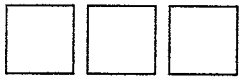




ABOVE THE CLAUSE: THE CLAUSE COMPLEX



Types of relationship between clauses

UNIT 7

①

- (1) **Expansion:** the secondary clause expands the primary clause, by (a) elaborating it, (b) extending it or (c) enhancing it.
- (2) **Projection:** the secondary clause is projected through the primary clause, which instates it as (a) a locution or (b) an idea.

Expansion relates phenomena as being of the same order of experience, while projection relates phenomena to phenomena of a higher order of experience (semiotic phenomena — what people say and think). This basic logico-semantic relation made by the grammar has come to be reflected in the conventions of comic strips, as illustrated schematically in Figure 7-5 below. Expansion develops the text by linking the frames that make up the strip (and also events within frames); this constitutes the 'horizontal' development of the text. Projection transcends this sequence of events linked by expansion by linking events of saying and thinking to the content of saying and the content of thinking. The content of saying is typically represented in 'balloons', and the content of thinking in 'clouds' — both being a higher order of experience than that represented pictorially in the comic strip.

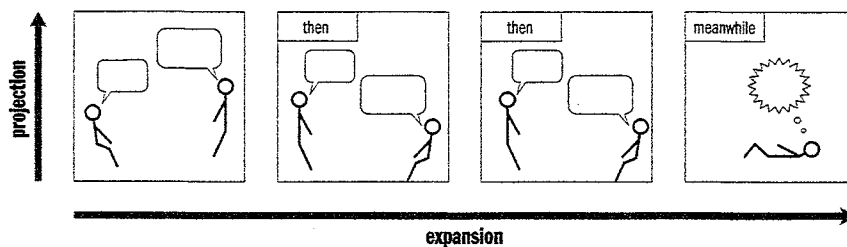


Fig. 7-5 Projection and expansion represented by the conventions of comic strips

Within the general categories of expansion and projection, we recognize first of all a small number of subtypes: three of expansion, and two of projection. The names of these, with suggested notation, are as follows.

(1) Expansion:

elaborating	=	('equals')
extending	+	('is added to')
enhancing	×	('is multiplied by').

(2) Projection:

locution	"	(double quotes)
idea	'	(single quotes).

Below is a brief definition of each of these categories, with examples:

- (1a) **Elaborating:** one clause expands another by elaborating on it (or some portion of it):
'i.e., for example, viz.' restating in other words, specifying in greater detail, commenting, or exemplifying.
- (1b) **Extending:** one clause expands another by extending beyond it: adding some new element, giving an exception to it, or offering an alternative.
'and, or'
- (1c) **Enhancing:** one clause expands another by embellishing around it: qualifying it with some circumstantial feature of time, place, cause or condition.
'so, yet, then'
- (2a) **Locution:** one clause is projected through another, which presents it as a locution, a construction of wording.
'says'
- (2b) **Idea:** one clause is projected through another, which presents it as an idea, a construction of meaning.
'thinks'

from: M.A.K. Halliday, *An Introduction to Functional Grammar*
London: Hodder, 20043 ("IFG3")

revised by
C.M.M. Mathiesen

Table 7(4) Primary and secondary clauses in a clause nexus

	primary	secondary
parataxis	1 (initiating)	2 (continuing)
hypotaxis	α (dominant)	β (dependent)

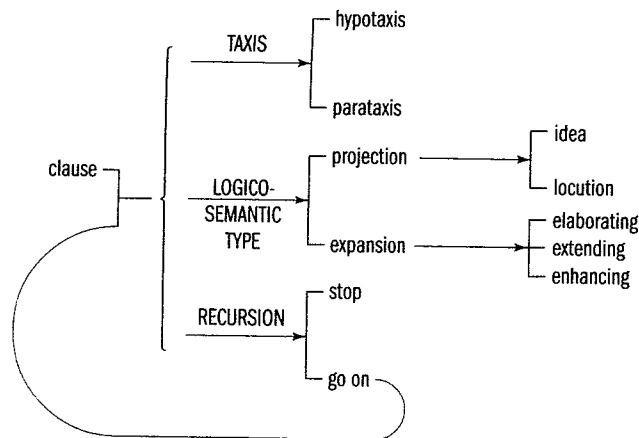


Fig. 7-3 The systems of clause complexing

1		In pain, Kukul pulled out the arrow
2	α	and headed for the river
	β	to wash his wound.

Fig. 7-4 Clause complex with nesting

Table 7(5) Basic types of clause complex

		(i) paratactic	(ii) hypotactic
(1) expansion	(a) elaboration	1 John didn't wait; =2 he ran away. 'apposition'	α John ran away, = β which surprised everyone. 'non-defining relative'
	(b) extension	1 John ran away, +2 and Fred stayed behind. 'co-ordination'	α John ran away, β whereas Fred stayed behind.
	(c) enhancement	1 John was scared, \times 2 so he ran away.	α John ran away, $\times\beta$ because he was scared. 'adverbial clause'
(2) projection	(a) locution	1 John said: "2 "I'm running away" 'direct speech'	α John said " β he was running away. 'indirect speech'
	(b) idea	1 John thought to himself: "2 'I'll run away'	α John thought ' β he would run away.



Elaborating, extending, enhancing: three kinds of expansion

Table 7(8) Paratactic and hypotactic elaboration

	Parataxis	Hypotaxis
meaning	exposition, exemplification, clarification	description
realization	primary + secondary: tone concord	primary + secondary: tone concord
	secondary: often unmarked; may be introduced by <i>i.e.</i> , <i>e.g.</i> , <i>viz.</i> or other conjunctive marker	secondary: non-defining relative clause, either (i) finite introduced by <i>wh</i> -element, or (ii) non-finite

Table 7(9) Categories of extension and principal markers

	Category	Meaning	Paratactic	Hypotactic	
				Finite	Non-finite
(i) addition	'and', additive: positive	X and Y	(both ...) and; not only ... but also	while, whereas	besides, apart from, as well as
	'nor', additive: negative	not X and not Y	(neither ...) nor	—	—
	'but', adversative	X and conversely Y		while, whereas	without
(ii) variation	'instead', replacive	not X but Y	but not; not ... but	—	instead of, rather than
	'except', subtractive	X but not all X	only, but, except	except that	except for, other than
(iii) alternation	'or'	X or Y	(either ...) or (else)	if ... not (... then)	—

Table 7(10) Categories of enhancement and principal markers

	Category	Meaning	Paratactic	Hypotactic		
				finite	non-finite: conjunction	non-finite: preposition
(i) temporal	same time	A meanwhile B	(and) meanwhile; (when)	[extent] as, while	while	in (the course/ process of)
				[point] when, as soon as, the moment	when	on
				[spread] whenever, every time	—	—
	different time: later	A subsequently B	(and) then; and + afterwards	after, since	since	after
	different time: earlier	A previously B	and/ but + before that/ first	before, until/ till	until	before
(ii) spatial	same place	C there D	and there	[extent] as far as		— —
				[point] where	—	—
				[spread] wherever, everywhere	—	—
(iii) manner	means	N is via/by means of M	and + in that way; (and) thus	—	—	by (means of)
	comparison	N is like M	and + similarly; (and) so, thus	as, as if, like, the way	like	
(iv) causal— conditional	cause: reason	because P so result Q	[cause^effect] (and) so; and + therefore			
			[effect^cause] for; (because)	because, as, since, in case, seeing that, considering		with, through, by at, as a result, because of, in case of
	cause: purpose	because intention Q so action P	—	in order that, so that	—	(in order/so as) to; for (the sake of), with the aim of, for fear of
	cause: result			so that	—	to
	condition: positive	if P then Q	(and) then; and + in that case	if, provided that, as long as	if	in the event of
	condition: negative	if not P then Q	or else; (or) otherwise	unless	unless	but for, without
	condition: concessive	if P then contrary to expectation Q	[concession^ consequence] but; (and) yet, still; but + nevertheless [consequence^ concession] (though)	even if, even though, although	even if, even though, although	despite, in spite of, without

Table 7(11) Conjunctive markers used for more than one type of expansion

	elaboration	extension	enhancement
and		additive: 'and also'	temporal: 'and then' causal: 'and so'
but		adversative: 'on the other hand' replacive: 'instead'	concessive: 'nevertheless'
yet		adversative: 'on the other hand'	concessive: 'nevertheless'
or	exposition: 'or rather'	alternative: 'or instead'	
while		additive: 'and also' adversative: 'and yet'	temporal: same time: spread: 'and meanwhile'
as			temporal: same time: spread: 'when' causal: reason: 'because'
since			temporal: different time: later: 'after' causal: reason: 'because'
if		alternative (<i>if ... not [then]</i>) 'or'	conditional: positive: 'in case'

He left the house, closing the door behind him.

and closed the door ... [extending]

I worked for a local firm, selling office equipment

; I sold ... ('I was doing some work, which was ...') [elaborating]

Not wanting to offend, Mary kept quiet.

Because she did not want ... [enhancing]

Having said goodbye, John went home.

After he had said ... [enhancing]

Some precipitation is expected, falling as snow over high ground.

which will fall ... [elaborating]

The Sonora road was opened by Mexican explorers, supplanting the Anza trail.

and supplanted ... [extending]

We could summarize the issue raised in this Section as follows. There is a gradual loss of information, in the way a process is construed in the grammar, as one moves from the finite free clause to the prepositional phrase; for example, 'soon you will reach the monument; then continue straight ahead':

clause complex	(1)	free (finite) clause	You will reach the monument; ...
	(2)	bound finite clause	When you reach the monument, ...
	(3)	bound non-finite clause	(On) reaching the monument, ...
clause	(4)	prepositional phrase	At the monument ...

(1) shows transitivity, with Process and Medium; free mood, with Subject, and primary tense (system I). (2) shows transitivity, with Process and Medium; bound mood, with Subject, and reduced primary tense (system II). (3) shows transitivity with Process but no Medium; no mood, and no explicit Subject; no primary tense (system III). (4) shows no transitivity (minor process only), no mood, and no tense. (We shall see in Chapter 10 that this loss of information is carried still further through the use of grammatical metaphor.) With no. (3), however, we have a system of aspect: imperfective/perfective. The imperfective represents the real, or actual, mode of non-finiteness ('realis'), while the perfective represents the potential, or virtual ('irrealis'). So for example:

- ||| Reaching the monument, || continue straight ahead. |||
- ||| To reach the monument, || continue straight ahead. |||

Historically the imperfective combined with the preposition 'at, in' (cf. *a-doing* in the folksy *what are you a-doing of?*); the perfective combined — and still does, in the infinitive form — with the preposition 'to'. The meaning of the two aspects is very fluid and indeterminate; in the most general terms, the imperfective means act in progress, actual, present, ongoing, steady state or (dependent) proposition, while the perfective means goal to be attained, potential, future, starting and stopping, change of state or (dependent) proposal. Sometimes the distinction is quite clear, as in the example above; sometimes it is very tenuous, as between *the first person leaving* and *the first person to leave*. Numerous examples are given in Chapter 8 below.

Table 7(12) Types of embedding (rank-shift)

Function	Class	In nominal group	In adverbial group
Postmodifier	clause: finite	the house [[that Jack built]]	sooner [[than we had expected]]
	clause: non-finite	the house [[being built by Jack]]	sooner [[than expected]]
	phrase	the house [by the bridge]	sooner [than the rest of us]
Head	clause: finite	[[what Jack built]]	—
	clause: non-finite	[[for Jack to build a house]]	—
	phrase	[by the bridge]	—

do	you	know	the	girl	who	is	taking	the pictures
Mood		Residue						
Finite	Subject	Predic.	Complement					
			nominal group					
			Modifier β	Head α	Postmodifier			
			[[clause: defining relative]]					
			Mood		Residue			
			Subject	Finite	Predicator	Complement		

Fig 7-14 Analysis of a clause containing a nominal group with embedded clause as Post-modifier

the	first	person	who came in
a	hard	act	to follow
Pre-modifier β		Head α	Postmodifier
		SubHead	SubModifier
		$\beta\alpha$	$\beta\beta$

Fig. 7-15 Embedding on a Premodifier

whoever gets there first				wins	a prize
Actor				Process	Scope
'he'	'who'				
Head	= Postmodifier				
	Actor	Process	Place	Attribute	

Fig. 7-16 Elaborating embedded clause (finite) as Head

Table 7(13) Nouns of expansion

category of expansion	finite [[why, etc./for, etc. which/(that)]]	non-finite [[of doing]]
time	time, day, occasion	
place	place	
manner	way	
cause: reason	reason	
cause: purpose		purpose, point, aim
cause: result		result

the	time	to leave	is	when	people	start to yawn
Identified or Value			Process	Identifier or Token		
nominal group				nominal group		
Premod. β	Head α	Postmod.		Head α		
		clause		clause		
		Process		Time	Behavior	Process

Fig. 7-17 Circumstantial identifying clause with embedded enhancing clauses

Table 7(14) Process type environments of 'act' clauses

PROCESS TYPE		lexical items	examples
material		Process: <i>change, destroy, affect</i>	Actor: [[worrying over what happened]] won't change anything
behavioural	perceptive	Process: <i>watch, listen to, feel, taste, smell</i>	she watched [Phenomenon:] [[the plane take/taking off]]
mental	perceptive	Process: <i>see, notice, glimpse, hear, overhear, feel, taste, smell</i>	she could see [Phenomenon:] [[the plane take/taking off]]
	cognitive	—	—
	desiderative	—	—
	emotive	—	—
verbal		—	—
relational	intensive and attributive	Attribute: [manner] <i>easy, hard, difficult, challenging; a piece of cake, a cinch; [comment] important; (of) what/no/little use [[for x] to do]</i>	[manner] it's easy [[[for him] to revise the manuscript]] ~ he can revise ... easily /with difficulty; [comment] it's important [[[for him] to revise the manuscript]] ~ [[that he should revise the manuscript]] is important
		Attribute: [comment] <i>thoughtful, considerate, kind, helpful, clever, wise, smart; careless, negligent, thoughtless, stupid, silly, foolish, deplorable (of x) [[to do]]</i>	it's thoughtless (of him) [[to neglect his family]] ~ thoughtlessly, he neglected his family
	intensive & identifying	Value: [manner] <i>challenge, difficulty, task; nouns of expansion (Table 7(13))</i>	[Value:] the challenge is [Token:] [[[for him] to revise the manuscript]]
	possessive	—	—
	circumstantial	—	—

Table 7(15) Paratactic, hypotactic and embedded expansions

	Taxis		Embedding	
	Parataxis	Hypotaxis		Acts
elaborating	John ran away; this surprised everyone. John didn't run wait; he ran away.	John ran away, which surprised everyone. John, who came to dinner last night, ran away.	the man [[who came to dinner]] (stayed for a month)	—
	—	John ran away, surprising everyone	the man [[coming to dinner]]	I heard [[the water lapping on the crag]]
extending	John ran away, and Fred stayed behind.	John ran away, whereas Fred stayed behind.	—	—
	—	John ran away, with Fred staying behind.	—	—
	—	—	the people [[whose house we rent]] (are returning)	—
	—	—	—	—
enhancing	John was scared, so he ran away.	John ran away, because he was scared.	(i) enhancing clause: [1] the applause [[when she finished singing]]	—
	—	John ran away, because of being scared.	death [[by drowning]]	—
	—	—	[2] the house [[where she lived]]	—
	—	—	nothing [[to write home about]]	—
	—	—	(ii) enhancing noun: the reason [[why I like her]]	—
	—	—	the purpose [[of raising funds]]	—

	In another moment	down	went	Alice	after it,	
	never	once	considering			
	how [in the world]	she	was to get	out	again.	

	The rabbit-hole	went	straight on	like a tunnel	for some way,					
	and	then	dipped	suddenly 1	down,	=2 so suddenly ×[[that	Alice	had not	a moment	
	to think about α	'β stopping herself								
	before	she	found herself α	=β falling	down a very deep well.]] ×β					

	Either	the well	was	very deep,	
	or	she	fell	very slowly,	
	for	she	had	plenty of time	
	as	she	went	down	
	to look	about her,			
	and	to wonder			
	what	was going to happen	next.		