مادة النحو

الامتحان النهائي

5 Grammar: Structure
5.1 Structures: Their Places and Elements

At the level of grammar, the patterns along the axis of chain are called *structures.* Structures involve likeness and repetition. The sentences

Ex. 5.1 *Theodore opened the door politely*

Ex. 5.2 *Some people sing operatic arias in their bath*

are alike. Something observable in the first sentence recurs in the second. Because they are alike, because something from the first sentence is repeated in the second, we can say that they have the same pattern. The sentences are alike in three main ways.

- Firstly, they are alike in that each can be divided into four parts. Because they can be divided into four parts, they have a structure which consists of four *places.*

- Secondly, they are alike in the things which fill these places in structure; that is, in the *elements* of their structure. *Theodore*, *some people*, *the cat* and *these mistakes* are alike in that each is playing the same part in its respective sentence. Each is acting as the *subject* of its sentence. The sentences are alike in that the structure of each consists of the elements: subject, predicator, complement and adjunct.

- Thirdly, they are alike in that the structure of each contains only one *occurrence* of each of its elements.

Structures consist of places which are filled by occurrences of elements. By saying this we can account for three different kinds of likeness between different sentences.

1. The subject, predicator, complement and adjunct kind of structure is one kind of English grammatical structure.

2. Another kind of English grammatical structure is exemplified by the underlined stretches of the sentences

Ex. 5.7 *<u>The boys nextdoor</u> are friends of my niece*

Ex. 5.8 *<u>Old houses nearby</u> were destroyed by the fire*

Ex. 5.9 *The mistakes were <u>very common indeed</u>*

Ex. 5.10 *John couldn't swim <u>quite quickly enough</u>.*

Each underlined stretch can be divided into three parts; each has a structure consisting of three places. In each underlined stretch the places are filled by the elements *modifier*, *headword* and *qualifier.*

3. Another kind of English grammatical structure is exemplified by the underlined stretches of the sentences

Ex. 5.13 *Peter swam <u>just beyond John</u>*

Ex. 5.14 *He got <u>nearly to France</u>*

Ex. 5.15 *The cat jumped <u>right over it</u>*

Ex. 5.16 *<u>Soon after that</u> Theodore said farewell.*

Each underlined stretch can be divided into three parts; each has a structure consisting of three places. In each underlined stretch the places are filled by the elements *before-preposition*, *preposition* and *completive.*

4. A fourth kind of English grammatical structure is exemplified by the underlined stretches of the sentences

Ex. 5.17 *Theodore's Jaguar <u>has run down</u> a cat*

Ex. 5.18 *The books we were expecting <u>have turned up</u> at last*

Ex. 5.19 *Bill <u>had rung up</u> Mary every night that week*

Ex. 5.20 *The assistant secretary <u>has taken over</u> the secretaryship.*

Again the structure of each of these stretches of language has three places and again the places are filled by one occurrence of each of these elements. The elements of this kind of structure are *auxiliary verb*, *verb* and *extension of verb.*

5. A fifth kind of English grammatical structure is exemplified by the underlined stretches of language in the sentences *Debunkers* and *unkindnesses* each have a structure consisting of four places. The first place in each is filled by the element *prefix,* the second place by the element *base,* the third by the element *suffix*, and the fourth by the element *ending. Paintings* has a structure of three places filled by the elements base, suffix, ending. *Paintpots* has two occurrences of the base element and one occurrence of the element ending. *Geese* has a base element which we find also in *goose.* It also has a change of vowel indicating plurality. We could perhaps describe this change of vowel as an *infix. Goings-on* has a base, a suffix and an ending and then something else tacked on. We could perhaps call this something else an *addition. Sisters-in-law* would then have the structure: base, ending, addition.

6. A sixth kind of English grammatical structure is exemplified by the sentences

Ex. 5.31 *After she had been scratched by the cat, Aunt Jemima shooed it away*

Ex. 5.32 *Since time is pressing, we'd better go*

Ex. 5.33 *If you like, I'll call for you.*

Each of these sentences has a structure of two places, the first being filled by a *subordinate* element of structure and the second being filled by a *main* element of structure.

(Symbols or abbreviations are usually used for the elements of structure:

α = main element, β = subordinate element;
S = subject, P = predicator, C = complement, A = adjunct;
m = modifier, *h* = headword, *q* = qualifier;
b = before-preposition, *p* = preposition, *c* = completive;
a = auxiliary verb, *v* = verb, *e* = extension of verb.

5.2.1 Formal Items

The first kind of 'simple' pattern to be considered is the kind which consists of *formal items* occurring in sequences. Formal items are actual bits of language which represent elements of structure. The sentences

Ex. 5.1 *Theodore opened the door politely*

Ex. 5.2 *Some people sing operatic arias in their bath*

Ex. 5.3 *The cat scratched Aunt Jemima by accident*

Ex. 5.4 *These mistakes were very common last year*

each have an s element. In Ex. 5.1 the element s is represented by the formal item *Theodore;* in Ex. 5.2 it is represented by the formal item *some people;* in Ex. 5.3 by the formal item *the cat;* and in Ex. 5.4 by the formal item *these mistakes.* Similarly, these four sentences each have a **P** element. In Ex. 5.1 the element p is represented by the formal item *opened;* in Ex. 5.2 it is represented by the formal item *sing;* in Ex. 5.3 by the formal item *scratched;* and in Ex. 5.4 by the formal item *were.*

5.2.2 Sequence

The formal items which represent the elements of structure occur one after another in a *sequence.* The position which a formal item occupies in a sequence is one of

the clues which enable us to recognize the element of structure which the formal item is representing. In

Ex. 5.44 *John congratulated Theodore*

the formal item *John* is representing the element s.

The most usual order of elements for the **S, P, C, A** kind of structure, for example, is **SPCA** (though certain kinds of adjunct more usually occur in other positions). But **PSCA, CPSA, ASPC** and various other combinations and permutations are also possible. In order to recognize an element of structure from the position in sequence of a formal item it is necessary to take into account the unusual orders of elements of the structure as well as the most usual order.

The most usual order of elements for a structure is called the *unmarked* version of the structure. The unmarked version, because it is the most usual, is the one we expect. Because it is the one we expect, it is the one we notice least. There is nothing in it to mark it out in such a way as to particularly attract our attention. The less usual orders of elements are *marked* versions of the structure. They run counter to our expectancy. Their unusualness attracts our attention and marks them out as being something different from the ordinary. This is why

Ex. 4.2 *Authority I respect but authoritarianism I deplore* is more emphatic than

Ex. 4.3 *I respect authority but I deplore authoritarianism.*

Each half of Ex. 4.2 has the structure **CSP,** a marked version of the S, P, **C, A** kind of structure. Each half of Ex. 4.3 has the structure **SPC,** the unmarked version of the structure. Ex. 4.2 attracts more attention than Ex. 4.3.

Sequences of formal items represent orders of elements. The sequences of formal items can provide us with clues to the elements of structure and their orders.

5.2.3 Class

The formal items which occur in sequences can be divided into *classes.* Any formal item is more likely to represent certain elements of structure than to represent others, and on this basis it can be assigned to a class. The formal items *opened, sing, scratched, were, has run down, have turned up, had rung up, has taken over, couldn't swim* are all more likely to represent the element p than to represent any other element. The name which we give to this class of items, the class of items which usually represent the element p, is the *verbal group.* Similarly, the formal items *politely, in their bath, by accident, last year, just beyond John, nearly to France, right over it, soon after that* are all more likely to represent the element **A** than to represent any other element. These items too can be grouped together with all the other formal items like them and assigned to a particular class. This class of

items is called the *adverbial group.* When there is a great deal of overlap between two classes, we combine the two classes into a *cross-class',* that is, we fuse the two classes into one and treat them as if they were indeed one class. The cross-class of items which represent s and/or c is called the *nominal group.*

5.2.4 Type

When we divide formal items into types, we are dividing them on the basis of their own structure. If we were to divide the formal items into types on the basis of their own structure, we should arrive at rather different groupings.

a, v, e TYPE	*b, p, c* TYPE	*m, h, q* TYPE
scratched	*just beyond John*	*very politely*
couldn't swim	*nearly to France*	*quite quickly enough*
has run down		*the door*
have turned up		*operatic arias*
		the boys nextdoor
		old houses nearby

5.2.5 Function

Each element of structure has certain *functions* associated with it. The element s, for instance, usually has the function of expressing the *actor* of an action. It also usually has the function of expressing the *theme* of a sentence; that is, it refers to the topic about which the rest of the sentence is a comment. The element s also acts as a *mood marker*; that is, it is the stretch of a language which, by its position relative to the predicator, indicates whether a sentence is a statement or a question. A fourth function which s usually has is that of *number and person marker*; that is, it is the stretch of language which is related to the predicator in such a way as to determine the number and person of the predicator. In the example

Ex. 5.48 *John has gone to work by bus each day this week*

the element s is represented by the formal item *John.* 'John' is the actor of the action of going. 'John' is also the theme of the sentence, the topic about which the rest of the sentence is providing information. 'John' is also a mood marker; the fact that *John* comes before *has gone* instead of in the middle of it indicates that the sentence is a statement, not a question. 'John' is also a number and person marker; it determines that the form of the predicator will be *has gone* rather than *have gone.*

Ex. 4.2 *Authority I respect but authoritarianism I deplore*

I is in each half performing the functions of actor, mood marker and number and person marker. But 'authority' is what the first half of the sentence is really about and ' authoritarianism ' is what the second half of the sentence is really about.

Authority is performing the function of theme in the first half of the sentence, while *authoritarianism* is performing the function of theme in the second half of the sentence.

The functions associated with elements of structure, themselves form patterns.

For instance, the sentences

Ex. 5.3 *The cat scratched Aunt Jemima by accident*

Ex. 5.51 *John kicked the door in a temper*

each have the functional pattern actor + *action* + *goal* (the person or thing at which the action is directed) + *circumstance.*

ACTOR	ACTION	GOAL	CIRCUMSTANCE
The cat	*scratched*	*Aunt Jemima*	*by accident*
John	*kicked*	*the door*	*in a temper*

The two sentences also each have the functional pattern theme + *rheme* (the comment which is made about the theme of the sentence).

THEME	RHEME
The cat	*scratched Aunt Jemima by accident*
John	*kicked the door in a temper*

A third functional pattern which the two sentences have is that of *mood marker*1 + *mood marker*2 + *support* (the rest of the message).

MOOD MARKER[1]	MOOD MARKER[2]	SUPPORT
The cat	*scratched*	*Aunt Jemima by accident*
John	*kicked*	*the door in a temper*

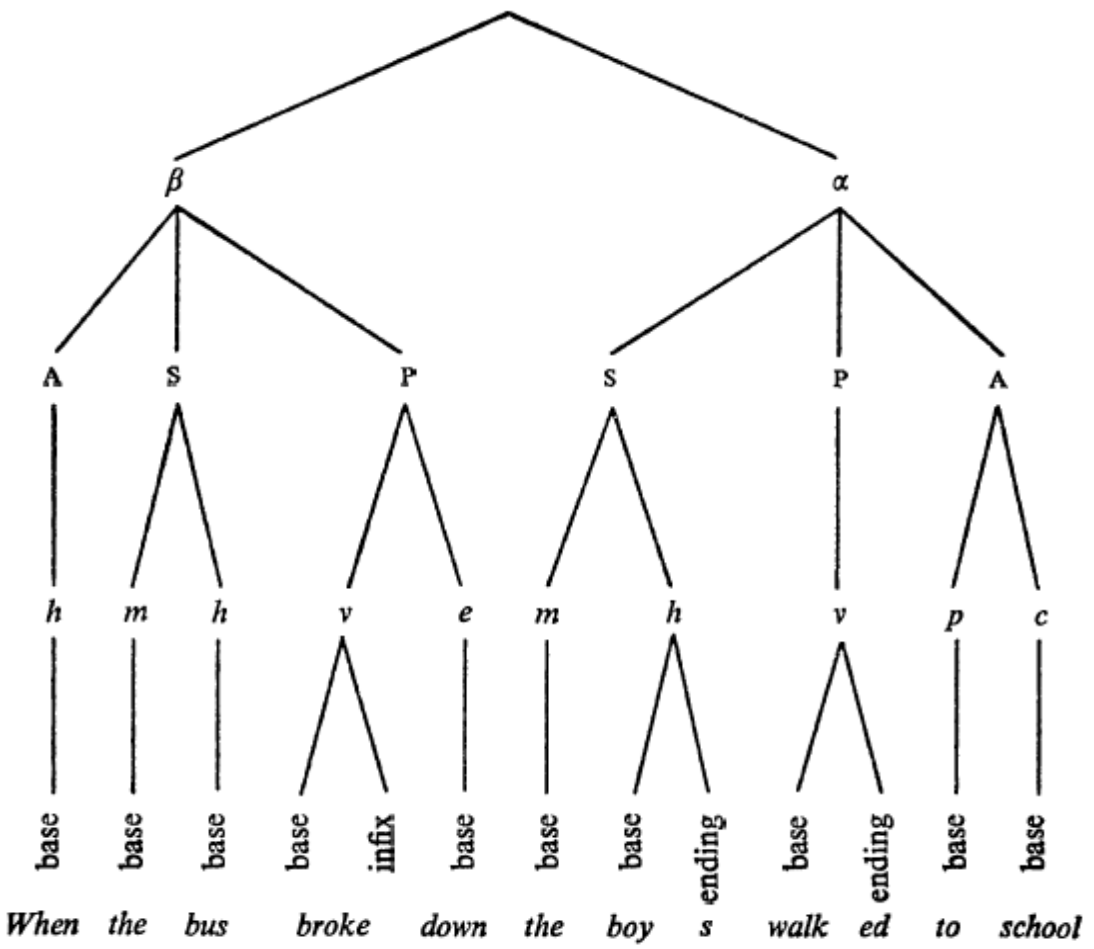
A fourth functional pattern which the two sentences have is very similar to the third, consisting of *number and person marker*1 + *number and person marker*2 + *remainder.*

Ex. 5.3	*The cat*	*scratched*	*Aunt Jemima*	*by accident*
Class of formal item	nominal group	verbal group	nominal group	adverbial group
Type of formal item	*m, h, q*	*a, v, e*	*m, h, q*	*p, c*
Functional patterns	actor	action	goal	circumstance
	mood marker[1]	mood marker[2]	support	
	number and person marker[1]	number and person marker[2]	remainder	
	theme	rheme		

5.3 Depth

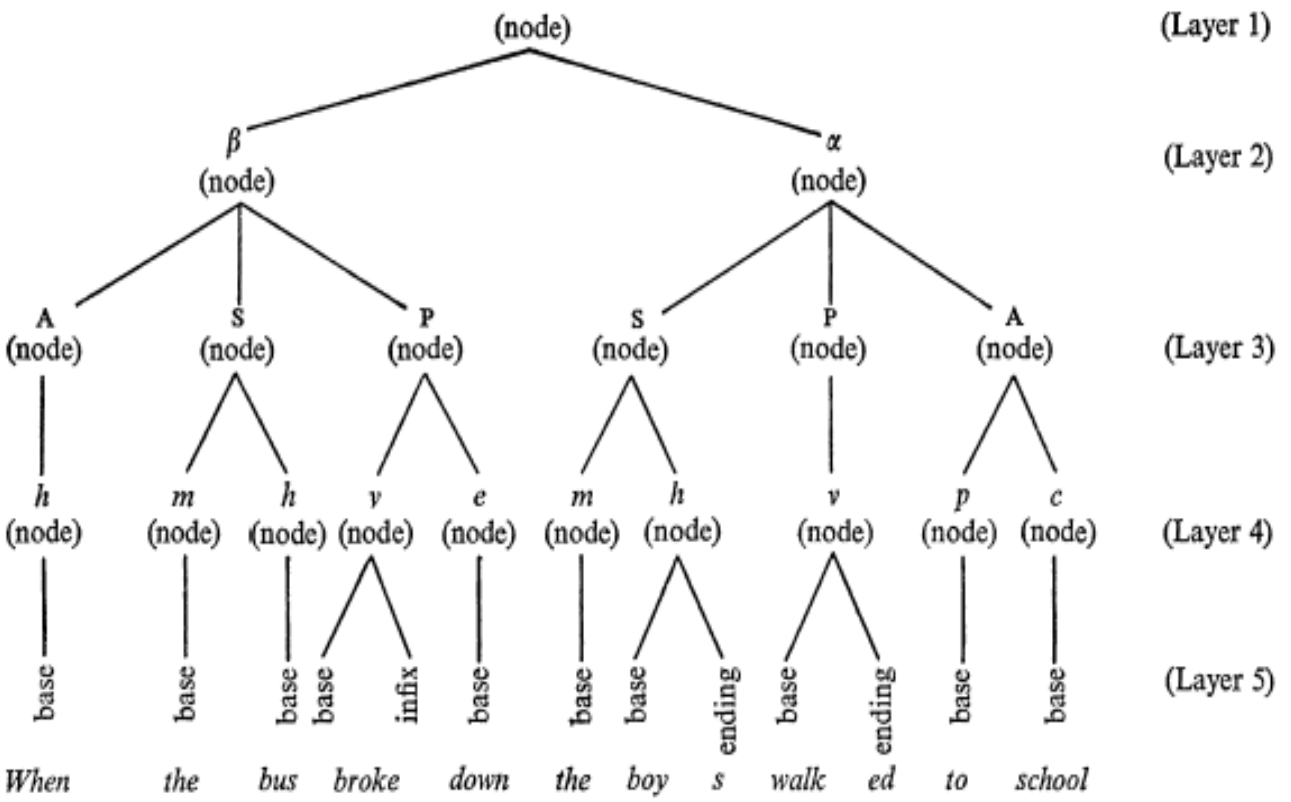
Different structures appeared at different stages of the cutting process. We can in fact arrange the structures of a given stretch of language on a scale according to the stages of the cutting process at which they appeared, the structures which appeared earliest in the cutting process coming at the top of the scale, the structures which appeared latest coming at the bottom. We call this scale the scale of *depth.* This kind of analysis, in which we make a series of sets of cuts in a stretch of language in order to arrive at its structures, is sometimes called *immediate constituent* (*IC*) analysis. The scale of depth arranges the structures of a stretch of language according to whether their elements are immediate constituents of the stretch of language, ultimate constituents of the stretch of language, or something in between. The kind of tree-diagram used in linguistics to show the relative depths of different structures is usually called a *structural tree.*

FIGURE 5.3 *Structural Tree Showing the Relative Depths of the Structures of Ex. 5.52*



A structural tree, has *layers*, the lines of symbols representing elements of structure, and *nodes,* the points at which branching takes place or at which branching might have taken place.

FIGURE 5.4 *Structural Tree of Ex. 5.52 Showing Layers and Nodes*



6 GRAMMAR: UNITS

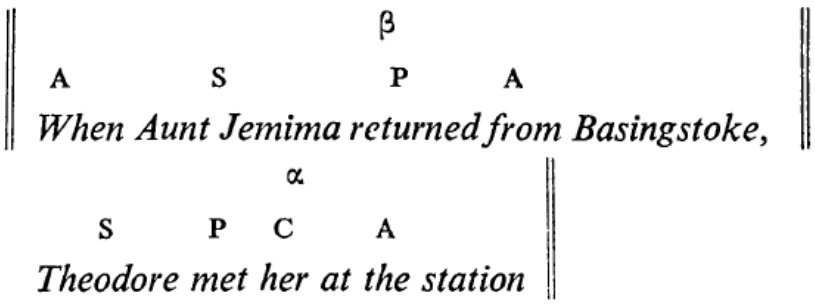
6.1 UNITS

Elements of structure are represented by formal items. These formal items are of different sizes. The different sizes of formal items are called **units**.

The units of English grammar include **the sentence, the clause, the group, the word and the morpheme**. In each unit, the smaller units combine to form the larger units; or the larger units consist of the smaller units. This means that morphemes are combined to form words; words are combined to form groups; groups are combined to form clauses; and clauses are combined to form sentences.

In grammar, each unit can be identified in two ways: by the part it plays in the structure of a larger unit and also by its own structure. This means by the elements of the sentence or by the element itself.

Any clause will be playing the part of an α element or a β element in a sentence. It will have **a** structure which consists of one or more of the elements **S, P, C, A.** For example:



In the following sentences:

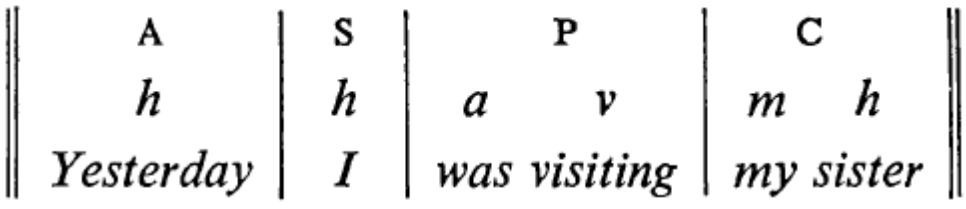
- Whistling merrily, he cycled down the road
- His job finished, he went home
- To win the prize, he must work harder.

each of the underlined sections is acting as a β element in a sentence, just as is each of the underlined sections of the following sentences:

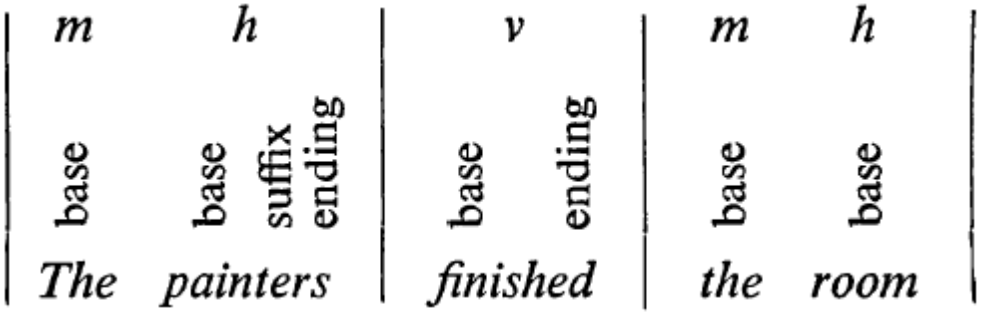
- John, who was whistling merrily, cycled down the road.
- When his job was finished, he went home.
- If he is to win the prize, he must work harder.

Also, **Whistling merrily** has the structure **PA, His job finished** has the structure **SP** and **To win the prize** has the structure **PC.**

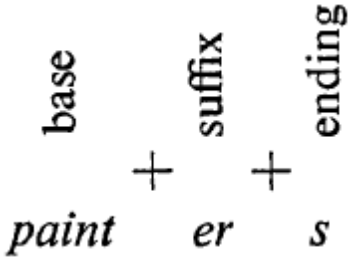
Any group will be playing the part of an S element, a **P** element, a **C** element or an **A** element in the structure of a clause. It will have a structure which consists of one or more of the elements ***m, h, q*** or one or more of the elements ***b, p, c*** or one or more of the elements ***a,*** **v,** ***e***.



Any word will be playing the part of one of the elements *m*, *h*, *q*, *b*, c, a, v, *e* in the structure of a group. It will have a structure which consists of one or more of the elements base, prefix, infix, suffix, ending, addition.



Any morpheme will be playing the part of one of the elements base, prefix, infix, suffix, ending, addition, in the structure of a word.



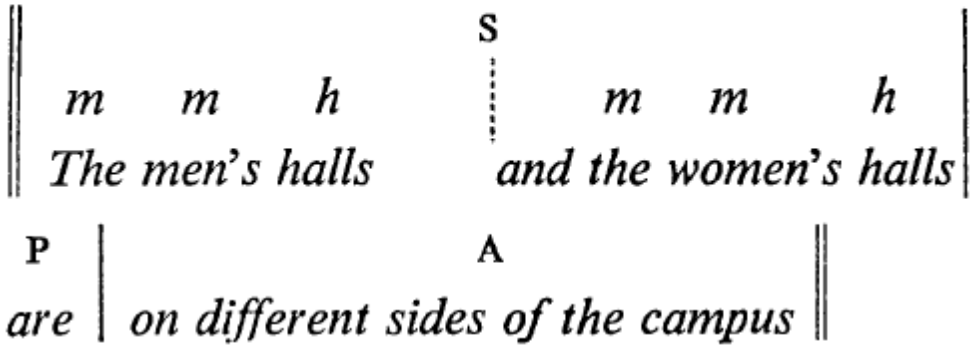
A morpheme can be identified in one way only, by reference to the part it plays in the structure of a word. A morpheme has no grammatical structure of its own as it is the smallest grammatical unit and therefore there are no smaller things from which it can be constructed.

A sentence can be identified in one way only. A sentence does have a structure of its own, but, being the largest grammatical unit, it cannot play a part in the structure of a larger unit. A sentence's own structure will consist of one or more of the elements α, β, as in the following sentence:

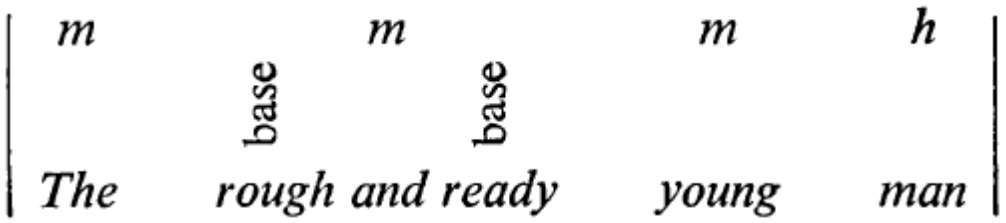
Note: Greek letters symbolize the elements of sentence structure, **capital letters** the elements of clause structure, and **lower-case letters** the elements of group structure, while **the names of the elements** of word structure have been written out in full.)

Units, then, are sizes of formal items. They are characterized by the elements of structure which they represent and/or by the structures which they themselves carry.

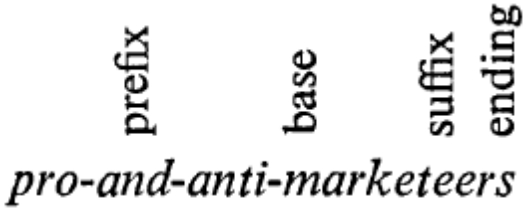
6.2 COMPLEX UNITS



The men's halls and the women's halls could be said to be a group since it is acting as the **s** element of a clause, it has a structure which consists of one or more of the elements **m, *h, q***. Also, ***The men's halls and the women's halls*** could be said to be more than one set of m, h, *q* elements. It is divisible into two parts each of which has the structure characteristic of a group. They represent **a *complex group***.

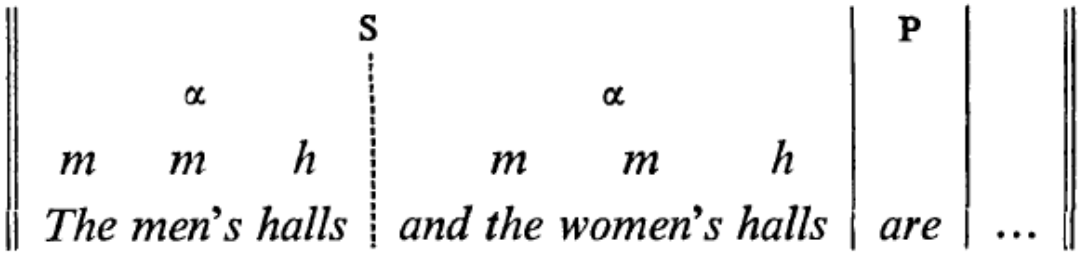


rough and ready could be said to be a word since it is acting as the *m* element of a group, it has a structure which consists of one or more of the elements base, prefix, infix, suffix, ending, addition. However, it is divisible into two parts, *Rough and ready* is **a *complex word***.

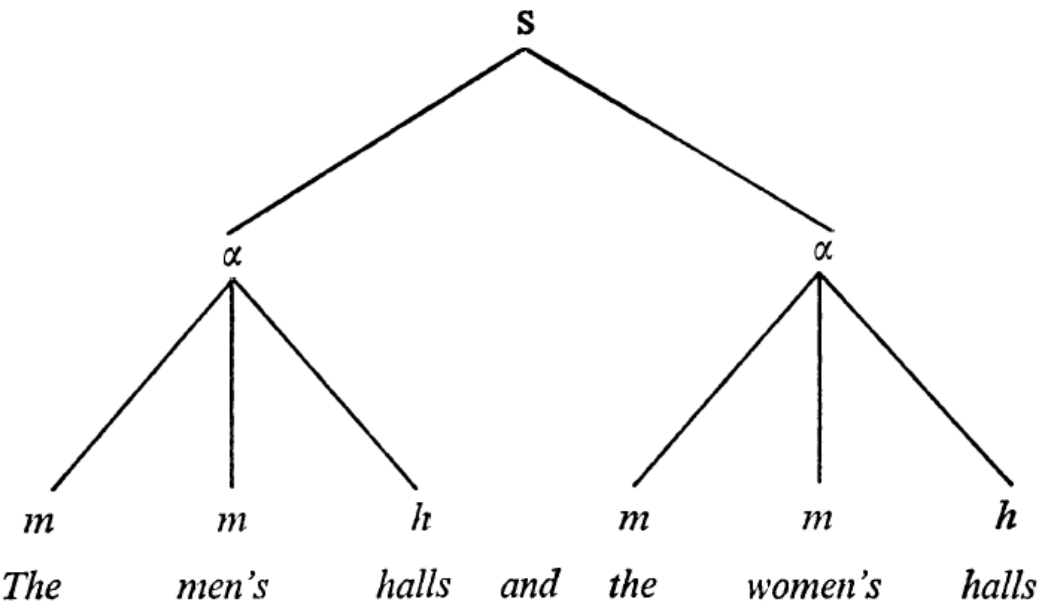


pro-and-anti- could be said to be a morpheme. It is acting as the element prefix in the structure of a word. However, *pro-* and *anti-* could be regarded as separate morphemes. *Pro-and-anti-* is one morpheme and yet divisible into two morphemes. It is **a *complex morpheme***.

A complex clause is really the same thing as a sentence. In fact, sentences are sometimes called *complex clauses* or *clause-complexes.* The parts of a complex unit relate to each other in the same way as clauses relate to each other in the structure of a sentence. The relationship is one of linkage or ***co-ordination***.



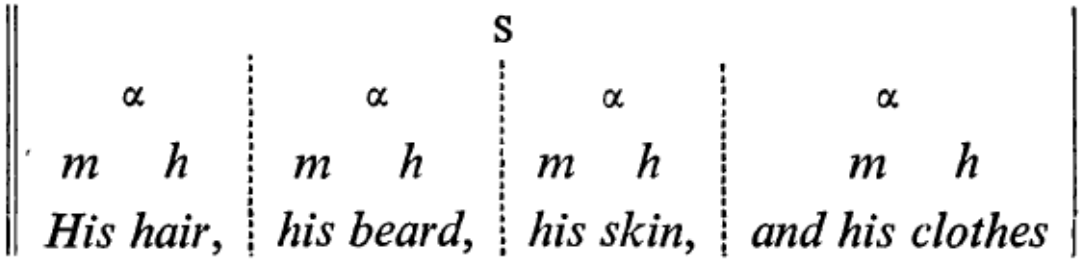
Part of Structural Tree of

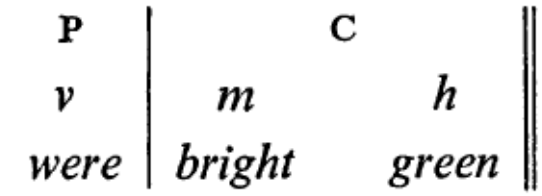


The difference between the basic units on the one hand and the complex units, including the sentence, on the other hand is that the basic units have ***multivariate*** **structures** while the complex units have ***univariate*** **structures**.

Multivariate structures are those in which there are different kinds of relationship between the different elements. In the **S, P, C, A** kind of structure for instance, the relationship between **S** and **P** is different from the relationship between **C** and **P**… etc.

Univariate structures are those in which there is only one kind of relationship between the elements. For example:



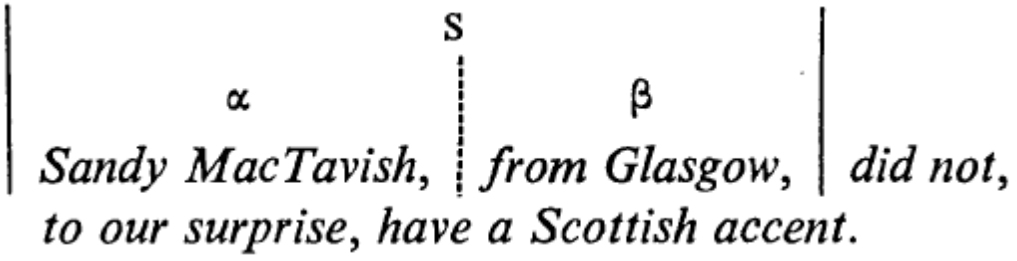


His hair, his beard, his skin and his clothes is a complex group with the structure **a a a a.** The relationship among them is the same**.** The elements are all co-ordinate with each other.

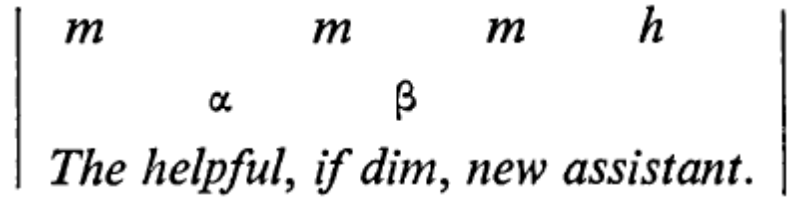
Univariate structures can be subdivided into ***paratactic*** **univariate structures** and ***hypotactic*** **univariate structures**. In paratactic univariate structures, the elements have been of equal status. The one kind of relationship existing between the elements has been **a relationship of coordination**. Hypotactic univariate structures have only one kind of relationship existing between their elements, the relationship is one of ***subordination***. Sentences can have structures involving a relationship of subordination. For instance:

It has a **hypotactic univariate structure** since its first element is subordinate to its second element.

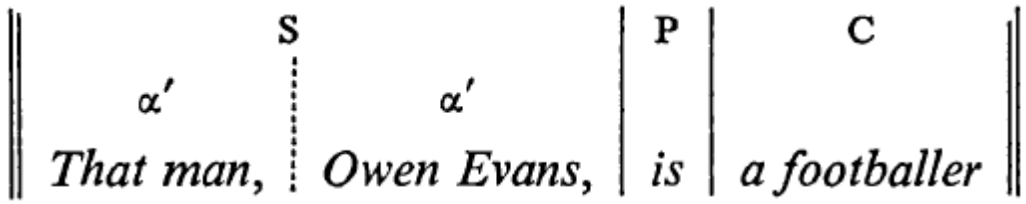
An example of **a complex group with a hypotactic univariate structure** is *Sandy MacTavish,from Glasgow,* in



An example of **a complex word with a hypotactic univariate structure** is *helpful, if dim,* in



The basic units, clause, group, word, have multivariate structures, while the complex units, including the sentence, have univariate structures. There are two kinds of univariate structure: paratactic univariate structure and hypotactic univariate structure. Paratactic univariate structures can be subdivided yet again. As well as the paratactic univariate structures involving a relationship of co-ordination, there are paratactic univariate structures involving a relationship of *apposition.*



Owen Evans is equated with *that man* by being juxtaposed to it. *Owen Evans* is said to be in apposition to *that man.* It is an example of **a complex group with appositional paratactic univariate structure**.

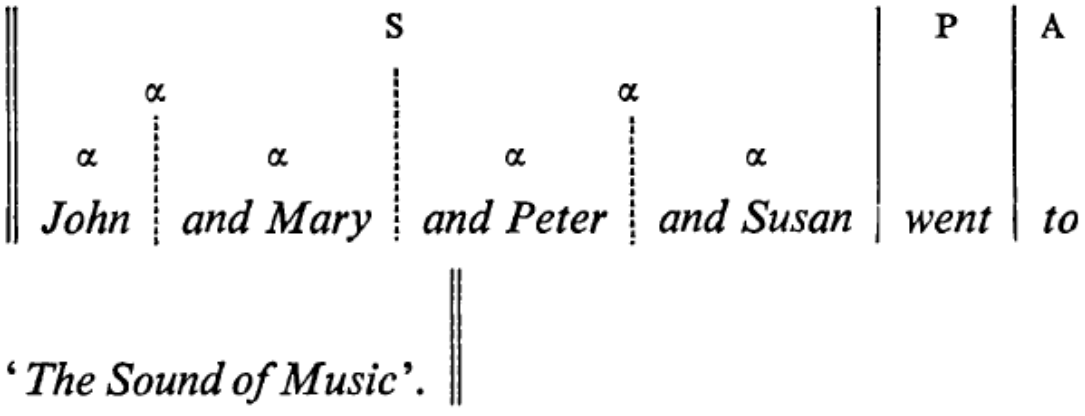
In this example:

- *She looked after the baby while I was visiting my son who was in hospital because he had to have an operation*

The β part of the sentence, ***while I was visiting my son who was in hospital because he had to have an operation***, is subordinate to the α part of the sentence, ***She looked after the baby***. Within the β part of the sentence there is another example of an αβ structure: ***who was in hospital because he had to have an operation*** is subordinate to ***while I was visiting my son***. Within this second β element there is yet another example of an αβ structure: ***because he had to have an operation*** is subordinate to ***who was in hospital***. This sentence is an example of **hypotactic univariate structures** occurring at successive layers in a structural tree. It is also possible for paratactic univariate structures to recur in this way. For example:

- *John and Mary and Peter and Susan went to ‘ The Sound of Music*

It is possible to assume that ***John* and *Mary* and *Peter* and *Susan*** are all equal items in the list and are equally coordinated, in which case *John and Mary and Peter and Susan* would be analyzed like **the complex group**. However, it seems more probable that it is referring to two couples, **John and Mary** on the one hand and **Peter and Susan** on the other hand. In this case a more realistic analysis would be



There is an example of a complex group in which a**ppositional paratactic univariate structures** occupy successive layers of the structural tree. Again, it would be possible to assume that ***our next guest, Owen Evans*** and ***the footballer*** are all of equal status. But again, it seems more realistic to assume that there are two layers of structure: initially ***Owen Evans, the footballer*** is being apposed to ***our next guest*** with a further apposition within the second element of the initial appositional structure. Since it is possible for univariate structures to recur in this way at successive layers of a structural tree, univariate structures are said to be *recursive* structures.

Chapter 8: System

8.1 SYSTEMS

Systems are lists of choices which are available in the grammar of a language. A system is a list of meanings between which it is possible to choose. They are meanings between which the grammar of a language is able to distinguish. The items in a system are, then, distinct and distinguishable meanings. The technical name for these items is the *terms* in the system. For instance, in English there is systems of:

1. *Number* with the choice between *singular* and *plural.*
2. *Person* with the choice between *first*, *second* and *third.*
3. *Gender* with the choice between *masculine*, *feminine* and *neuter.*
4. *Polarity* with the choice between *positive* and *negative.*
5. *Tense* with the choice between *past*, *present* and *future*.
6. *Mood* with the choice between *declarative, interrogative* and *imperative*.
7. *Finiteness* with the choice between *finite* and *non-finite.*

Finite means 'being limited in respect of such properties as person and number', while *non-finite* means 'not being limited in respect of such properties as person and number'. The choice between finite and non-finite applies to verbal groups. A finite verbal group has its person and number specified in its own clause. For example, the verbal groups of (/) *am*, *(he) sees* and *(they) went* are all finite. A non-finite verbal group has its person and number left vague; there is nothing in its own form to specify person or number. For example, the verbal groups of *having finished (the course*), *to pass (the exam)* and *(if) prevented* are all non-finite.

Although distinct, the terms of a particular system belong to the same area of meaning. Singular and plural are distinct but they both belong to number, so they belong to the same system. Past, present and future are distinct but they all belong to time. While singular and past do not have an area of meaning in common, so they belong to different systems.

8.2 THE ESSENTIAL PROPERTIES OF SYSTEMS

Systems have three essential characteristics:

(i) The terms in a system are mutually exclusive. The selection of one of the terms excludes the selection of any of the others. For instance, the two terms in the system of number are mutually exclusive. If something is singular, it cannot at the same time be plural. The selection of the singular term from the system excludes the selection of the plural term.

(ii) A system is finite. It is possible to fix a limit for a system and to say that it consists of a certain countable number of terms, no more, no less. The limit is set in such a way that all the terms which are mutually exclusive with each other are included in the system, while any terms not mutually exclusive with those in the system are excluded from the system. The system of polarity is finite. It consists of the two terms negative and positive and no others. The term negative is the only term which is mutually exclusive with the term positive.

(iii) The meaning of each term in a system depends on the meaning of the other terms in the system. If the meaning of one of the terms in a system is changed, the meaning of other terms in the system will also change. If a term is added to a system or subtracted from a system, the meaning of other terms in the system will change.

8.3 THE ENTRY CONDITIONS FOR SYSTEMS

As well as having a common area of meaning, the terms in a system must have a common grammatical environment. Not only must the terms contrast with each other in a common framework of meaning; they must

be seen to contrast with each other in a common framework provided by the more surface aspects of grammar. For each system there is a particular set of circumstances in which the terms of the system, all the terms of the system, are available as choices. This particular set of circumstances must apply before it is possible to make a choice between the terms of the system. Once the particular set of circumstances does apply then it is not only possible to make a choice between the terms of the system, it is in fact obligatory. These circumstances are known as the *entry conditions* for the system.

1. The first stage in specifying the entry conditions of a system is to state the rank of unit to which the system is applicable. For instance, in English the system of mood is applicable to the clause. Whenever a new clause occurs, a new choice from the system of mood is made. Any stretch of language which is not a clause is unable to make a choice from the mood system. In the sentence

Ex. 8.1 *Shut the window or the house will be freezing by the evening*

The clause *Shut the window* has chosen the imperative term from the system. The clause *or the house will be freezing by the evening* is a new clause quite separate from the earlier one and it has therefore made a new and quite separate choice from the system of mood. This second clause has in fact chosen the declarative term. Stretches of language such as *the window* and *by the evening* cannot make choices from the mood system as they are not clauses.

2. The system is applicable only to clauses which are acting as the α elements of sentences. In the sentence

Ex. 8.2 *Shut the window before you go out or the house will be freezing when we come home*

The two α clauses have chosen respectively the imperative and the declarative, but the two β clauses *before you go out* and *when we come home* have made no choice from the system of mood.

3. In English, it is only possible to make a choice from the system of mood if finite has been chosen in preference to non-finite from the system of finiteness. In the clauses

Ex. 8.3 *Theodore cut me this morning at the supermarket*
Ex. 8.4 *Have you seen Peter anywhere?*
Ex. 8.5 *Close the doors, please*

The term finite has been chosen by the verbal groups and therefore all three clauses have been able to select a term from the mood system, their choices being declarative, interrogative and imperative respectively. However, in the clauses

Ex. 8.6 *Turning to the next point*
Ex. 8.7 *To finish the task*
Ex. 8.8 *When completed*

The verbal groups have chosen the term non-finite and therefore the clauses have not been able to choose from the system of mood.

In sum, the terms in a system are meanings; they are meanings between which the grammar of a language makes it possible to choose; they contrast with each other within the framework of a common area of meaning and they contrast with each other within the framework of a common grammatical environment; the mutually exclusive characteristic of a system enables a boundary to be set for the meaning of each term; the finite characteristic of a system enables a boundary to be set for the common area of meaning. By arranging meanings in systems, we are able to pinpoint more precisely each particular meaning and we are able to show relationships between meanings within the semantic structure of a language.

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8.4 SOME IMPORTANT SYSTEMS OF ENGLISH

8.4.1 *Transitivity Systems*

- When we speak or write about anything, usually what we are speaking or writing about will include some kind of *process.* In the examples

Ex. 8.9 *John kicked the ball by accident*
Ex. 8.10 *Theodore saw Mary on Tuesday*
Ex. 8.11 *Beauty is only skin deep*

The processes of 'kicking', 'seeing' and 'being' are referred to. These are different types of process. Here, 'kicking' is a physical process, 'seeing' is a mental process and 'being' is a qualitative process. Processes can have different numbers of participants and circumstances associated with them. The processes of Ex. 8.9 and Ex. 8.10 each have two participants associated with them. The process of Ex. 8.13 *John ran fast* has only one.

- Usually there will be *participants* in the process; somebody or something will be involved in the process. In Ex. 8.9 'John' and 'the ball' are involved in the process of 'kicking'. In Ex. 8.10 'Theodore' and 'Mary' are involved in the process of 'seeing'. They represent different types of participant. For instance, 'John' is a person, 'the ball' is an object and 'beauty' is an abstraction.

- Often there will be *circumstances* attendant on the process; the process will have happened at some special time or in some special place or for some special reason. In Ex. 8.9 the 'kicking' happened 'by accident' which is a circumstance of reason. In Ex. 8.10 the 'seeing' happened 'on Tuesday' which is a circumstance of time.

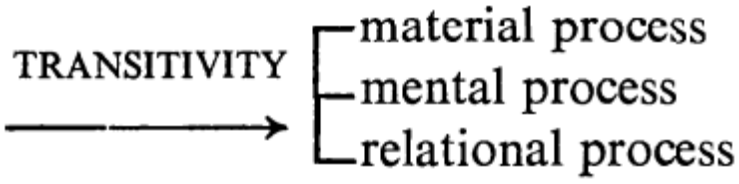
- Not only can participants and circumstances themselves be of different types; they can play different *roles* in a process. In each of the examples

Ex. 8.10 *Theodore saw Mary on Tuesday*
Ex. 8.12 *Mary saw Theodore on Tuesday*

the participants are persons. The examples are alike in the type of their participants. But the examples are different in that the participants have switched roles. In Ex. 8.10 'Theodore' is 'the see-er' and 'Mary' is 'the seen', while in Ex. 8.12 the reverse is true.

- In English grammar, we make choices between different types of process, between different types of participant, between different types of circumstance, between different roles for participants and circumstances, between different numbers of participants and circumstances, between different ways of combining processes, participants and circumstances. These choices are known collectively as the *transitivity* choices.

- There is a choice between three main types of process: a physical or *material process*; a *mental* process; and what is usually called a *relational* process. Thus, we have a system containing three terms:



The clauses

Ex. 8.9 *John kicked the ball by accident*
Ex. 8.14 *Peter swam to the island*
Ex. 8.15 *A stream flows through that part of the valley*
have all chosen the term material process.
The clauses
Ex. 8.10 *Theodore saw Mary on Tuesday*
Ex. 8.16 *Children like jelly*
Ex. 8.17 *The vicar said that yesterday*
have all chosen the term mental process.
The clauses
Ex. 8.11 *Beauty is only skin deep*
Ex. 8.18 *Theodore is the vicar's son*
Ex. 8.19 *The family are in the garden*
have all chosen the term relational process.

- Material processes can be subdivided. Material processes can be either *action* processes, or *event* processes. An action process is the type of material process which is usually performed by an animate being; that is, it is the type of material process which usually has an *animate* participant in the role of *actor.* An event process is the type of material process which is usually performed by an inanimate being; that is, it is the type of material process which usually has an *inanimate* participant in the role of actor. Here we have a system with two terms:

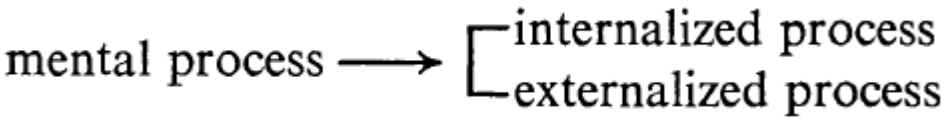
material process ⟶ [action process
event process

The clauses
Ex. 8.9 *John kicked the ball by accident*
Ex. 8.14 *Peter swam to the island*
have both chosen the term action process.
The clauses
Ex. 8.15 *A stream flows through that part of the valley*
Ex. 8.20 *The car backfired noisily*
have both chosen the term event process.
For clauses which have chosen the term action process, there is a further choice between *intention* process, a process which the participant in the role of actor performs voluntarily, and *supervention* process, a process which just happens. Again, we have a system with two terms:

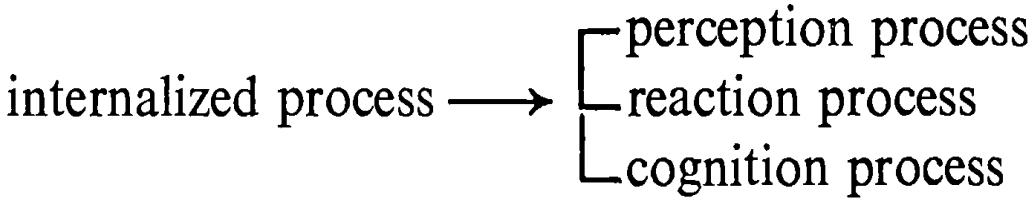
action process ⟶ [intention process
supervention process

The clauses
Ex. 8.14 *Peter swam to the island*
Ex. 8.21 *Tiddles chased a mouse*
have chosen the term intention process.
The clauses
Ex. 8.22 *John tripped over a stone*
Ex. 8.23 *Aunt Jemima dropped the teapot*
have chosen the term supervention process.

- Similarly, mental processes can be subdivided. Mental processes can be either *internalized* mental processes, such as ‘seeing’, ‘hearing’ or ‘thinking’, or *externalized* mental processes, such as ‘saying’.



The clauses
Ex. 8.10 *Theodore saw Mary on Tuesday*
Ex. 8.16 *Children like jelly*
Ex. 8.24 *John considered the matter gravely*
have chosen the term internalized process.
The clauses
Ex. 8.17 *The vicar said that yesterday*
Ex. 8.25 *The curate announced the next hymn*
have chosen the term externalized process.
Internalized mental processes can be further subdivided into *perception* processes, such as 'seeing' or 'hearing', *reaction* processes, such as 'liking' or 'hating', and *cognition* processes, such as 'thinking'.



The clauses
Ex. 8.10 *Theodore saw Mary on Tuesday*
Ex. 8.26 *The crowd listened intently*
have chosen the term perception process.
The clauses
Ex. 8.16 *Children like jelly*
Ex. 8.27 *Caesar hated lean men*
have chosen the term reaction process.
The clauses
Ex. 8.24 *John considered the matter gravely*
Ex. 8.28 *Theodore thought the explanation unlikely*
have chosen the term cognition process.

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8.4.2 Voice Systems

The *voice* systems, which refer to the ways of presenting the options in a language stretch, are closely associated with the transitivity systems.

Sometimes there is a choice as to whether to make something explicit or to leave it implicit. For instance, a process can either be explicit or merely implied.

Ex. 8.29

A. *Black coffee?*
B. *White, please.*

The process in these sentences is implicit and does not contain a predicator.

Ex. 8.30

a. *Would you like black coffee?*
b. *I should prefer white, if you don't mind.*

The process in these sentences is explicit and contains a predicator.

This is called the system of *majority*, consisting of two terms: 1) *major*, used to refer to the making of a process explicit, and 2) *minor*, used to refer to the leaving of a process implicit.

A participant in the role of **actor, the doer of the action,** can be represented either by the subject of a clause or by an adjunct. While a participant in the role of **goal, refers to the person or thing acted upon by the process**, can be represented either by the complement of a clause or by the subject. For example:

Ex. 8.31 ***John*** *kicked* ***the ball***

the participant in the role of actor is represented by the subject of the clause, and the participant in the role of goal, the 'ball', is represented by the complement

Ex. 8.32 ***The ball*** *was kicked* ***by John***

the participant in the role of actor is represented by an adjunct, and the participant in the role of goal is represented by the subject.

This is traditionally called *voice* system, where the clause is the rank of unit which acts as an entry condition, with the terms *active* (actor represented by subject, goal represented by complement) and *passive* (actor represented by adjunct, goal represented by subject).

The action type of process is usually combined with an animate type of participant in the role of actor, while the event type of process is usually combined with an inanimate type of

participant in the role of actor. It is, however, possible to combine action type of process with inanimate type of participant and to combine event type of process with animate type of participant.

Ex. 8.33 *The door waltzed open* (Dorothy L. Sayers, *Clouds Oj Witness)*

an action type of process is combined with an inanimate type of participant, meaning that the door was being personified (untypical combination of transitivity options).

Ex. 8.34 *Theodore flowed into the room*

an event type of process is combined with an animate type of participant, meaning that Theodore, although human, had some of the qualities of a particular kind of inanimate participant, (untypical combination of transitivity options).

There is a choice here between a *typical* combination of transitivity options and an *untypical* combination. For example:
John kicked the ball by accident
A stream flows through that part of the valley
These examples have a *typical* combination of transitivity options.

There is a sense in which the choice between active and passive is also a typical/untypical kind of choice since it is more usual for a participant in the role of actor to be represented by the subject and a participant in the role of goal to be represented by the complement than it is for a participant in the role of actor to be represented by an adjunct and a participant in the role of goal to be represented by the subject.

Attention should be drawn to the fact that when we arrange terms in systems, we are doing so not only on the basis of their meanings, but also on the basis of their potentialities for combining with other options.

Processes such as ‘opening’, ‘breaking’, ‘warming’, occur about as frequently with one participant as they do with two participants. Processes such as ‘hitting’, ‘throwing’, ‘kicking’ almost always occur with two participants.

Clauses which have chosen the term material process make a choice between *unrestricted* process (the type of process which combines equally well with either one or two participants) and *restricted* process (the type of process which is associated with a relatively fixed number of participants).

Restricted processes refer to the process where we expect to occur with a particular number of participants. They can be subdivided into processes which we expect to occur with one participant (middle) and processes which we expect to occur with two (non-middle).

Unrestricted processes refer to the process where we do not have any particular expectancy as regards number of participants. They can be subdivided into causative, where the processes occur with two participants with an implication of ‘causation’ in their meaning, and non-causative, when unrestricted processes occur with only restricted process with one participant with no implication for the ‘causation’ in their meaning.

For example:

Ex. 8.35 *John opened the door*

Ex. 8.36 *The door opened*

Ex. 8.37 *Aunt Jemima broke the teapot*

Ex. 8.38 *The teapot broke*

Ex. 8.39 *Mary warmed the milk*

Ex. 8.40 *The milk warmed gradually*

The material processes have all chosen the term unrestricted process.

While in these examples:

Ex. 8.41 *The car hit the kerb*

Ex. 8.42 *The wicket-keeper threw the ball in the air*

Ex. 8.43 *Billy has just kicked his sister*

The material processes have all chosen the term restricted process (non-middle).

All the examples of restricted processes given so far have been processes for which the 'relatively fixed number of participants' is two, almost always occurs with both actor and goal (*non-middle*). There are also restricted processes for which the 'relatively fixed number of participants' is one, almost always occurs with only actor (*middle*).

Examples of clauses which have chosen middle are:

Ex. 8.44 *Peter ran energetically*

Ex. 8.45 *Theodore walked slowly*

Ex. 8.46 *Mary danced round the room*

Ex. 8.47 *Aunt Jemima will live for a long time yet*.

Processes which are middle are often to do with physical exercise, such as 'running', 'walking', 'dancing' or physical existence, such as 'living' and 'dying'.

In causative processes, Ex. 8.35 *John opened the door* can be paraphrased as 'John caused the door to open'. Ex. 8.37 *Aunt Jemima broke the teapot* can be paraphrased as 'Aunt Jemima caused the teapot to break'. Ex. 8.39 *Mary warmed the milk* can be paraphrased as 'Mary caused the milk to warm'. Here, the apparent actors ('John', 'Aunt Jemima' and 'Mary') are actors of the 'causing', not actors of the clauses' main processes ('opening', 'breaking' and 'warming'). The apparent goals ('the door', 'the teapot' and 'the milk') are the goals of the 'causing'; they are also the actors of the main processes.

In non-causative processes, Ex. 8.36 *The door opened* Ex. 8.38 *The teapot broke* Ex. 8.40 *The milk warmed gradually* they cannot be paraphrased as the above ones.

It has already been said that non-middle processes are associated with both actor and goal. The goal can either be made explicit or left implicit. A clause which has chosen non-middle can choose between *transitive* (making its goal explicit) and *intransitive* (leaving its goal implicit). Examples for transitive processes include:

Ex. 8.48 *Cover point threw the ball wildly to the wicket-keeper* Ex. 8.49 *I have been washing the clothes all afternoon* Ex. 8.50 *Peter hit his opponent hard*

While examples of intransitive processes include:

Ex. 8.51 *Cover point threw wildly to the wicket-keeper* Ex. 8.52 *I have been washing all afternoon* Ex. 8.53 *Peter hit hard*

The middle/non-middle distinction is based on the number of participants inherent in a process. The transitive/intransitive distinction is based on the number of participants actually represented in the surface structure of a stretch of language (given that there are two inherent participants).

Clauses which have chosen both non-middle and passive can choose between making their actor explicit or leaving it implicit. Examples of processes with explicit actor include:

Ex. 8.54 *The ball was thrown to the wicket-keeper by cover point* Ex. 8.55 *The rose-beds have been weeded by the gardener* Ex. 8.56 *The lamp-post was hit by the car*

While examples of processes with implicit actor include:

Ex. 8.57 *The ball was thrown to the wicket-keeper* Ex. 8.58 *The rose-beds have been weeded* Ex. 8.59 *The lamp-post was hit*

Examples of processes with typical middle include:

Ex. 8.44 *Peter ran energetically* Ex. 8.45 *Theodore walked slowly* Ex. 8.46 *Mary danced round the room*

While examples of processes with untypical middle include:

Ex. 8.60 *Her excited daughter danced Mary round the room*

Ex. 8.61 *They ran him out of town*

Ex. 8.62 *John walked the horse up and down*

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8.4.3 Theme Systems

The *theme* systems are based on the unmarked/marked (i.e. the usual and unusual forms of language) distinction. The theme systems are choices between different ways of arranging the basic ingredients of a message in an order of prominence. The basic ingredients which the theme options arrange are precisely those which have been discussed already under the heading of *transitivity*: the processes, participants and circumstances; but they are not the only basic ingredients of a message.

The first place in a clause and the last place in a clause are significant in English for the giving of prominence to something. The first place is significant simply because it is first, because it is the first thing to catch the hearer's or reader's attention. For example:

Ex. 8.63 *The meeting takes place on Tuesday*

'the meeting' has some prominence since it comes first and 'Tuesday' has some prominence since it comes last. Both of them are represented in quite usual positions. Whereas in:
Ex. 8.64 *On Tuesday the meeting takes place*
Ex. 8.65 *It's on Tuesday that the meeting takes place*

On Tuesday has been moved to first place, which is a less usual position for it, with the result that 'Tuesday' is given greater prominence.

Each clause chooses between *unmarked theme* and *marked theme*. For a material process clause this means that the clause chooses between representing the participant in the role of actor in first place and representing something other than the participant in the role of actor in first place. This distinction shows in the surface structure of a clause, since a clause which has chosen unmarked theme will have the element **(s)** in the first place, while a clause which has chosen marked theme will have **(p, c or A)** in first place.

The clauses
Ex. 8.66 *I shall complete this to-morrow or Friday*
Ex. 8.67 *You can find shells on the seashore*
Ex. 8.68 (*And*) *they ran all the way home*

have chosen unmarked theme.

The clauses
Ex. 8.69 *This I shall complete to-morrow or Friday*
Ex. 8.70 *On the seashore you can find shells*
Ex. 8.71 *(And) run they did all the way home*

have chosen marked theme.

In Ex. 8.69 the participant in the role of goal has been given prominence by being represented in first place. In Ex. 8.70 a circumstance has been given prominence by being represented in first place. In Ex. 8.71 the process has been given prominence by being represented in first place.

Both the marked theme option and the passive option have the effect of representing in the significant first place of a clause something other than the actor, the actor being the participant which is usually represented in first place. Both often also have the effect of representing something unusual in the other significant place, the last place. This is particularly true of the passive, which usually represents either the actor or the process itself in last place. The marked theme option achieves its effect by shifting a whole element of structure and placing it in an unusual position in the clause. The passive option merely detaches a function from the element of structure usually associated with that function and assigns it to another element of structure. For the passive option the elements of structure of a clause remain in what is more or less usual order.

It is perhaps because marked theme involves shifting a whole element that it seems more unusual, more marked, than the passive, although both are marked in comparison with their respective partners, unmarked theme and active.

Each clause chooses between *non-predicated theme* and *predicated theme*. A clause which chooses non-predicated theme leaves whatever occurs in first place unadorned by any special singling-out device. A clause which chooses

predicated theme encloses whatever occurs in first place in a construction such as *it* + part of the verb *be* + *who*/*which*/*that.* For example, the clauses

Ex. 8.72 *Peter swam the fastest*
Ex. 8.73 *The Tone flows through that valley*
Ex. 8.74 *On Friday I'm going to the cinema*
Ex. 8.75 *On the shore Peter cut his foot*

have chosen non-predicated theme.

The clauses

Ex. 8.76 *It was Peter who swam the fastest*
Ex. 8.77 *It's the Tone that flows through that valley*
Ex. 8.78 *It's on Friday that I'm going to the cinema*
Ex. 8.79 *It was on the shore that Peter cut his foot*

have chosen predicated theme.

Each clause chooses between *non-preposed theme* and *preposed theme*. A clause which has chosen non-preposed theme makes use only of regular places in clause structure to give prominence to ingredients. A clause which has chosen preposed theme makes use of an extra place before the clause structure proper begins. In this case the ingredient to be given prominence is represented twice, once in the extra place in front of the clause and once in its normal position in the clause structure. The second representation is usually by means of a substitute form such as a pronoun.

The clauses

Ex. 8.80 *Snowdon is a mountain to be respected*
Ex. 8.81 *We saw a flower festival in Amsterdam*
Ex. 8.82 *Stoke Pero Church had seven pages of visitors during October*

have chosen non-preposed theme.

The clauses

Ex. 8.83 *Snowdon, that's a mountain to be respected*
Ex. 8.84 *Amsterdam, we saw a flower festival there*
Ex. 8.85 *Stoke Pero Church, they had seven pages of visitors during October*

have chosen preposed theme.

There are various reasons for giving prominence to a particular ingredient. It may be simply that the ingredient is particularly important, particularly worth emphasizing. It may be that the ingredient is a starting point for what is to come, a topic about which the other ingredients are providing a comment. For instance, a clause which has chosen preposed theme is almost like a headline or title followed by a news item. It may be that the ingredient is providing a link with what has gone before, referring back to something which has already been mentioned. This would appear to be the reason for giving prominence to *This* in Ex. 8.69.

It may, however, be for the opposite reason, that the ingredient is the one of the ingredients which is least deducible from what has gone before, that it is the new bit of information. Ex. 8.78 could be spoken in such a way as to suggest that the hearer already knows that I am going to the cinema. What he does not know is which day I am going.

The ingredient may be in direct contrast with something which has gone before. The hearer of Ex. 8.78 might previously have indicated that he thought I was going to the cinema on Thursday. Ex. 8.78 might be an attempt to correct him. It may be for a combination of these reasons.

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8.4.4 Mood Systems

The *mood* systems are choices between different roles which a speaker can select for himself and for his hearer. Only clauses acting as **(α)** elements choose from the mood systems. The choice of finite in preference to non-finite was a necessary condition for entry to a mood system.

Each **(α)** clause chooses between *indicative* and *imperative.* The speaker of a clause which has chosen imperative has selected for himself the role of controller and for his hearer the role of controlled. The speaker expects from the hearer more than a purely verbal response. He expects some form of action. The speaker of a clause which has chosen indicative has not selected the roles of controller and controlled for himself and his hearer. If he is expecting any response from his hearer, it is purely verbal response that he expects. The clauses
Ex. 8.86 *Has John closed the door?*
Ex. 8.87 *Small boys are naturally dirty*
Ex. 8.88 *Well-trained dogs keep to heel*

have chosen indicative.

The clauses
Ex. 8.89 *Close the door, Theodore*
Ex. 8.90 *Wash behind your ears*
Ex. 8.91 *Keep to heel*

have chosen imperative.

A clause which has chosen indicative makes a further choice between *declarative* and *interrogative.* The speaker of a clause which has chosen declarative has selected for himself the role of informant and for his hearer the role of informed. The speaker of a clause which has chosen interrogative has selected for himself the role of informed and for his hearer the role of informant. The speaker of a clause which has chosen interrogative is expecting a verbal response from his hearer. The speaker of a clause which has chosen declarative is not necessarily expecting an overt response. The clauses

Ex. 8.92 *The post has come*
Ex. 8.93 *Here is some string*
Ex. 8.94 *John is in London*

have chosen declarative.

The clauses
Ex. 8.95 *Has the post come?*
Ex. 8.96 *Have you any string?*
Ex. 8.97 *Where is John?*

have chosen interrogative.

A clause which has chosen interrogative makes a further choice between *closed interrogative* and *open interrogative.* The speaker of a clause which has chosen closed interrogative expects his hearer to make one of a very limited number of responses; in effect he expects him to say either yes or no. The speaker of a clause which has chosen open interrogative has more open-ended expectations as regards his hearer's response. The clauses
Ex. 8.98 *Do you like coffee?*
Ex. 8.99 *Have you a car?*
Ex. 8.100 *Is the meeting tomorrow?*

have chosen closed interrogative.

The clauses
Ex. 8.101 *What is your favourite drink?*
Ex. 8.102 *Where is your car?*
Ex. 8.103 *When is the meeting?*

have chosen open interrogative.

A clause which has chosen imperative makes a further choice between *exclusive imperative* and *inclusive imperative.* The speaker of a clause which has chosen exclusive imperative excludes himself from the performers of the action he is advocating. The speaker of a clause which has chosen inclusive imperative includes himself among the performers of the action he is advocating. The examples of imperatives given so far, Exs 8.89, 8.90 and 8.91 are all examples of exclusive imperatives. Examples of inclusive imperatives are
Ex. 8.104 *Let's go to the cinema*
Ex. 8.105 *Let us now praise famous men*
Ex. 8.106 *Let us consider the matter.*

Asst. Prof. Dr. Marwah Kareem Ali
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Chapter 8: System

8.4.5 Modality Systems

The *modality* systems are concerned with the speaker (or writer) of a message. The modality systems are concerned with the speaker's assessment of the probability of the truth of his message. Only clauses which have chosen indicative and declarative from the mood systems can make choices from the modality systems. Clauses which have chosen interrogative do make some choices from modality systems but the range of options open to them is not the same as the range open to declarative clauses.

A declarative clause chooses between *modality neutral* and *modality assessed.* A clause which has chosen modality neutral makes no reference to the certainty or otherwise of its basic message. In such a case we assume that the speaker considers the truth of his message to be certain. A clause which has chosen modality assessed makes some reference to the certainty or otherwise of its basic message. In this case the speaker may be far from certain, moderately certain, almost certain of the truth of his message. The clauses
Ex. 8.107 *It is raining*
Ex. 8.108 *She will come tomorrow*
Ex. 8.109 *That's John*

have chosen modality neutral.

The clauses
Ex. 8.110 *It must be raining*
Ex. 8.111 *She will probably come to-morrow*
Ex. 8.112 *That may be John*

have chosen modality assessed.

A clause which has chosen modality assessed makes a further choice between *possible, probable* and *almost certain.* The clauses
Ex. 8.112 *That may be John*
Ex. 8.113 *I may possibly be late*
Ex. 8.114 *Perhaps the train has gone*

have chosen possible.

The clauses
Ex. 8.115 *That's probably John*
Ex. 8.116 *He will probably be here by now*
Ex. 8.117 *The train has probably gone*

have chosen probable.

The clauses
Ex. 8.110 *It must be raining*
Ex. 8.118 *He must certainly be here by now*
Ex. 8.119 *The train must have gone*

have chosen almost certain.