point of view of thematic analysis, the extraposition matrix is functioning as an interpersonal theme, and consequently the next main component, *every dream you have*, functions as topical theme. So, the analysis of this clause would be like this.

It's possible that	every dream you have	can be realized.
Th: Interp	Th: Top	Rh

A cleft clause also begins with *it*. This is followed by the verb *be*, and one major constituent of the clause. The other constituent follows in a *wh*- or *that* clause. The following is an example.

It was Erica who helped Copland choreograph an audition piece to George Michael's *I Want Your Sex*.

(*Guardian Weekly*, 24–30 March 2017)

The non-cleft variant of this would be *Erica helped Copland choreograph an audition piece to George Michael's I Want Your Sex*. In the cleft version, the subject has been clefted and appears in the cleft item, made up of *it* plus

the verb *be* (here *was*), and the clefted subject, *Erica*. Rather like the case of extraposition, it does not seem to make much sense to say that *It* is the theme; it is more coherent to say that the speaker's starting point is the cleft item, *It was Erica*, that functions as theme, so this clause can be analysed as follows.

It was Erica	who helped Copland choreograph an audition piece to George Michael's <i>I Want Your Sex</i> .
Th: Top	Rh

Analysing a more extended example

The following text is the synopsis of the play *The Devil is an Ass* by Ben Jonson, taken from the Globe Theatre booklet *Globe Education*, 2016.

The Devil is an Ass was first performed in 1616 – too late to be included in the folio edition of Ben Jonson's Works.

Set in the vice-ridden world of early Jacobean London, Jonson's dark comedy follows the young demon, Pug, as he carries out Satan's work.

Pug quickly realises that his wickedness is no match for the debauchery and immorality that governs the city. Even Fabian Fitzdottrel, his chosen victim, seems unresponsive to Pug's torments. Could that be because Fitzdottrel is already under attack from some very human devils attempting to steal his money and his wife?

<i>The Devil is an Ass</i>	was first performed in 1616 – too late to be included in the folio edition of Ben Jonson's Works.
Th: Top	Rh

Set in the vice-ridden world of early Jacobean London,	Jonson's dark comedy follows the young demon, Pug,	as	he	carries out Satan's work.
Th: Top	Rh			
		Th: Txt	Th: Top	Rh

Pug	quickly realises	that	his wickedness	is no match for the debauchery and immorality	that	governs the city.
Th: Top	Rh					
		Th: Txt	Th: Top	Rh		
					Th: Txt/Top	Rh

Even Fabian Fitzdottrel, his chosen victim,	seems unreceptive to Pug's torments.
Th: Top	Rh

Could	that	be	because	Fitzdottrel	is already under attack from some very human devils attempting to steal his money and his wife?
Th: Interp	Th: Top	Rh			
			Th: Txt	Th: Top	Rh

This text has five ranking clauses. The first and fourth are quite simple, having the grammatical subject functioning as topical theme. In the second clause a circumstantial adjunct functions as topical theme, and the rheme includes a clause which has its own internal structure, with a textual and a topical theme. The third clause has the grammatical subject functioning as topical theme, and the rheme includes a clause which has its own structure with a textual and a topical theme. The rheme of this clause in turn includes a clause, which is a relative clause, with the relative pronoun functioning both as textual and topical theme. The final clause is a polar interrogative, where the auxiliary functions as interpersonal theme, and the subject as topical theme; in addition, the rheme includes a clause with its own textual and topical themes.

Thematic progression

Thematic structure is not only a characteristic of the clause. The way the themes develop and relate to each other as the text continues is of particular importance. Themes are frequently derived from elements in the preceding discourse. When a theme is derived from a previous theme we say it is a case of “constant progression”, and when a theme is derived from a preceding rheme we call it “linear progression”. Of course, a speaker is always free to introduce a completely new theme, in which case the theme will not be derived from the previous discourse. Some linguists suggest a third type of derivation which occurs when a theme is derived from some general idea on which the text is based; this is referred to as “derived theme”. However it seems to me that this is of a different order to constant and linear theme, and that constant or linear themes may well frequently be derived themes in this sense. Consequently, for the purposes of this introduction, I will use only constant and linear theme. Thematic progression concerns only the topical themes of ranking clauses, but is of particular importance because it shows how the argument structure of the text is built up.

Consider the following extract.

Charles Avison was born in Newcastle upon Tyne in 1709 being baptised at St. John's Church on 16th February. **He** was the fifth of nine children of Richard and Anne Avison who lived in the house beside St. Bartholomew's Nunnery in Nolt Market, Newcastle.

(Avison leaflet, St. John the Baptist Church, Newcastle, 2016)

This extract has two ranking clauses. The theme of the first is *Charles Avison*, and that of the second, the pronoun *He*. The pronoun *He* refers back to *Charles Avison*, so the theme of the second clause is derived from the theme of the first. This is an example of constant progression, and it can be analysed like this.

Th1 → Rh1	Charles Avison	was born in Newcastle upon Tyne in 1709 being baptised at St. John's Church on 16th February.
↓ Th2 → Rh2	He	was the fifth of nine children of Richard and Anne Avison who lived in the house beside St. Bartholomew's Nunnery in Nolt Market, Newcastle.

The vertical arrow above Th2 indicates that the theme of the second clause is derived from a preceding theme.

The following example is a little different.

This war memorial is to remember the boys of St. John's School who died in World War One. **The school, which was in Bath Lane**, was founded in 1705 and closed in 1939.

(Tourist guide, St. John the Baptist Church, Newcastle, 2016)

Here again we have an extract with two ranking clauses. The theme of the first is *This war memorial*; that of the second is *The school, which was in Bath Lane*. It is evident that the school mentioned in the theme of the second clause is St. John's School, which is talked about in the rheme of the first ranking clause. Hence, the theme of the second clause is derived from the rheme of the first clause, and this is an example of linear progression. It can be analysed like this.

Th1 → Rh1	This war memorial	is to remember the boys of St. John's School who died in World War One.
✓ Th2 → Rh2	The school, which was in Bath Lane,	was founded in 1705 and closed in 1939.

The oblique arrow indicates that the theme of the second clause is derived from the rheme of a preceding clause. It is rare to find long stretches of text with the same type of progression throughout, but in a given text one type may dominate, and this will depend on the type of text it is. Simple descriptive or narrative texts tend to have more examples of constant progression, while texts which present an argument tend to use more linear progression.

Analysing a more extended example

The following is an extract from a Cambridge Arts Theatre programme in April 2016.

Gilbert knew little or nothing about music, and once claimed that he knew only two tunes, one of which was ‘God Save the Queen’. He was born in London on 18 November 1836, the son of a retired Royal Navy surgeon with a passion for literature. **After an abortive attempt to join Charles Kean’s company at the Princess’s Theatre**, he studied law with the intention of becoming a barrister, but abandoned this in favour of a literary career, an ambition encouraged by the enormous success of the *Bab Ballads*, published in the 1860s. **This** led directly to the commissioning of his first dramatic work, a short Christmas piece entitled *Dulcamara, or the Little Duck and the Great Quack*. It opened on 29 December 1866, and earned Gilbert the princely sum of £30.

Th1 → Rh1	Gilbert	knew little or nothing about music, and once claimed that he knew only two tunes, one of which was ‘God Save the Queen’.
↓ Th2 → Rh2	He	was born in London on 18 November 1836, the son of a retired Royal Navy surgeon with a passion for literature.
✓ Th3 → Rh3	After an abortive attempt to join Charles Kean’s company at the Princess’s Theatre,	he studied law with the intention of becoming a barrister, but abandoned this in favour of a literary career, an ambition encouraged by the enormous success of the <i>Bab Ballads</i> , published in the 1860s.
✓ Th4 → Rh4	This	led directly to the commissioning of his first dramatic work, a short Christmas piece entitled <i>Dulcamara, or the Little Duck and the Great Quack</i> .
✓ Th5 → Rh5	It	opened on 29 December 1866, and earned Gilbert the princely sum of £30.

The theme of the second clause is *He*, referring back to *Gilbert*, the theme of the first clause, so the progression here is constant. The theme of the third clause is the adjunct *After an abortive attempt to join Charles Kean's company at the Princess's theatre*. This is an example of his *passion for literature*, referred to in the second rheme, so the progression here is linear. Theme four, *This*, refers to the *success of the Bab Ballads*, which we are told about in rheme three, so we again have a case of linear progression. Theme five, *It*, refers to his play, *Dulcamara, or the Little Duck and the Great Quack*, which is in rheme four, so we have linear progression once again. The extract starts off with some simple biographical information, and for this the writer uses constant progression. In the following clauses, he attempts to explain the unusual career path which Gilbert followed, and for this he uses linear progression.

Information structure

Information structure has certain similarities to thematic structure, and in some approaches it is conflated with it. However, there are significant differences between them, and in Systemic Functional Linguistics they are treated separately. Information structure, like thematic structure, provides for two elements of analysis, but in this case the two elements are the given and the focalized. The focalized is frequently called the “new”, but since it is not necessarily new in the ordinary language sense, I prefer the term “focalized”. The focalized is identified as the element which contains the “tonic accent”. This has certain implications. Saying that the tonic accent is the identifying characteristic means that we are in the domain of phonology, and hence the basic unit is not the clause, as it was in the case of thematic structure, but the “tone unit”. A tone unit is made up of one or more “feet”, each of which has a stressed syllable which may be preceded by a number of unstressed syllables, or be the only syllable in the foot. One of the stressed syllables in the tone unit will carry the tonic accent, and there is only one tonic accent per tone unit. It is normal to take a breath between tone units, which means that the tone unit is physiologically limited in length. A clause has no theoretical limit to its length, and indeed some clauses are considerably long, but most speakers would find it difficult to manage tone units of more than five or six feet, and most tone units have only two or three. From what has been said, it might appear that information structure applies only to spoken language. However, information structure is an integral part of the meaning of a text (spoken or written), and so it is present in written texts too. The information structure is something which a reader imposes on the text as he reads it; it is part of his way of decoding, and hence understanding, the text. Consider the following example.

On 15th January 1737 Avison married Catherine Reynolds.
(Avison leaflet, St. John the Baptist Church, Newcastle, 2016)

This is a simple clause with four components: adjunct, subject, predicator and complement, in that order. The most usual place to put the tonic accent would be on the final component. This would make *Catherine Reynolds* the centre of the focalized, and the initial component, the adjunct, would be the given, but without further contextual information we would not know where the given ended and the focalized started. We can represent this as follows.

On 15th January 1737 Avison married Catherine Reynolds.	
Given	← Focalized

However, depending on circumstances, the speaker can decide to place his tonic accent elsewhere, for example on *married*. This would be appropriate in a context where the speaker wished to single out *married* as opposed to or in contrast with other possibilities such as “got engaged to”. In this case *married* would function as the focalized, and the other components would be the given. In other words, the addressee already knows that we are concerned with what happened between Avison and Catherine Reynolds on 15 January 1737, but he doesn’t know precisely what happened, or mistakenly thinks it was something other than getting married. This would give the following analysis.

On 15th January 1737 Avison	married	Catherine Reynolds.
Given	Focalized	Given

On the other hand, it would be possible to place the tonic accent on *Avison*. This would be appropriate where the speaker wants to say that it was Avison, and not someone else, who married Catherine Reynolds. The addressee knows that someone married Catherine Reynolds on 15 January 1737, but doesn’t know who, or even thinks it was someone else. This would give the following analysis.

On 15th January 1737	Avison	married Catherine Reynolds.
Given	Focalized	Given

From this it might be thought that there is a further possibility where the tonic accent is placed on the initial component *On 15th January 1737*. Although this is a theoretical possibility, it would seem that this does not, in fact, happen, and that when an initial component is focalized, it is separated off as a distinct tone unit, so that the clause is separated into two tone units.

On 15th January 1737
Focalized

Avison married	Catherine Reynolds.
Given	Focalized

I would now like to go back to the situation we started with where Catherine Reynolds was focalized and we have a single tone unit. We said that without further information we do not know how much of the unit is included in the focalized. If that contextual information tells us that the addressee knows that Avison married someone on 15 January 1737, but does not know who, then only *Catherine Reynolds* would be included in the focalized.

On 15th January 1737 Avison married	Catherine Reynolds.
Given	Focalized

If it is more a question of what Avison did on 15 January 1737, then *married Catherine Reynolds* would function as the focalized.

On 15th January 1737 Avison	married Catherine Reynolds.
Given	Focalized

And if it is simply a question of what happened on 15 January 1737, then all of the unit except the adjunct would be included in the focalized.

On 15th January 1737	Avison married Catherine Reynolds.
Given	Focalized

This covers the main possibilities, but not all of them. Imagine the addressee mistakenly believes that the marriage took place in 1747. The speaker might then place his tonic accent on “thirty”.

On 15th January 17...	...3...	...7 Avison married Catherine Reynolds.
Given	Focalized	Given

Analysing a more extended example

The following is an extract from a Visitor Guide for St. John’s College, Cambridge.

Chapel Court is a mix of styles – the south range is Tudor, the west range Victorian, and the remainder built by Sir Edward Maufe in 1938–40. Part of the west range was transformed into a new College library in 1994. The arms above the archway in the centre of the north range are those of John Fisher, carved by the famous sculptor, Eric Gill.

The following suggested analysis is based on my own reading. However, since the information structure of a written text is that supplied by the reader, others may have a slightly different analysis depending on their own reading of the text.

Chapel Court	is a mix of styles
Given	Focalized

the south range	is Tudor,
Given	Focalized

the west range	Victorian,
Given	Focalized

and the remainder	built by Sir Edward Maufe in 1938–40.
Given	Focalized

Part of the west range	was transformed into a new College library in 1994.
Given	Focalized

The arms above the archway	in the centre of the north range
Given	Focalized

are those	of John Fisher,
Given	Focalized

carved by	the famous sculptor,
Given	Focalized

Eric Gill.
Focalized

As can be seen in the final unit, it is possible to have a unit with no given. On the other hand, a unit with no focalized is not possible. There is no point in a unit that is totally given.

Cohesion: reference

“Cohesion” is the way various components in the text are linked together, so that a sequence of clauses is not a series of separate items but knit together to form a unified text. One of the most important types of cohesion is that created by “reference”. An item in a text can refer to something previous in the text, something which follows in the text or something in the outside world. Referring to something within the text is known as “endophora”; this can be divided into references to something prior in the text, which is said to be a case of “anaphora”, or to something later in the text, which is said to be “cataphora”. Referring to something in the outside world is known as “exophora”. Thus references can be anaphoric, cataphoric or exophoric. Consider the following example.

Yahya Jammeh, the former Gambian president, left the country last weekend after finally agreeing to cede power. He headed into exile with his family, ending a 22-year reign of fear and a post-election standoff that threatened to provoke a regional military intervention.

(*Guardian Weekly*, 27 January – 2 February 2017)

The words *He* and *his* in the second clause refer back to *Yahya Jammeh* in the first clause, so these are both examples of anaphora. We can indicate this by placing a backwards-pointing arrow, ↖, above the two anaphoric items.

Yahya Jammeh, the former Gambian president, left the country last weekend after finally agreeing to cede power. ↖ He ↖ headed into exile with his ↖ family, ending a 22-year reign of fear and a post-election standoff that threatened to provoke a regional military intervention.

The following example is a little different.

In 1790, only 14 years after it had declared its independence, the United States of America passed its very first copyright act.

(Cambridge Arts Theatre programme, 2016)

Here, the meaning of *it* and *its*, in the first clause, is given by the words *the United States of America*, in the clause which follows it. This is an example

of cataphora. We can show this by placing forward-pointing arrows above the cataphoric items.

In 1790, only 14 years after [↗]it had declared [↗]its independence, the United States of America passed its very first copyright act.

Finally, consider the following.

When I started to earn my living at the Palace of Westminster, a time so long ago that Margaret Thatcher was in her pomp and some of you were not born, I did not even require a photopass to get on to the premises.

(*Guardian Weekly*, 31 March – 6 April 2017)

The *Palace of Westminster* is a building which the readers of a British-based newspaper can be expected to recognize and identify with the British parliament. Indeed, the definite article which precedes it tells us that the reader is expected to know what this refers to. So, here we have an item which refers, not to another part of the text, but to something in the outside world; this is an example of exophora. We can indicate this by placing an upward pointing arrow above the exophoric item.

When I started to earn my living at the [↑]Palace of Westminster, a time so long ago that Margaret Thatcher was in her pomp and some of you were not born, I did not even require a photopass to get on to the premises.

Analysing a more extended example

Perhaps you've seen them floating over a Russian village? Or perhaps you've seen her toppling forward, arms full of wild flowers, as he arches above her head and steals a kiss?

Meet Marc and Bella Chagall – The Flying Lovers of Vitebsk! Partners in life and on canvas, Marc and Bella are immortalised as the picture of romance. But whilst on canvas they flew, in life they walked through some of the most devastating times in history.

In this, slightly longer, example, taken from a Globe Theatre programme (2016), *them* in the first clause, *her* in the second and *he* and *her* in the third are cataphoric, referring to *Marc and Bella Chagall*, while *Marc and Bella* in the fifth and *they* in the sixth and seventh are anaphoric, referring back to the same segment.

Perhaps you've seen **them** floating over a Russian village? Or perhaps you've seen **her** toppling forward, arms full of wild flowers, as **he** arches above **her** head and steals a kiss? Meet Marc and Bella Chagall – The Flying Lovers of Vitebsk! Partners in life and on canvas, **Marc and Bella** are immortalised as the picture of romance. But whilst on canvas **they** flew, in life **they** walked through some of the most devastating times in history.

Cohesion: lexical chains

Another type of cohesion occurs when a word is repeated in a text, or words with the same meaning are used or even when a series of words cluster round the same idea. These then form chains of meaning as the text develops, thus linking the text together as a single unit.

In the following extract the repetition of the name of the composer *Avison* links the two clauses and contributes to the cohesion of the text.

In 1752 **Avison's** fame spread nation-wide with the publication of his celebrated *Essay of Musical Expression* – the first English work on musical criticism.

In it **Avison** discusses the contrast between sublime music and beautiful music, between the great, the elevating and the inspiring in contrast to the graceful, the elegant and the gentle and as to what is merely pleasing.

(Avison leaflet, St. John the Baptist Church, Newcastle, 2016)

In the following example, it is evident that *The annual award* in the second clause refers to *this year's Sustainability Art Prize* in the first. So there is a link between the two phrases, even though the actual words used are different.

The winners of **this year's Sustainability Art Prize** were announced last Thursday at Anglia Ruskin University, with works in a range of mediums now on display.

The annual award, which is sponsored by the university's Cambridge School of Art and Global Sustainability Institute, was won by an anonymous MA student who works under the pseudonym Artists Activists.

(*Cambridge News*, 20 April 2016)

Finally, in the following extract there is a sequence of words and phrases relating to a cold wintery climate: *ice-covered* – *winters* – *frozen* – *ice* – *frigid*. While these do not mean precisely the same thing, they are all connected to the notion of very cold weather, and so provide a semantic link that runs through the text.

His hands tucked tightly in the pockets of his jeans, Gilbert Sark nodded at the **ice-covered** bay stretched out before him. Decades ago, his grandfather would spend **winters** driving people across the **frozen** water to Prince Edward Island. One day, the truck hit a patch of soft **ice**, sending it plunging into the **frigid** waters. His grandfather didn't make it out of the truck in time.

(*Guardian Weekly*, 27 January – 2 February 2017)

Analysing a more extended example

In a longer extract, these features can be used to link the text together so that it forms a unified whole. Consider the following extract from a leaflet about a statue of Charles Darwin at Christ's College, Cambridge. The leaflet bears the date 2009, but it was still being distributed in 2016.

The **iconic image** of **Charles Darwin** is of him in **old age** after long illness had taken its toll. This is understandable, **Darwin** became sufficiently famous for **portraits** to be required only **later in life**.

Yet the **Darwin** that Christ's College knew was happy, **youthful** and exuberant judged by all known reports. In an attempt to capture **Darwin's** probable **likeness** as a student (**aged 22**), the earliest **sketch** of **Darwin** as an **adult** (George Richmond's **sketch** when **Darwin** was 31) was used as a reference point. This provided (along with **photographs** of the **older Darwin**) a structural frame for the shape of his **face**. A fuller head of **hair** was developed and shorter **sideburns** (instead of '**mutton-chops**'), but the main reference points: **eyebrows**, set of **eyes**, shape of **nose**, **mouth** and **chin** have been faithfully reproduced (allowing for **youth**).

There are, at least, four lexical chains in this extract. These relate to works of art, Charles Darwin, age and physical features. This can be analysed and set out as follows.

iconic image ↓ portraits ↓ likeness ↓ sketch ↓ sketch ↓ photographs	Charles Darwin ↓ Darwin ↓ Darwin ↓ Darwin's ↓ Darwin ↓ Darwin	old age ↓ later in life ↓ youthful ↓ aged 22 ↓ adult ↓ 31 ↓ older ↓ youth	face ↓ hair ↓ sideburns ↓ 'mutton-chops' ↓ eyebrows ↓ eyes ↓ nose ↓ mouth ↓ chin
---	---	---	--

Thus we can see that from the point of view of these lexical chains, the text falls into two halves. The first has three main chains, one relating to artistic forms (*iconic image – portraits – likeness – sketch (twice) – photograph*), a second relating to Darwin and a third relating to his age (*old age – later in life – youthful – aged 22 – adult – 31 – older*); the second half has basically one single, but fairly long, chain, that of physical features (*face – hair – sideburns – 'mutton-chops' – eyebrows – eyes – nose – mouth – chin*), with a return to the age chain, with the word *youth*.

Summary

- Thematic structure is made up of theme and rheme.
- A clause has one obligatory (topical) theme which may be preceded by textual or interpersonal themes.
- Thematic progression is the way themes develop throughout a text.
- Constant progression occurs when a theme is derived from a preceding theme.
- Linear progression occurs when a theme is derived from a preceding rheme.

- Information structure has the tone unit, not the clause, as its basic unit, and it distinguishes between the given and the focalized.
- Cohesion is the way a text is connected through features such as reference.
- Lexical chains are series of words with the same or similar meanings which help to link the text together.

Activities and exercises

- 1 The following clauses are taken from a NewcastleGateshead leaflet produced for the Rugby World Cup 2015. Analyse the thematic structure of each clause.
 - a During your trip discover all that North East England has to offer.
 - b Enjoy the landscape, coast, heritage, history, architecture and gardens of the North East.
 - c Explore our diverse natural history.
 - d No trip is complete without visiting the Angel of the North.
 - e So, we've built a mini pitch in the city.
 - f The best way to get into and around town is by public transport or the Park and Ride schemes operating on match days.
 - g The medieval city of Durham is just south of Newcastle.
 - h With nine days of events, sports fans will have plenty of chances to engage with the city's artistic culture as well as a unique sporting experience.
- 2 Give an analysis of the thematic structure of the following extracts taken from the *Guardian Weekly* (19–25 January 2018).
 - a Won't the trees take up valuable land and risk reducing your productivity – and your income?
 - b Will he act on his occasional impulses to make the grand gesture and go there to find her?
 - c But, as with most stories in modern music, the biggest catalyst for change has come from the internet.
 - d Perhaps the most exciting was gqom, a mesmerizingly intense and deliriously psychotropic sound invented in the townships of Durban by young South Africans using cracked software, initially circulated as MP3s via Blackberry Messenger and popularised by minibus-taxi drivers blasting the tunes as they plied their routes.
 - e No doubt the prime minister notes that the crisis has not yet catapulted Labour ahead in the polls.
 - f However, Sherpa accepts that one issue disadvantages Nepalese visitors before they even set foot in the mountains.

- 3 Give an analysis of the thematic structure and thematic progression of the ranking clauses in the following extract from a leaflet for The Charles Darwin Sculpture Garden, Christ's College, Cambridge (2009).

Charles Darwin was proposed as Fitzroy's companion not because he was perfectly qualified for the position as naturalist, but because, as Professor Henslow had seen, he had the enthusiasm, skills, intellectual curiosity and *potential* to make the most of such a wonderful opportunity.

Darwin's adventures were written up in 1839 as a "Journal of Researches" – later re-titled "Voyage of the *Beagle*" – and offer a vivid personal account of the places visited, and his impression of foreign lands and peoples.

The iconic image of Charles Darwin is of him in old age after long illness had taken its toll. This is understandable, Darwin became sufficiently famous for portraits to be required only later in life.

- 4 The following extract is from a publisher's publicity leaflet (2016). Give an analysis of the thematic structure and progression of the ranking clauses.

This volume represents the first collection of empirical studies focusing on peer interaction for L2 learning. These studies aim to unveil the impact of mediating variables such as task type, mode of interaction, and social relationships on learners' interactional behaviours and language development in this unique and pedagogically powerful learning context. To examine these issues, contributors employed quantitative, qualitative, and mixed-methods designs as well as cognitive, social, and sociocognitive theoretical frameworks.

- 5 The following extract is taken from a leaflet for Trinity College, Cambridge (2016). Give an analysis of the thematic structure and progression of the ranking clauses.

Our tour begins at the Great Gate (no. 1 on the map) which was mostly completed in the 1530s, as part of the King's Hall. The two main wooden gates date from 1532. On the east (outside) face of this gate, looking over the cobbles, you will have seen a statue of the College's founder King Henry VIII, originally set up long after his death, in 1615. His sceptre was replaced many years ago by a chairleg, in an undergraduate prank. Beneath are the arms of King Edward III (benefactor of King's Hall) and his sons.

- 6 Take a tourist leaflet and analyse the thematic structure and progression of the first six ranking clauses.
- 7 Give a suggested analysis of the information structure of the following extract taken from The British Museum Map (2016).

If you're short of time, visit the objects marked on the map section on the other side of this leaflet to experience some of the highlights of the magnificent permanent collection. Start upstairs with the Lewis Chessmen...

If you have longer to spend, visit one or more of the special temporary exhibitions, or take one of the Museum's tours, talks and guides (details on the right).

- 8 Give an analysis of reference in the following extract from the *Guardian Weekly* (19–25 January 2018).

Walt Disney could not deal with funerals. Where possible, he avoided attending them. The whole subject of mortality appalled him. Before he died in 1966, he would tell his daughter Diane he wanted no funeral at all. He should, he insisted, be remembered only as he had been in life.

- 9 Suggest an analysis of the lexical chains in this extract, which is the first paragraph of an article in the *Guardian Weekly* (19–25 January 2018).

Europe's Americanisation is ongoing. That may well sound paradoxical. So many transatlantic gaps have appeared in the age of Trump. This American president repels many Europeans, and in unprecedented ways. Many on the old continent seek solace in the contrast: perhaps Europe's hour could be on the horizon? But it's striking how European debates on issues such as racism and feminism are now so strongly influenced by movements across the Atlantic. In the realm of ideas and campaigning, Europe and the US are drawing closer not sliding further apart.

- 10 Take a daily quality newspaper and analyse the reference and lexical chains of the first paragraph of any article or report.

Key to activities and exercises

1

a

During your trip	discover all that North East England has to offer.
Th: Top	Rh

b

Enjoy	the landscape, coast, heritage, history, architecture and gardens of the North East.
Th: Top	Rh

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c

Explore	our diverse natural history.
Th: Top	Rh

d

No trip	is complete without visiting the Angel of the North.
Th: Top	Rh

e

So,	we-	-’ve built a mini pitch in the city.
Th: Txt	Th: Top	Rh

f

The best way to get into and around town	is by public transport or the Park and Ride schemes operating on match days.
Th: Top	Rh

g

The medieval city of Durham	is just south of Newcastle.
Th: Top	Rh

h

With nine days of events,	sports fans will have plenty of chances to engage with the city’s artistic culture as well as a unique sporting experience.
Th: Top	Rh

2

a

Won’t	the trees	take up valuable land and risk reducing your productivity – and your income?
Th: Interp	Th: Top	Rh

b

Will	he	act on his occasional impulses to make the grand gesture and go there to find her?
Th: Interp	Th: Top	Rh

c

But,	as with most stories in modern music,	the biggest catalyst for change has come from the internet.
Th: Txt	Th: Top	Rh

d

Perhaps	the most exciting	was gqom, a mesmerizingly intense and deliriously psychotropic sound invented in the townships of Durban by young South Africans using cracked software, initially circulated as MP3s via Blackberry Messenger and popularised by minibus-taxi drivers blasting the tunes as they plied their routes.
Th: Interp	Th: Top	Rh

e

No doubt	the prime minister	notes	that	the crisis	has not yet catapulted Labour ahead in the polls.
Th: Interp	Th: Top	Rh			
			Th: Txt	Th: Top	Rh

f

However,	Sherpa	accepts	that	one issue	disadvantages Nepalese visitors	before	they	even set foot in the mountains.
Th: Txt	Th: Top	Rh						
			Th: Txt	Th: Top	Rh			
						Th: Txt	Th: Top	Rh

3

Th1 → Rh1	Charles Darwin	was proposed as Fitzroy’s companion not because he was perfectly qualified for the position as naturalist, but because, as Professor Henslow had seen, he had the enthusiasm, skills, intellectual curiosity and <i>potential</i> to make the most of such a wonderful opportunity.
↓ Th2 → Rh2	Darwin’s adventures	were written up in 1839 as a “Journal of Researches” – later re-titled “Voyage of the <i>Beagle</i> ” – and offer a vivid personal account of the places visited, and his impression of foreign lands and peoples.

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↓ Th3 → Rh3	The iconic image of Charles Darwin	is of him in old age after long illness had taken its toll.
↓ Th4 → Rh4	This	is understandable, ...
↓ Th5 → Rh5	...Darwin	became sufficiently famous for portraits to be required only later in life.

4

Th1 → Rh1	This volume	represents the first collection of empirical studies focusing on peer interaction for L2 learning.
✓ Th2 → Rh2	These studies	aim to unveil the impact of mediating variables such as task type, mode of interaction, and social relationships on learners' interactional behaviours and language development in this unique and pedagogically powerful learning context.
✓ Th3 → Rh3	To examine these issues,	contributors employed quantitative, qualitative, and mixed-methods designs as well as cognitive, social, and sociocognitive theoretical frameworks.

5

Th1 → Rh1	Our tour	begins at the Great Gate (no. 1 on the map) which was mostly completed in the 1530s, as part of the King's Hall.
✓ Th2 → Rh2	The two main wooden gates	date from 1532.
↓ Th3 → Rh3	On the east (outside) face of this gate,	looking over the cobbles, you will have seen a statue of the College's founder King Henry VIII, originally set up long after his death, in 1615.
✓ Th4 → Rh4	His sceptre	was replaced many years ago by a chairleg, in an undergraduate prank.
✓ (from Rh3) Th5 → Rh5	Beneath	are the arms of King Edward III (benefactor of King's Hall) and his sons.

6

If you're	short of time,
Given	Focalized

visit	the objects marked on the map section
Given	Focalized

on the other side of this leaflet
Focalized

to experience	some of the highlights of the magnificent permanent collection.
Given	Focalized

Start	upstairs with the Lewis Chessmen...
Given	Focalized

If you have longer to spend,	visit one or more of the special temporary exhibitions,
Given	Focalized

or take	one of the Museum's tours, talks and guides
Given	Focalized

(details	on the right).
Given	Focalized

7

Walt Disney could not deal with funerals. Where possible, **he** avoided attending **them**. The whole subject of mortality appalled **him**. Before **he** died in 1966, **he** would tell **his** daughter Diane **he** wanted no funeral at all. **He** should, **he** insisted, be remembered only as **he** had been in life.

8

Europe's ↓ Europeans ↓ the old continent ↓ Europe's hour ↓ European ↓ Europe	Americanisation ↓ across the Atlantic ↓ the US	gaps ↓ repels ↓ contrast ↓ debates ↓ further apart	Trump ↓ This American president
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6 Extending the interpersonal metafunction

In recent years the interpersonal metafunction has been extensively expanded, under the heading “Appraisal”. Some say “appraisal theory”, but, as those who first suggested this development point out, this is not a separate theory but an extension of Systemic Functional Linguistics. Appraisal is an attempt to analyse the traces of the subjective presence of the speaker which are present in his text. This is analysed in terms of three basic systems known as “attitude”, “engagement” and “graduation”.

Attitude

Attitude is concerned with the feelings of the speaker and how these are expressed in the text; this can be further divided into “affect”, “judgement” and “appreciation”.

Affect deals with the expression of emotion and the elements of a text which reveal this; that is, with the feelings that are expressed in relation to people, objects or events around us. These feelings can be positive or negative. Examples of this can be seen in the following extract.

I started watching with a huge amount of **trepidation** in my heart. But by the end of the episode, where almost every single cast member gets a close-up of them looking away suspiciously, just in case they turn out to be the mole, I was **all but punching the air with delight**.

(*Guardian Weekly*, 27 January – 2 February 2017)

Affect includes such things as happiness, security and satisfaction. Here the affect is expressed through the contrast between *trepidation* and *all but punching the air with delight*, showing the change that has taken place in the feelings of the speaker, moving from fear to high satisfaction.

Judgement is about the ways in which we express attitudes towards people and their behaviour; we may admire or criticize, condemn or praise and so on.

The **ruthless** drive by Recep Tayyip Erdoğan, Turkey's **pugnacious** president, to expand his already considerable executive powers knows no bounds.

(*Guardian Weekly*, 24–30 March 2017)

The words *ruthless* and *pugnacious* in this extract would be read by *Guardian* readers as negative judgement, criticizing and even condemning the dictatorial tendencies of the Turkish president.

Appreciation is concerned with the ways the speaker evaluates things.

The Laing Art Gallery shop is packed full of **fantastic** gift ideas inspired by the Gallery collection. The range includes jewellery, glassware and ceramics. Also, if you're interested in finding out more about your favourite artist, you can choose from an **impressive** range of quality books.

(Tyne & Wear Archives & Museums booklet, 2016)

The words *fantastic* and *impressive* in this extract are obvious examples of appreciation, though here with advertising intent.

Each of these three functions can be subdivided into more delicate ones. Affect, for example, can be seen as being either positive or negative, while expressing such things as happiness, security, satisfaction or inclination. In the example of affect given above, the text moves from negative satisfaction (*trepidation*) to very strong positive satisfaction (*all but punching the air with delight*). The following extract also provides examples of both positive and negative affect.

I was **sad** to hear that Frank Hahn had died. He and I were colleagues on and off at Cambridge from the early 1960s. We had **many clashes** (and three semi-public debates about approaches to economic analysis), he thought me a bit of a dill (Oz for thick), but I was **fond** of him and had great respect for him as an important intellectual influence on the Cambridge Faculty and beyond.

(*Churchill Review*, 50, 2013)

Negative affect expressing (un)happiness is found in *sad* and *many clashes*, but this is contrasted with the positive affect of *fond* which follows.

Judgement can be seen in terms of social esteem and social sanction, each of which can be either positive or negative. The expression of social esteem and social sanction are clear in the following extract.

The Tories **have always neglected** the arts, seeing them as an easy target for cuts. They **do not understand** the role that culture can play in the lives of individuals, in the futures of our towns and cities, and in the prosperity of our country. The choice is **forward** with new Labour to **more sport** in schools, **arts for all** children and young people, and **continued investment** in culture. Or back to the Tories and **cuts of £207 million** across culture, arts and sport.

(Labour Party Manifesto, 2005)

As one might expect in a Labour Party Manifesto, there is social sanction of the Conservative (Tory) Party, expressed through *have always neglected, do not understand* and *cuts of \$207 million*, while social esteem is expressed for the Labour Party through *more sport, arts for all* and *continued investment*.

Appreciation can also be seen in terms of positive and negative. The following has numerous examples of positive appreciation, but, since it is promotional material, negative appreciation is absent.

While you're staying at Wookey Hole you're **perfectly placed** to experience the **wonder** of Somerset, a county of contrasts which offers **everything you need** for day trips and excursions. City, coastline, countryside, scenery, shopping, history, heritage – take your pick. It's all around you. The medieval **majesty** of Wells, England's smallest city. **Mystical** Glastonbury, of ancient Christian and Arthurian legend. **Even more** caves, cliffs and wildlife at Cheddar Gorge. **Windswept** walking and **spectacular views** in the Mendip Hills Area of Outstanding Natural Beauty. The **bustling nightlife** of Weston-super-Mare, with its popular Grand Pier and **safe** sandy beaches. **Top quality** shopping at Clarks Village and Kilver Court, Bath, founded by the Romans and beloved of Jane Austen, and Bristol, famed for Brunel's finest achievements and for **vibrant nightlife**.

(Wookey Hole tourist leaflet, 2016)

I imagine any reader will have no difficulty in finding a large number of markers of positive appreciation in this text, and these will probably include *perfectly placed, wonder, everything you need, majesty, mystical, even more, spectacular views, bustling nightlife, safe, top quality* and *vibrant nightlife*. In this context, even *windswept* will probably be interpreted as positive appreciation.

There are many more finer or more delicate distinctions which can be made, notably that between “inscribed”, or explicit, expression and “invoked”, or implicit, expression. For the sake of clarity I have used inscribed (explicit) examples in the above illustrations. At all events, I hope it can be seen from the above that this is a powerful tool in the systemic armoury for the analysis of text.

Analysing a more extended example

The following extract, taken from the *Guardian Weekly* (6–12 January 2017), concerns an Australian athlete who won a gold medal in the pentathlon event in the Rio Olympics.

On the face of it, the situation does appear **baffling**. Here is a **supremely talented** athlete, **skilled not just in one** sport, but the five different disciplines that make up modern pentathlon – fencing, swimming, show jumping, pistol shooting and cross-country running. She **won gold** at the Rio Games, **thrillingly so** in the run and shoot, coming from a way behind to clinch victory in a **stirring finale** to the competition. In doing so, she marked herself out as one of the best, if not **the best**, woman in the world in her sport.

Esposito is just 25 but talks with a **maturity** that belies her age. That said, an **infectious enthusiasm** still shines through and it's **not difficult** to see why she has become an **inspiration** to many girls and young women in sport. And then there is the **omnipresent smile** – the kind of smile a marketeer dreams about.

The following analysis of the main markers of attitude shows that there is considerable appreciation, all of it positive, and a good deal of judgement, all of it in terms of social esteem. There are fewer indicators of affect, but this moves from the expression of negative affect at the beginning of the extract to positive affect towards the end.

<i>Item</i>	<i>Affect</i>	<i>Judgement</i>	<i>Appreciation</i>
baffling	negative		
supremely talented		esteem	
skilled not just in one			positive
won gold			positive
thrillingly so			positive
stirring finale			positive
the best		esteem	
maturity		esteem	
infectious enthusiasm			positive
not difficult	positive		
inspiration		esteem	
omnipresent smile			positive

Engagement

Within the function of engagement, the speaker can simply put forward something which he accepts as being his own position or he can express it in relation to other possible points of view. In the first case, where he baldly states something as being his own opinion, it is said to be “monoglossic”;

in the second case, where he puts forward something taking into account other points of view, it is said to be “heteroglossic”. Where we have heteroglossic engagement, it is possible to distinguish between “disclaiming”, “proclaiming”, “entertaining” and “attributing”.

Any simple, unadorned statement can be taken as an example of monoglossic engagement, such as the following.

UK State Pension, Widow’s Benefits and Bereavement Benefits can be paid to you anywhere in the world.

(Department for Works & Pensions leaflet, CFN701, 2017)

In heteroglossic engagement, disclaiming is where the speaker presents something as being the position of others, but which he does not necessarily accept, by denying or countering it in some way.

It is **condescending** and **foolish** to caricature the outlook of our international students and imagine that they will behave in a certain way, or not be interested in wider issues.

(*Fisher House Newsletter*, 2017)

By castigating this point of view as *condescending* and *foolish* the speaker is obviously saying that this is something he does not accept.

Proclaiming, on the other hand, is where the speaker specifically accepts or approves the point of view put forward.

In my latest book I **advocate** the end of marriage as a state-recognised institution.

(*Philosophy at Cambridge*, May 2017)

By saying that he *advocates* this position, the speaker is proclaiming it in a fairly strong way.

When a speaker entertains a point of view, he accepts the possibility of it being the case.

I **suppose** a large part of me wants to believe that we might finally have reached a point in history when one country’s success does not mean another’s failure.

(*CAM*, 59, 2010)

The words *I suppose* tell us that this is something that the speaker is not sure of, but, perhaps reluctantly, he accepts that it might be true.

Attributing is where the speaker presents something as being the point of view of someone else, and so, at least by implication, not necessarily his own point of view.

For **the Pope**, a world order based on the unlimited satisfaction of individual wants is unattainable, and the attempt to reach it destructive of the world around us, and the peace of our inner worlds.

(*Guardian Weekly*, 6–12 January 2017)

Here, a proposition is attributed to *the Pope*, and so we know that it is not necessarily the point of view of the journalist who wrote it.

Graduation

Graduation deals with the resources we use to reinforce or weaken the ways in which we express our feelings and attitudes. “Focus” grades the extent to which we say something is prototypical or not. “Force” is the degree to which we say something is strong or weak.

The boat trip reaches Lindisfarne at high tide when the Island is cut off from the mainland and the **true peace and tranquillity** of Island life can be experienced.

(Billy Shiel’s leaflet, 2016)

The word *true* places *peace and tranquillity* high on the scale of prototypicality, so this is an example of focus.

Over at Cragside, the formal garden laid out over three terraces is a **magnificent example** of a Victorian garden with views across Coquetdale to match.

(National Trust leaflet, 2016)

Here, the word *magnificent* intensifies and so increases the force of *example*.

Summary

- Appraisal analyses the speaker’s presence in a text in terms of attitude, engagement and graduation.
- Attitude is concerned with the speaker’s feelings and can be divided into affect, judgement and appreciation.
- Affect deals with the expression of emotion.
- Judgement concerns the expression of attitudes towards people and their behaviour.
- Appreciation is about evaluation.
- Engagement is concerned with whether the speaker takes other points of view into account or not.
- Graduation deals with the ways in which the speaker strengthens or weakens what he says.

Activities and exercises

- 1 Identify any examples of positive affect in this extract from a leaflet for Westonbirt, The National Arboretum (2017).

The Victorian Holford family had a vision – to create a unique arboretum, filled with beautiful and unusual trees from around the world.

They worked to collect together trees and shrubs, brought back to England by plant hunters who had travelled the globe in search of the rare and remarkable, and laid out what they had gathered aesthetically; the result is one of the most beautiful tree gardens in the world.

- 2 Identify examples of negative affect in the following extract from an NHS leaflet (2017).

Winter conditions can be seriously bad for our health, especially for people aged 65 or older, and people with long-term conditions such as COPD, bronchitis, emphysema, asthma, diabetes or heart or kidney disease.

Being cold can raise the risk of increased blood pressure, heart attacks and strokes.

The cold and damp weather, ice, snow and high winds can all aggravate any existing health problems and make us more vulnerable to respiratory winter illnesses. But there are lots of things you can do to stay well this winter.

- 3 Identify the items which express judgement and social esteem in the following extract from a programme for the Bacon Theatre, Cheltenham (2018).

This charismatic ensemble boasts stars from TV and London's West End and is fronted by family members Darren, Gary and Jack Simmons making for an unrivalled vocal harmony blend. Backed up by a stunning band and live string section, you will be taken on an emotional journey from tender orchestrated classics such as Massachusetts and Words, to disco classics such as Night Fever, Stayin' Alive and Tragedy. An unforgettable evening that will have you both reaching for your handkerchiefs and dancing in the aisles.

- 4 Identify items expressing (positive) appreciation in the following extract from a Nature in Art brochure (2018).

Since Nature in Art opened its doors to the public in 1988, our unique collection has grown and diversified. This display highlights some of the many wonderful painting, prints, drawings, sculptures and other items that have been acquired in our first 30 years, an inspiring platform for the three decades to come.

- 5 Give an analysis of attitude, in terms of affect, judgement and appreciation, in the following extract from a Good Energy leaflet (2018).

For me, you need all the elements of our purpose to succeed. We need technologies that find new ways to deliver the wants of our society and that don't damage our future. We need to make this a choice where everyone has the option to choose a cleaner world. Doing it alone won't work – we need to work with all aspects of society, businesses, scientists, policy makers and customers of energy to make a real difference.

In the 18 years since I founded Good Energy, the energy industry has come a long way. Renewables are now providing almost 25% of the UK's electricity and April 2017 saw the first coal-free day in Britain since the industrial revolution.

Good Energy supports its customers in becoming part of the revolution in energy, generating power, using local power and being part of an energy system that can balance itself in people's homes and businesses. With the developments in renewable, as well as clean technologies like batteries, electric vehicles and smart products, this future is within our grasp.

I feel optimistic about the future. The technologies to solve society's problems are within our reach. We now need to harness them and engage with society in a way that can really make a difference to our future.

- 6 The following short extracts are taken from the *Guardian Weekly* (2–8 March 2018). Say whether each is monoglossic or heteroglossic and, where it is heteroglossic, say whether it is disclaiming, proclaiming, entertaining or attributing.
- a But we know Neanderthals were anatomically equipped for speech; their use of painted symbols suggests that they could make audible symbols and not just visible ones.
 - b I am not persuaded that you need a German GroKo in order to have the essential European coalitions of the willing, or that a GroKo would be better for the European project in the longer term.
 - c In retrospect, I see that I gave Patrick technology to play with, to the virtual exclusion of the more traditional toys.
 - d Last week saw an orgy of mudslinging at the UN Security Council over a modest proposal for a 30-day humanitarian ceasefire in Syria.
 - e Maybe the fault is in cruise ships themselves – the way they are designed for excess, the way you are all trapped in there together.
 - f New Zealanders have criticized an interview with their prime minister, Jacinda Arden.
 - g Sitting with Umpierrez, Lepage says the scheme provides a “fountain of youth” for older artists who have inevitably lost the bullishness of their hungry years.

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- h The Chinese leader, Xi Jinping, considered the country's most dominant since Mao Zedong, looks to have further cemented his grip on power after Beijing unveiled plans to scrap the presidency's two-term limit.
 - i The discovery overturns the belief that modern humans are the only species to have expressed themselves through works of art.
 - j The golden sands of Maya Bay are some of the most famous in the world.
 - k This is fantastic, but on its own it doesn't go far enough.
 - l University bosses were last week under pressure from the government to return to talks in an effort to end strike action that has brought widespread disruption to campuses.
- 7 Identify any examples of graduation in the following two extracts. The first is from a bike hire leaflet (2018) and the second from an NHS leaflet (2017).
- a We have a fully equipped workshop with qualified mechanics on duty every day and every part needed to keep your bike rolling.
Check out our fantastic bike shop – fully stocked with clothing, helmets, parts and accessories from great brands like Fox, Bell, Camelbak and Madison.
 - b Remember that other people, such as older neighbours, friends and family members, may need a bit of extra help over the winter. There's a lot you can do to help people who are more frail than you.
Icy pavements and roads can be very slippery and cold weather can stop people from getting out and about. Keep in touch with your friends, neighbours and family and ask if they need any practical help, or if they're feeling under the weather.

Key to activities and exercises

1

a unique arboretum
beautiful and unusual trees
the rare and remarkable
aesthetically
one of the most beautiful tree gardens in the world

2

Winter conditions
seriously bad
long-term conditions such as COPD, bronchitis, emphysema, asthma, diabetes or heart or kidney disease
the risk of increased blood pressure, heart attacks and strokes
The cold and damp weather, ice snow and high winds
aggravate

existing health problems
 more vulnerable
 respiratory winter illnesses

3

charismatic
 unrivalled
 stunning
 emotional
 tender
 unforgettable

4

unique
 wonderful
 inspiring

5

Item	Affect	Judgement	Appreciation
to succeed		esteem	
new ways			positive
damage		sanction	
cleaner	positive		
won't work		sanction	
real difference			positive
come a long way		esteem	
supports		esteem	
balance itself		esteem	
clean technologies			positive
within our grasp		esteem	
optimistic	positive		
society's problems			negative
within our reach		esteem	
make a difference		esteem	

6

- a heteroglossic, proclaiming
- b heteroglossic, disclaiming
- c heteroglossic, entertaining
- d monoglossic
- e heteroglossic, entertaining
- f heteroglossic, attributing
- g heteroglossic, attributing
- h heteroglossic, entertaining
- i heteroglossic, disclaiming

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- j monoglossic
- k heteroglossic, proclaiming
- l monoglossic

7

- a
- fully (equipped)
- every (day)
- every (part)
- fully (stocked)

- b
- older (neighbours ...)
- a bit of (extra help)
- a lot (you can do)
- more (frail) than you
- very (slippery)
- any (practical help)

7 Modelling the text

When we want to communicate something, there are a number of ways in which we can do it. There are numerous linguistic resources that can be used, and the one we choose will depend on the context in which we are going to make this particular piece of communication. If I want to tell you what I did on the cliff-top path near my village yesterday, when, in fact, the activity involved was walking, I can use the verb *walk* and say “I walked along the cliff-top path”, or I can use the noun *walk* and say “I went for a walk along the cliff-top path”. Since walking is a process, and we tend to associate processes with verbs, since verbs are the most usual or natural way of expressing processes, we say that verbs are the “congruent” way of encoding processes. Other ways of expressing processes, like nouns, are then “non-congruent”. We could then start establishing a list of congruent ways of expressing things. For example, the congruent way of expressing entities, whether they be physical or abstract, is to use nouns, the congruent way of expressing qualities or characteristics is to use adjectives and so on.

entity → noun
process → verb
quality → adjective

When we step outside this system of congruent expression and use a non-congruent form, we call it a “grammatical metaphor”.

Grammatical metaphor may initially seem a strange term to choose. Why “metaphor”? When we think of metaphor, we usually envisage picturesque phrases like “the rosy fingers of the dawn”. But when we use this instead of something like “the rays of the sun at sunrise”, what is happening from a linguistic point of view? “Rosy fingers” has been used instead of “rays of the sun”. These are both nominal groups but they do not mean the same thing, in the sense that they are not normally used to refer to the same entity (even if that is the case here). So, in this type of metaphor, called “lexical” or “semantic” metaphor, the metaphor and what it stands for have the same form (nominal groups) but different meanings. On the other hand, when I

use the noun *walk* instead of the verb *walk*, the metaphor has a different form (a noun is not a verb) but they have the same basic meaning, the process of walking. This can be expressed in the form of a diagram.

	Form	Meaning
Traditional metaphor	same	different
Grammatical metaphor	different	same

Consider the following example.

In **response**, Erdoğan began a fierce **crackdown** on political and media opponents while deliberately abandoning the 2013 **ceasefire** with PKK Kurdish separatists.

(*Guardian Weekly*, 24–30 March 2017)

In this short extract there are three examples of nouns which represent processes, and so are examples of grammatical metaphor: *response* (the process of replying or responding), *crackdown* (the process of cracking down on someone) and *ceasefire* (the process of stopping firing). These three examples are cases of “nominalized” processes. In the following example, we find a different type of grammatical metaphor.

His personal **popularity** is as low as 32% compared to 61% **favourability** for Obama as president.

(*Guardian Weekly*, 27 January – 2 February 2017)

Just as *response*, *crackdown* and *ceasefire* were not entities but processes, here *popularity* and *favourability* are not entities but qualities, which in their congruent form would be expressed by adjectives (*popular* and *favourable*).

Using grammatical metaphor can make a considerable difference to a text. I shall illustrate this for the case of nominalized processes. When a noun is used rather than a verb, this allows us to modify or qualify the noun. In the example above, the nominalized quality, *popularity*, is modified in *his personal popularity*, and *favourability* is qualified in *favourability for Obama as president*. Since in these cases the process or quality is expressed as a noun, it can have any of the functions of a nominal group: subject, complement or prepositional completive. In the above example, *popularity* is the head of the subject and *favourability* is the head of the completive. Although the nominalized process still encodes a process, the fact that it is a noun means that it is no longer necessary to express the subject or, if there is one, the complement of the process, though these can still be brought back in through the use of modifiers and qualifiers. These might be seen as the grammatical consequences of grammatical metaphor, but grammatical metaphor also has semantic consequences. Since the process is encoded as a noun, and nouns congruently express entities, the nominalized process takes

on the features, or the “feel”, of an entity. A process is something which of its nature is fleeting; it takes place, but then it is over, it belongs to the past, it no longer exists. A noun, on the other hand, is fixed and objective; it has a degree of permanence. Giving these features to a process presents it as incontrovertible fact, something which cannot be denied. As Michael Halliday has pointed out, it is possible to argue with a clause but you can’t argue with a nominal group.

This last possibility is often exploited in certain types of text, such as political discourse.

The level of **violence** against women and girls is not **acceptable**. Labour will emphasise the **safety** of women and girls by appointing a commissioner to set new standards for tackling domestic and sexual **violence**. We will establish a National Refuge Fund and ensure **stability** for **rape** crisis centres. We will make age-appropriate sex and **relationship education** a compulsory part of the curriculum so young people can learn about respectful **relationships**.

(Labour Party Manifesto, 2017)

In this short extract (70 words long), there are seven examples of nominalized processes: *violence* (twice, here meaning acting violently rather than the quality of being violent), *acceptable* (the modalized form of the process of accepting), *rape* (a nominalized process functioning as a modifier in this case), *relationship* (twice, the first example functioning as a modifier) and *education*, and two examples of nominalized qualities: *safety* and *stability*. Thus, with nine examples of grammatical metaphor in this 70-word extract, there is on average a grammatical metaphor for every eight words of text.

In some types of text, like academic discourse, it is fairly common for a rheme expressed in non-metaphorical form to be re-expressed as a grammatical metaphor in the theme of a subsequent clause.

Escorts **stay close to their associated pup, feeding, carrying, grooming and protecting it from predators**. Escorting starts when pups first emerge from the den at around four weeks old and continues until pups reach nutritional independence at the age of three months (the ‘escorting period’).

(Vitikainen et al. (2017): “Biased escorts: offspring sex, not relatedness explains alloparental care patterns in a cooperative breeder”, *Proceedings of the Royal Society B*, 284:1854, DOI 10.1098/rspb.2016.2384)

In this extract, the rheme of the first clause tells us what escorts do: they *stay close to their associated pup, feeding, carrying, grooming and protecting it from predators*. This is then encapsulated in the nominalized process and grammatical metaphor *escorting*, which constitutes the theme of the second

clause. Using grammatical metaphor in this way is an important resource in the building up of an argument structure, hence its use in certain types of genre such as academic articles.

Grammatical metaphor can take many forms, but one that perhaps deserves mention here occurs in certain types of extraposed structure. In the section on thematic structure it was pointed out that the extraposition matrix can sometimes function as interpersonal theme. This happens when the extraposition matrix expresses modality or another form of interpersonal content. This is the case in the following example.

It's just possible that, as it contemplates an abyss, the human rights movement will find the energy for unexpected breakthroughs.

(*Guardian Weekly*, 27 January – 2 February 2017)

The congruent form of the extraposition matrix *It's just possible that* would be an adverb like *perhaps* or *probably*. So we can say that this involves a grammatical metaphor. As we have seen, in this case this means that *It's just possible that* functions as interpersonal theme and the topical theme is the β -clause, *as it contemplates an abyss*.

The extent to which grammatical metaphor is important in language can be brought out by trying to rewrite a text, removing all examples of grammatical metaphor. This is known as “unpacking” the metaphor. It involves replacing the grammatical metaphors with congruent forms. Consider the following example.

Large-scale **protest movements** have recently transformed urban common spaces into places for **discussion** and **decision-making**, for increasing **participation** and **intervention** in the **governance** of the community.

(*Book Gazette*, Spring 2016)

This contains several examples of grammatical metaphor: *protest movements*, *discussion*, *decision-making*, *participation*, *intervention* and *governance*. What would this look like without the grammatical metaphors? The following is an attempt at an unpacked version.

People have moved to protest on a large scale, and this has recently transformed urban spaces into places where people can discuss and decide on things, and where they can participate and intervene in the way the community is governed.

Protest movements is particularly difficult to deal with, without leaving some sort of grammatical metaphor. In this solution, I have opted for making *move* a finite verb with *protest* in the infinitive form. I have used the very general word *people* as a subject and *govern* is in the passive form. The above might be thought of as a fairly sophisticated example, but

grammatical metaphors occur in relatively “simple” texts such as this example from a football report.

Luke Berry believes Cambridge United’s club-record Football League **win** over Morecambe shows the **progress** they are making under Shaun Derry. The U’s hammered the hapless Shrimps 7–0 at the Abbey on Tuesday night, with the **triumph** also being their largest for more than six years.

(*Cambridge News*, 21 April 21 2016)

Here there are three examples of grammatical metaphor: *win*, *progress* and *triumph*. The following is a suggested unpacked version.

Luke Berry believes that the fact that Cambridge United beat Morecombe with a Football League club record shows that they are progressing under Shaun Derry. The U’s triumphed over the hapless Shrimps by 7–0 at the Abbey on Tuesday Night, and this was their largest winning margin for more than six years.

It will be noticed that unpacked versions often do not sound very natural, and it is often difficult to produce them with any sort of elegance. This shows that grammatical metaphor is an essential resource of language, which we use constantly. Michael Halliday has claimed that the only sort of discourse which has no grammatical metaphor at all is that of young children.

Summary

- Grammatical metaphor is the use of a non-congruent form, such as the encoding of a process as a noun rather than a verb.
- Removing grammatical metaphor from a text is known as “unpacking”.

Activities and exercises

- 1 Identify any examples of nominalized processes in the following extract from an RHS Festival leaflet.

Set to take you on a journey of discovery, this year’s festival brings influences from The Great Exhibition of 1851 into the present day. From coveted RHS Gold Medal winning show gardens and specialist plant nurseries in our beautiful Floral Marquee, there is no better place for gardeners of all abilities to discover summer inspiration. And there is plenty more, including our enticing shopping arcades with a selection of Artisan crafts plus our new antiques market where you can browse and buy.

- 2 Identify any examples of nominalized processes in the following extract from the Labour Party manifesto (2005).

Communities know that crime reduction depends on drug reduction. There are now 54 per cent more drug users in treatment and new powers for the police to close crack houses and get drug dealers off our streets. We will introduce compulsory drug testing at arrest for all property and drugs offenders, beginning in high-crime areas, with compulsory treatment assessment for those who test positive. Offenders under probation supervision will be randomly drug tested to mirror what already happens to offenders in custody.

- 3 Identify examples of grammatical metaphor in the following extract from a book blurb in a publisher's publicity material (2018), and attempt to give an unpacked version of the text.

This volume deals with children's socialization on the Trobriand Islands. After a survey of ethnographic studies on childhood, the book zooms in on indigenous ideas of conception and birth-giving, children's early development, their integration into playgroups, their games and their education within their 'own little community' until they reach the age of seven years, and then how guidelines are provided for their integration into the Trobrianders' "balanced society" which is characterized by cooperation and competition.

- 4 Identify examples of grammatical metaphor in the following extract from an academic article published in 2004, and attempt to give an unpacked version of the text.

Firstly, throughout the early 1660s, Evelyn was in correspondence with John Beale, a native of Herefordshire most famous (somewhat unjustly) for his associations with the Hartlib circle and his enthusiasm for cider, and who had been badgering the Royal Society to adopt his proposals for a mnemonic-universal character. Beale kept Evelyn informed of the progress his scheme was making, and tried to enlist him – unsuccessfully, it would seem – as an advocate for his proposals within the Royal Society. However, the details of most significance are found in Evelyn's rigorously ordered commonplace books.

- 5 Identify examples of grammatical metaphor in the following extract from the *Guardian Weekly* (2–8 March 2018), and attempt to give an unpacked version of the text.

New charges filed by special counsel Robert Mueller's investigation detail the existence of a group of Europeans, known as the "Hapsburg Group" and led by a "former European chancellor", who were

allegedly covertly paid by Paul Manafort, Donald Trump's former campaign manager, for pro-Russian lobbying. Justice department filings – which were filed retroactively – indicate that it was the former Austrian chancellor, Alfred Gusenbauer, who went to meet US congressmen in 2013. At the time of the alleged payments in 2012 and 2013, Manafort was working on behalf of the then Ukrainian president, Viktor Yanukovich, and his pro-Moscow Party of Regions.

Does your unpacked version sound “unnatural”? If so, why is this the case?

Key to activities and exercises

1

journey
discovery
influences
inspiration

2

reduction
reduction
testing
arrest
treatment
assessment
supervision
custody

3

socialization
survey
conception
birth-giving
development
integration
games
education
integration
cooperation
completion

This volume deals with the way children socialize on the Trobriand Islands. The book surveys ethnographic studies before zooming in on indigenous ideas about how children are conceived, and given birth to, how young children develop, how they are integrated into playgroups, how they play

and are educated within their ‘own little community’ until they reach the age of seven years, and then how guidelines are provided so that they can be integrated into the Trobrianders’ “balanced society” which is characterized by the ways they cooperate and compete.

4

correspondence
 associations
 enthusiasm
 proposals
 progress
 proposals
 significance

First throughout the early 1660s, Evelyn corresponded with John Beale, a native of Herefordshire most famous (somewhat unjustly) because he was associated with the Hartlib circle and he was enthusiastic for cider, and who had been badgering the Royal Society to adopt what he was proposing for a mnemonic-universal character. Beale kept Evelyn informed of how his scheme was progressing, and tried to enlist him – unsuccessfully, it would seem – as an advocate for what he was proposing within the Royal Society. However, the most significant details are found in Evelyn’s rigorously ordered commonplace books.

5

charges
 investigation
 existence
 campaign
 lobbying
 payments

Special counsel Robert Mueller is investigating things and has charged some people. This gives details of a group of Europeans which exists and is known as the “Hapsburg Group”, led by a “former European chancellor” who were allegedly paid by Paul Manafort, who was manager for Donald Trump while he was campaigning. They were paid so that they should lobby on behalf of the Russians. Justice department filings – which were filed retroactively – indicate that it was the former Austrian chancellor, Alfred Gusenbauer, who went to meet US congressmen in 2013. At the time that they were allegedly paid in 2012 and 2013, Manafort was working on behalf of the then Ukrainian president, Viktor Yanukovych and his pro-Moscow Party of Regions.

8 The text in context

Language is not a thing; it is not an entity. It is what takes place when someone communicates with one or more other people. That cannot take place in a vacuum. It occurs at a particular time and place. And indeed the language that is produced, the text, depends very much on the time and place in which it is produced. They are intimately linked. The time and place in which a text is produced is part of the immediate context of the text, and is usually called the “register” to distinguish it from the wider context, frequently called “genre”. To a large extent, we can say that the text is a product of its context; it is in many ways determined by it. So the context has a causal role in producing the text. But once the text has been produced it forms part of the context, so the text modifies the context which has produced it. This means that there is a constant two-way process of mutual creation and modification between texts and their contexts.

Just as we can distinguish three metafunctions in text, register can be seen in terms of three semiotic functions. Moreover, the metafunctions of text are directly related to the semiotic functions of register. These functions are “field”, which is related to the ideational metafunction, “tenor”, which is related to the interpersonal metafunction, and “mode”, which is related to the textual metafunction.

Field is the ongoing activity of which the text is a part and includes the content of the text. There are some activities where the language is fairly incidental, and there are some activities which could take place almost without verbal language. A game of cricket requires very little in the way of verbal language. Much of the communication is already symbolic rather than verbal, like the umpire’s raised finger, and even the claim of “How’s that!” could conceivably be replaced by a gesture. On the other hand, a political rally is a form of activity where the language is the main, and essential, part of the proceedings. The speeches made by the speakers are the core of this activity, and it would be inconceivable to have a political rally without them. A political rally without language is almost a contradiction in terms!

Tenor relates to the relationships established by a speaker with his addressees. These can be either “linguistic” or “social”. The linguistic roles depend on the sort of speech act that is being made. Following

this, the speaker may be a questioner, replier, informer or even threatener, promiser, thanker, congratulator and so on. Depending on the sort of role that the speaker adopts, he may impose or attempt to impose a role on his addressee. If the speaker takes on the role of questioner, he makes the addressee a potential replier, although, of course, the addressee may refuse to adopt this role. If the speaker is a promiser, the addressee becomes a promisee. The social roles depend on the relative social relationships between speaker and addressee, in relation to the speech act taking place. Typical relationships are shopkeeper–client, doctor–patient, teacher–learner, boss–employee, friend–friend. However, some contexts have a much more complex set of relationships than these relatively simple one-to-one situations. There are some television programmes, for example, where a politician is interviewed by one or more journalists, but in addition there is a studio audience who are invited to intervene and members of the viewing public can send messages and questions by phone, e-mail or SMS. The politician has a rather different relationship with the journalists, the studio audience and the television viewers. And when he replies to a question, he has to satisfy not only the person who asked the question, but all three sets of addressees. We can also presume that his ultimate objective is to convince the general public.

Mode is the means used to convey the message. Basically, this means either written or spoken. There are, however, numerous types of text where mode is more complicated than this simple dichotomy would imply. The text of a play is ostensibly a written text, but its immediate reading public is the actors who are going to play the parts, although this does not stop others from reading it, particularly if the play becomes part of the canon of accepted literature. Nevertheless, the intention of the playwright is that his text should be heard, so it is a text written to be spoken, and, moreover, to be heard as a simulacrum of spontaneous speech (with some exceptions, such as plays in verse form). Most political speeches are probably of this type too. When a solicitor reads the will of a deceased person to his potential legatees, they hear a text which is rendered orally. However, the text in question was intended to be read on the page, and the listeners hear an oral rendition of this written text. The same is probably true of the reading of the scriptures in church. While we might think of written texts as texts to be read, there are some written texts which are not intended to be read linearly, that is, from beginning to end. This is typical of reference works, like encyclopaedias or telephone directories.

Suppose we take as a text the rules for the game of tennis. The field is playing the game of tennis and its organization. The tenor is the relationship between the governing body of the sport, who establish the regulations, and the players and officials who take part in the sport. The mode is a document which is written to be read, though in most cases not read linearly.

Consider the following extract which is taken from a fund-raising appeal leaflet from Churchill College, Cambridge, in 2016.

The generosity of Churchill's supporters makes studying here a possibility for students who may otherwise never realise their full potential.

Your support helps to cover course fees, as well as certain living expenses for those who need them. We believe that access to a Cambridge education should be based on potential and talent, not on financial capability. Today's students, however, do not have ready access to the state funding afforded to earlier Churchill alumni.

- Churchill was identified as the highest-achieving Oxbridge College in respect of state sector admissions in the most recent Social Mobility and Child Poverty Commissions' annual report.
- Around 340 students receive some kind of financial support from the College each year.
- The biggest barrier to access at graduate level is financial – particularly for Arts and Humanities subjects.

Why are we approaching you?

As a former student at Churchill College, you have lived our values and seen what is possible. We would like to invite you to help replicate that experience for someone else. Your support could play a key role in introducing the next great architect, engineer, software developer, historian, doctor, business leader or scientist to the world.

This text falls into the general category of fund-raising documents. Its specific objective is to attract donations for the financial support of university students who need it, in this case, at Churchill College, Cambridge. This constitutes its field. Its tenor is the relationship between Churchill College, through its Development Office (who produced this leaflet), and former students of the College. The College takes on the role of a requester of financial donations and the readers are potential donors, though they may or may not become actual donors. Its mode is a written document, intended to be read silently and linearly.

Summary

- Register has three functions: field, tenor and mode.
- Field is the ongoing activity of which the discourse is a part.
- Tenor concerns the relationships between the speaker and his addressees.
- Mode is the channel of communication, basically written or spoken.

Activities and exercises

- 1 Attempt to identify the nature of the following text, which appeared in a local newspaper (*Cambridge News*, 21 April 2016), and categorize it in terms of field, tenor and mode.

David Moore made the most of being employed as a striker as he rounded off Fenstanton's 4–2 victory over Isleham United in Newmarket Motor Company League, Division 2B.

Moore normally lines up in defence, but he was used up front due to a lack of forward options and scored the goal of the match from 20 yards out.

The hosts took just two minutes to go ahead through Tom Cody after good work from Ben Hall, before leading marksman Hall smashed it in himself before half time.

Isleham pulled a goal back after the restart before Hall struck again from Salv Merola's cross, and Moore then notched to make the visitors' second strike nothing more than a consolation.

- 2 Attempt to identify the nature of the following text, dated 2018, and categorize it in terms of field, tenor and mode.

This paper will consider the extent to which the legislative style of sale of goods legislation in the UK has evolved from the 1893 Sale of Goods Act, through reforms in the 1970s and 1990s, to the recent Consumer Rights Act 2015. It will describe and analyse the very apparent evolution in legislative style of the different texts and consider the reasons for this evolution. With a focus on the legislative provisions relating to the quality of goods, the study reveals a progressive “easification” (Bhatia 2010; Pennisi 2016) rather than a simplification of the legislation through the gradual incorporation of various techniques favoured by the Plain Language Movement. The paper will argue that the easification process has resulted in a text which remains targeted at the professional reader rather than at the general public or the “ordinary citizen” whilst the task of simplifying the legislative rules for the consumer has been assumed by an independent consumer rights charity.

- 3 Attempt to identify the nature of the following extract from a text available online in November 2017, and categorize it in terms of field, tenor and mode.

Against the Grain Poetry Press, started 2017, submissions window June/July, 3 titles per year: <https://againstthegrainpoetrypress.wordpress.com/>.

Bad Press: Bad Chapbooks series, <http://badpress.tumblr.com/>.

Barque Press: Non-conformist poetry and *Quid* magazine.

Blackheath Books: www.blackheathbooks.org.uk.

The Black Light Engine Room. [theblacklightengineroom.wordpress.com] Publishes magazine of same name twice a year, and regular chapbooks of poets featured therein. Monthly live event in Middlesbrough. theblacklightenginedriver@hotmail.co.uk for info.

Burning Eye Books: <https://burningeyebooks.wordpress.com/> specialises in spoken word, submissions windows advertised on website.

Calder Wood Press: www.calderwoodpress.co.uk, 1 Beachmont Court, Dunbar, East Lothian, EH42 1YF.

Candlestick Press: 21 Devonshire Avenue, Beeston, Nottingham NG9 1BS, www.candlestickpress.co.uk.

Cinnamon Press: <https://www.cinnamonpress.com/index.php/competitions/poetry-pamphlet-prize>.

Clutag Press: PO Box 154, Thame, OX9 3RQ www.clutagpress.com.

Crystal Clear Creators: www.crystalclearcreators.org.uk, based at De Montfort University Leicester. Membership required to be eligible for publications, but this is inexpensive—see website. Last publications 2011/12.

Crater Press: <http://www.craterpress.co.uk/>.

- 4 Attempt to identify the nature of the following extract from a document dated August 2012, and categorize it in terms of field, tenor and mode.
 - 1 (a) This agreement incorporates the Standard Conditions of Sale (fifth Edition). Where there is a conflict between those conditions and this Agreement, this Agreement prevails.
 - (b) Terms used or defined in this Agreement have the same meaning when used in the Conditions.
 - 2 The Property is sold subject to the incumbrances on the Property and the Buyer will raise no requisition on them.
 - 3 Subject to the terms of this Agreement and to the Standard Conditions of Sale, the Seller is to transfer the Property with the title guarantee specified on the front page.
 - 4 The contents on the attached inventory are included in the sale price and the Seller warrants that such items are his own unencumbered property and the Buyer is to pay the contents price for them (if appropriate).
 - 5 The Property is sold with vacant possession on completion.
- 5 Find documents of the following types, and give a characterization in terms of field, tenor and mode.
 - a An article in a women's magazine about make-up.
 - b A User's guide for a mobile phone (paper or on-line).
 - c A letter from your bank.
 - d A recipe for making a cake (paper or on-line).

Key to activities and exercises

- 1 The text is a report of a football match in a local newspaper.

Field: The game of football and its subsequent reporting to interested readers of a newspaper.

Tenor: The communication is between a journalist, who is probably specialized in sports reporting, and the reading public of the newspaper, and more specifically those who are interested in football, since they are probably the only ones who will read this particular text. The communication has the nature of a monologue, since the addressees have no means of replying.

Mode: Written, intended to be read silently and linearly.

- 2 The text is an extract from the abstract of a presentation to be made at an academic conference.

Field: An academic conference in the field of linguistics, more specifically, specialized languages. The text summarizes a presentation to be made subsequently about legal language.

Tenor: The communication is between the presenter of the proposed paper and potential attendees at the presentation. The extract is informative about the content of the proposed paper, but also attempts to persuade readers to attend the presentation. Readers have no means of replying directly, though they may have other opportunities to do so within the framework of the conference.

Mode: Written, intended to be read silently and linearly.

- 3 The text is an extract from a list of poetry publishers.

Field: Poetry and the publishing of poetry. More specifically the names, contact details and other relevant information about publishers specializing in the publication of poetry.

Tenor: The text is posted on the internet by the compiler of the information, to be read by poets and perhaps readers of poetry, who might wish to contact the publishers.

Mode: Written, initially available in digital form, though it may be subsequently printed out. Intended to be read silently, though not necessarily linearly.

- 4 The text is an extract from a house sale agreement.

Field: The buying and selling of property and the legal provisions connected to such sales.

Tenor: The text is produced by a person who has the legal role of conveyor. It is addressed to and sets up the legal relationship between the seller and the buyer of a property. It is also addressed to anyone who might subsequently be involved in this legal relationship (notably if there was a legal disagreement).

Mode: Written, intended to be read silently. Although this extract would be read linearly, the sections of the document from which it is taken might not be read in linear fashion. As much as reading, the document is intended to be retained and filed, so that it can serve as a legal record of the transaction, and, if necessary, be used in future legal proceedings.

9 Final thoughts

A launching pad

This has been a deliberately short book. In it, I hope to have shown that Systemic Functional Linguistics is an interesting and even powerful approach to the study of language. I have used genuine texts to illustrate how this theory can be used to analyse real language. This may give the impression that Systemic Functional Linguistics is nothing more than a toolbox for text analysis. Nothing could be further from the truth. Text analysis has been used here as a way of introducing the approach to those who are not familiar with it, but it has also been used extensively for the description of languages, language teaching (both first language and foreign language), including languages for special purposes, historical and diachronic studies, pathological linguistics, forensic linguistics, translation studies, computational linguistics and so on.

In this book, we have seen how the structural elements function together to form the lexicogrammar of English. We have seen how the meaning of the clause has three strata: ideational to express our representation of the world, interpersonal to express our relationship with our message and those with whom we are communicating, and textual to enable us to construct our message. We have seen how language cannot be taken in isolation, but that its context has an important role to play, and this can be studied in terms of field, tenor and mode. We have seen how grammatical metaphor can be used to mould the text, and we have seen how Appraisal can be used to bring out the subjective elements in a text.

This approach shows how language is a particularly social phenomenon. It is not some sort of abstract entity which we somehow use to communicate. It is much more intimately bound up with the human condition and is the way in which we communicate, and so cannot be separated from that communication. Communication only takes place in society, and so language, from this point of view, is profoundly human and social.

As I say, this book has been deliberately short. That means that there is much that has not been said here and there are many complications that I have glossed over. Nevertheless, I hope that this will have given an insight into the theory for students who are new to the subject, and to linguists who are more familiar with other approaches. However, because it is so short,

a first taste as it were, I hope that readers will not see it as an end in itself, but use it as a launching pad from which they can go on to more extensive treatments of Systemic Functional Linguistics. I hope that the Further Reading list which follows will help them in this endeavour. Thus I would like to think that this chapter is not an end in itself, but simply the end of the beginning!

Language is a fascinating and intriguing subject of study, so I also hope that I have succeeded in communicating some of my fascination with language.

Further reading

As I have already intimated, this is a very simple introduction. It is my hope that readers of this book will be encouraged to go on to fuller accounts of Systemic Functional Linguistics, and the following are suggestions of books they may like to consult in order to deepen their knowledge of this fascinating approach to language.

There are a number of books written as introductions, which, although not quite as simple as this one, might provide a bridge towards more complex treatments of the subject.

Bloor, Thomas & Meriel Bloor (2013): *The Functional Analysis of English: A Hallidayan approach*, 3rd edn., London, Arnold.

Eggins, Suzanne (1994): *An Introduction to Systemic Functional Linguistics*, London, Pinter.

Lock, Graham (1996): *Functional English Grammar: An introduction for second language teachers*, Cambridge, Cambridge University Press.

Thompson, Geoff (2014): *Introducing Functional Grammar*, 3rd edn., London, Arnold.

And for those who read French.

Banks, David (2005): *Introduction à la linguistique systémique fonctionnelle de l'anglais*, Paris, L'Harmattan.

There is one introduction (in two short volumes) which is much older; some might find it a little dated, but I think it still has a lot to be said for it. These two volumes were reprinted by the Department of English Studies at the University of Nottingham in 1991.

Berry, Margaret (1975): *Introduction to Systemic Linguistics: Vol. 1 Structure and Systems*, London, Batsford.

Berry, Margaret (1977): *Introduction to Systemic Linguistics: Vol. 2 Levels and Links*, London, Batsford.

There are some books for students that include exercises.

- Downing, Angela & Philip Locke (2006): *English Grammar: A university course*, Abingdon, Routledge.
Martin, J.R., Christian M.I.M. Matthiessen & Clare Painter (1997): *Working with Functional Grammar*, London, Arnold.

However, the fundamental book which all others in Systemic Functional Linguistics refer to is *Halliday's Introduction to Functional Grammar*. Originally published in 1984, this has gone through several editions, the most recent being the fourth edition in 2014.

- Halliday, M.A.K. (revised by Christian M.I.M. Matthiessen) (2014): *Halliday's Introduction to Functional Grammar*, 4th edn., Abingdon, Routledge.

Halliday has written a large number of other books, sometimes on his own, sometimes with a co-author. These are not necessarily easy books, but they are highly stimulating and many of them have become classics. The following is a small selection.

- Halliday, M.A.K. (1973): *Explorations in the Functions of Language*, London, Arnold.
Halliday, M.A.K. (1975): *Learning how to Mean: Explorations in the development of language*, London, Arnold.
Halliday, M.A.K. (1978): *Language as Social Semiotic: The social interpretation of language and meaning*, London, Arnold.
Halliday, M.A.K. (1989): *Spoken and Written Language*, 2nd edn., Oxford, Oxford University Press.
Halliday, M.A.K. & J.R. Martin (1993): *Writing Science: Literacy and discursive power*, London, Falmer Press.
Halliday, M.A.K. & Christian M.I.M. Matthiessen (1999): *Construing Experience through Meaning: A language-based approach to cognition*, London, Cassell.
Halliday, M.A.K. & William S. Greaves (2008): *Intonation in the Grammar of English*, London, Equinox.
Halliday, M.A.K. & Jonathan J. Webster (2014): *Text Linguistics: The how and why of meaning*, Sheffield, Equinox.

Halliday has also written many articles which were originally published in journals or as chapters of edited books. These have now been collected and are published as his *Collected Works* by Bloomsbury Publishing. There are now 11 volumes.

The following is a useful listing of technical terms in Systemic Functional Linguistics, with definitions and explanations.

- Matthiessen, Christian M.I.M., Kazuhiro Teruya & Marvin Lam (2010): *Key Terms in Systemic Functional Linguistics*, London, Continuum.

Among the many books dealing with more specific topics, one might cite the following.

- Cummings, Michael (2010): *An Introduction to the Grammar of Old English: A systemic functional approach*, London, Equinox.
- Lewin, Beverly A., Jonathan Fine & Lynne Young (2001): *Expository Discourse: A genre-based approach to social science research texts*, London, Continuum.
- Martin, J.R. & P.R.R. White (2005): *The Language of Evaluation: Appraisal in English*, Basingstoke, Palgrave Macmillan.
- Martin, J.R. & David Rose (2008): *Genre Relations: Mapping culture*, London, Equinox.
- Morley, G. David (2000): *Syntax in Functional Grammar: An introduction to lexicogrammar in systemic linguistics*, London, Continuum.
- O'Halloran, Kay L. (2005): *Mathematical Discourse: Language, symbolism and visual images*, London, Continuum.
- Tench, Paul (1996): *The Intonation Systems of English*, London, Cassell.
- Tucker, Gordon H. (1998): *The Lexicogrammar of Adjectives: A systemic functional approach to lexis*, London, Cassell.

Finally, the following is a small selection of collections of articles, on various topics.

- Banks, David (ed.) (2004): *Text and Texture: Systemic functional viewpoints on the nature and structure of text*, Paris, L'Harmattan.
- Bartlett, Tom & Gerard O'Grady (eds.) (2017): *The Routledge Handbook of Systemic Functional Linguistics*, Abingdon, Routledge.
- Bowcher, Wendy L. & Bradley A. Smith (eds.) (2014): *Systemic Phonology: Recent studies in English*, Sheffield, Equinox.
- Fontaine, Lise, Tom Bartlett & Gerard O'Grady (eds.) (2013): *Systemic Functional Linguistics: Exploring choices*, Cambridge, Cambridge University Press.
- Fries, Peter H., Michael Cummings, David Lockwood & William Spruiell (eds.) (2002): *Relations and Functions within and around Language*, London, Continuum.
- Ghadessy, Mohsen (ed.) (1988): *Registers of Written English: Situational factors and linguistic features*, London, Pinter.
- Hasan, Ruqaiya & Peter H. Fries (eds.) (1995): *On Subject and Theme: A discourse functional perspective*, Amsterdam, John Benjamins.
- Hasan, Ruqaiya, Christian M.I.M. Matthiessen & Jonathan J. Webster (eds.) (2007): *Continuing Discourse on Language: A functional perspective*, 2 vols., London, Equinox.
- Martin, J.R. & Robert Veel (eds.) (1998): *Reading Science: Critical and functional perspectives on discourses of science*, London, Routledge.
- Miller, Donna R. & Paul Bayley (eds.) (2016): *Hybridity in Systemic Functional Linguistics: Grammar, text and discursive context*, Sheffield, Equinox.
- Neumann, Stella, Rebekah Wegener, Jennifer Fest, Paula Niemietz & Nicole Hützen (eds.) (2017): *Challenging Boundaries in Linguistics: Systemic functional perspectives*, Frankfurt, Peter Lang.

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- O'Grady, Gerard, Tom Bartlett & Lise Fontaine (eds.) (2013): *Choice in Language: Applications in text analysis*, Sheffield, Equinox.
- Starc, Sonja, Carys Jones & Arianna Maiorani (eds.) (2015): *Meaning Making in Text: Multimodal and multilingual functional perspectives*, Basingstoke, Palgrave Macmillan.
- Swain, Elizabeth (ed.) (2010): *Thresholds and Potentialities of Systemic Functional Linguistics: Multilingual, multimodal and other specialized discourses*, Trieste, Edizioni Università di Trieste.
- Ventola, Eija & Anna Mauranen (eds.) (1996): *Academic Writing: Intercultural and textual issues*, Amsterdam, John Benjamins.

Glossary

The following is a list of terms used in Systemic Functional Linguistics, with a brief explanation of each. This includes some terms which are not used in this book but which may be found in some of the other books in the Further Reading section. The nature of these short explanations is such that they do not necessarily have all the precision that a full definition would require.

α -clause	An α -clause is a main or coordinate clause in a clause complex.
Actor	The actor is a participant in a material process. It is the conscious instigator of the process.
Adjunct	The main type of adjunct is the circumstantial adjunct. This is the constituent which gives the circumstances (where, when, how, etc.) of the clause. Other types of adjunct are the textual adjunct, which links the clause to the rest of the text, and the interpersonal adjunct which indicates the attitude of the speaker.
Affect	In Appraisal, affect is that part of attitude which deals with emotions and feelings.
Affected	The affected is the participant in a material process that is modified in some way by the process.
Agent	The agent is a causal element in a process. It can be actor, force or instrument.
Appraisal	Appraisal is an attempt to provide a framework for analysing the traces of the subjective presence of the speaker in the text.
Appreciation	In Appraisal, appreciation is that part of attitude which deals with the ways in which the speaker evaluates things.
Attribute	The attribute is the participant in an attributive relational process which gives a characteristic of the first participant, the carrier.
Attributive relational process	An attributive relational process states the relationship between an entity, called the carrier, and one of its features or characteristics, called the attribute.

Attitude	Attitude is a function in Appraisal which deals with the ways in which the feelings of the speaker are expressed in his text.
Auxiliary	The auxiliary is a component of the verbal group and is placed before the verb. It can express modality, voice or aspect.
β -clause	A β -clause is a dependent clause which has not been rankshifted.
Behaver	For linguists who use the category of behavioural process, the single participant in this process is a behaver.
Behavioural process	Behavioural process is a process type used by many linguists to indicate a process which is said to be on the borderline between material and mental process.
Beneficiary	A beneficiary is a participant in a material clause on behalf of whom the process is carried out.
Carrier	A carrier is the participant in an attributive relational clause; it is the participant to whom something is attributed.
Classifier	A classifier is a type of modifier which places the head in a class or category; usually it is not gradable.
Clause	A clause is the basic unit of a text. It is made up of a predicator, may have one or two participants (occasionally three) and may also have circumstances.
Clause complex	A clause complex is a unit made up of more than one clause. It corresponds to a complex sentence in most other approaches.
Client	Client is used by some linguists as an alternative to beneficiary.
Cohesion	Cohesion is the set of linguistic resources used to make a text into a coherent whole.
Collocation	Collocation refers to the co-occurrence of two (or more) words in texts.
Comment adjunct	A comment adjunct is an interpersonal adjunct that expresses the attitude of the speaker.
Complement	The complement is a main constituent of the clause. It is the second participant in the clause.
Completive	A completive is the grammatical function of a nominal group which follows a preposition and together with it constitutes a prepositional phrase.
Conflation	Conflation is the combination of two separate items, as when two separate analyses of a single clause are combined to give a fuller picture.
Congruent wording	The congruent wording is the most usual way of encoding or expressing something in words.
Conjunction	A conjunction is a word that links two linguistic elements.
Conjunctive adjunct	A conjunctive adjunct is an adjunct whose function is to link a clause to the rest of the discourse.

Context	The context refers to the social situation in which a text is produced.
Contingency	Contingency is a type of circumstance expressing a condition or concession.
Deictic	A deictic is a word that refers to another element in the discourse.
Delicacy	Delicacy refers to the degree or level of detail that has been achieved in a system network.
Determiner	A determiner is a word in a nominal group whose function is to identify or distinguish the head.
Disjunct	A disjunct is a type of adjunct which gives the attitude of the speaker.
Elaboration	Elaboration is a method of expanding a clause by adding a restatement, clarification or example.
Ellipsis	Ellipsis is the omission of a word that can be understood from the surrounding discourse.
Embedded clause	An embedded clause is a clause that is not a main or coordinate clause, and which forms a part of a clause complex.
Embedding	Embedding is the insertion of a clause with a dependent function in a clause complex.
Enhancement	Enhancement is a method of expanding a clause by adding qualifications such as time, place, cause or condition.
Engagement	Engagement is a category within Appraisal whereby a speaker accepts the content of his message as his own (monoglossic) or in relation to other points of view (heteroglossic).
Epithet	An epithet is a modifier in a nominal group. It is qualitative, so it describes but does not classify the head.
Ergativity	Ergativity is an alternative to transitivity as a method of analysing the structure of the clause. This basically involves a process and an entity, known as the medium, which is essential for the process to take place.
Event	An event is an occurrence of a physical nature, and a type of material process.
Evoked	In Appraisal an evoked function is one which is implicit.
Existent	The existent is the entity which is said to exist in a clause of existential process.
Existential process	An existential process is one which states the existence of an entity.
Expansion	Expansion is a method of elaborating, extending or enhancing a clause by adding a dependent clause.
Experiencer	Experiencer is sometimes used as an alternative to senser for the conscious entity who experiences a mental process.
Experiential	Experiential is that part of the ideational metafunction which deals with the relationship between a process and its associated participants and circumstances.

Extension	An extension is a word in a verbal group which follows the verb and is an essential part of its meaning.
Extent	Extent is a type of circumstance which expresses duration in time or extension in space.
Field	Field is a function of register. It relates to the ongoing activity of which the text under consideration is a part.
Finite	The finite is that part of the verbal group which is used to indicate aspect, modality, voice or mood.
Focalized	The focalized is the component of the tone group which carries the tonic accent. It is frequently called the new.
Force	Force is a participant in a material process. It is the non-conscious instigator of the process. In Appraisal, the term "force" is also used for the type of graduation which indicates the extent to which something said is strong or weak.
Functional	Functional, as applied to language, refers to the ways in which the language works. This can be internal: the ways in which the parts of the language work together to create meaning, or external: the ways in which the language works in society to create meaning.
Generic structure potential	Generic structure potential is the set of possible structures of a particular situation.
Given	Given is a component of information structure. It is the element which the speaker presents as being already available to his addressees.
Goal	Goal is an alternative to affected. It is the participant that is modified in some way by the process.
Graduation	In Appraisal, graduation refers to the ways in which the speaker grades his attitudes and feelings.
Grammatical metaphor	Grammatical metaphor is the use of a non-congruent means of expression.
Group	A group is a major constituent of the clause.
Happiness	Happiness is a feature of affect in Appraisal.
Head	The head is the central and obligatory word in a nominal group.
Headword	Headword is an alternative to head.
Hypotaxis	Hypotaxis is the combination of elements of unequal status.
Ideational metafunction	The ideational metafunction is the level of meaning which represents the external physical world or the internal world of our thoughts and feelings.
Ideational theme	Ideational theme is an alternative term for topical theme. In English, it is the first main component (subject, circumstantial adjunct, complement or predicator) in the clause, and represents the speaker's starting point.
Identifying	Identifying is the type of relational process which relates two expressions that have the same referent.

Inclination	Inclination is a feature of affect in Appraisal.
Information structure	Information structure is the structure of a tone group. It distinguishes between a given and a focalized (or new).
Inscribed	In Appraisal, an inscribed function is one which is explicit.
Instantiation	Instantiation is the way in which the potential of the language system is made concrete in an actual text.
Instrument	The instrument is a participant in a material process. It is a causal element of the process, but requires a named or unnamed conscious agent in order to act.
Interpersonal metafunction	The interpersonal metafunction is the level of meaning which relates to the relationships established by the speaker with his addressees or with his message.
Interpersonal theme	An interpersonal theme is a non-obligatory theme which indicates the attitude of the speaker.
Judgment	In Appraisal, judgment is a function of attitude indicating how the speaker feels towards people and their behaviour.
Lexicogrammar	Lexicogrammar is that level of language that deals with grammatical function and lexis.
Location	Location is a circumstance which locates a clause in space or time.
Locution	A locution is a projection (direct or indirect speech) which gives the words spoken (direct) or a report of them (indirect).
Logical	The logical function is a component of the ideational metafunction. It concerns the ways in which different elements are linked together.
Logical grammatical metaphor	A logical grammatical metaphor is the non-congruent expression of a logical function link.
Manner	Manner is a circumstance expressing the way in which a process takes place.
Material process	A material process is an action or event of a physical nature.
Matter	Matter is a circumstance which states the topic of speech or thought.
Medium	The medium is a participant in the ergative analysis of a clause. It is the participant which is essential for the process to take place.
Mental process	A mental process is an event of a cerebral nature. It can be cognitive, affective or perceptive.
Metafunction	A metafunction is one of the three main levels of meaning: ideational, the representation of the world, interpersonal, the relationships established by the speaker, and textual, the way the message is organized.
Modal adjunct	A modal adjunct is an adjunct which expresses the attitude of the speaker.
Modality	Modality is the expression of the speaker's judgment of the validity of a proposition, or his attribution of obligation or permission.

Mode	Mode is a function of register. It refers to the way in which a message is communicated; basically, written or spoken.
Modifier	A modifier is a word to the left of the head which gives extra information about the head.
Mood	Mood is expressed within the interpersonal metafunction. It is the basic orientation of the clause as declarative, interrogative or imperative. The word is also frequently used as an abbreviation of mood element, which is a component of the interpersonal metafunction and is made up of the subject and finite.
Mood adjunct	A mood adjunct is an adjunct which expresses the attitude of the speaker.
Negative	Negative is one of the poles of the polarity system, the other being positive.
Negotiation	Negotiation is constituent of the interpersonal metafunction, and analyses the clause in terms of a negotiator and remainder. This is an alternative to an analysis in terms of mood (element) and residue.
Network	A network is the system formed by a series of choices representing the resources of a language.
New	The new is an alternative term for focalized. It is the part of a tone unit identified by the tonic accent.
Numerative	A numerative is a modifier which quantifies the head.
Operator	The operator is the word which encodes the finite.
Parataxis	Parataxis is the relationship between elements of equal status.
Phenomenon	The phenomenon is a participant in a mental process, and expresses the content of the experience.
Participant	A participant is an element which takes part in a process.
Phonology	Phonology is the study of the way language is encoded in terms of sound.
Polarity	Polarity is the system which distinguishes between positive and negative.
Positive	Positive is one of the poles of the system of polarity, the other being negative.
Possessed	The possessed is a participant in a possessive relational process. It is in some way included in the possessor, typically as a possession.
Possessor	The possessor is a participant in a possessive relational process. It is the participant that possesses or in some way includes the possessed.
Predicator	The predicator is the group which encodes the process.
Preposition	A preposition is the word which begins a prepositional phrase, which is completed by a nominal group known as the completive.
Process	A process is the action, event or state which forms the central element in a clause.

Projection	Projection is a feature of the logical function whereby speech or thought (direct or indirect) is expressed.
Qualifier	A qualifier is an element at the rank of word which follows the head and gives extra information about it.
Quality	Quality is a circumstance expressing the way in which the process takes place.
Range	Range is a participant in a material process. It expresses the extent of the process, or is a re-expression of the process itself. Some books use scope instead of range and use range for the equivalent participant in an ergative analysis.
Rank	A rank is a level of the system of grammatical functions, such as clause, group or word.
Rankshift	Rankshift is the resource which enables a unit of one rank to function at a different rank.
Realization	Realization is the way in which a choice in a systemic network is carried out.
Receiver	Receiver is an alternative term for recipient, the participant in a material or verbal process towards whom the process is directed.
Recipient	A recipient is a participant in a material or verbal process towards whom the process is directed.
Reference	Reference is the way in which an element in a text can refer to other items in the text or in the external world.
Register	Register is a function of context and is analysed in terms of field, tenor and mode.
Relational process	A relational process is a process which links two entities or an entity with one of its own characteristics.
Residue	Residue is part of the mood structure of the clause. It is that part which is not included in the mood element.
Rheme	Rheme is part of the thematic structure of the clause. It is that part which is not included in the theme.
Satisfaction	In Appraisal, satisfaction is a function of affect.
Sayer	The sayer is a participant in a verbal process. It is the participant who is communicating something.
Scale	Scale is made up of the different ranks, realization and delicacy.
Security	In Appraisal, security is a function of affect.
Senser	The senser is a participant in a mental clause. It is the participant who is undergoing an experience.
Social esteem	In Appraisal, social esteem is a function of judgment.
Social sanction	In Appraisal, social sanction is a function of judgment.
Speech function	In the interpersonal metafunction, a speech function is one of the combinations given by the functions of giving or requesting information or goods and services.
Stratum	Strata are the general levels of language such as semantics, lexicogrammar and phonology.

Subject	The subject is a group and a constituent (the first participant) of a clause.
Substitution	Substitution is a resource of cohesion whereby a word refers back to a previous segment of the text, which it stands for in a new co-text, thus avoiding repetition.
System	A system is a set of choices in a network.
Systemic Functional Linguistics	Systemic Functional Linguistics is a linguistic theory based on the work of Michael Halliday. In its early form it was called Scale and Category Grammar.
Target	Target is sometimes used as a participant in a verbal clause. It is the entity against whom the process is directed in processes of blame, criticism or praise.
Tenor	Tenor is a function of register. It is that part of register which relates to the relationships between the protagonists in an exchange.
Text	A text can be considered to be a rank at a higher level than the clause. It is made up of clauses and clause complexes.
Textual metafunction	The textual metafunction is that part of meaning which deals with the way the clause is structured.
Textual theme	A textual theme is a non-obligatory theme which serves to link the clause to the rest of the text.
Thematic progression	Thematic progression is the way themes develop through a text. They can, for example, be derived from a previous theme (constant progression) or a previous rheme (linear progression).
Theme	Theme is a function within the textual metafunction. It is the speaker's starting point for the clause.
Thing	A thing is the entity which is encoded in the head of a nominal group.
Token	The token is a participant in an identifying relational process. It is the entity which is identified by the process.
Topical theme	A topical theme is the first main component (subject, circumstantial adjunct, predicator or complement) of the clause. It constitutes the speaker's starting point for the clause.
Transitivity	Transitivity is the major feature of the ideational metafunction. It concerns the relationship between a process, the participants in the process and, if there are any, the attendant circumstances.
Value	A value is a participant in an identifying relational clause. It is the entity used to identify the token.
Verb	A verb is the central word of the verbal group. It encodes a process.
Verbal process	A verbal process is a process of communication.
Verbiage	The verbiage is a participant in a verbal process. It gives the content of the message being communicated.
Word	A word is a constituent of a group.

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