Units 1 & 2

Theoretical Introduction and Overview of English grammar

within the SYSTEMIC FUNCTIONAL model of language

Grammar presentation given on 24.x.2017 / 31.x.2017

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Goals

About grammar

- Prescriptive vs descriptive grammar
- Lexicogrammar
- Functional vs formal grammar
- Systemic vs structural grammar

Some choices involved in producing a clause

- Strata: semantics vs grammar vs phonology/orthography
- 'Functional components' a.k.a. 'metafunctions'
- Clause as interaction: MOOD
- Clause as representation: TRANSITIVITY
- Clause as message: THEME

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5. To set the homework for next week.

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3. Grammatical "rules" therefore need to be reinterpreted as something like "laws of nature" (like gravity, or conservation of energy, or evolution by means of natural selection): generalized statements of observed fact.
4. We'll try to work with real examples taken from linguistic corpora; but sometimes, when trying to illustrate a particular grammatical point, it can be convenient to use (carefully) constructed examples.

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1. Some approaches treat lexis (vocabulary) separately from grammar

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4. With this knowledge, you can produce and understand very many sentences
5. But you still need to know about the context before you can really use or understand lexis and grammar appropriately.

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Functional vs formal grammar

1. Consider the simple sentence: “Socrates runs”.
2. A formal grammar might analyze this by saying that it consists of a noun followed by a verb.

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S	P
Actor	Process
Theme	Rheme

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6. We’ll also include information from formal grammar as well:

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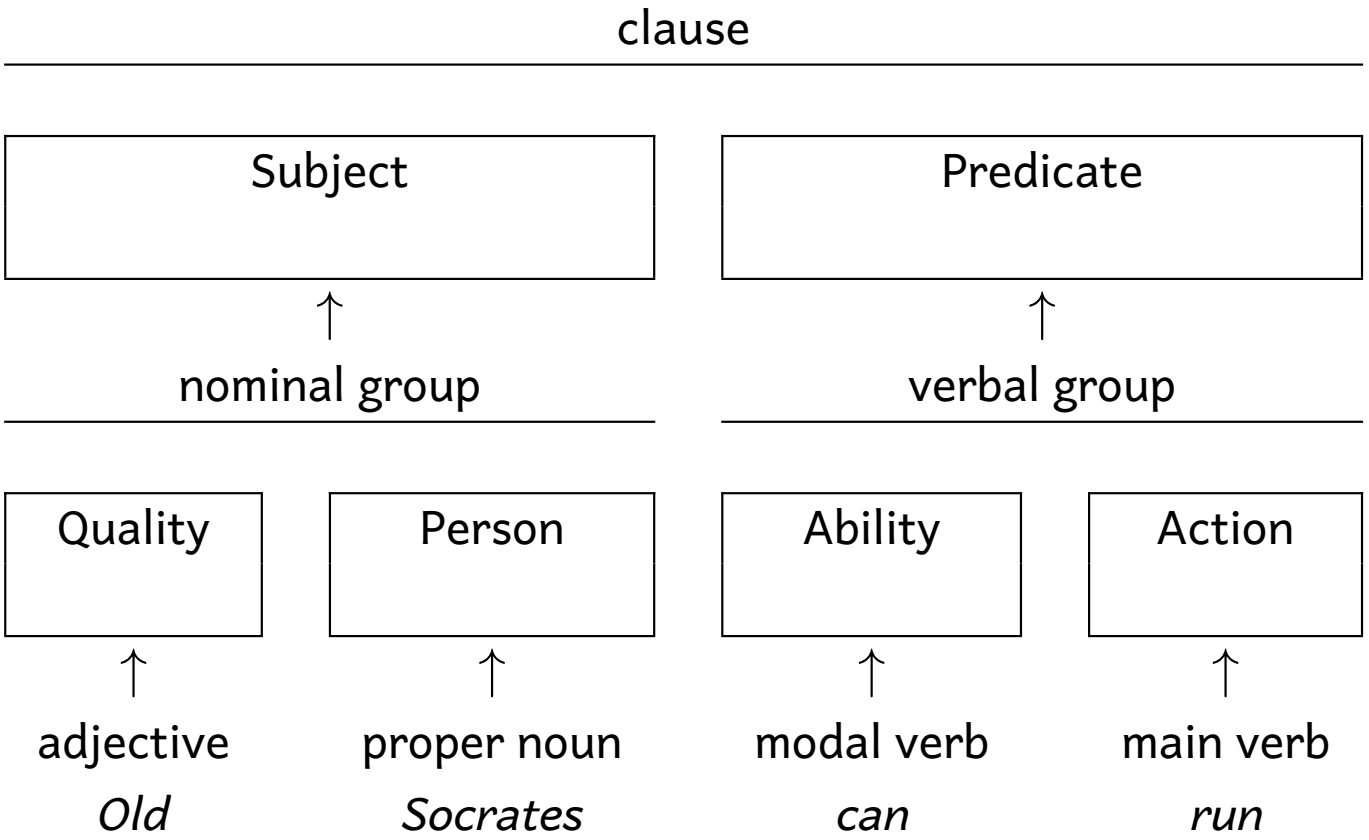
Functional and formal grammar combined



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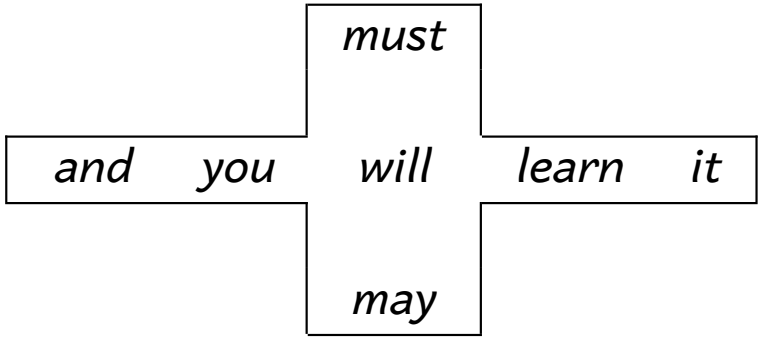

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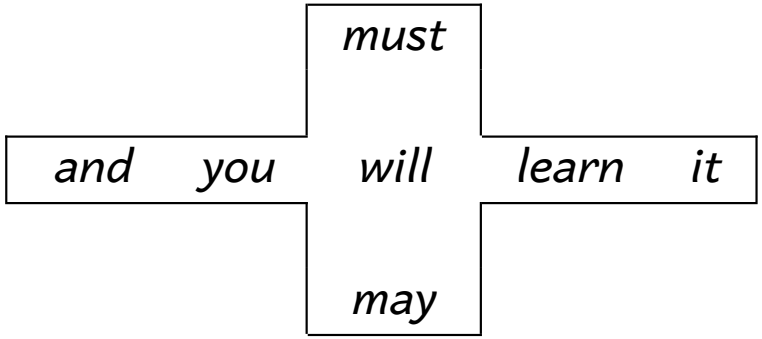

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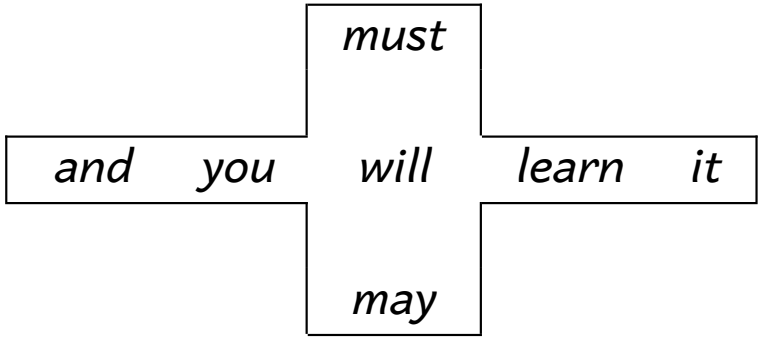

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2. A systemic approach gives priority to the vertical (paradigmatic) dimension: what choices are available, and how do they differ from each other?

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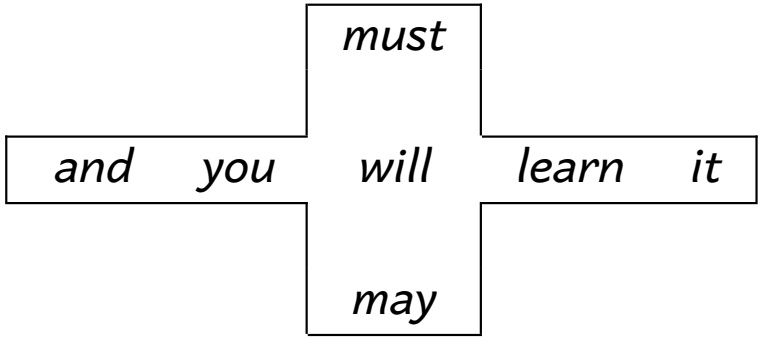

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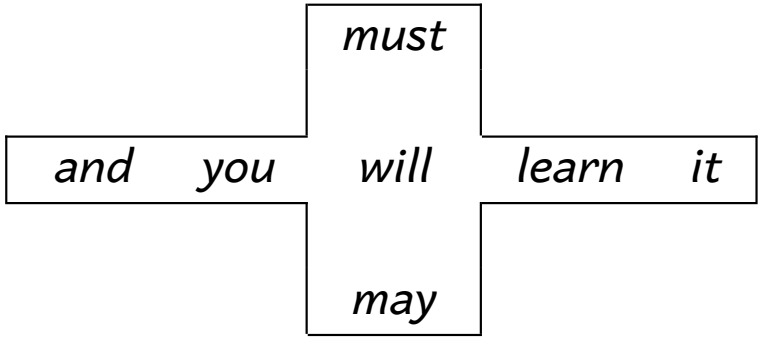

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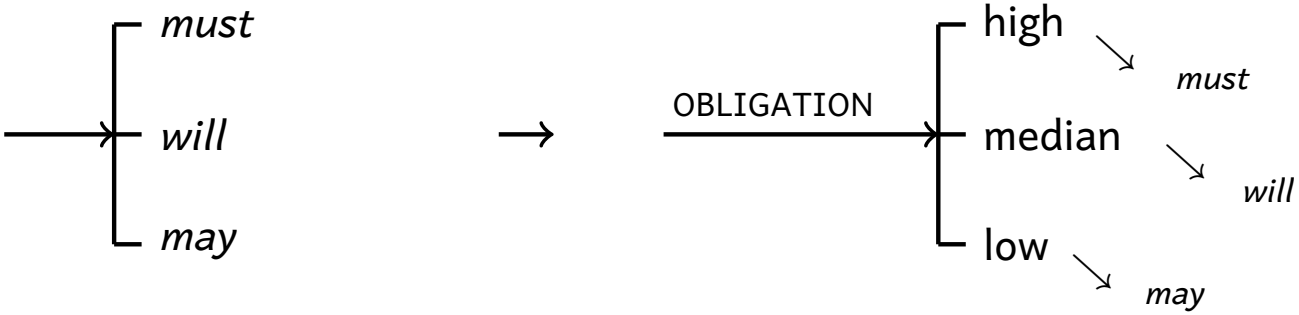

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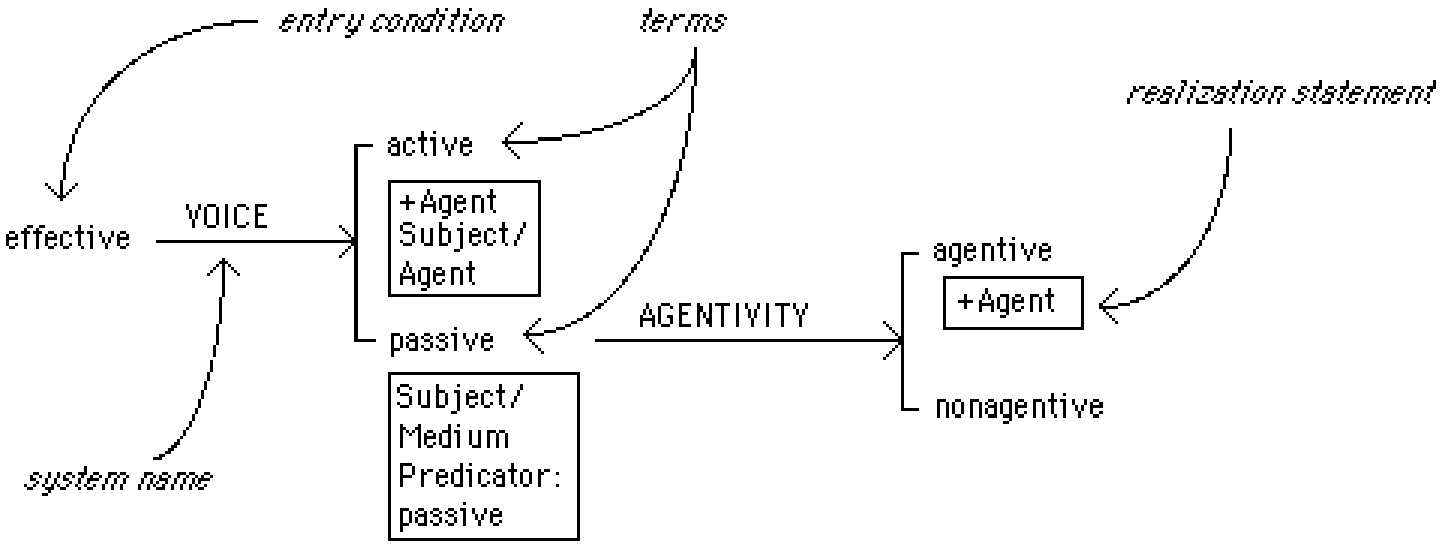
Some notational conventions



Oswald	shot	Kennedy
Subject/ Agent	Predicator	Medium

Kennedy	was shot	by Oswald
Subject/ Medium	Predicator: passive	Agent

Kennedy	was shot
Subject/ Medium	Predicator: passive

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2. Some of the results from last week can be generalized.

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Strata:

- “Is it a question?”

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- “Is it a question?”
- $\longrightarrow$

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Some choices involved in producing a clause

Strata: semantics vs grammar vs phonology/orthography

‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- “Is it a question?”
- $\longrightarrow$
- “Does it function as a question?”

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‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- “Is it a question?”
- $\longrightarrow$
- “Does it function as a question?”
- OR:

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‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- "Is it a question?"
- $\longrightarrow$
- "Does it function as a question?"
- OR:
- "Does it have the grammatical structure of a question?"

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Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- “Is it a question?”
- $\longrightarrow$
- “Does it function as a question?”
- OR:
- “Does it have the grammatical structure of a question?”
- OR:

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‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Strata:

- “Is it a question?”
- $\longrightarrow$
- “Does it function as a question?”
- OR:
- “Does it have the grammatical structure of a question?”
- OR:
- “Does it sound like (/ Is it written like) a question?”

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Some choices involved in producing a clause

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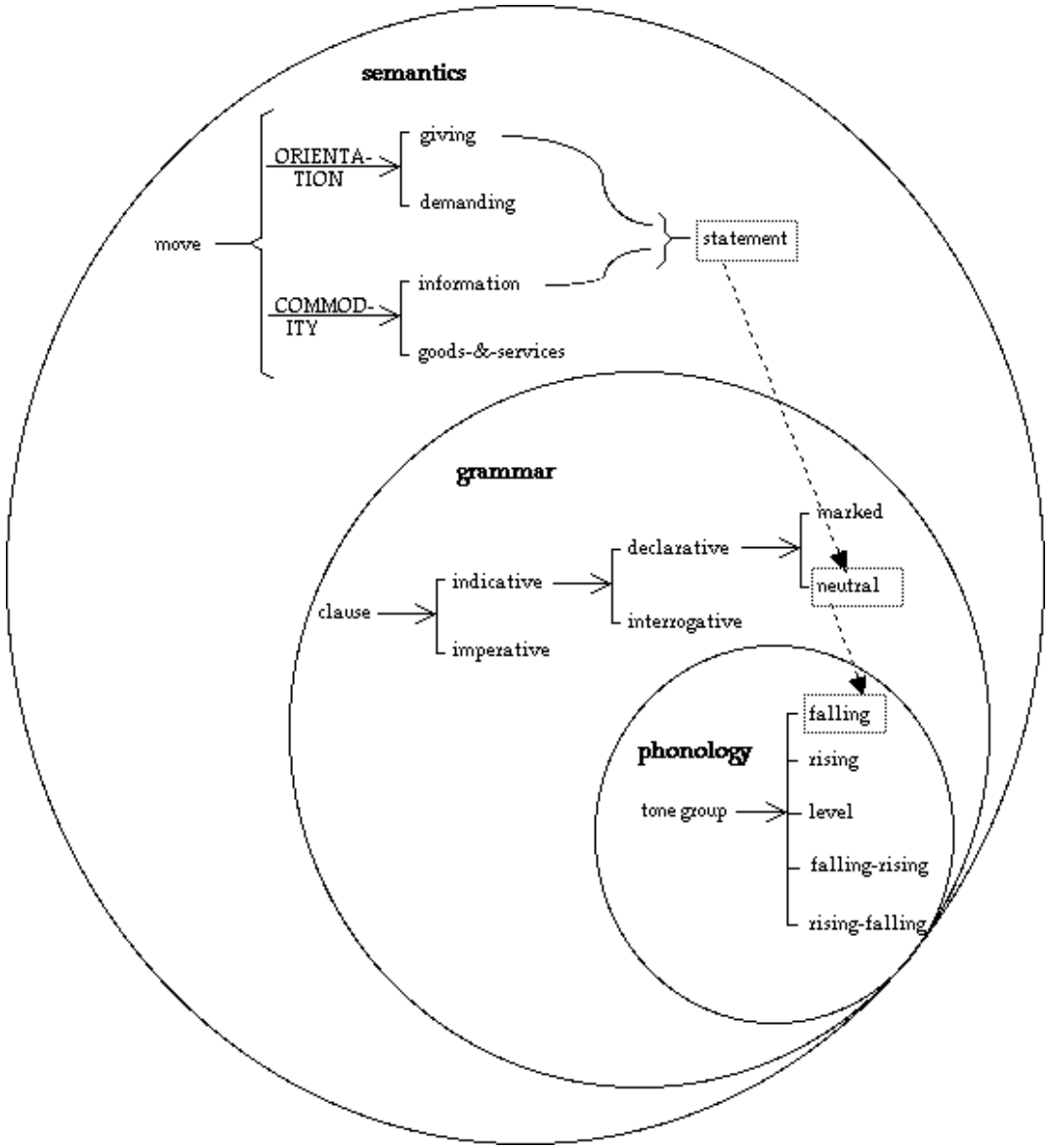
‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME



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Some choices involved in producing a clause

Strata: semantics vs grammar vs phonology/orthography

'Functional components' a.k.a. 'metafunctions'

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

‘Functional components’ a.k.a. ‘metafunctions’

1. Clause as interaction:
   grammatical systems of MOOD
   — enacting social relationships

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Some choices involved in producing a clause

Strata: semantics vs grammar vs phonology/orthography

‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

‘Functional components’ a.k.a. ‘metafunctions’

1. Clause as interaction:
   grammatical systems of MOOD
   — enacting social relationships
2. Clause as representation:
   grammatical systems of TRANSITIVITY
   — construing a model of reality

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Clause as interaction: MOOD
Clause as representation: TRANSITIVITY
Clause as message: THEME

‘Functional components’ a.k.a. ‘metafunctions’

1. Clause as interaction:
   grammatical systems of MOOD
   — enacting social relationships
2. Clause as representation:
   grammatical systems of TRANSITIVITY
   — construing a model of reality
3. Clause as message:
   grammatical systems of THEME
   — creating relevance to context

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Clause as interaction: MOOD
Clause as representation: TRANSITIVITY
Clause as message: THEME

‘Functional components’ a.k.a. ‘metafunctions’

1. Clause as interaction:
   grammatical systems of MOOD
   — enacting social relationships
2. Clause as representation:
   grammatical systems of TRANSITIVITY
   — construing a model of reality
3. Clause as message:
   grammatical systems of THEME
   — creating relevance to context
4. These three sets of choices are simultaneous to and independent of each other (i.e. they are ‘in parallel’)

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Clause as interaction: MOOD
Clause as representation: TRANSITIVITY
Clause as message: THEME

Metafunctions in the grammar of English (1): syntagmatic view

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Metafunctions in the grammar of English (1): syntagmatic view

Do	cats	eat	bats?

Mood		Residue		
Finite	Subject	Predicator	Complement $_{D.O.}$	MOOD

Pro-	Actor/ Agent	-cess: material	Goal/ Medium 'affected'	TRANSITIVITY

Theme	Rheme	THEME

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Strata: semantics vs grammar vs phonology/orthography

'Functional components' a.k.a. 'metafunctions'

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Metafunctions in the grammar of English (1): syntagmatic view

Do	cats	eat	bats?

Mood		Residue		
Finite	Subject	Predicator	Complement $_{D.O.}$	MOOD

Pro-	Actor/ Agent	-cess: material	Goal/ Medium 'affected'	TRANSITIVITY

Theme	Rheme	THEME

Who	shot	the sheriff?

Mood		Residue	
Subject/Wh-	(did) Finite	Predicator (shoot)	Complement $_{D.O.}$

Actor/ Agent	Process: material	Goal/ Medium

Theme	Rheme

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Strata: semantics vs grammar vs phonology/orthography

'Functional components' a.k.a. 'metafunctions'

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Metafunctions in the grammar of English (1): syntagmatic view

Do	cats	eat	bats?

Mood		Residue		MOOD
Finite	Subject	Predicator	Complement D.O.	

Pro-	Actor/ Agent	-cess: material	Goal/ Medium 'affected'	TRANSITIVITY

Theme	Rheme	THEME

Who	shot	the sheriff?

Mood		Residue	
Subject/Wh-	(did) Finite	Predicator (shoot)	Complement D.O.

Actor/ Agent	Process: material	Goal/ Medium

Theme	Rheme

I	have	a dream.

Mood		Residue	
Subject	(do) Finite	Predicator (have)	Complement D.O.

Carrier/ Medium	Process: relational: ascriptive/possessive	Attribute/ Range

Theme	Rheme

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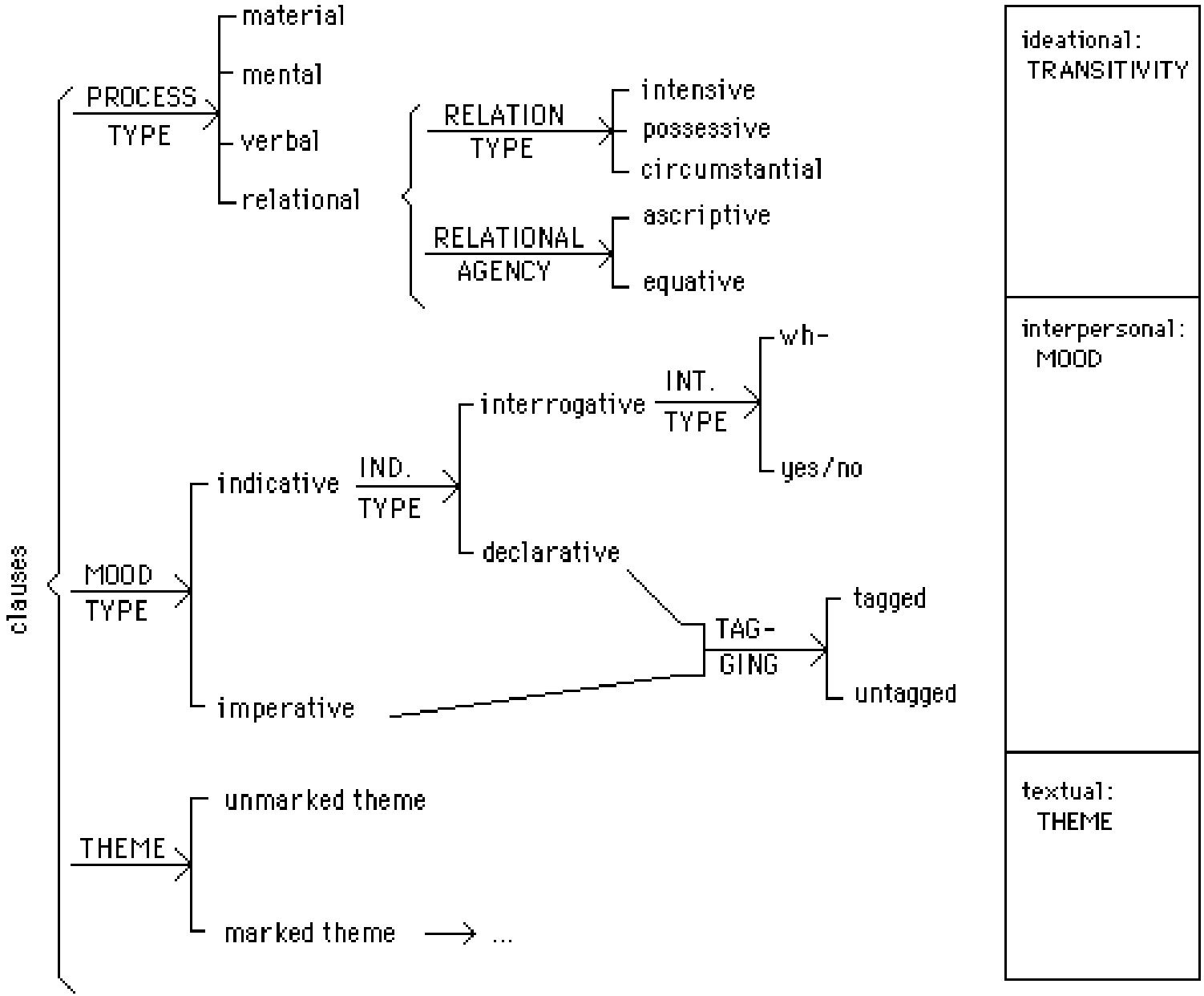
Clause as representation: TRANSITIVITY
Clause as message: THEME

Metafunctions in the grammar of English (2): paradigmatic view



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Clause as representation: TRANSITIVITY
Clause as message: THEME

Clause as interaction: MOOD (1)

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

- either ‘imperative’ or ‘indicative’,

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

- either ‘imperative’ or ‘indicative’,
  - if ‘indicative’, then either ‘declarative’ or ‘interrogative’,

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

- either ‘imperative’ or ‘indicative’,
  - if ‘indicative’, then either ‘declarative’ or ‘interrogative’,
    - if ‘interrogative’, then ‘yes/no’ or ‘WH-’,

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‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

- either ‘imperative’ or ‘indicative’,
  - if ‘indicative’, then either ‘declarative’ or ‘interrogative’,
    - if ‘interrogative’, then ‘yes/no’ or ‘WH-’,

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‘Functional components’ a.k.a. ‘metafunctions’

Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

Clause as message: THEME

Clause as interaction: MOOD (1)

MOOD TYPE:

- either ‘imperative’ or ‘indicative’,
  - if ‘indicative’, then either ‘declarative’ or ‘interrogative’,
    - if ‘interrogative’, then ‘yes/no’ or ‘WH-’,
      if ‘WH-’, then ‘WH-subject’ or ‘WH-other’.

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Clause as interaction: MOOD

Clause as representation: TRANSITIVITY

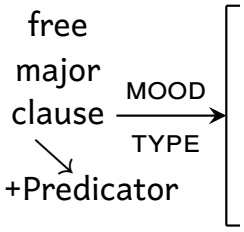
Clause as message: THEME

clause

major
clause
↘
+Predicator

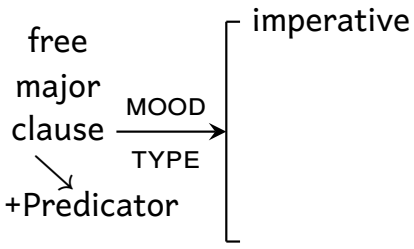
Close

↑
Pred



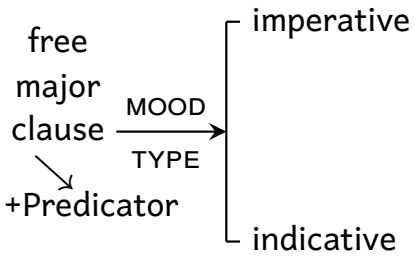
Close

↑
Pred



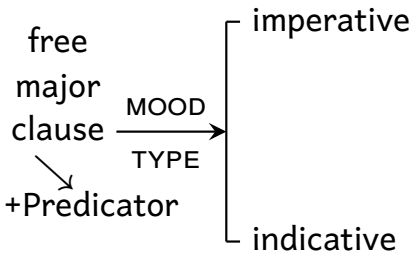
Close

↑
Pred


free
major
clause
MOOD
TYPE
+Predicator
imperative
indicative

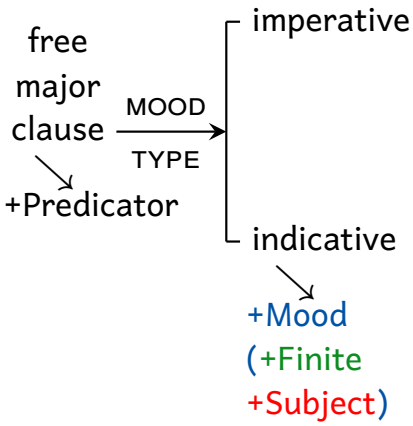
Close

↑
Pred



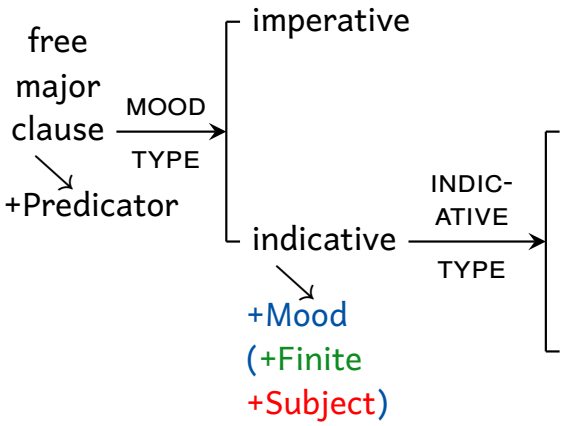
Close the window!

↑ ↑
Pred Complement



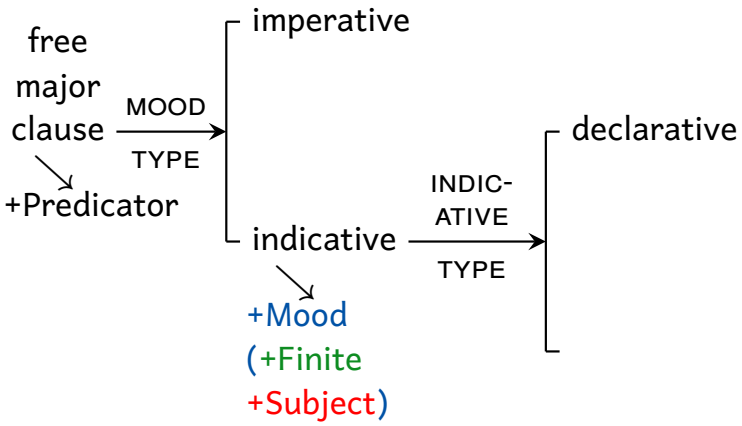
Close the window!

Mood Pred Complement



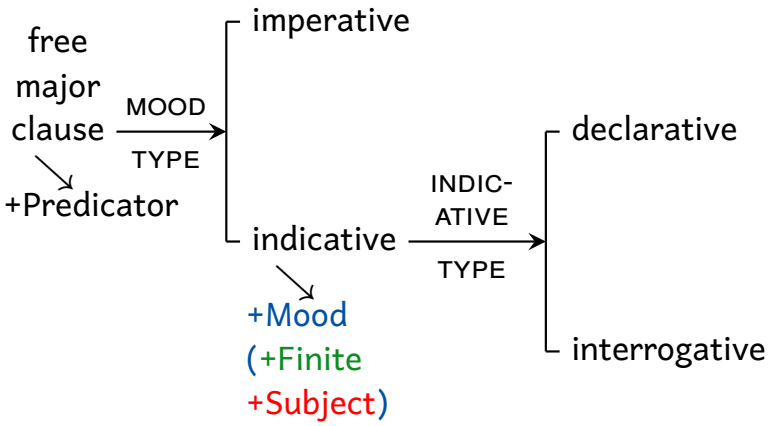
Close the window!

Mood Pred Complement



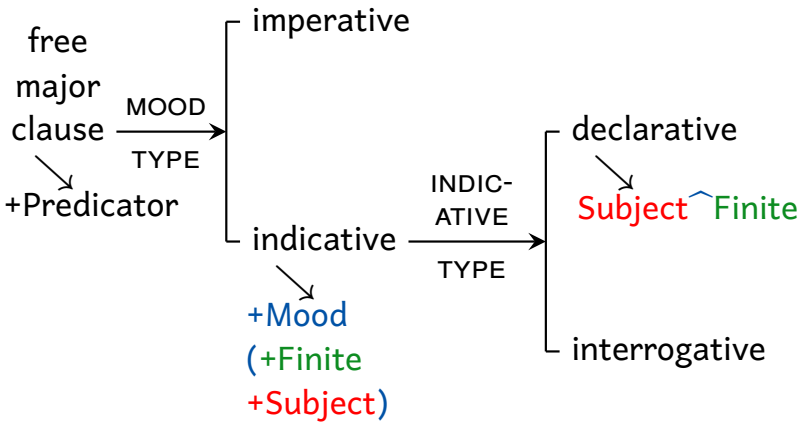
Close the window!

Mood Pred Complement



Close the window!

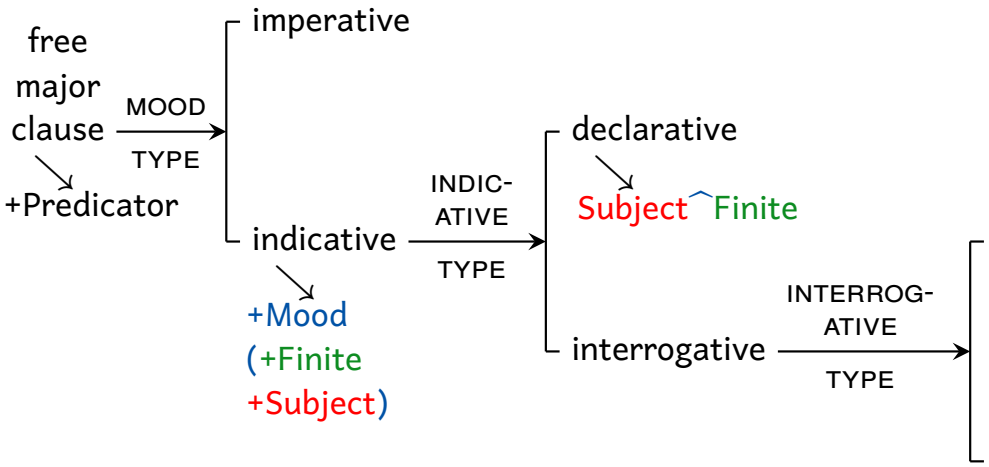
Mood Pred Complement



Close the window!

He is closing the window.

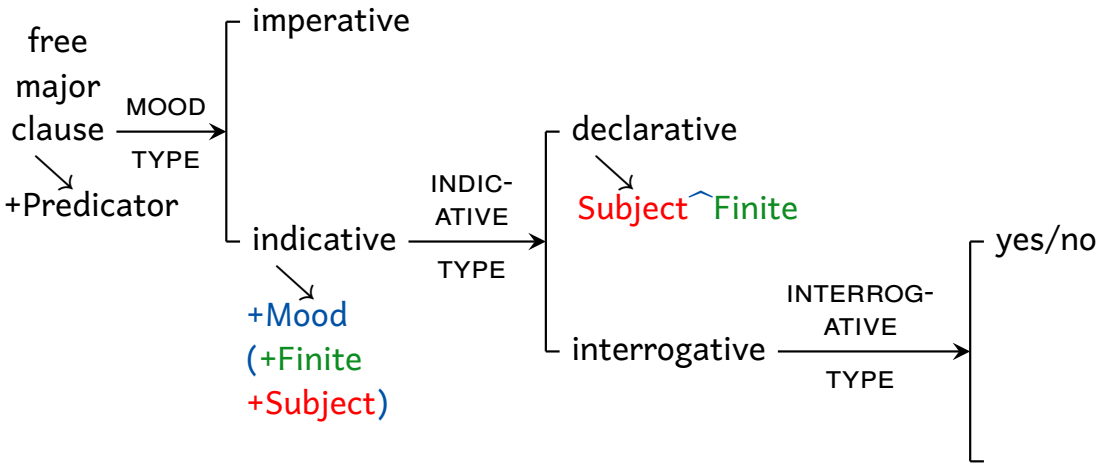
Mood Pred Complement



Close the window!

He is closing the window.

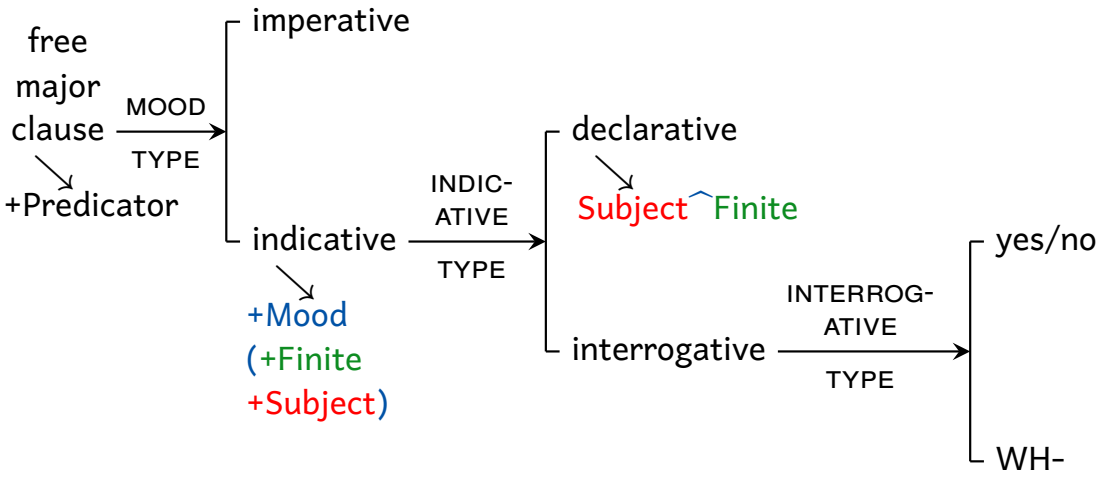
Mood Pred Complement



Close the window!

He is closing the window.

Mood Pred Complement



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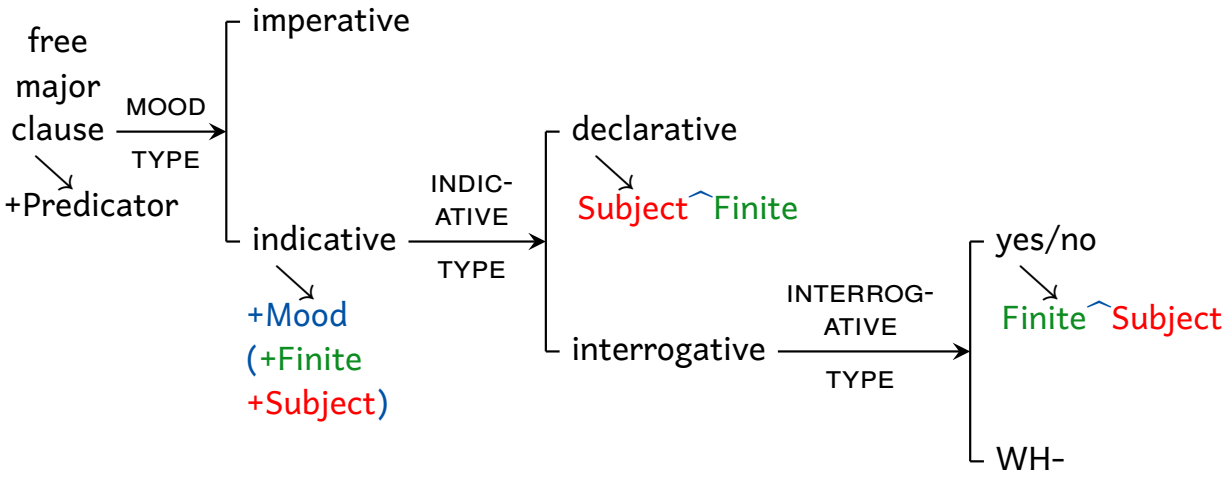
Mood Pred Complement

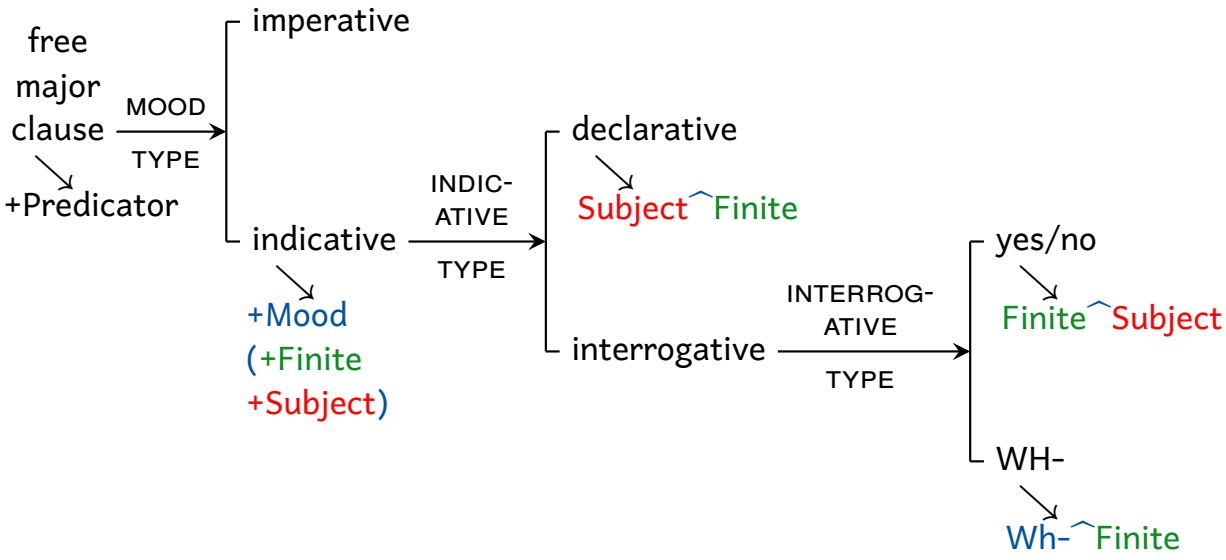


Close the window!

He is closing the window.

Is he closing the window?

Mood Pred Complement



Close the window!

He is closing the window.

Is he closing the window?

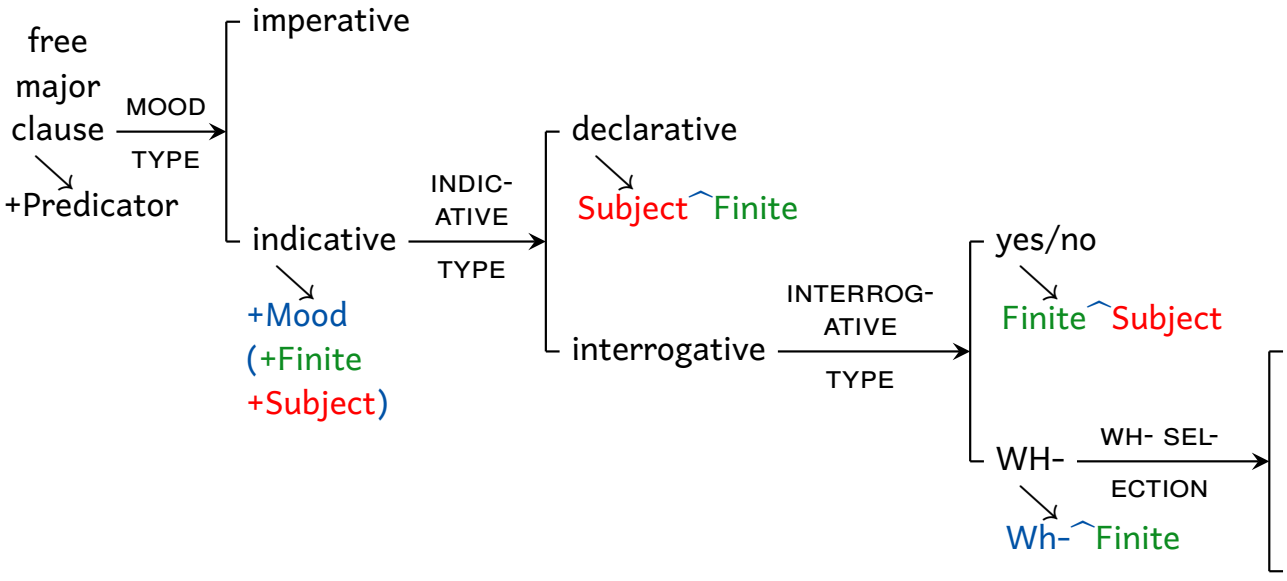
Wh is

Wh is

Wh is

↑ ↑ ↑ ↑

Mood Pred Complement



Close the window!

He is closing the window.

Is he closing the window?

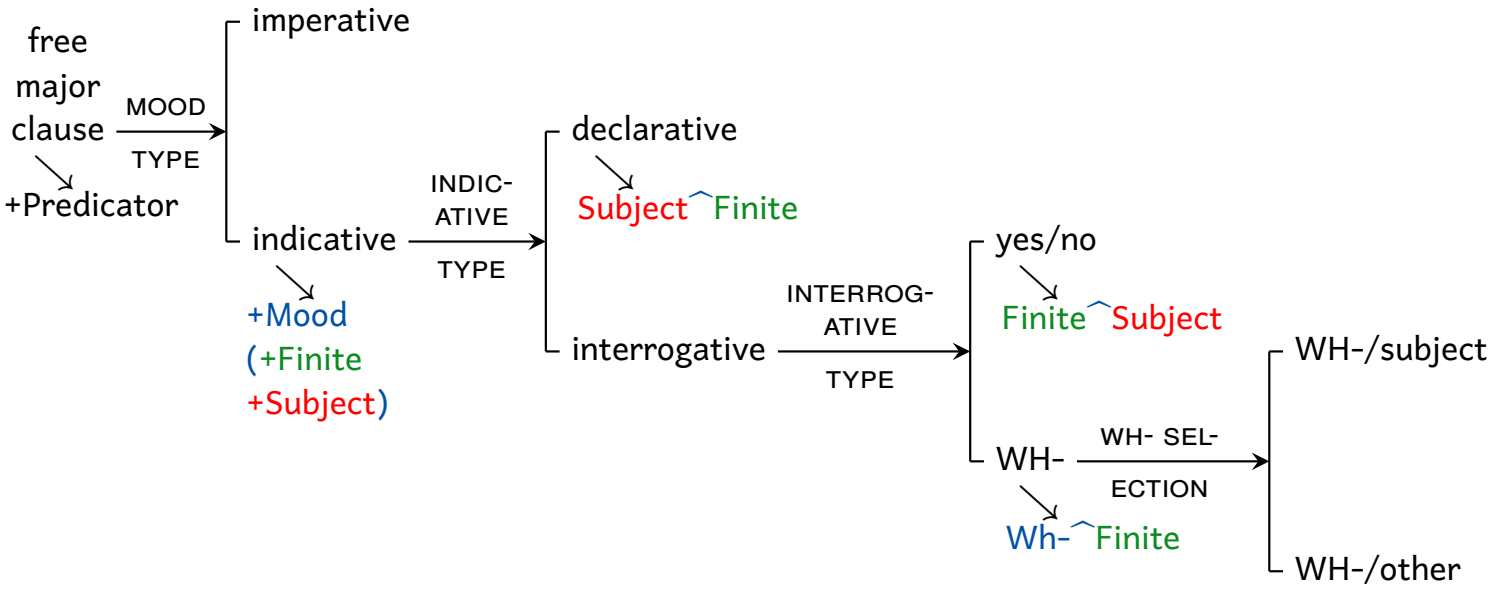
Wh is

Wh is

Wh is

↑ ↑ ↑ ↑

Mood Pred Complement



Close the window!

He is closing the window.

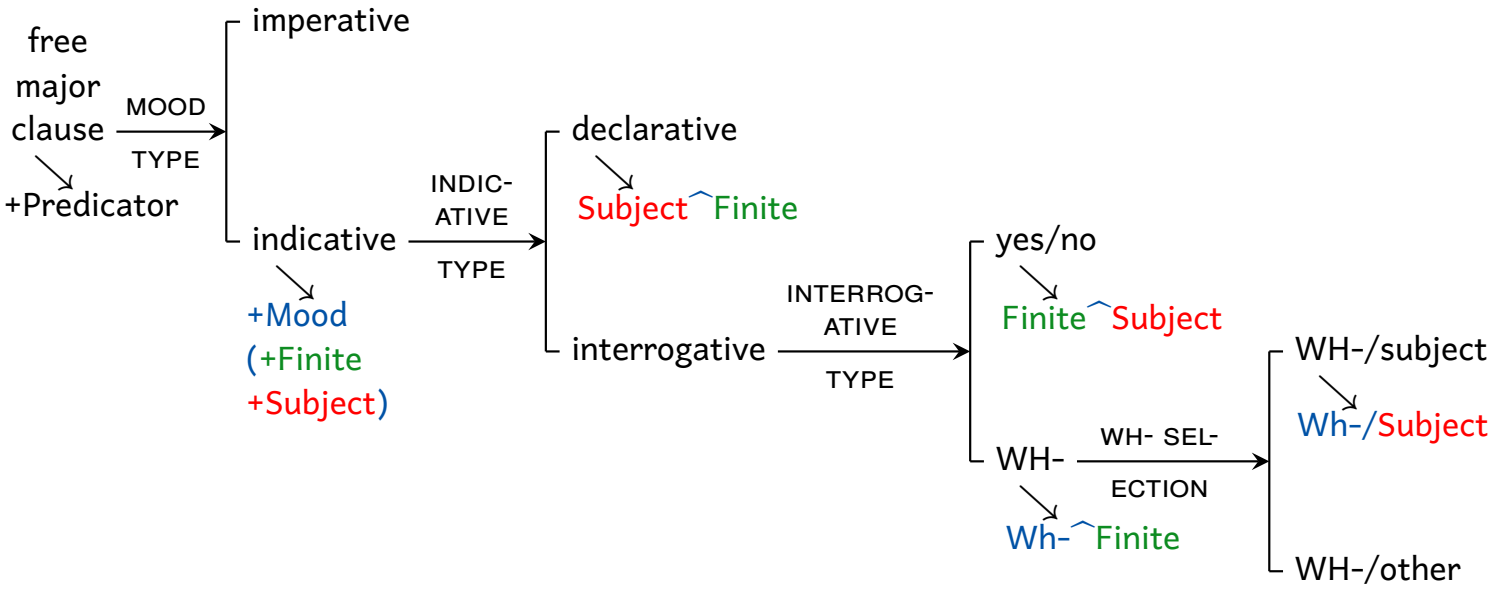
Is he closing the window?

Wh is

Wh is

Wh is

Mood Mood Pred Complement



Close the window!

He is closing the window.

Is he closing the window?

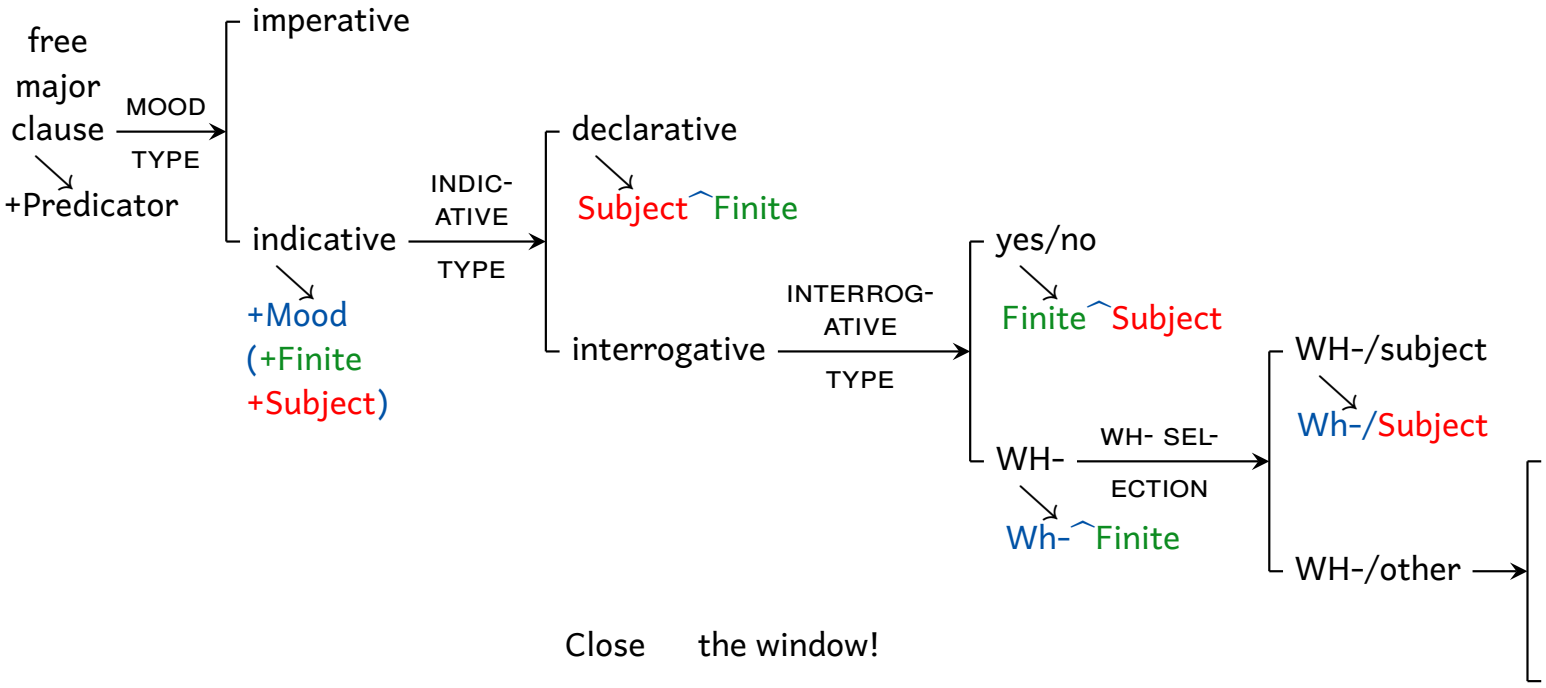
Who is closing the window?

Wh is

Wh is

Mood

Pred Complement



Close the window!

He is closing the window.

Is he closing the window?

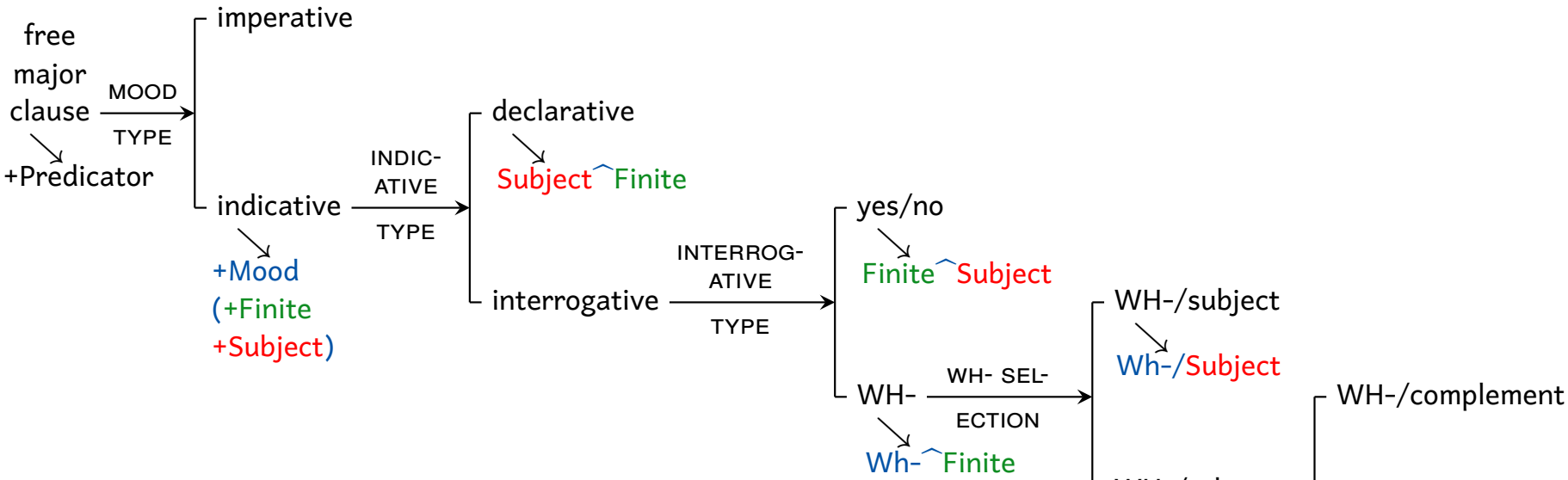
Who is closing the window?

Wh is

Wh is

↑ ↑ ↑ ↑

Mood Pred Complement



Close the window!

He is closing the window.

Is he closing the window?

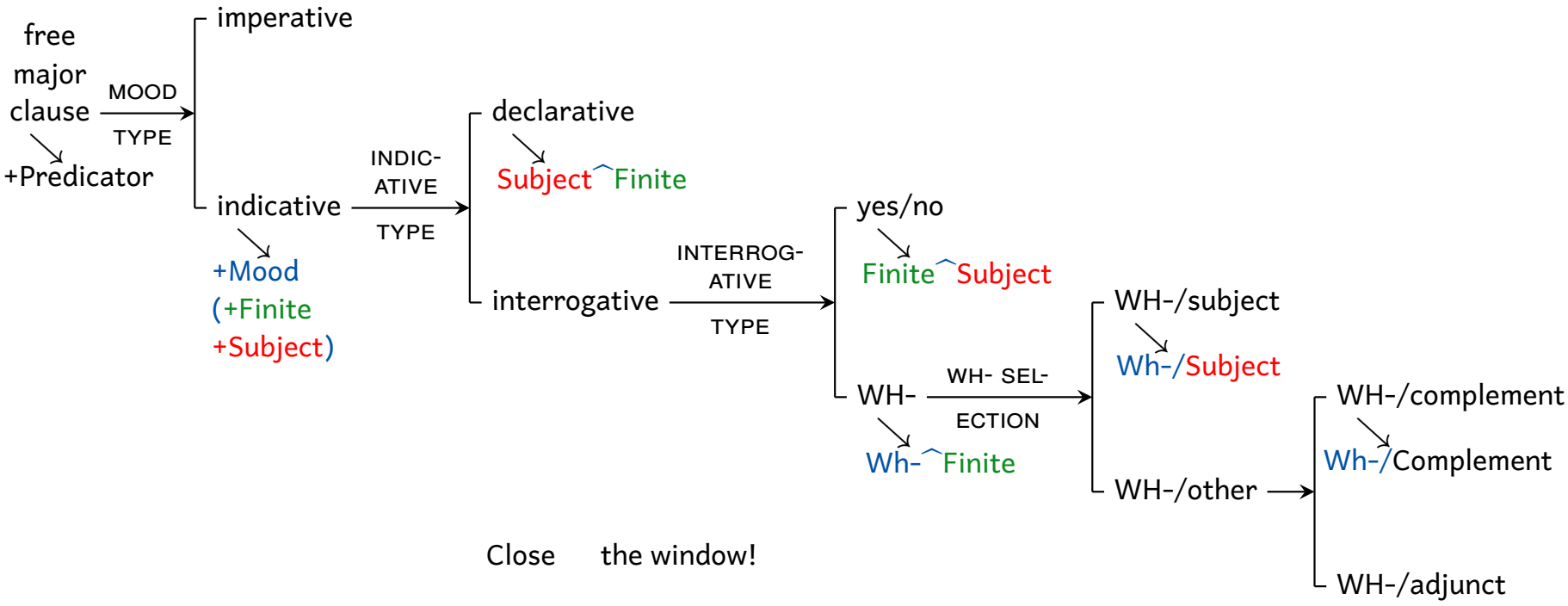
Who is closing the window?

Wh is

Wh is

↑ ↑ ↑ ↑

Mood Pred Complement



Close the window!

He is closing the window.

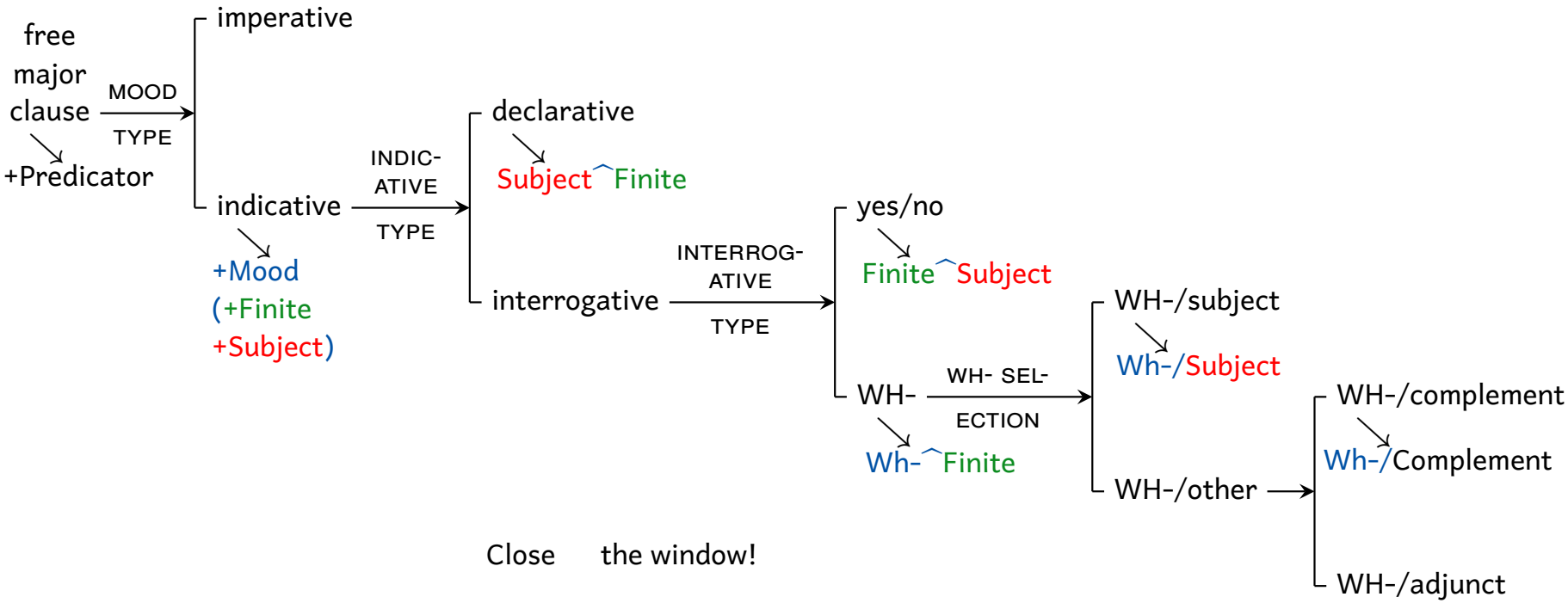
Is he closing the window?

Who is closing the window?

What is
Wh is

Complement ↑ ↑ ↑ Pred ↑ Complement

Mood



Close the window!

He is closing the window.

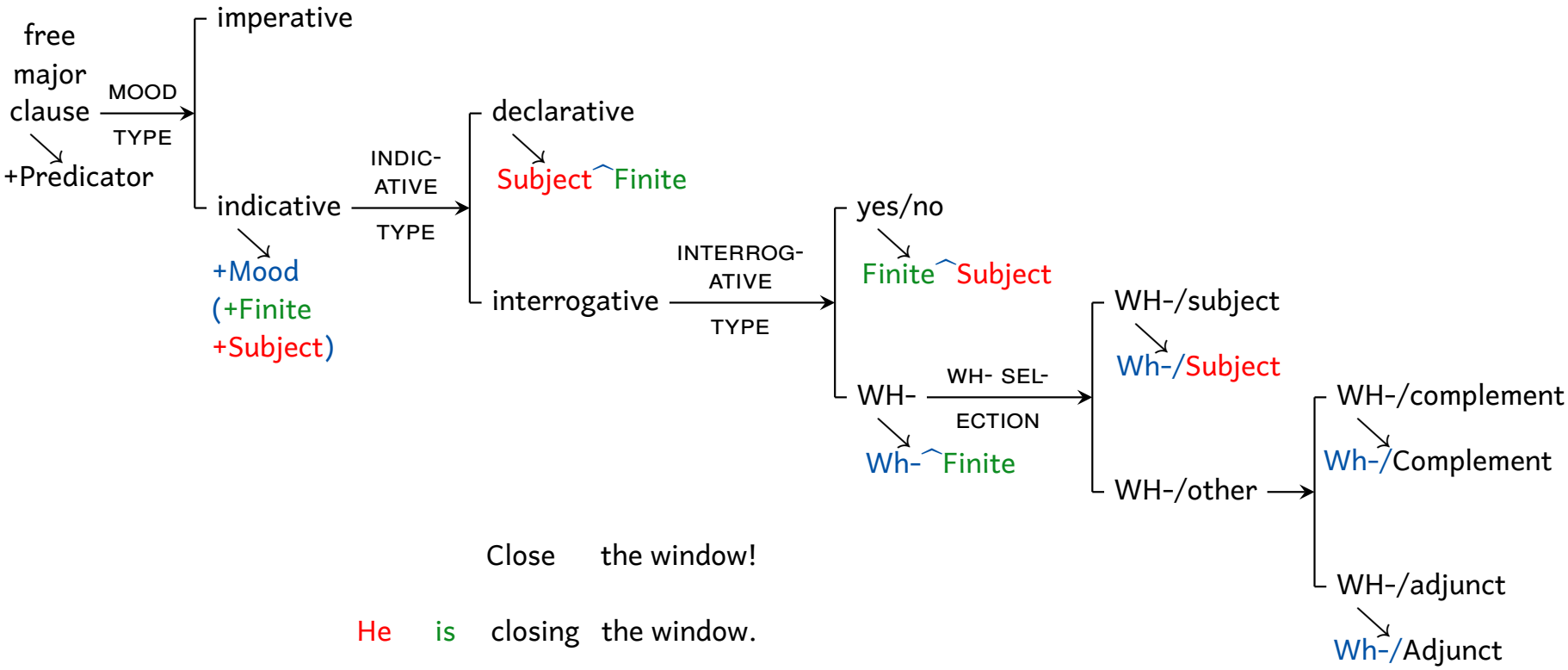
Is he closing the window?

Who is closing the window?

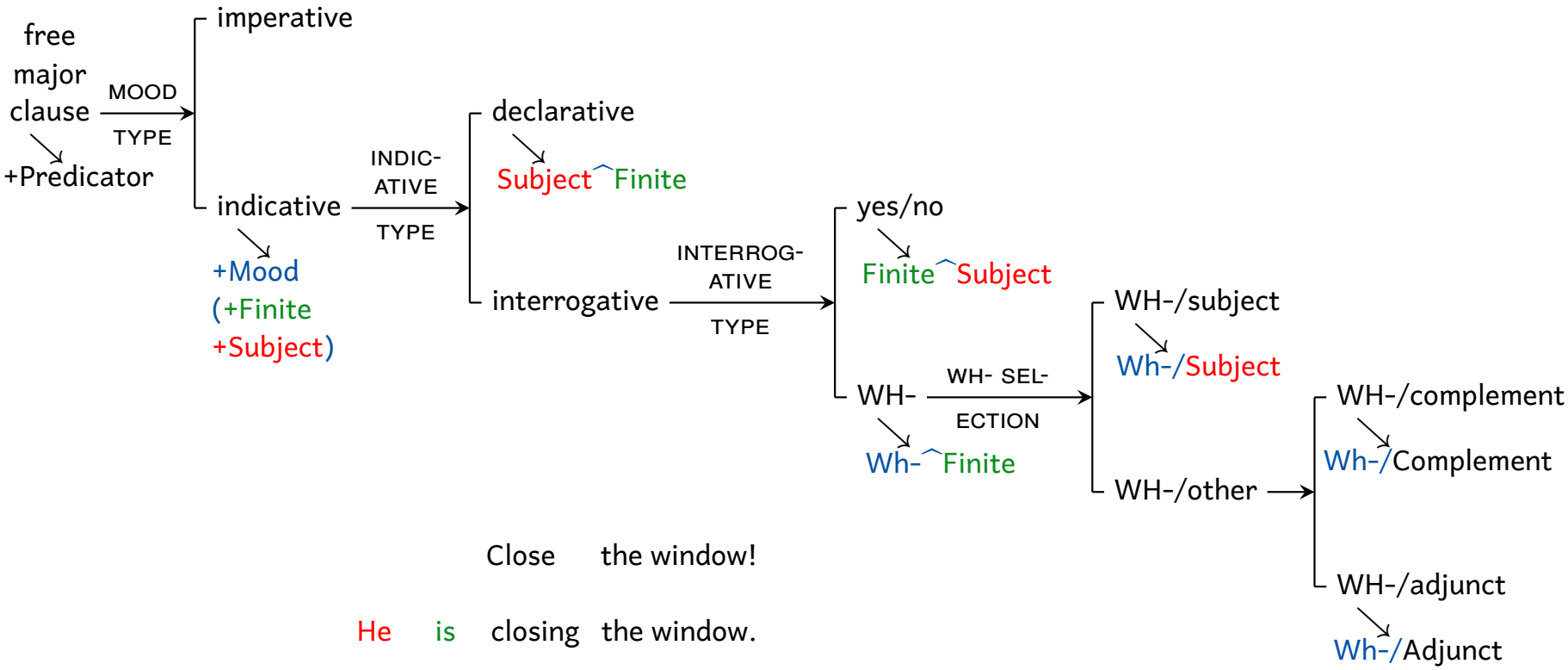
What is he closing?

Wh is

Complement ↑ Mood ↑ ↑ Pred ↑ Complement



			Close		the window!
		He	is	closing	the window.
		Is	he	closing	the window?
		Who	is	closing	the window?
	What	is	he	closing	?
Why		is			
↑	↑	↑	↑	↑	↑
Adjunct	Complement	Mood		Pred	Complement



			Close		the window!
		He	is	closing	the window.
		Is	he	closing	the window?
		Who	is	closing	the window?
	What	is	he	closing	?
Why		is	he	closing	the window?
↑	↑	↑	↑	↑	↑
Adjunct	Complement	Mood		Pred	Complement

- clause

- major
- clause

- bound (e.g. reported speech)
- major
- clause

- non-finite or finite
- bound (e.g. reported speech)
- major
- clause

- non-finite or finite
- bound (e.g. reported speech)
- major
- clause
-

- non-finite or finite
- bound (e.g. reported speech)
- major
- clause
-
-

[free]	([free])	[bound]		
Close the window!	(She told me)		to close the window.	[non-finite]
He is closing the window	(She told me)	he was	closing the window.	[finite]
Is he closing the window?	(She asked me)	whether he was	closing the window.	[finite]
Who is closing the window?	(She asked me)	who was	closing the window.	[finite]
What is he closing?	(She asked) me	what he was	closing.	[finite]
Why is he closing the window?	(She asked me)	why he was	closing the window.	[finite]

Clause as interaction: MOOD (2)

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SUBJECT PERSON:

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SUBJECT PERSON:

- either ‘non-interactant’ or ‘interactant’,

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SUBJECT PERSON:

- either ‘non-interactant’ or ‘interactant’,
  - if ‘interactant’, then ‘speaker’ (“I”) or ‘speaker-plus’ (“we”) or ‘addressee’ (“you”);

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SUBJECT PERSON:

- either ‘non-interactant’ or ‘interactant’,
  - if ‘interactant’, then ‘speaker’ (“I”) or ‘speaker-plus’ (“we”) or ‘addressee’ (“you”);
    - if ‘addressee’, then: no further differentiation (unlike German)

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SUBJECT PERSON:

- either ‘non-interactant’ or ‘interactant’,
  - if ‘interactant’, then ‘speaker’ (“I”) or ‘speaker-plus’ (“we”) or ‘addressee’ (“you”);
    - if ‘addressee’, then: no further differentiation (unlike German)
    - *You kenn say You to me.* :-D

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Clause as interaction: MOOD (3)

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FINITE TYPE:

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FINITE TYPE:

- either ‘temporal’ (primary tense) or ‘modal’;

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Clause as interaction: MOOD (3)

FINITE TYPE:

- either ‘temporal’ (primary tense) or ‘modal’;
  - if ‘temporal’, then PRIMARY TENSE: ‘past’ or ‘present’ or ‘future’;

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Clause as interaction: MOOD (3)

FINITE TYPE:

- either ‘temporal’ (primary tense) or ‘modal’;
  - if ‘temporal’, then PRIMARY TENSE: ‘past’ or ‘present’ or ‘future’;
  - if ‘modal’, then MODALITY: ‘high’ or ‘median’ or ‘low’.

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Clause as interaction: MOOD (3)

FINITE TYPE:

- either ‘temporal’ (primary tense) or ‘modal’;
  - if ‘temporal’, then PRIMARY TENSE: ‘past’ or ‘present’ or ‘future’;
  - if ‘modal’, then MODALITY: ‘high’ or ‘median’ or ‘low’.

	[past]	*she knew* (‘yesterday’)
PRIMARY TENSE	[present]	*she knows* (‘now’)
	[future]	*she will know* (‘tomorrow’)
	[high]	*she must know* (‘surely’)
MODALITY	[median]	*she will know* (‘probably’)
	[low]	*she may know* (‘perhaps’)

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POLARITY:

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POLARITY:

- either ‘positive’ or ‘negative’;

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Clause as interaction: MOOD (4)

POLARITY:

- either ‘positive’ or ‘negative’;

POLARITY MARKING:

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Clause as message: THEME

Clause as interaction: MOOD (4)

POLARITY:

- either ‘positive’ or ‘negative’;

POLARITY MARKING:

- if ‘positive’ or if ‘negative’, then either ‘marked’ (emphatic) or ‘unmarked’.

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Clause as interaction: MOOD (4)

POLARITY:

- either ‘positive’ or ‘negative’;

POLARITY MARKING:

- if ‘positive’ or if ‘negative’, then either ‘marked’ (emphatic) or ‘unmarked’.

	[unmarked]	[marked]
[positive]	*he closed it*	*he did close it*
[negative]	*he didn’t close it*	*he did not close it*

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1. A “GOING ON” consists of
   - PROCESS +
   - PARTICIPANTS +
   - CIRCUMSTANCES

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1. A “GOING ON” consists of
   - PROCESS +
   - PARTICIPANTS +
   - CIRCUMSTANCES
2. PROCESS TYPE:

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1. A “GOING ON” consists of
   - PROCESS +
   - PARTICIPANTS +
   - CIRCUMSTANCES
2. PROCESS TYPE:
   - material (‘doing’)
     - *Lola runs.* [intransitive]
     - *Tom films Lola.* [transitive]

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   - PROCESS +
   - PARTICIPANTS +
   - CIRCUMSTANCES
2. PROCESS TYPE:
   - material ('doing')
     - *Lola runs.* [intransitive]
     - *Tom films Lola.* [transitive]
   - mental ('sensing')
     - *Mary liked the gift.* ['like' type]
     - *The gift pleased Mary.* ['please' type]

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     - *The gift pleased Mary.* ['please' type]
   - relational ('being')
     - *Mary is a teacher.* [ascriptive]
     - *Mary is the teacher.* [equative]

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     - *Mary is a teacher.* [ascriptive]
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   - (plus other minor types)

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     - *Mary liked the gift.* ['like' type]
     - *The gift pleased Mary.* ['please' type]
   - relational ('being')
     - *Mary is a teacher.* [ascriptive]
     - *Mary is the teacher.* [equative]
   - (plus other minor types)
3. TWO WAYS OF MODELLING REALITY:
   - *Pat cooked.* [intransitive] — MODEL 1 IS THE
   - *Pat cooked the rice.* [transitive] — 'TRANSITIVE' MODEL
   - *The rice cooked.* [middle] — MODEL 2 IS THE
   - *Pat cooked the rice.* [effective] — 'ERGATIVE' MODEL

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1. THEME SELECTION
   - Theme = Predicator (*Close the **window!***)
   - Theme = Adjunct (*In summer the students drink lots of **beer**.*)
   - Theme = Subject (*Maria likes **Mozart**.*)
   - Theme = ...

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   - Theme = ...
2. THEME FOCUSSING

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   - Theme = ...
2. THEME FOCUSSING
   - THEME PREDICATION
     - *it was **Oswald** who shot Kennedy*

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   - Theme = ...
2. THEME FOCUSSING
   - THEME PREDICATION
     - *it was **Oswald** who shot Kennedy*
   - THEME IDENTIFICATION
     - *the one who shot Kennedy was **Oswald***
     - *Oswald was the one who shot **Kennedy***

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   - THEME PREDICATION
     - *it was **Oswald** who shot Kennedy*
   - THEME IDENTIFICATION
     - *the one who shot Kennedy was **Oswald***
     - *Oswald was the one who shot **Kennedy***
   - ... probably VOICE belongs here, too:
     - *Oswald shot **Kennedy***
     - *Kennedy was shot by **Oswald***

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     - *it was **Oswald** who shot Kennedy*
   - THEME IDENTIFICATION
     - *the one who shot Kennedy was **Oswald***
     - *Oswald was the one who shot **Kennedy***
   - ... probably VOICE belongs here, too:
     - *Oswald shot **Kennedy***
     - *Kennedy was shot by **Oswald***
3. INTERPERSONAL THEME
   - *surely Anne*

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   - THEME PREDICATION
     - *it was **Oswald** who shot Kennedy*
   - THEME IDENTIFICATION
     - *the one who shot Kennedy was **Oswald***
     - *Oswald was the one who shot **Kennedy***
   - ... probably VOICE belongs here, too:
     - *Oswald shot **Kennedy***
     - *Kennedy was shot by **Oswald***
3. INTERPERSONAL THEME
   - *surely Anne*
4. TEXTUAL THEME
   - *oh but in that case*

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