

Lecture 1
Introduction

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1 What is functional grammar

- A theory of grammar.
  - It is resource for engaging with the grammar of any given language; it is a way of looking at the grammar of a language in terms of how it is used.
  - It interprets the grammar of a language as a system – as a system enabling people to interact with one another and to make sense of their experience of the world.
  - It explores grammar as being shaped by, at the same time as playing a significant role in shaping, the way we get on with our lives.

- a theory intended for deployment; used for a wide variety of tasks
  - for describing languages in functional terms: French, German, Danish, Spanish, Portuguese, Arabic, Akan, Oko, Telugu, Bajjika, Tagalog, Indonesian, Thai, Vietnamese, Chinese, Korean, Japanese and Pitjantjatjara
  - inspired work on other semiotic systems: on visual images (Bateman 2008, Kress & van Leeuwen 2006, O'Toole 1994, Royce & Bowcher 2006, Ventola & Guijarro in press)
  - used to develop literacy programs for primary, secondary and adult students (e.g. Cope & Kalantzis 1993, Feez 1998)



- in the analysis and teaching of academic discourse (e.g. Hood in press, Ravelli & Ellis 2004)
- as the basis for automatic text analysis and generation in computational contexts (e.g. Matthiessen & Bateman 1991, O'Donnell & Bateman 2005)
- and as the basis for critical discourse analysis (e.g. Fairclough 1992, 2003, Gee1 2005); analysis of culturally significant texts (e.g. Thibault 1991)
- used in institutions of healthcare for purposes of diagnosis and therapy in speech pathology (Armstrong et al. 2005) and other language disorders (Fine 2006)

- for the role language plays in other healthcare practices such as nursing (Kealley 2007), counselling (Butt et al. 2003, Muntigl 2004) and emergency care (Slade et al. in press)
- for text analysis in forensic settings (Martin et al. in press)
- for interpretation of classroom discourse (Christie 2002)
- in translation studies (Steiner & Yallop 2001, Steiner 2005)



2 Why this functional grammar

- Halliday's purpose:to provide a general grammar for purposes of text analysis and interpretation; a grammar which provides a basic 'lingua franca' for text analysts working in a wide range of differing contexts
- Semantic richness: much richer semantically than either formal grammar or traditional school grammar.
  - class labels like noun, verb or adjective
  - function labels, to make the grammatical analysis semantically revealing – to show how the clauses, groups and phrases constituting a text map its meanings like Actor, Process, Goal, Theme, Rheme, Deictic, Numerative, Classifier, Thing

- system networks to represent the grammar as a resource for making meaning such as those of THEME, MOOD and TRANSITIVITY in the description of the grammar of the clause

- a descriptive grammar based on empirical research;
  - not a grammar of etiquette or linguistic table manners
  - provides you with tools for understanding why a text is the way it is ;



3 Using the book

- organised to reflect the organisation of Halliday's IFG, both the second and third editions
  - Orientation: a brief characterisation of the aspect of grammar
  - Survey of options: an outline summary of the principal grammatical options
  - Troubleshooting: to sort out misunderstandings, queries and issues
  - Exercises
  - Texts for analysis
  - Review & contextualization: a summary of the relevant aspect of the grammar
  - Further reading & key

Workbook Chapter	IFG Chapter (2nd edition)	IFG Chapter (3rd edition)
1 Introduction	Introduction 1 Constituency 2 Towards a functional grammar	1 The architecture of language 2 Towards a functional grammar
2 Theme	3 Clause as message	3 Clause as message
3 Mood	4 Clause as exchange	4 Clause as exchange
4 Transitivity	5 Clause as representation	5 Clause as representation
5 Group and Phrase	6 Below the clause: groups and phrases	6 Below the clause: groups and phrases 8 Group and phrase complexes
6 Clause complex	7 Above the clause: the clause complex	7 Above the clause: the clause complex
7 Beyond the clause	9 Around the clause: cohesion and discourse	9 Around the clause: cohesion and discourse



4 Three perspectives for text analysis

- The most important unit for a functional grammar analysis is the clause rather than the sentence
- Ideational:
  - looking for the processes in a text – processes name events taking place (‘go’, ‘cook’, ‘think’, ‘sleep’ and so on) or relationships among things (‘is’, ‘seems’, ‘has’ and so on)
  - divide the text up into processes and whatever ‘goes with’ them (who did what to whom, where, when, how, why etc.)



There **are** fewer species of the larger baleen whales,
that **filter** krill and small fish through their baleen plates.
The largest **is** the Blue whale,
which **is seen** frequently in the Gulf of St Lawrence.
It **reaches** a length of 100 feet and a weight of 200 tons.
The young **are** 25 feet long at birth
and **gain** about 200 lbs. a day on their milk diet.

- Interpersonal: treating the text as a dialogue; dividing the text into things you can argue with

There are fewer species of the larger baleen whales,	**[– Are there?]**
that filter krill and small fish through their baleen plates.	**[– They do not.]**
The largest is the Blue whale,	**[– Is it?]**
which is seen frequently in the Gulf of St Lawrence.	**[– It isn't.]**
It reaches a length of 100 feet and a weight of 200 tons.	**[– Does it?]**
The young are 25 feet long at birth	**[– They aren't always.]**
and gain about 200 lbs. a day on their milk diet.	**[– Do they?]**

- Textual: texts may tend to return to closely related starting points at the beginning of successive clauses.
- Ideally, in the best of possible worlds, the results of all three approaches coincide

For one thousand years, whales have been of commercial interest for meat, oil...
About 1000 A.D., whaling started with the Basques using sailing vessels and row boats.
Over the next few centuries, whaling shifted to Humpbacks, Grays, Sperms and ...
By 1500, they were whaling off Greenland;
by the 1700s, off Atlantic America;
and **by the 1800s**, in the south Pacific, Antarctic and Bering Sea.
Early in this century, whaling shifted to the larger and faster baleen whales.

5 Constituency: functional and class units

- identifying the functional parts of the clause from each of the three perspectives

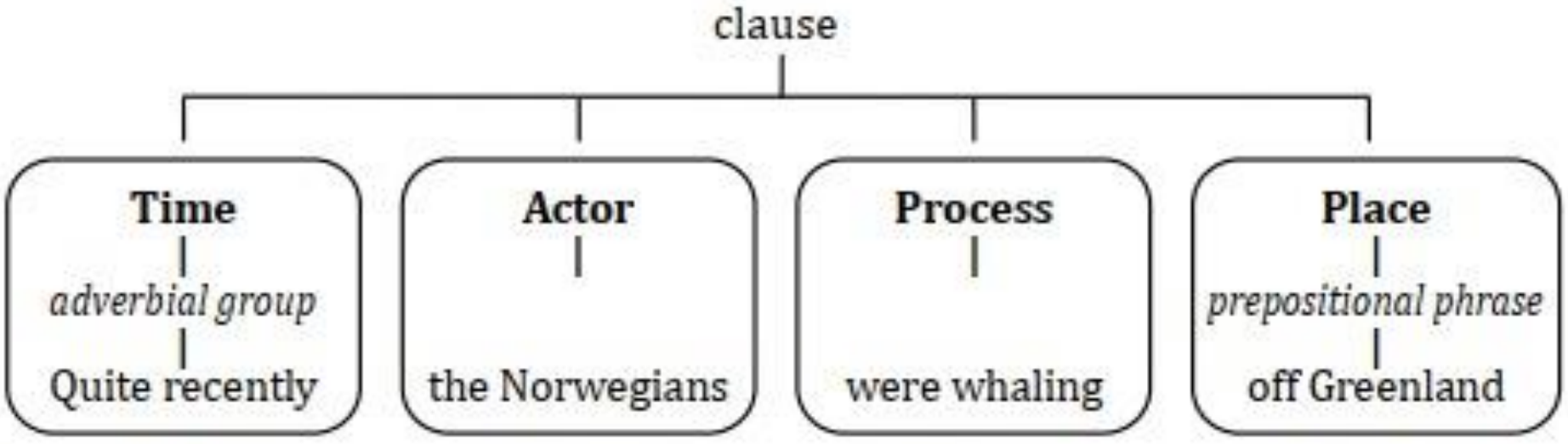


Figure 1.4 Clause structure – picking out adverbial group and prepositional phrase

- Constituency and rank scale: a clause can be analysed into its constituent parts, which are groups and phrases; and these groups and phrases can be analysed into their constituent parts, which are words. The scale of units from clause to word (or morpheme) is known as the rank scale.

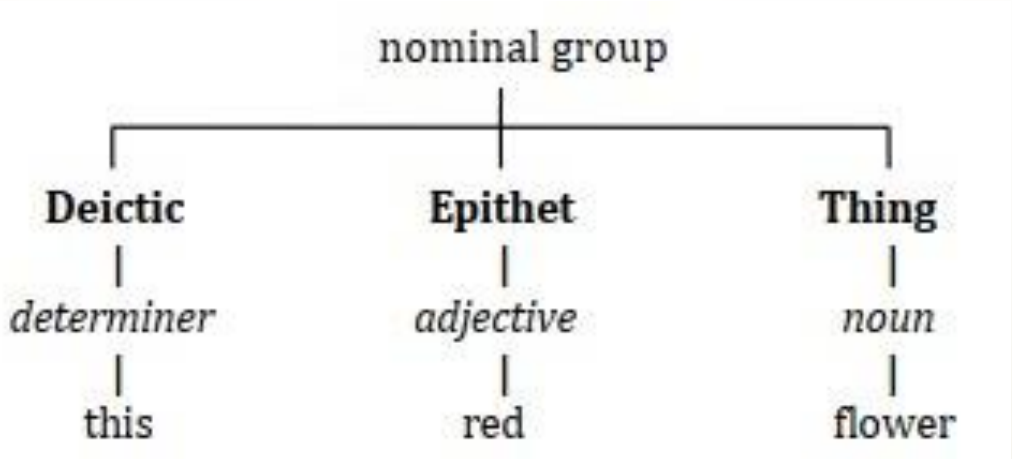


Figure 1.6 Nominal group structure



- Function and class: every part can be labelled in two ways: according to the function of the part and according to class of unit performing that function.
- For all the functions we have identified so far, we have also identified the class of unit which realises or expresses it.
- Vs. formal grammar: more useful for analysing and interpreteing texts

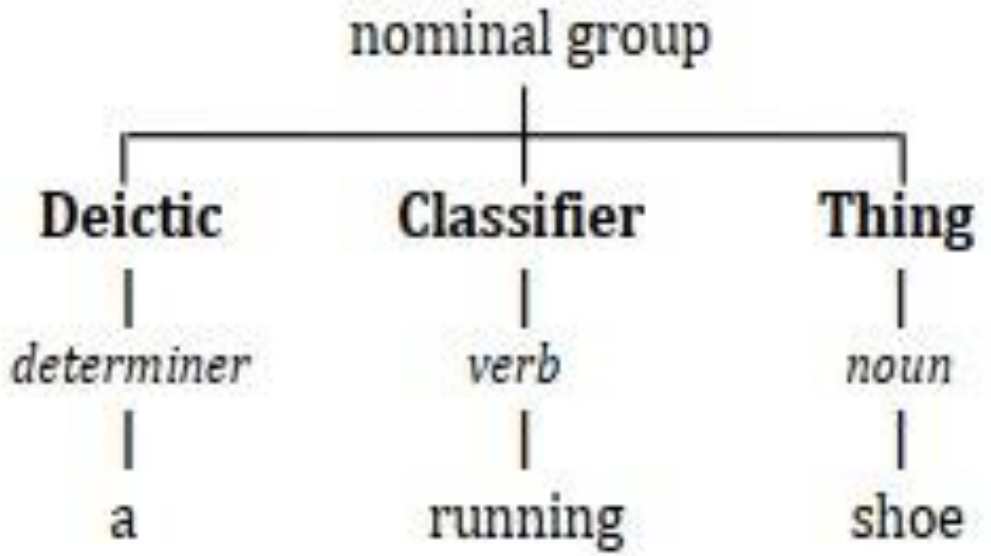


Figure 1.7 A classifying nominal group

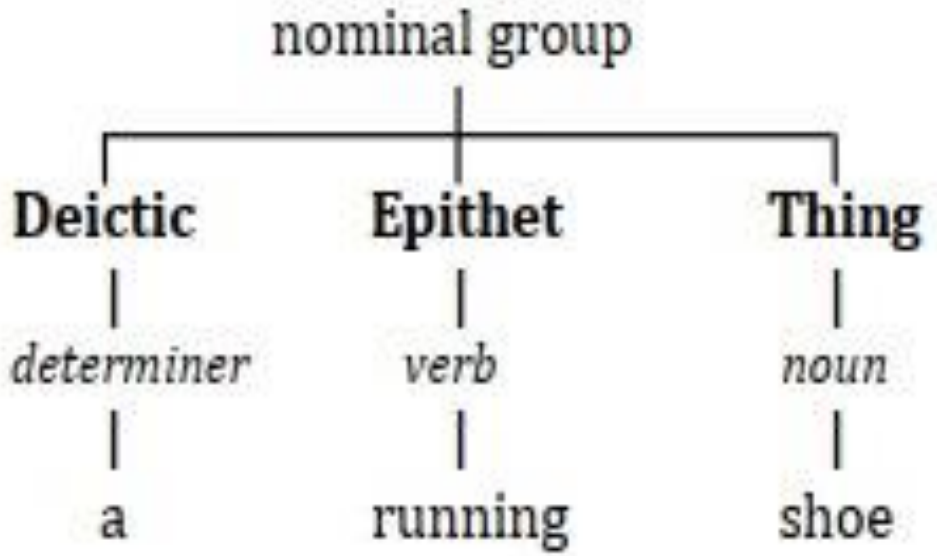


Figure 1.8 A descriptive nominal group



- three possible angles on analysis
  - the ideational (clause as representation), the interpersonal (clause as exchange) and textual (clause as message) –
  - these can ultimately be brought together into a synthesis.
- the part-whole, or constituency, structure of the clause:
  - a clause is made up of groups and phrases which in turn are made up of words
  - these smaller units have particular functions to play in the larger structure and that analysis using a functional grammar involves identifying these functional parts.



6 Reasoning in a functional grammar

- The other important grammatical work for function labels has to do with reasoning in a functional grammar.
- This reasoning is concerned with how grammatical items are related to each other.
  - The running shoes; gym shoes, dress shoes, walking shoes, leather shoes, second-hand shoes
- This in turn affects the way in which the nominal groups can be expanded
  - the Adidas running shoes. (Classifier) * the quickly gym shoes
  - the quickly running shoes. (Epithet)

- Agnate structures:
  - Red wine: white wine, rose whine; pale wine?
- Ultimately, the purpose of function labels is to show how the items you are analysing are related to the grammatical choices they embody.
  - a paradigm of related grammatical items

Table 1.1 A paradigm for present tense English *be* (person and number)

	singular	**plural**
1st person	*I am*	*we are*
2nd person	*you are*	*you are*
3rd person	*she/he/it is*	*they are*

Table 1.2 A simple paradigm for English MOOD

declarative	*He was tickling the baby.*
interrogative	*Was he tickling the baby?*
imperative	*Tickle the baby!*

- A particular function structure (such as Subject ^ Finite) represents an embodiment or realisation of a particular choice from the paradigm

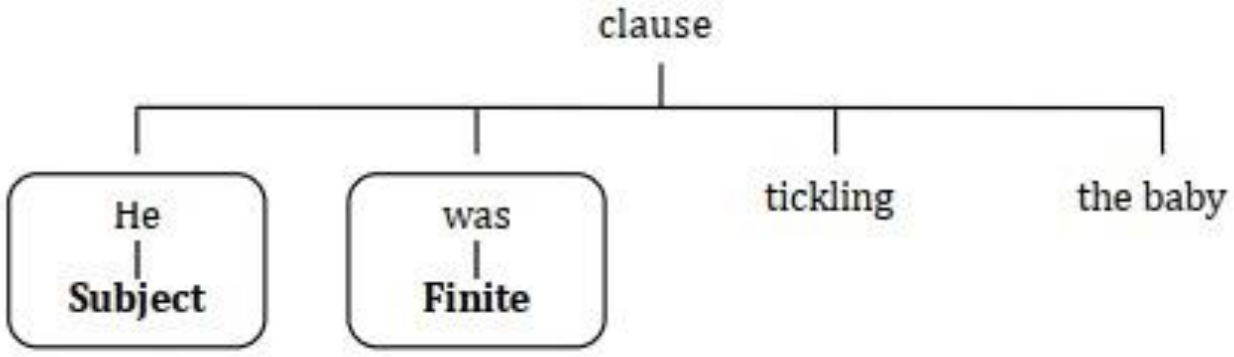


Figure 1.9 Declarative clause showing Subject and Finite

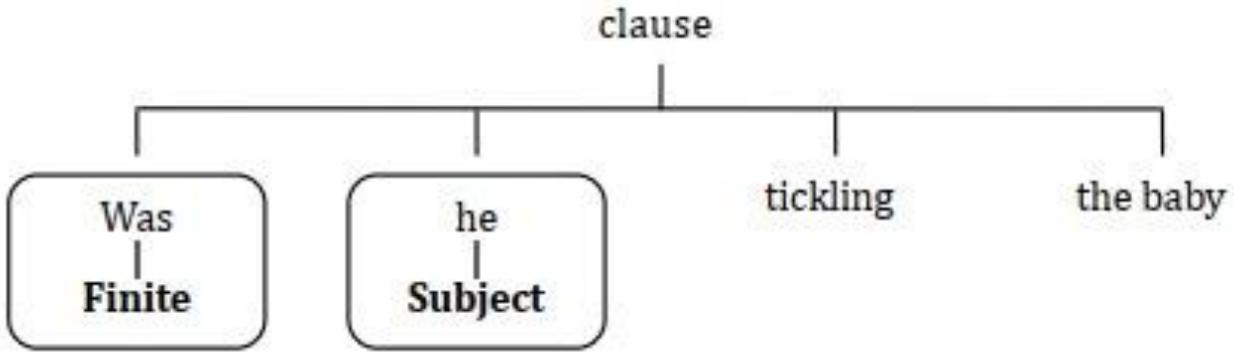


Figure 1.10 Interrogative clause showing Subject and Finite

- paradigms to focus on two sets of choices at the same time

Table 1.3 A simple paradigm for English MOOD and TAGGING

	not tagged	tagged
declarative	*He was tickling the baby.*	*He was tickling the baby, wasn't he?*
interrogative	*Was he tickling the baby?*	*Was he tickling the baby, was he?*[7]
imperative	*Tickle the baby!*	*Tickle the baby, won't you?*

Table 1.4 A paradigm for MOOD and TAGGING including function structure

	not tagged	tagged
declarative	*He was tickling the baby.* Subject^Finite...	*He was tickling the baby, wasn't he?* Subject^Finite... ...Finite^Subject
interrogative	*Was he tickling the baby?* Finite^Subject	*Was he tickling the baby, was he?* Finite^Subject... ...Finite^Subject
imperative	*Tickle the baby!* –	*Tickle the baby, won't you?* – ... Finite^Subject

Paradigm as system networks

- System networks to show more dimensions (3 or more)
- Square brackets: alternative choice (system); braces: inclusive choice (system network)

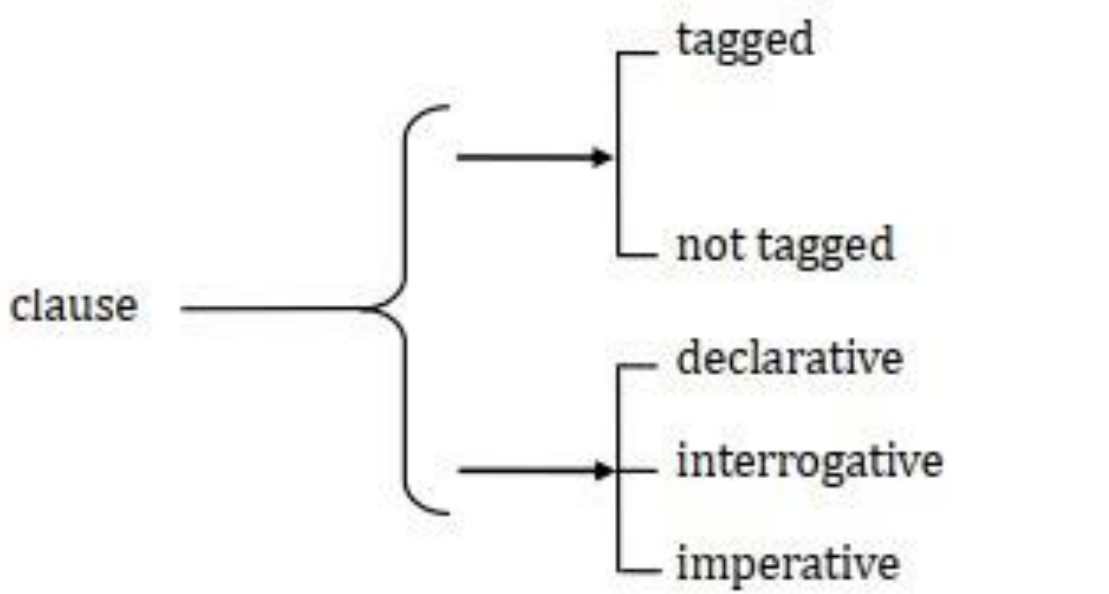


Figure 1.11 A system network for MOOD and TAGGING

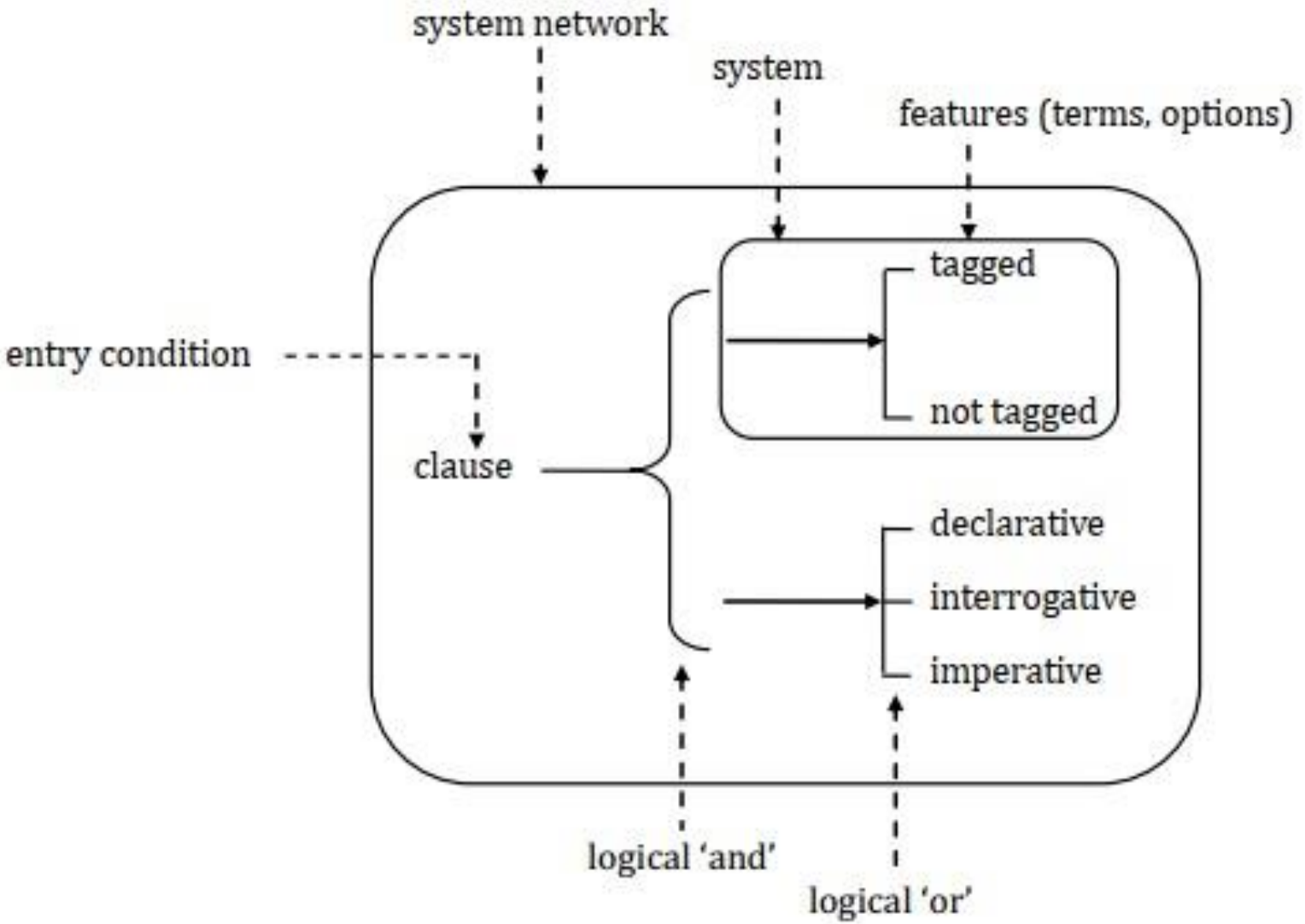


Figure 1.12 Naming the parts of a system network

- A system network of this kind can be derived from any paradigm (including three dimensional cubes) by turning names of rows and columns into sets of choices

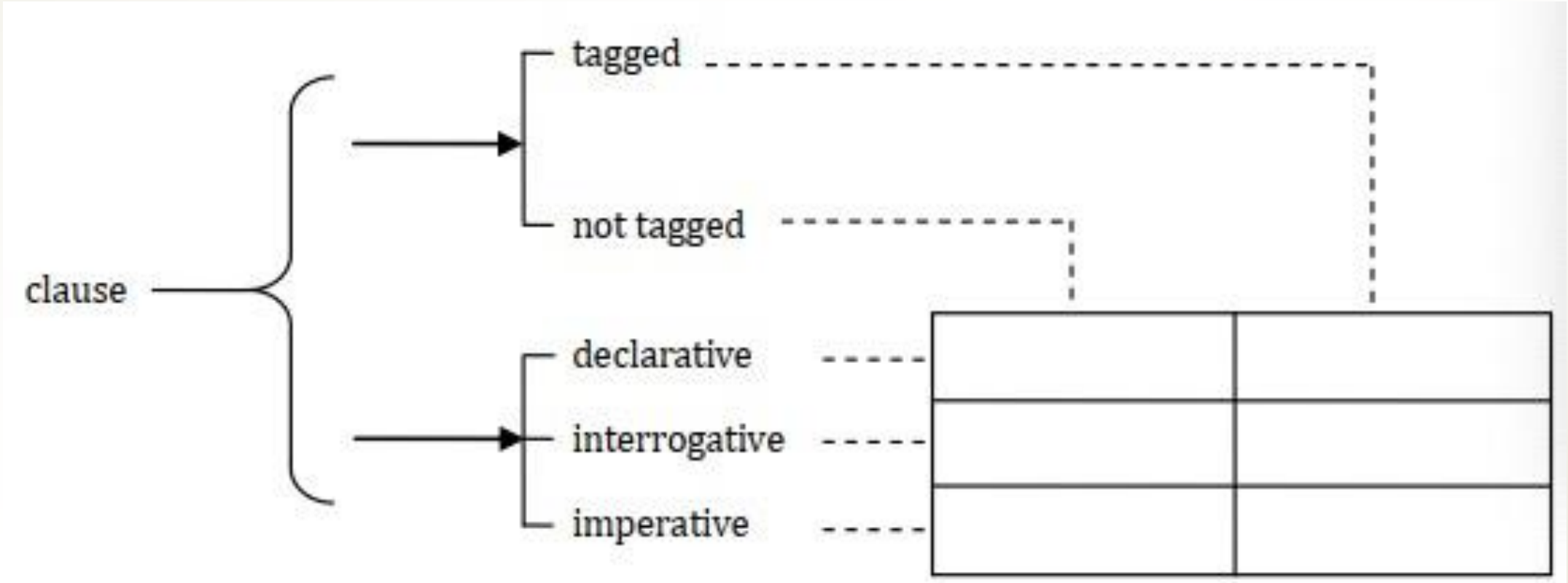


Figure 1.13 Deriving a system network from a two-dimensional paradigm

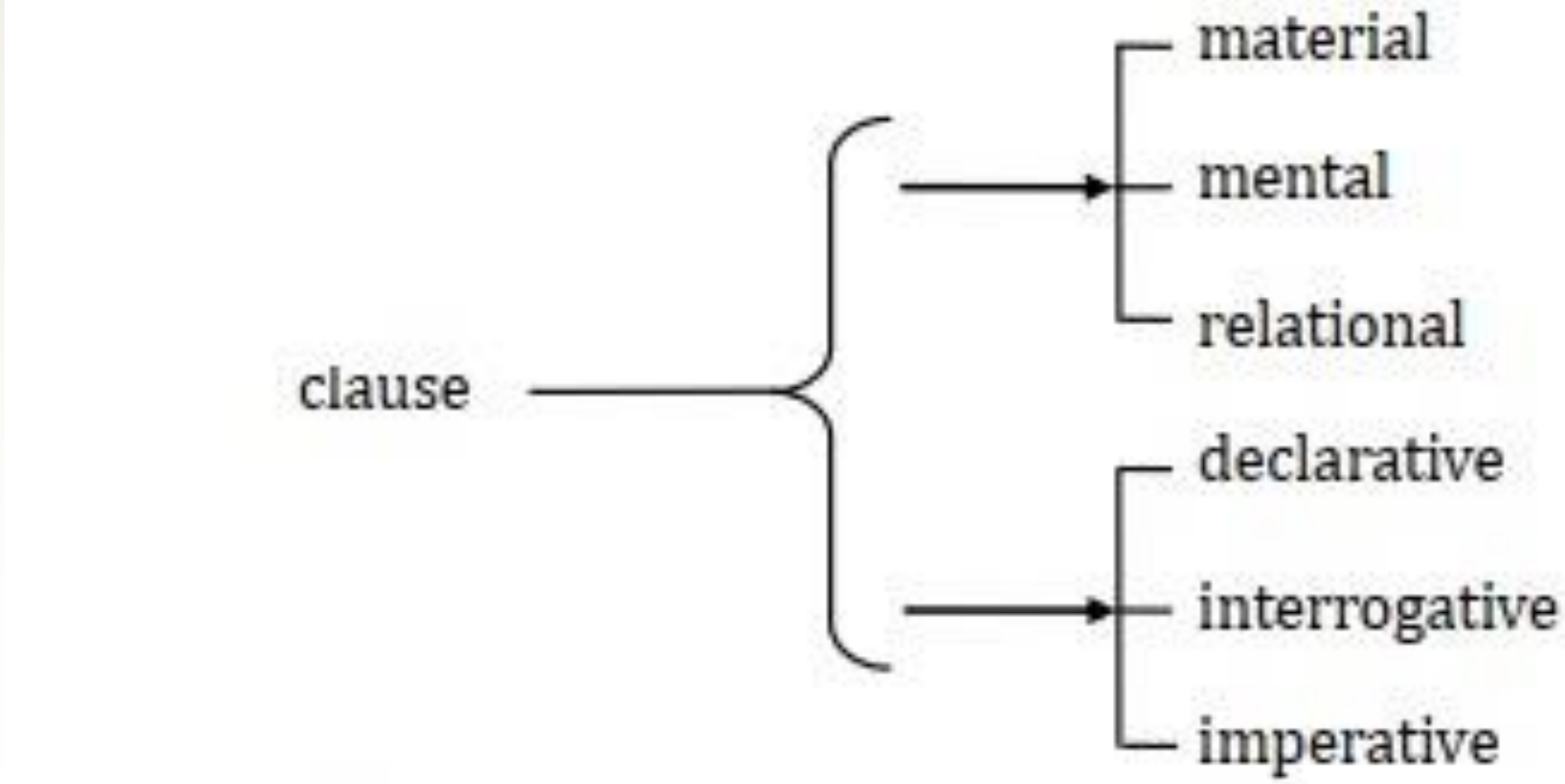


Figure 1.14 A simple network for English PROCESS TYPE and MOOD

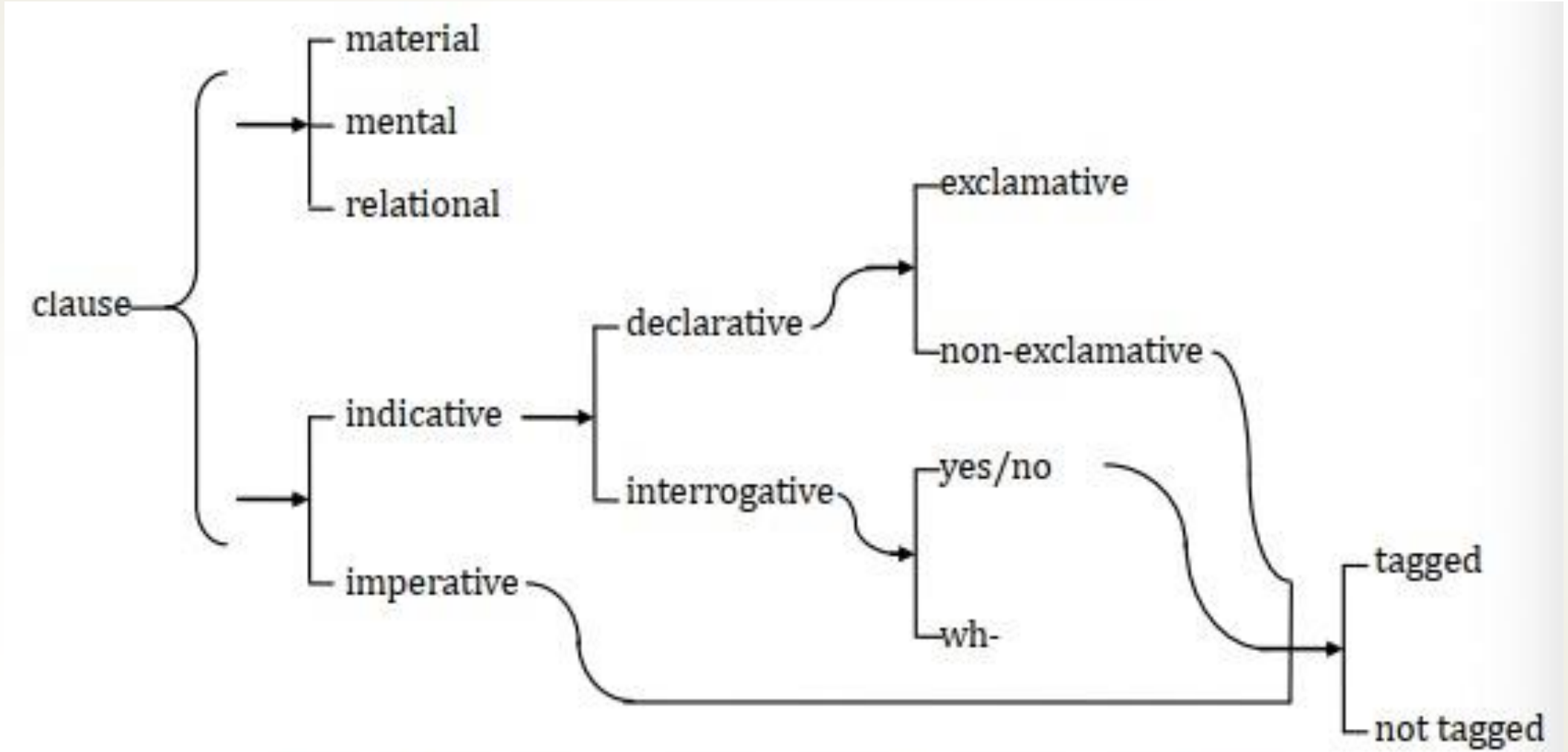


Figure 1.15 A more developed network for English MOOD

8 Choice and constituency

- Alongside bundles of choices organised by metafunction, we can also interpret constituency in terms of bundles of options.

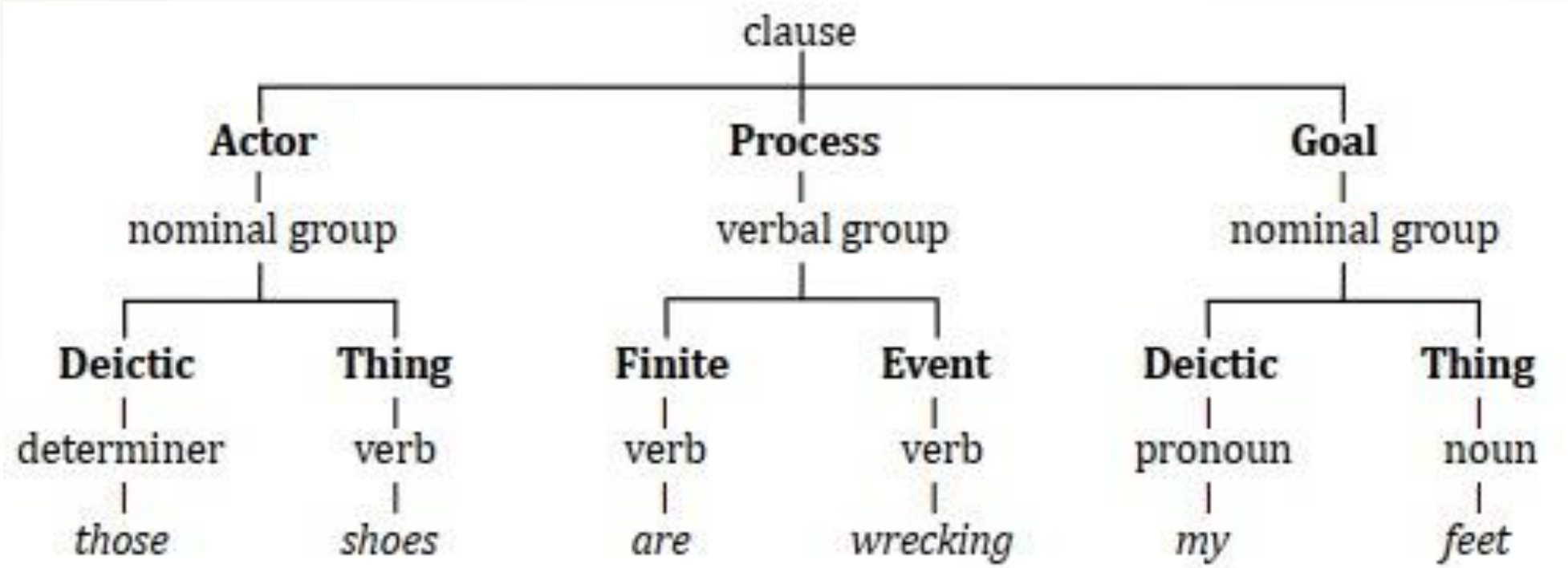


Figure 1.16 Clause structure

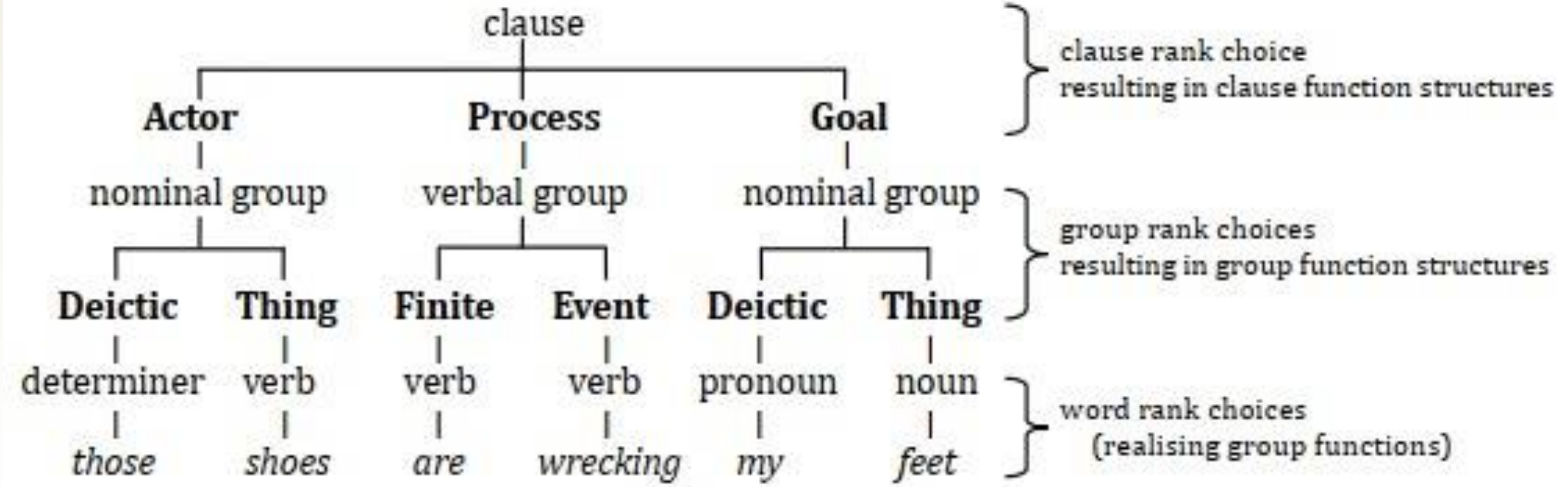


Figure 1.17 Ranked units: underlying systems of choice and function structures

- Embedding: rankshift/ downranking

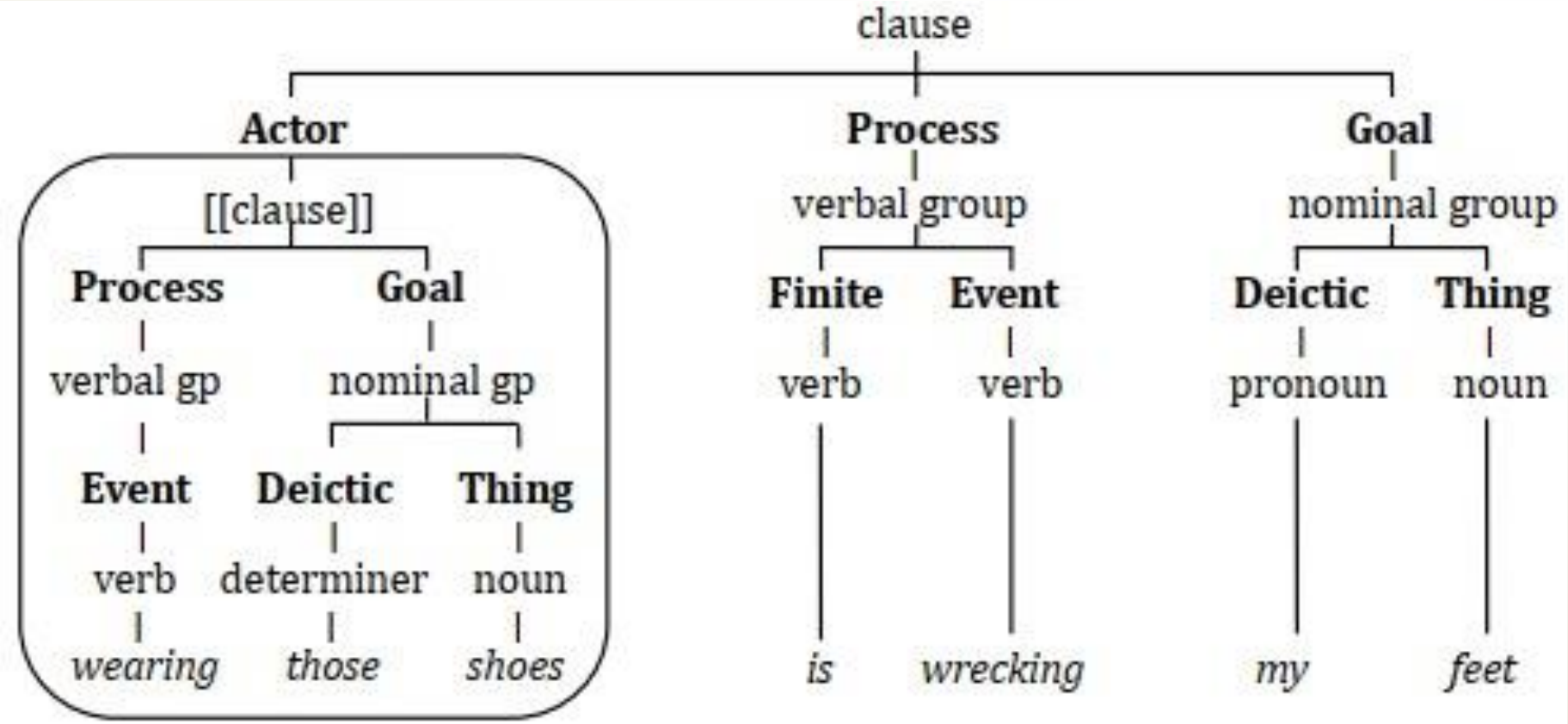


Figure 1.18 Clause structure with one element being realised by an embedded clause instead of an ordinary nominal group

- Complexing

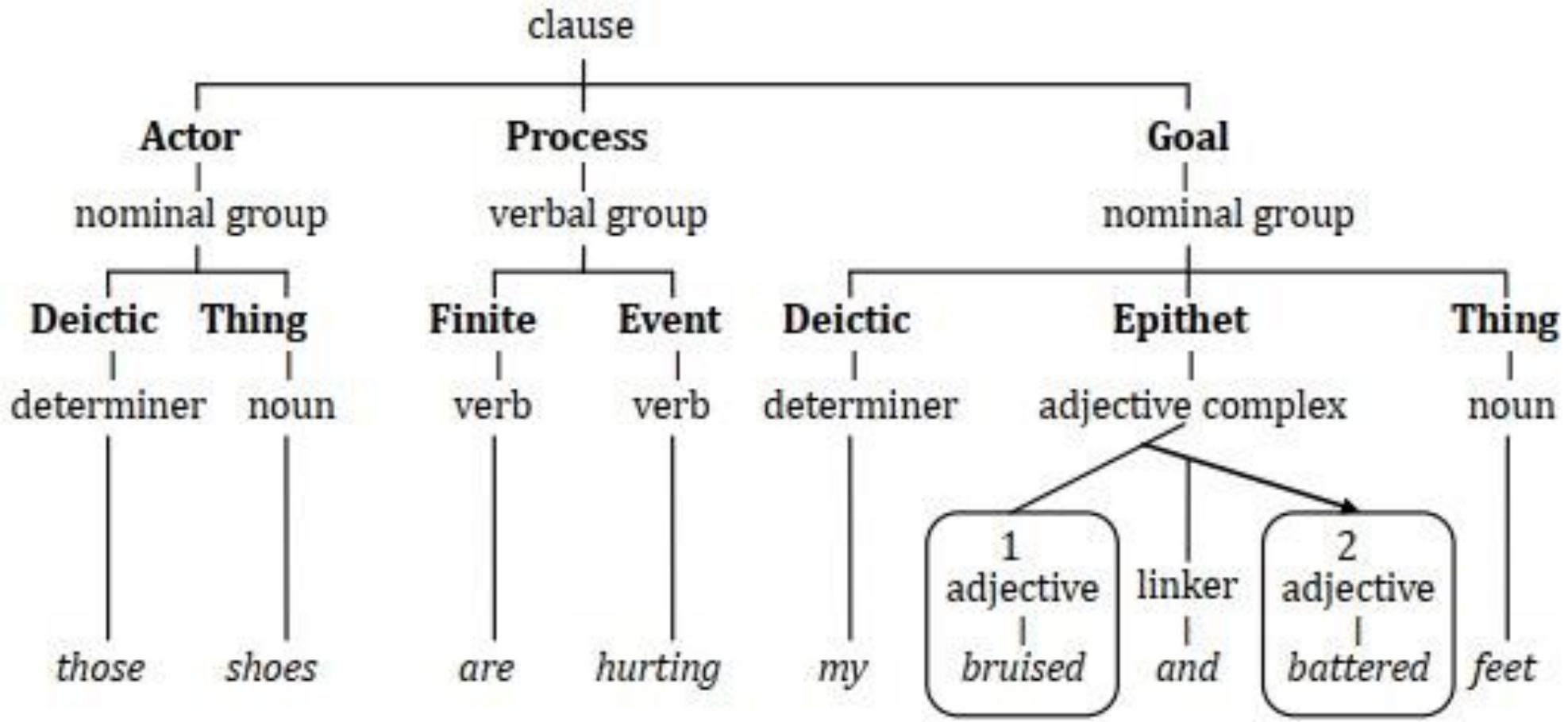
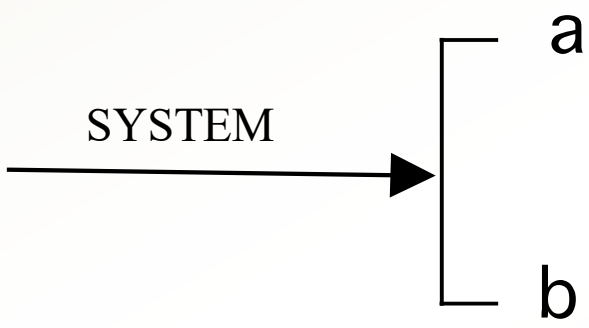


Figure 1.20 Clause structure with a word complex

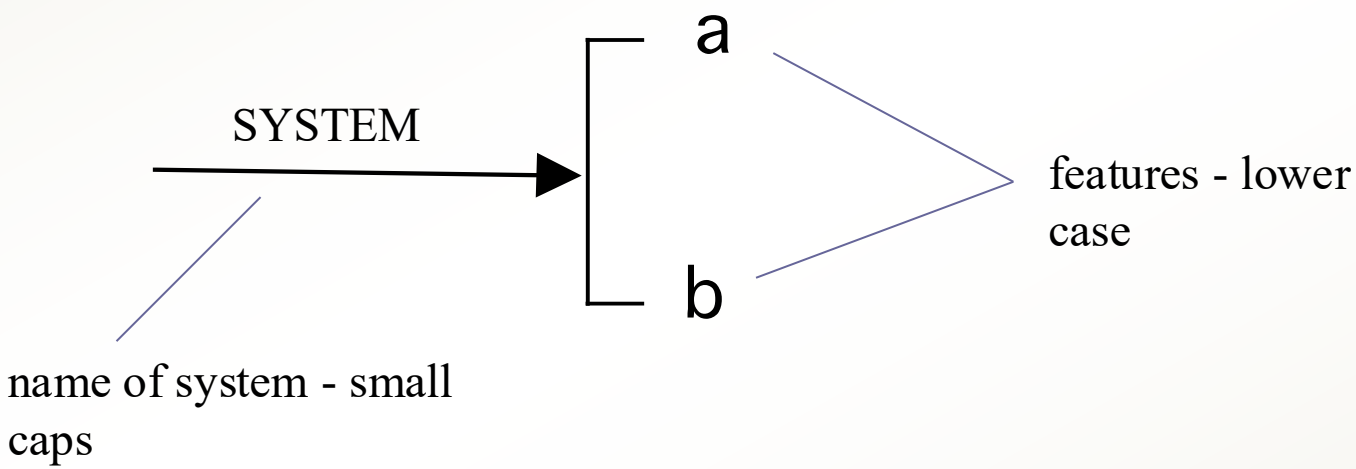


Systems

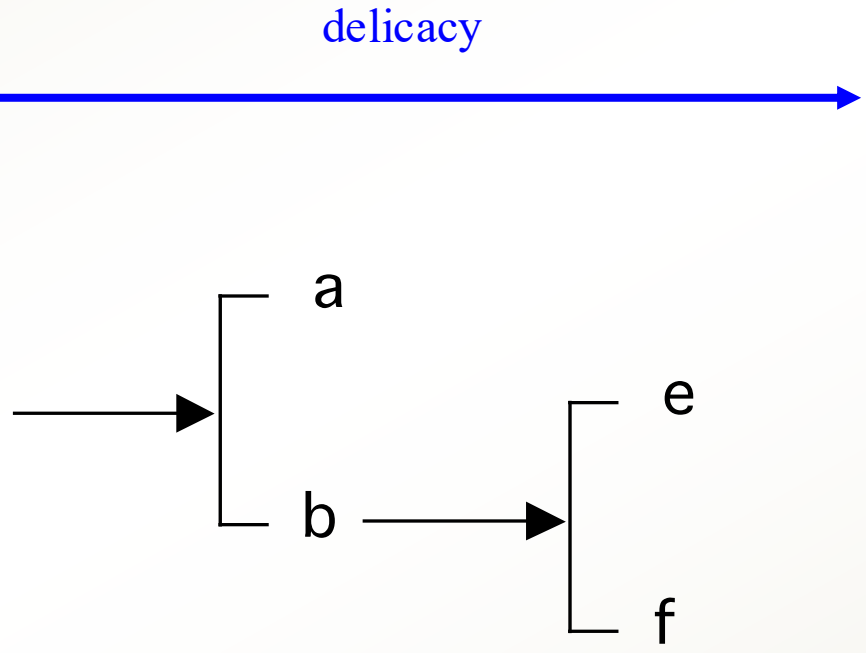
name of system…



Systems

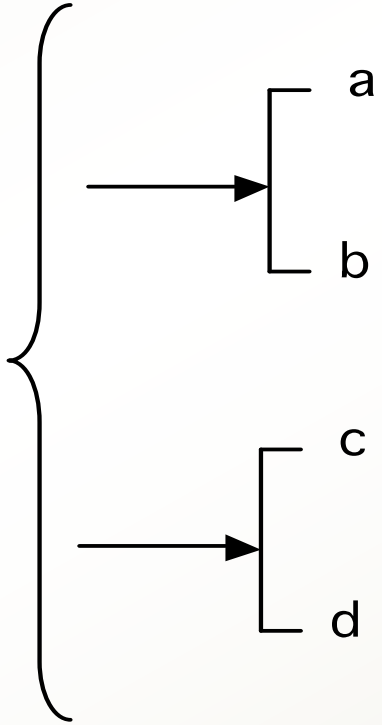


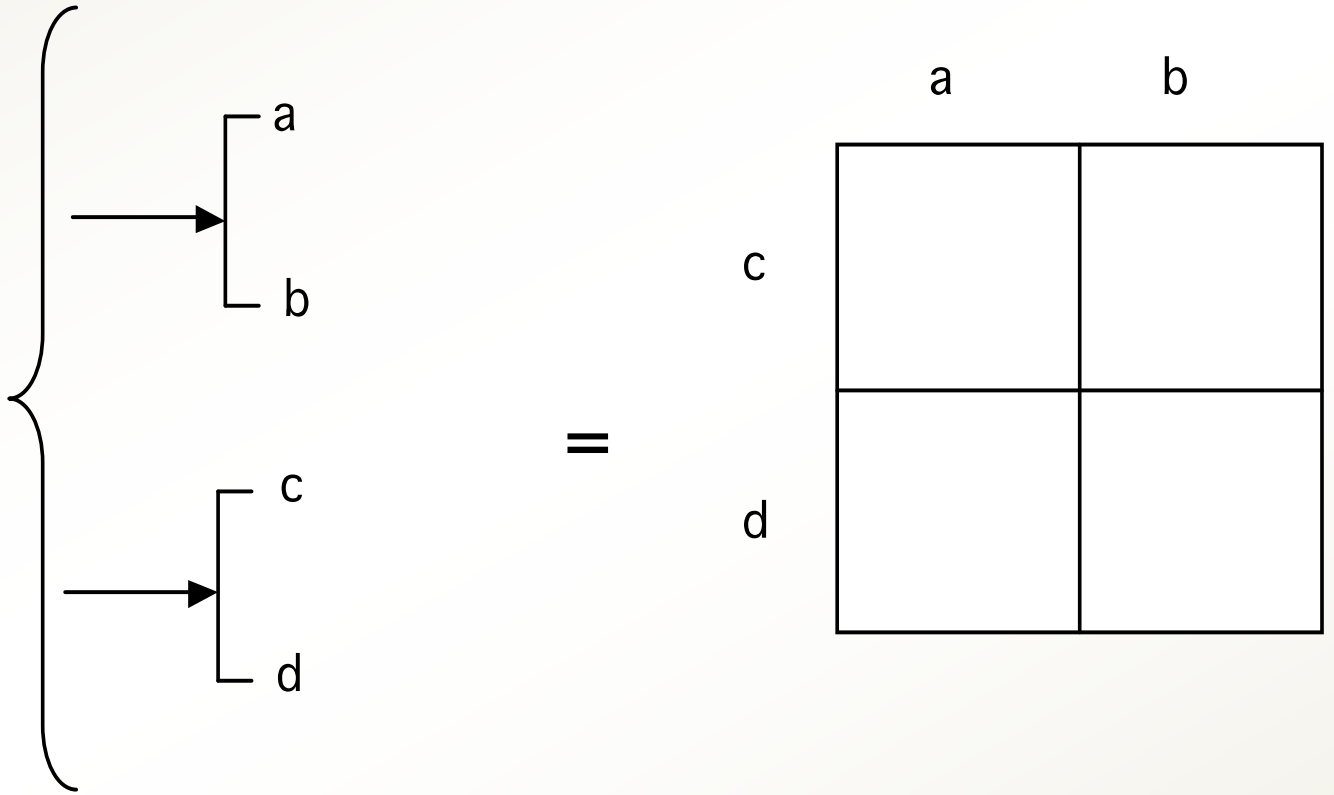
entry condition… if [b] then choose [e] or [f]



simultaneous systems -

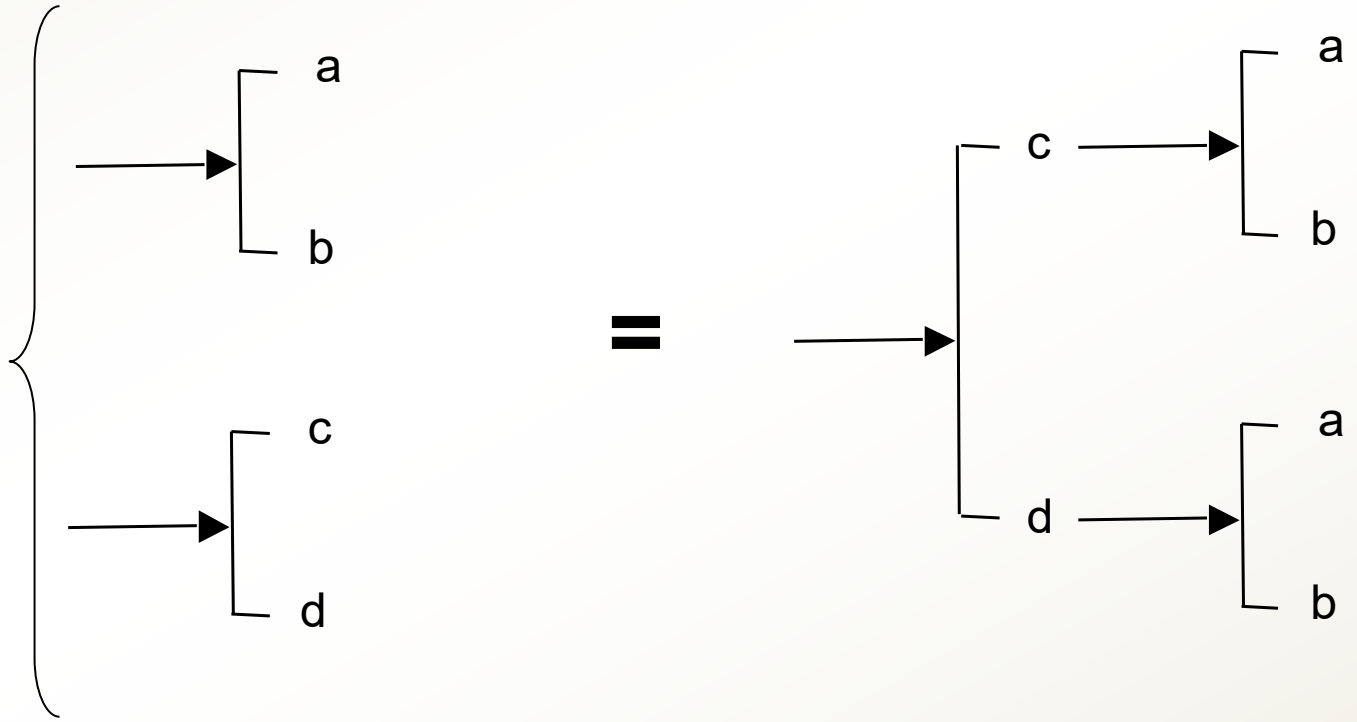
choose [a] or [b] and choose [c] or [d]




a
b
c
d
=
a
b
c
d

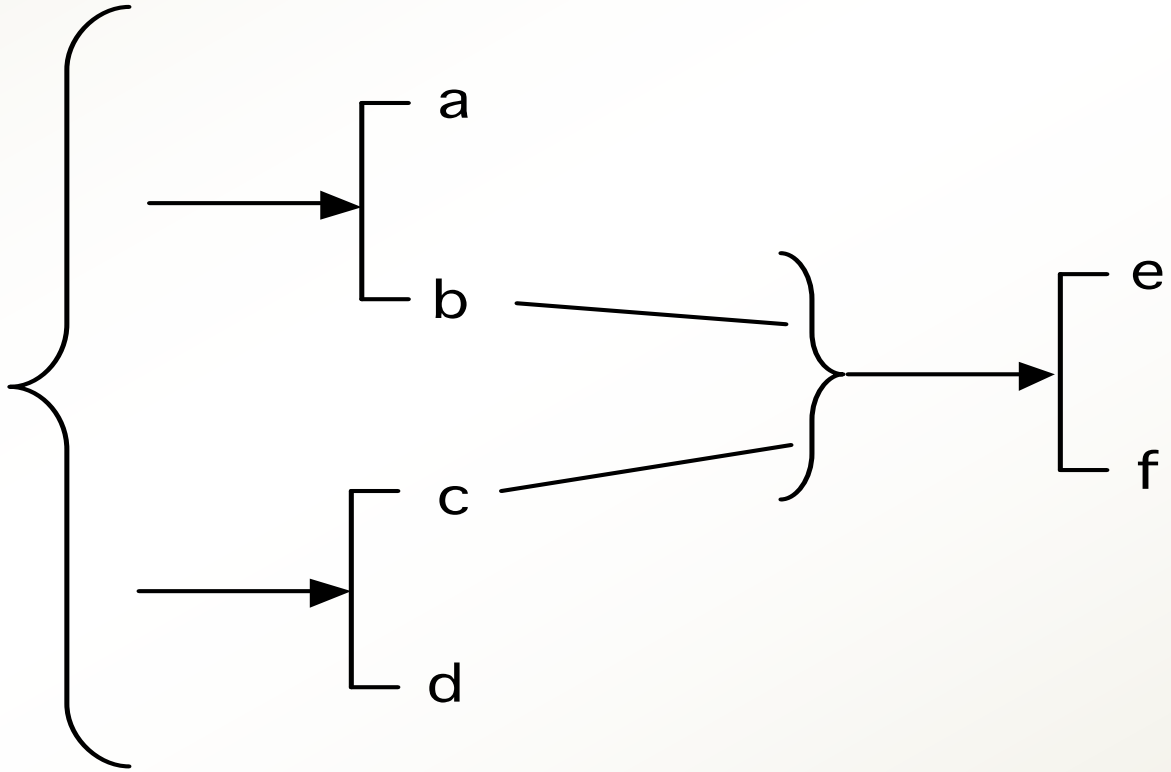
display network (no ‘and’ brackets)…

arbitrary delicacy!



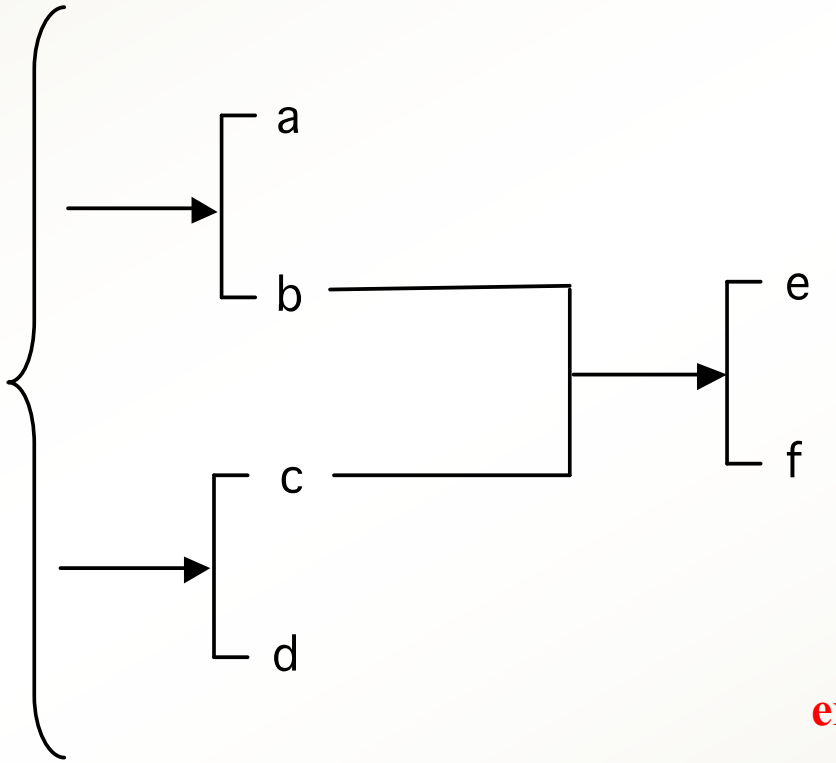
simultaneous systems -

affording conjunctive entry condition to system [e/f]

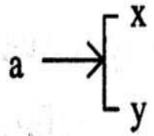
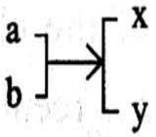
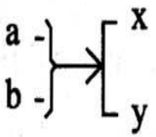
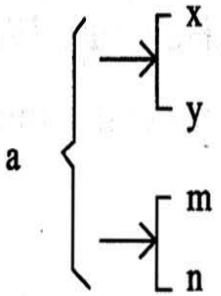
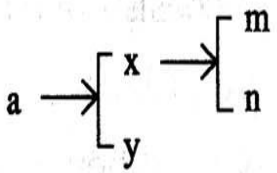


simultaneous systems -

affording disjunctive entry condition to system [e/f]

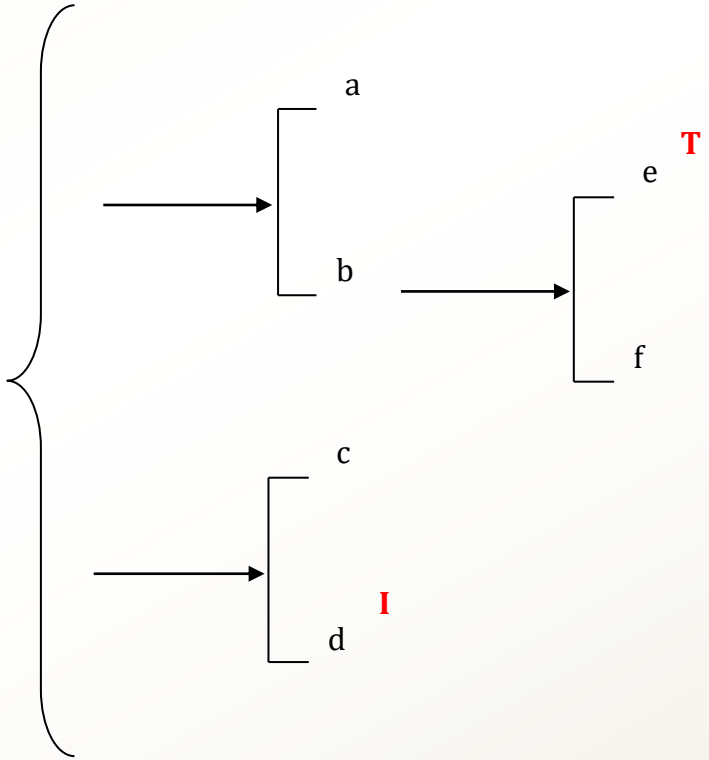


extreme inelegance!!

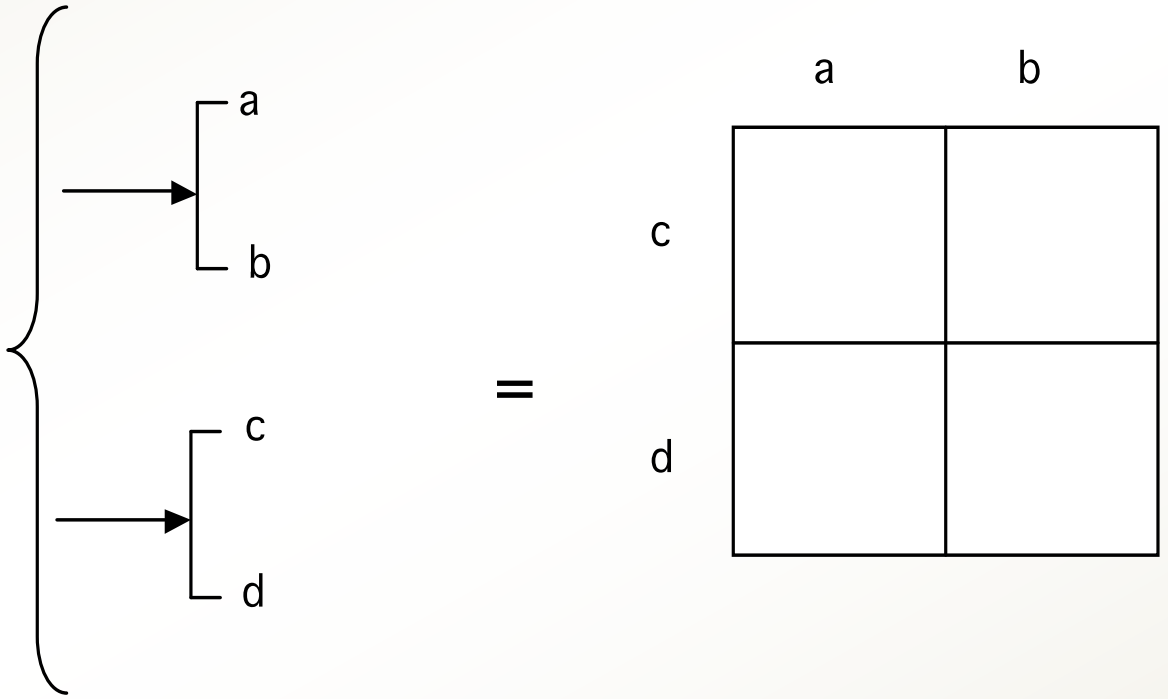
	**system:** if 'a', then 'x' or 'y' — abbreviated as 'a: x/y'
	**disjunction in entry condition:** if 'a/b',then 'x/y'
	**conjunction in entry condition:** if 'a' and 'b' (abbreviated as 'a & b'), then 'x/y'
	**simultaneity:** if 'a', then simultaneously 'x/y' and 'm/n'
	**delicacy ordering:** if 'a', then 'x/y'; if 'x', then 'm/n'

simultaneous systems -

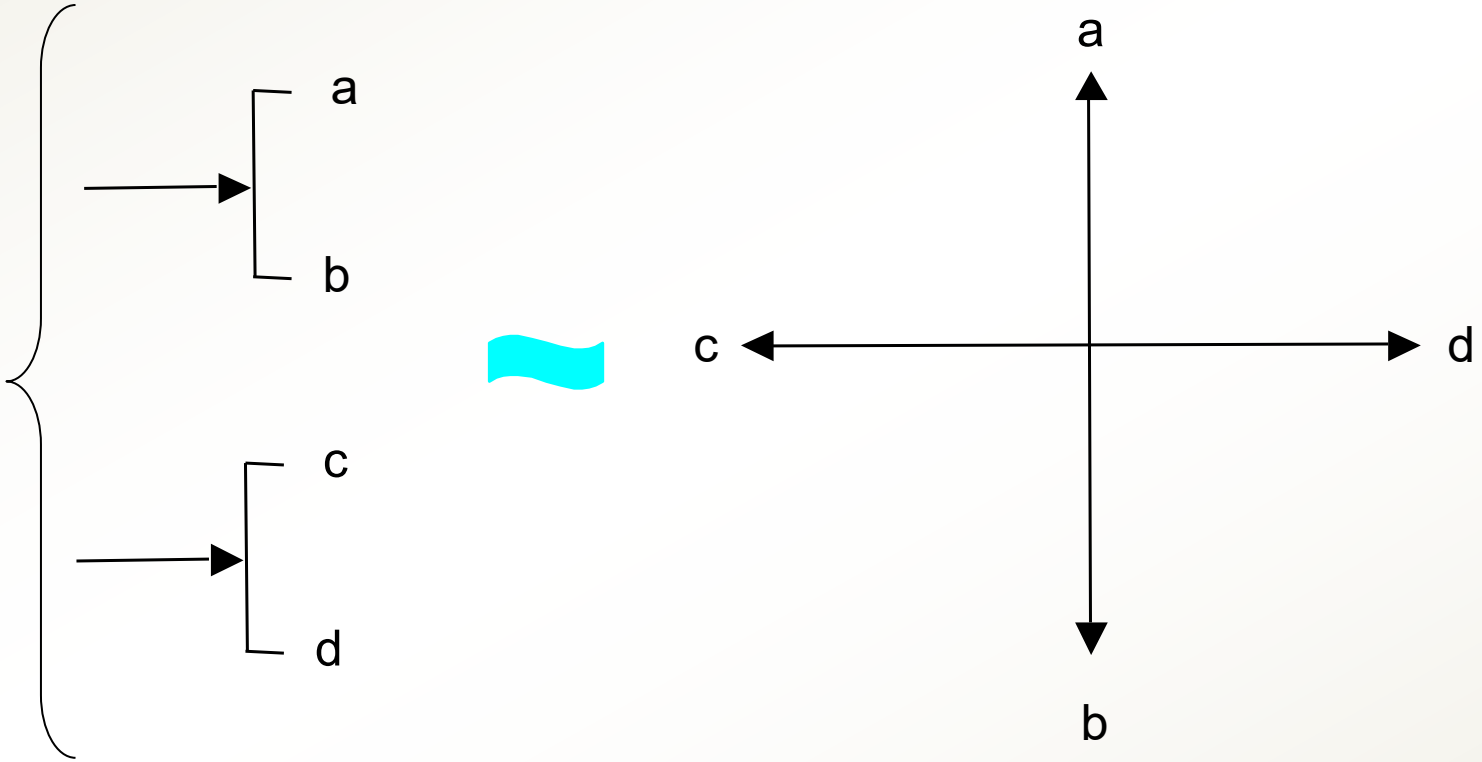
affording If/Then feature combination specification



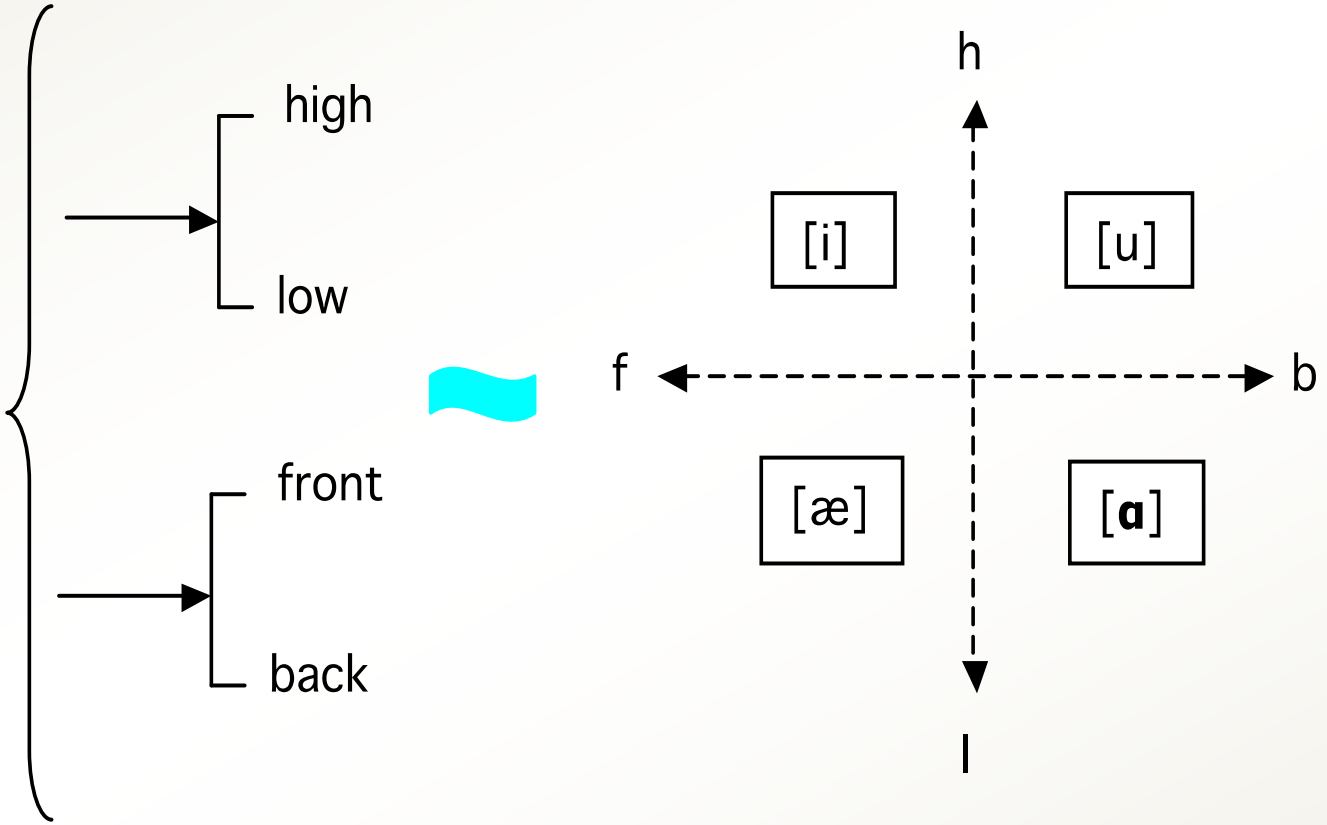
simultaneous systems and paradigms…



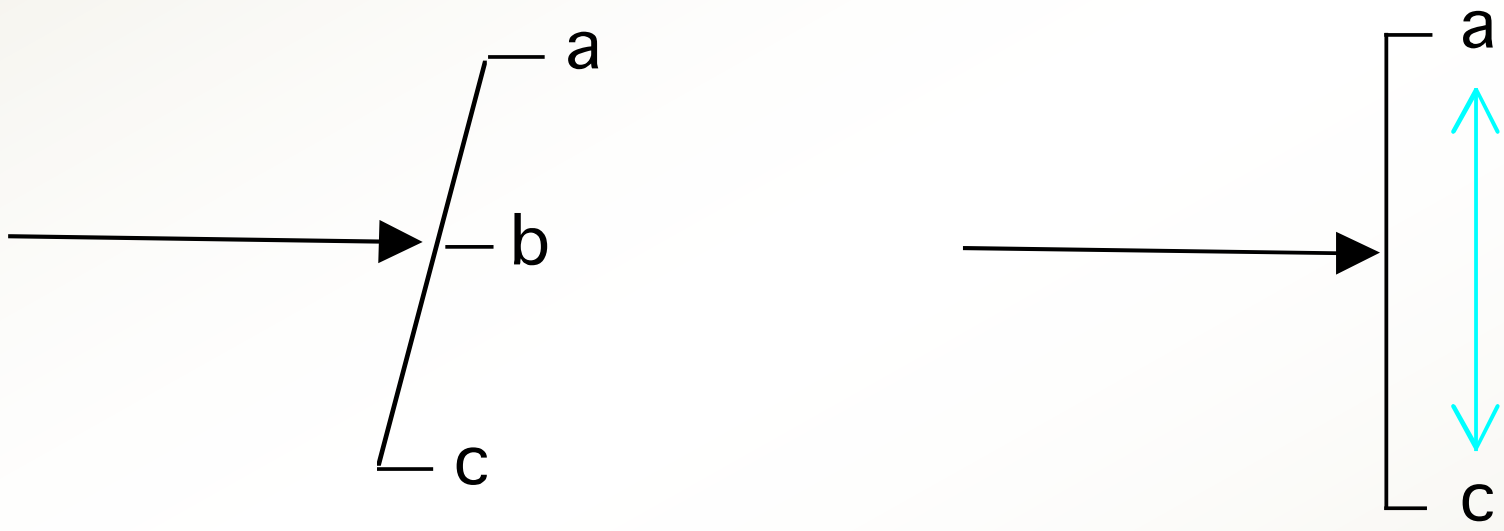
simultaneous systems and topology…



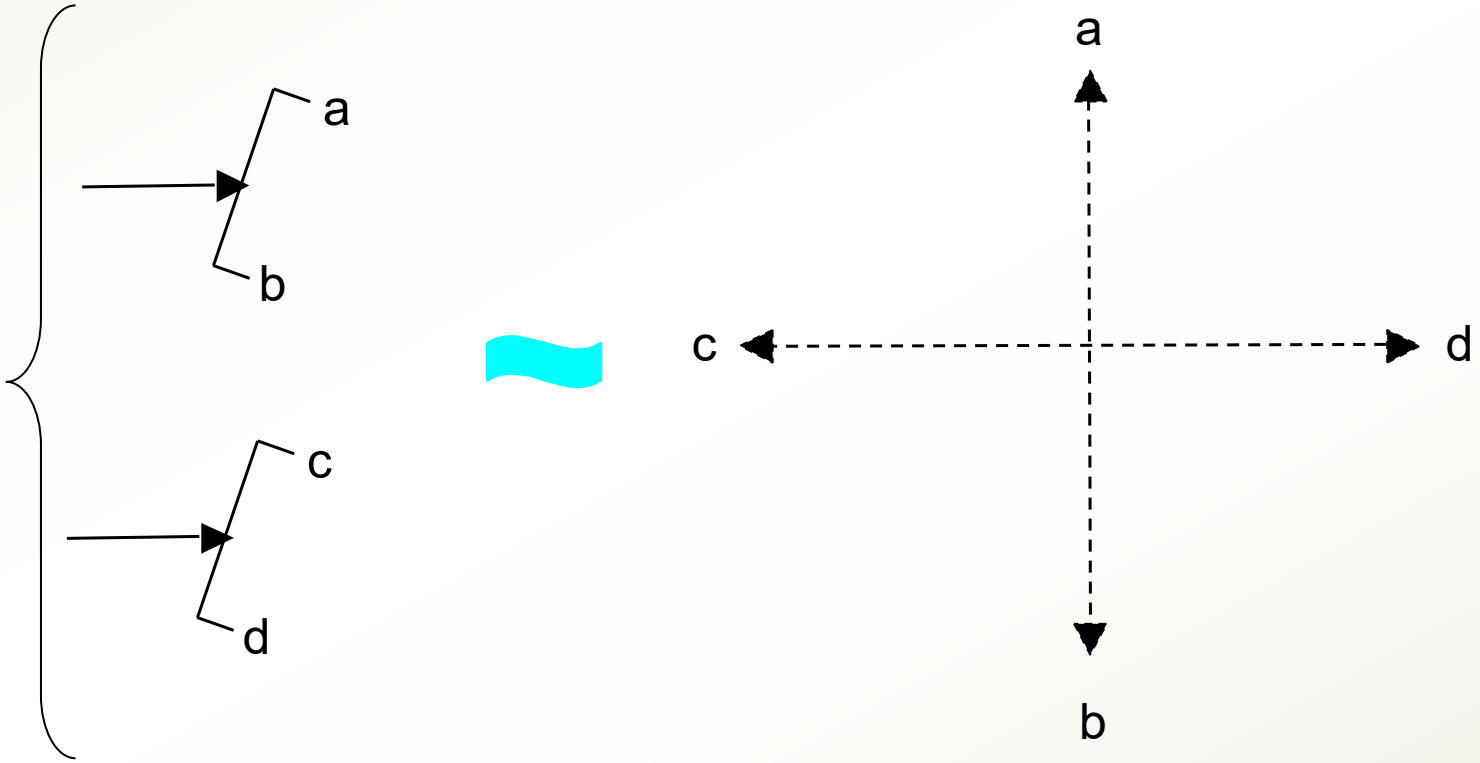
simultaneous systems and topology… eg vowels



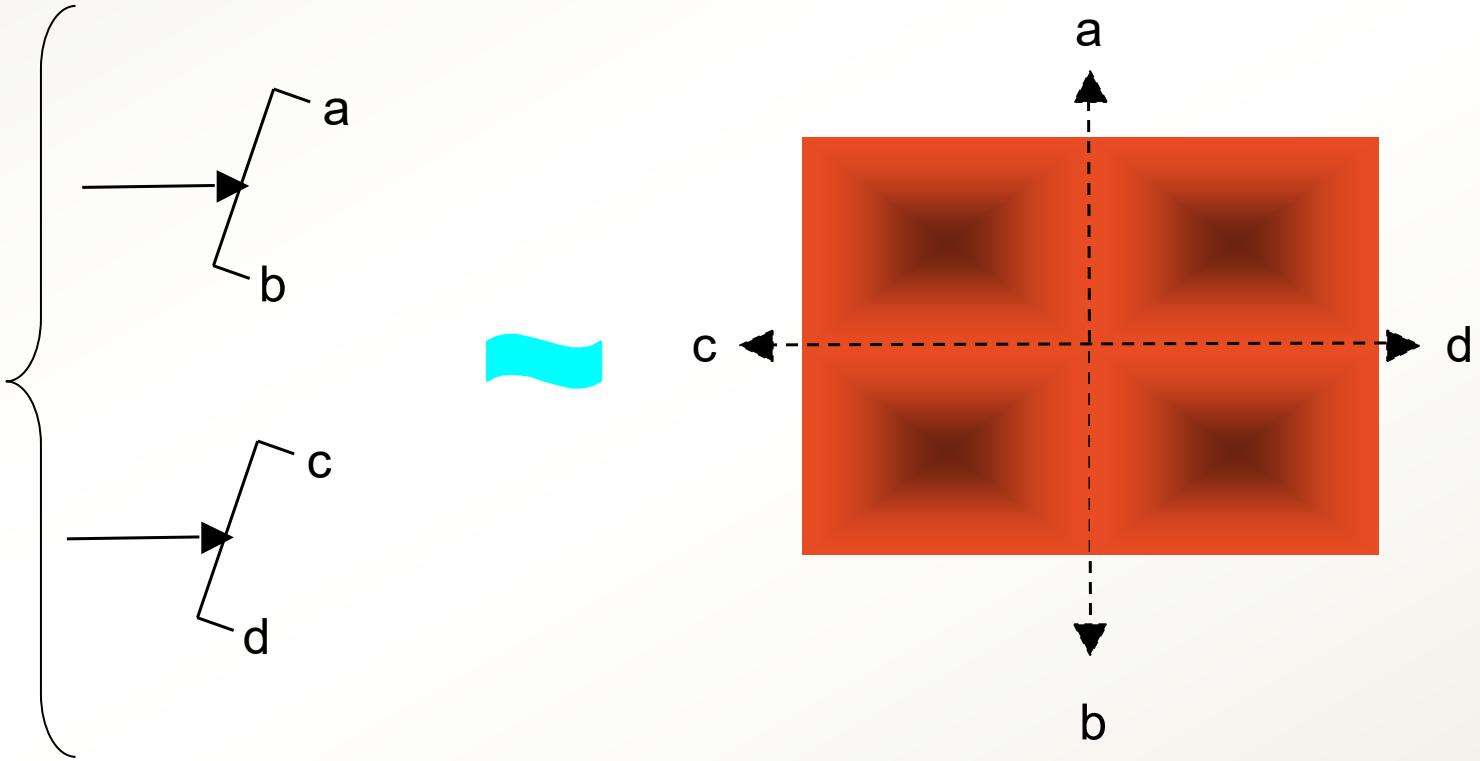
clined systems…



- clined systems (typology) and topology…

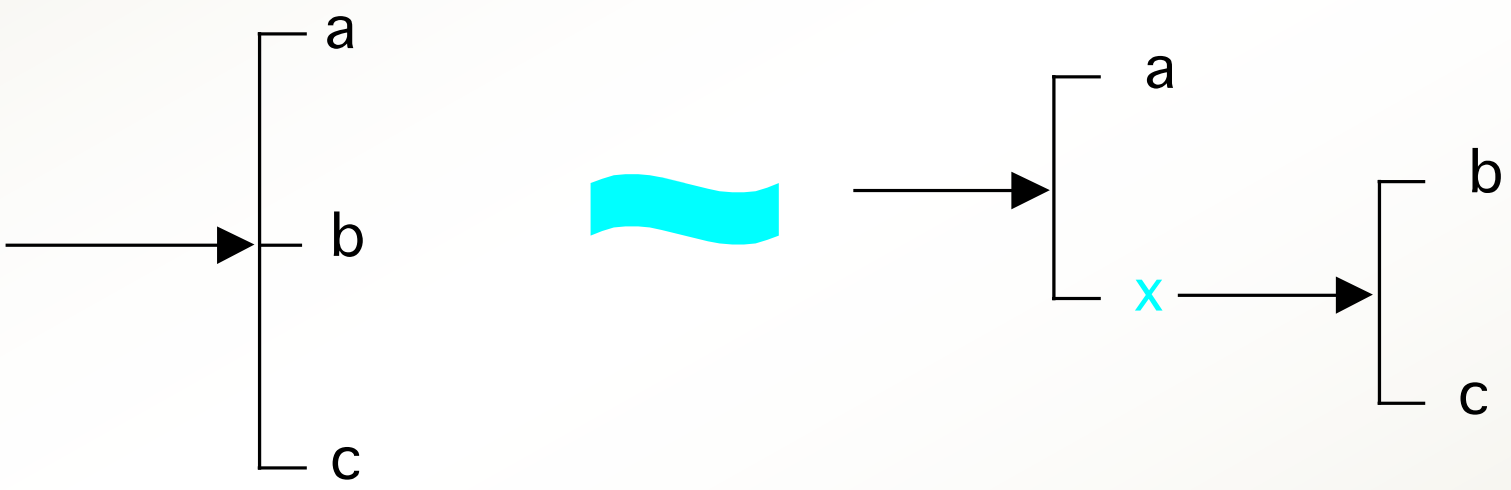


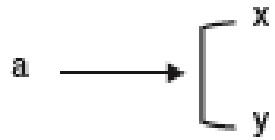
- simultaneous clined systems (typology) and topology…



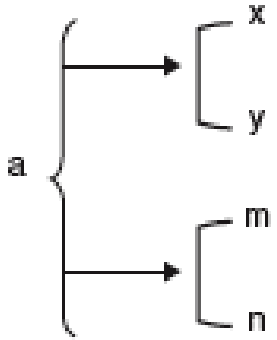
3 feature systems…

missing generalisation??

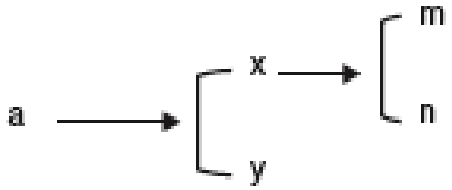




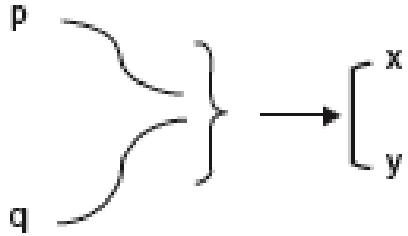
there is a system x/y with entry condition a
[if a, then either x or y]



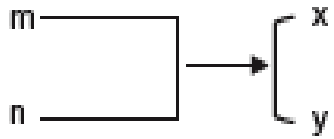
there are two "simultaneous" systems x/y and m/n both having entry condition a
[if a, then both (i) either x or y and (ii) either m or n]



there are two systems x/y and m/n, one dependent on the other; x/y has entry condition a and m/n has entry condition x
[if a, then either x or y; if x, then either m or n]



there is a system x/y with conjunct entry condition p and q (note: p and q must be features from different systems, otherwise they could not cooccur)
[if both p and q, then either x or y]



there is a system x/y with disjunct entry condition either m or n
[if either m or n, or both, then either x or y]



x is unmarked with respect to a [if a, then always x]
(note: any paired symbol may occur, usually accompanied by "i...t" or "→...→" 'if ... then')



x is unmarked with respect to all environments
[if any tangential feature, then always x]

