PART A

The chapters in Part A of this book take what we have generally called formal (or structural) approach to English grammar, whereas Part B takes a functional approach. Formal grammar focuses on the forms (or the structure) of language. In Part A, we will first examine the primary medium for all language – sound. We will discuss the organs of speech in human beings and provide a description of English sounds, that is, distinctive features of types of vowel and consonant. We will then move on to study English sounds as a system and also units larger than individual sounds, including sequences of phonemes, word stress, rhythm, and intonation in Chapter 1. In Chapter 2, we will examine the structure of English words: types of morpheme, as well as explore various processes of word formation in English. Both Chapter 3 and Chapter 4 focus on syntax. In Chapter 3, we start with the classification of individual words (i.e., word classes) and move on to the combination of individual words into different types of word groups and phrases. In Chapter 4, we study the various combinations of phrases into simple sentence. We will also discuss mood types of a sentence as well as the combination of clauses into compound, complex, and compound–complex sentences. In Chapter 6, we explore the study of meaning in the formal tradition (i.e., semantics) and also meaning in use (i.e., pragmatics). In Chapters 6 and 7, we will examine the language variation and modern Englishes. Then we will move on to the functional approach to study the language phenomenon in Part B.

Phonetics and Phonology

1

Introduction

Human language is primarily oral; that is, humans use combinations of sounds in order to communicate. Each language uses its own set of sounds, and these sounds are combined in different ways to give different meanings. In this chapter, we examine the production of sounds in English; the differences between consonant and vowel sounds; the IPA symbols; the various sounds in the language; the use of stress, rhythm, and intonation; and the relationship between intonation and meaning.

Organs of speech

Generally speaking, phonetics is the study of speech sounds. Like every human language, English uses a limited number of speech sounds out of the large number of different sounds the human vocal organs can produce. Phonetics is concerned with the description and classification of these sounds on the basis of how they are produced by our vocal organs and how they are perceived by our hearing mechanism. The study of how the vocal organs produce the sounds of language is called articulatory phonetics, the study of the way listeners perceive the sounds is called auditory phonetics, and the study of the physical properties of the sound themselves is called acoustic phonetics. In this chapter, we focus on articulatory phonetics, and therefore begin with an examination of the organs of speech.

The main organs of speech used in making English sounds are the lungs, the larynx, and the different parts of the mouth. The lungs are connected to a tube, which goes up to the vocal cords, called the trachea or windpipe. The lungs push out air, which moves up the

trachea to the larynx and the mouth to create sounds. The larynx contains vocal cords, that can affect the quality of the sound produced. The space between the vocal cords is called the glottis (see Figure 1.1 below). The glottis can be closed or open. If it is totally closed, no air can pass through it; if partly open, the vocal folds vibrate, producing 'voiced sounds'; and if wide open, the vibration of the vocal folds is reduced, producing 'voiceless sounds'.

After crossing the larynx, the air goes through the oral or the nasal cavity, where most of the articulation takes place. The uvula controls whether the air flows through the oral or the nasal cavity. The mouth contains a number of parts that impact the sound produced.
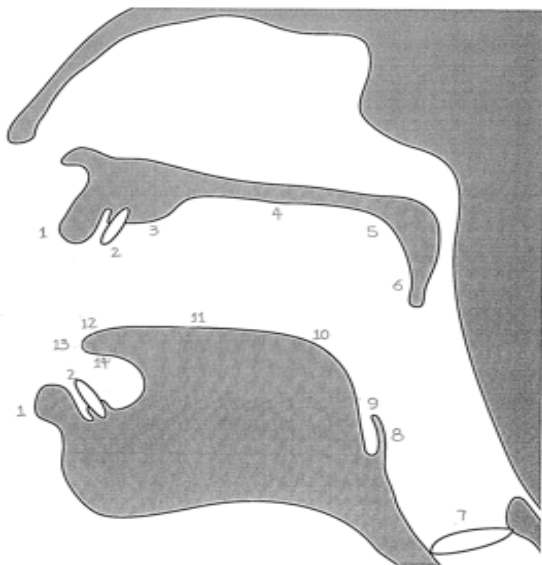
Figure 1.1: Places of articulation

Key: (1) Lips; (2) Teeth (dental); (3) Alveolar ridge; (4) Hard Palate; (5) Velum (soft palate); (6) Uvula; (7) Glottis (vocal folds); (8) Epiglottis; (9) Tongue root; (10) Back of tongue body; (11) Front of tongue body; (12) Tongue blade; (13) Tongue tip; (14) Underside of tongue

Parts of the mouth that produce sound can be classified into 'active articulators' and 'passive articulators'. Active articulators move to make sound during the articulation process, while passive articulators remain static. The active articulators include lower lips,

lower teeth, tongue, and uvula. In speech production, the active articulators typically move toward the passive articulators to shape the air stream, and thus alter the sound quality. The passive articulators include upper lips, upper teeth, alveolar ridge (a ridge on the back of the teeth), hard palate (a hard flat surface further back from the alveolar ridge), and soft palate (also called the velum, a soft surface further back from the hard palate).

Tongue is one of the most active articulators in the mouth. It is a powerful muscle that can take different shapes – flat, convex, or curled. Different parts of the tongue – 'tip', 'blade', 'front', and 'back' – move in different ways and touch or come close to different passive articulators to direct the airflow as it passes and resonates through the oral cavity. Tongue movements open or obstruct the passage of air through the mouth. During speech, the tongue moves rapidly and changes shapes constantly to form partial or complete closure of the vocal tract necessary to create words.

Description of English Sounds

Speech sounds can be divided into two broad categories: vowels and consonants. Vowels are sounds that are made by changing the shape of the oral cavity, but without obstructing air flow. Consonants, on the other hand, are speech sounds where the air stream from the lung is completely blocked by the lips (stop), partially blocked by the tongue (lateral). The air stream escapes with audible friction (fricative), or gets blocked in the mouth escapes through the nose (nasals). In this section, we will examine ways in which the vowel and consonants used in English can be described. Before doing that, we need to explain two topics: first, the International Phonetic Alphabets (IPA) because the IPA is a set of characters that are used to transcribe sounds, and second, the transcription conventions used in this chapter.

Phoneticians use a special set of characters, called the International Phonetic Alphabet (IPA) to transcribe the sounds of human languages, including English. The IPA is essential

because the same letter or alphabet in English can represent different sounds; for example, the letter 'a' has different sounds in the words 'jargon' and 'jasmine'; the letter 'e' has different length in the words 'preclude' and 'prefect'; the letter 'k' is pronounced in the words 'key' but not in the word 'knight'. Conversely, the same sound in a language can be written using different letters; for example, the sound /ɪ/ can be represented by the letter 'o' as in 'women', the letter 'i' as in 'sit', or the letter 'y' as in 'knobbly'. Because human languages use a large number of sounds, the full IPA is quite large. In this section, we focus on the IPA characters that are used to represent sounds in English.

To transcribe a sound phonetically (either an individual sound or a group of sounds), we place the transcription within '/.../'. But, to transcribe a sound phonologically (i.e., the way it is actually pronounced by speakers), we put the transcription within square brackets '[...]'. For example, when we transcribe the word 'kit' phonetically, we write it down as /kɪt/; on the other hand, when we describe how a speaker of British English might say it, we transcribe it phonologically as [kʰɪt].

Vowels

Vowels are produced by modifying the shape of the vocal tract but without appreciably obstructing the air flowing through it. There are 12 primary vowels in English as listed below. Examples are given for each vowel, with its occurrence in word-initial, word-medial and word-final position:

Vowel	Examples			
/iː/	each	heat	beef	he
/ɪ/	it	hit	believe	*ability
/e/	ethic	set	head	gourmet
/æ/	accident	hat	basil	---
/ɜː/	earth	hermit	bird	---
/ə/	ago	has	have	vita
/ʌ/	up	unsafe	trust	*coda

/uː/	---	blue	fool	who
/ʊ/	urtext	full	scope	---
/ɔː/	ought	haunt	abort	abhor
/ɑː/	arm	hart	car	yah
/ɒ/	oxen	cot	goggle	---

Figure 1.2: Vowel sounds in English
*unstressed = /ə/

Describing English vowels

In human languages, most vowels are voiced, but there are some that use voiceless vowels (e.g., in Japanese: dekita, ifuku). But in English, all vowels are voiced. Apart from voiced and voiceless, vowels are usually described in terms of three properties: (1) the position of the tongue in relation to the roof of the mouth, (2) the shape of the lips, and (3) the duration of the sound.

Different parts of the tongue are involved in producing vowels. Depending on which part of the tongue is raised to the highest position, we can classify vowels as front vowels, back vowels, and central vowels as shown in Table 1.3.

Vowels	Position of the tongue	Examples
Front vowels	the front part of the tongue is raised	'sheep' /ʃiːp/, 'ship' /ʃɪp/, 'bed' /bed/, 'bad' /bæd/
Back vowels	the back part of the tongue is raised	'pot' /cɒt/, 'caught' /cɒt/, 'boot' /buːt/
Central vowels	the centre of the tongue is raised	'bird' /bɜːd/

Table 1.3: Vowels and position of the tongue

The tongue can be raised to various heights to shape the oral cavity. The three most common positions are high, mid, and low as shown in Table 1.4.

Vowels	Height of the tongue	Examples
High (close)	the tongue is near the roof of the mouth	'sheep' /ʃiːp/, 'boot' /buːt/,

Mid (half close)	the tongue is neither near the roof of the mouth nor in a low position; it is somewhere between the two	'bit' /bɪt/, 'bed' /bed/, 'caught' /cɒt/
Mid (half open)		'cut' /kʌt/, 'bird' /b ɜːd/, 'saw' /s ɔː/
Low (open)	the tongue is in the lowest possible position	'calm' /kɒm/, 'bad' /bæd/

Table 1.4: Vowels and height of the tongue

Table 1.5 tabulates both the position and the height of the tongue during the production of vowel sound in various words.

Tongue height	Part of the tongue involved		
	front	central	back
High/ close	sheep ship		Boot
half-close	bit bed		caught
half-open		cut bird	saw
Low/ open	bad	calm	Pot

Table 1.5: Vowels and part and height of the tongue

A change in the shape of the lips can also affect the vowel quality. There are three main lip positions that differentiates vowel sounds in English: rounded, spread, and neutral. The spread and the neutral vowels are sometimes grouped together and called unrounded vowels.

Vowels	Shape of the lips	Examples
Rounded vowels	the lips are relatively round	'bore' /bɔːr/, 'soot' /sʊt/
Spread vowels	the lips are in a relatively spread position	'keep' /kiːp/, 'beat' /biːt/
Neutral vowels	the lips are neither rounded nor spread	'but' /bʌt/, 'about' /əbaʊt/

Table 1.6: Vowels and shape of the lips

Finally, vowels can either be short or long. In English, the difference between short and long vowels is a distinctive feature, meaning that whether a vowel is short or long impacts the meaning of the words. For example, the difference in the words /bɪt/ (bit) and /biːt/ (beat) is that of vowel length. In IPA, the diacritic 'ː' is used to mark a long vowel.

The vowels that we have described so far are all pure vowels, also known as monophthongs. There are 12 pure vowel sounds in Standard British English, also known as Received Pronunciation (RP). Table 1.7 tabulates the 12 pure vowels in English.

		Front	Central	Back
High/Close	Long	iː		uː
	Short	ɪ		ʊ
Mid	Long		ɜː	ɔː
	Short	e	ə	
Low/Open	Long			ɑː
	Short	æ	ʌ	ɒ

Table 1.7: The IPA table for the English vowels.

Table 1.8 describes each of the 12 primary vowels and provides an example of word that uses them.

Vowel	Description	Examples	
/iː/	A front, high, long vowel	seat	/siːt/
/ɪ/	A front, high, short vowel	sit	/sɪt/
/e/	A front, mid, short vowel	set	/set/
/æ/	A front, low, short vowel	sat	/sæt/
/ɜː/	A central, mid, long vowel	bird	/bɜːd/
/ə/	A central, mid, short vowel	ago	/əgəʊ/
/ʌ/	A central, low, short vowel	cup	/kʌp/
/uː/	A back, high, long vowel	fool	/fuːl/
/ʊ/	A back, high, short vowel	full	/fʊl/
/ɔː/	A back, mid, long vowel	caught	/kɔːt/
/ɑː/	A back, low, long vowel	cart	/kɑːt/
/ɒ/	A back, low, short vowel	cot	/kɒt/

Table 1.8: Description of English primary vowels

Diphthongs

In English, as in many languages, there are vowels that could be moved from one vowel position to another, known as diphthongs. For example, the vowel sound /aɪ/ in the word 'buy' is produced by a movement from the vowel sound /a/ as in the word 'part' toward the vowel sound /ɪ/ as in the word 'pit'. Other examples include the diphthong /eɪ/ in the word 'bay', /ɔɪ/ in the word 'boy', /əʊ/ in the word 'beau' etc.

There are eight diphthongs in English. They are further classified into closing diphthongs and centering diphthongs. Closing diphthongs represent those that involve a gliding toward a closed vowel. There are five closing diphthongs in RP. Centering diphthongs, on the other hand, represent those that involve a gliding toward a central vowel. There are three centering diphthongs in RP. Table 1.9 shows the eight diphthongs in RP.

	Diphthong	Example
Closing diphthongs	/eɪ/	bay /beɪ/
	/aɪ/	buy /baɪ/
	/ɔɪ/	boy /bɔɪ/
	/əʊ/	beau /bəʊ/
	/aʊ/	bough /baʊ/
Centering diphthongs	/ɪə/	beer /bɪə/
	/eə/	bear /beə/
	/ʊə/	boor /bʊə/

Table 1.9: The eight diphthongs in English

Consonants

Consonants are produced by appreciably obstructing the flow of air through the vocal tract. There are a total of 24 consonants in English, which are listed below. The examples

below are given for each phoneme, with its occurrence in word-initial, word-medial, and word-final position:

Consonant phonemic symbol	Example		
/b/	ban	cable	cab
/p/	pan	people	zip
/m/	man	memo	seem
/w/	went	beware	---
/d/	dance	daddy	dead
/t/	tan	hasty	hat
/f/	fan	safer	life
/v/	van	saver	live
/g/	gang	bigger	tag
/ŋ/	---	singer	king
/k/	can	hacker	kick
/l/	land	teller	coal
/n/	name	partner	sign
/r/	ran	horror	core
/s/	sand	lacy	peace
/z/	zang	lazy	please
/h/	hand	behead	---
/j/	yank	lawyer	---
/θ/	thank	ether	breath
/ð /	then	either	breathe
/ʃ/	shame	threshold	crush
/tʃ/	chant	sketchy	church
/ʒ/	---	treasure	rouge
/dʒ/	jam	edgy	siege

Figure 1.10: Consonants in English

Describing consonants

Consonants are usually described based on their place of articulation, manner of articulation, and voicing.

The first distinctive feature to describe a consonant is whether it is voiced (i.e. when the vocal cords vibrate) or voiceless (when the vocal cords do not vibrate). In English, a change in voicing can change the meaning of the word (all other features being constant). For example, the difference between the initial sound in the words 'ban' /bæn/ and 'pan' / pæn / is that of voicing, with all other features being identical. This difference in voicing changes the meaning of the two words.

	Consonant phonemes and examples
voiced	/b/ back; /d/ day; /g/ gate; /v/ van; /z/ zero; /m/ map; /n/ night; /l/ light
voiceless	/p/ pan; /t/ tea; /k/ key; /f/ fat; /s/ sip; /h/ hot

Table 1.11: Voiced and voiceless consonants in English

The second distinctive feature to describe a consonant is the place of articulation, that is, the place in the oral cavity where a closure or narrowing takes place. Like voicing, a change in the place of articulation can change the meaning of the word, and therefore also create minimal pairs. For example, the difference between the initial sound in the words 'pin' /pɪn/ and 'kin' /kɪn/ is that in the place of articulation, with all other sounds being identical. This change in the place of articulation changes the meaning of the two words. In English, there are eight places of articulation which can create words with distinctive meanings.

Types	Places of articulation	Consonant phonemes
Bilabial	Closure or narrowing between the two lips	/p, b, m, w/
Labio-dental	narrowing between the lower lip and the peer teeth	/f, v/
Dental	Closure or narrowing between the tip of the tongue and the upper teeth	/θ, ð /
Alveolar	Closure or narrowing between the tip or blade of the tongue and the teeth ridge	/t, d, s, z, n, l/
Post-alveolar	Narrowing between the blade of the tongue and the area just behind alveolar ridge	/tʃ, dʒ, ʃ, ʒ, r/
Palatal	Narrowing between the front of the tongue and the hard palate	/j/

Velar	Closure or narrowing between the back of the tongue and the soft palate	/k, g, ŋ/
Glottal	The narrowing happens between the vocal cords	/h/

Table 1.12: Consonant and place of articulation

In addition to the place of articulation, the manner in which the sound is made can also be used to describe consonants. The kind of closure or narrowing and the manner in which the air flows is affected by it creates different sound qualities. In English, the manner of articulation is the third distinctive feature to differentiate between two words. For example, the difference between the initial sounds in the words 'teen' /ti:n/ (/t/ is a plosive or stop) and 'seen' /si:n/ (/s/ is a fricative) is in the manner of articulation, with all other features being the same. This change in the manner of articulation changes the meaning of the two words. In English, there are seven manners of articulation, which can create words with distinctive meanings.

Types	Manners of articulation	Examples
Plosive (stop)	There is a complete closure of the air passage. The air is held up and then released with an explosion.	/p, b, t, d, k, g/
Affricate	There is complete closure of the air-passage and then the air is released slowly with friction.	/tʃ, dʒ/
Fricative	There is a narrow passage for the air to pass through. This creates an audible friction.	/f, v, s, z, θ, ð, ʃ, ʒ, h/
Nasal	There is a complete closure of the air-passage in the mouth. The soft palate is lowered to let the air come out through the nose.	/m, n, ŋ/
Frictionless continuants (approximant)	This sound is made with a near closure of mouth, but without any friction.	/r/
Lateral	This sound is made when there is a closure in the middle, but the air is free to come out along the sides.	/l/
Semivowels (glides)	These are vowel-like consonants. They are made in the same way as vowels, but function as consonants.	/j, w/

Table 1.12: Consonant and manner of articulation

Based on these three features – voicing, the place of articulation, and the manner of articulation – all the consonants in English can be tabulated in the following table.

Manner of articulation	Bilabial		Labio-dental		Dental		Alveolar		Postalveolar		Palatal		Velar		Glottal	
	vl	vd	vl	vd	vl	vd	vl	vd	vl	vd	vl	vd	vl	vd	vl	vd
Plosive/stop	p	b					t	d					k	g		
Affricate									tʃ	dʒ						
Fricative			f	v	θ	ð	s	z	ʃ	ʒ					h	
Nasal		m						n						ŋ		
Approximant								r								
Lateral								l								
Semivowel/glide	w											j				

Table 1.13: The consonants used in RP. Note: 'vl' refers to voiceless and 'vd' refers to voiced.

Activity 1.1

Identify the two words that begin with the sound as mentioned before colons.

Example: A palato-alveolar affricate: beach, cello, chef, gander, gypsy, shop, vain

Answers: gypsy, cello

1) A labio-dental fricative: backyard, chick, cab, loose, phrase, stop, vest

2) A dental fricative: feature, holocaust, late, themselves, thesis, Thailand, vivid

3) A velar plosive: chrysanthemum, city, Gerry, judge, knack, pickle, quadruple

4) An alveolar fricative: czar, desert, join, psychiatric, rumple, sure, thesaurus

5) A bilabial plosive: biography, king, multiple, panorama, philosophy, psalm, spirit

6) A palato-alveolar fricative: chauvinism, jubilant, pleasant, pressure, schwa, surly, Zimbabwe

7) An alveolar plosive: blame, dwindle, palace, sobbing, theatre, tortoise, zealot

8) A semi-vowel: honesty, human, onion, union, whenever, whole, whose

9) A velar plosive: chime, choral, gelatinous, gearwheel, gnash, knavish, skulk

10) A glottal fricative: heiress, honor, hourly, humor, khaki, rhetoric, whose

Identify the two words that end with the sound specified.

Example: A dental fricative: best, breath, haste, pay, rise, teeth, though

Answers: breath, teeth

1) A velar consonant: case, face, manage, plaque, Prague, recollect, waste

2) A bilabial consonant: bombed, clock, right, scallop, scramble, span, tube,

3) A labio-dental fricative: adhesive, borough, eleventh, frustrate, string, triumph, wise

4) An alveolar plosive: ache, bouquet, mopped, Porsche, stipulated, Sussex, wardrobe

5) A palato-alveolar affricate: ache, aisle, cache, hostage, scratch, spanned, rim

6) An alveolar nasal: autumn, column, condemn, cortisone, deign, headlong, success

7) A palato-alveolar fricative: adze, badge, beige, beads, douche, badge, coach, pledges

8) A voiced alveolar fricative: appease, cease, grasps, goose, heaths, mouths,

9) A voiceless dental fricative: beneath, bequeath, betroth, booth, hearth, smooth, with

10) A voiced velar plosive: destroying, diaphragm, enact, pedagogue, prestige, trough, vague

Identify the <u>two</u> words that <u>contain</u> the sound specified.

Example: A glottal fricative: dislevel, father, heirdom, inhibition, Rhine, whosoever

Answers: <u>inhibition, whosoever</u>

1) A schwa: Dublin, gigantic, Malaysia, migration, nursing, recollection, uplift

2) A palatal semi-vowel: farther, hijack, inconsistent, rostrum, tuberculosis, verify, yawn

3) A diphthong: effort, foster, kinship, intensity, share, thrive, timber,

4) A voiced palato-alveolar fricative: differentiate, fossilization, inseparable, inshore precision, pursue, treasure,

5) A voiced velar nasal: Bangkok, banquet, gander, grammatical, nasty, nicotine, trauma

6) A central vowel: abrupt, carriage, nasty, reaping, pursue, soonest, stylish

7) A labio-velar semi-vowel: drowned, follow, lawn, oneness, only, sewed, squirrel

8) A palato-alveolar frictionless continuant: corpulent, dervish, formerly, iron, panther, parish, progress

9) A diphthong: appeal, climbing, flood, village, plait, poster, southern

10) A lateral consonant: folk, helm, palm, salmon, solemn, Stockholm, talkative

Activity 1.4

Write the following paragraph in regular English spelling. "tʃaɪnə ɪz əmerɪkəz bæŋkə" ɪz ə freɪz wʌn ɒfən hɪəz, əlɒŋ wɪð "tʃaɪnə hæz mæsɪv fɔ:rən ekstʃeɪŋdʒ rɪzɜ:vz". həʊld ɒn, ðəʊ. nəʊ ju:-es stɪmələs pækɪdʒ wɪl ni:d ə sent frəm tʃaɪnə. ət ðə rɪsk əv grəʊslɪ əʊvəsɪmplɪfaɪɪŋ, hɪə ɪz haʊ əmerɪkə faɪnænsəs ə stɪmələs pækɪdʒ

laɪk ðə wʌn ɪt ni:dz naʊ.

ju:zɪŋ əʊnlɪ entri:z ən ɪts bæləns shi:t, ðə fedərəl rɪzɜ:v sɪstəm kri:eɪts kæʃ ənd ju:zɪz ɪt tə baɪ bɪlz frəm ðə treʒərɪ dɪpɑ:tmənt. ðə treʒərɪ spendz ðə mʌnɪ, beɪst ɒn kəngreʃənəl əprəʊprɪeɪʃənz. kɒŋgres ɔ:lsəʊ hæz tə reɪz ðə det si:lɪŋ. ðæts ɪt. ɪt hæz nʌθɪŋ tə du: wɪð tʃaɪnə.

Phonemes and minimal pairs

Phonetics is the study of speech sounds, concerning the description and classification of these sounds on the basis of how they are produced by our vocal organs. Phonology, on the other hand, is concerned with how a particular language organizes its sounds into distinctive units (technically known as *phonemes*), how the phonemes are combined into *syllables*, and how the *prosodic* features of *length*, *stress*, and *pitch* are organized into patterns.

Let's compare the words 'pan' and 'ban'. They are different in terms of form and meaning; they also differentiate from each other in terms of sound: the initial consonant of the first word is [p] while the second word is [b]. The two consonants [p] and [b] are distinctive sounds, which can therefore distinguish words in English. Such distinctive sounds are called phonemes. As a matter of fact, these two consonant phonemes distinguish not only the two words 'pan' (/pæn/) and 'ban' (/bæn/) but also other pair of words such as 'park' (/pɑ:k/) and 'bark' (/bɑ:k/), 'pear' (/peə/) and 'bear' (/beə/), 'peak' (/pi:k/)and 'beak' (/bi:k/), 'peach' (/pi:tʃ/)and 'beach' (/bi:tʃ/), 'pill' (/pɪl/) and 'bill' (/bɪl/).

The criterion to determine the phonemes in English is to check if substituting one sound for another will result in a distinctive word. If it does, the two distinctive sounds represent different phonemes. When two distinctive words are identical in every way but one phoneme occurs in the same place in the words, the two words are called a minimal pair. In the above examples, 'pan' and 'ban' is a minimal pair, and also 'park' and 'bark', 'pear' and 'bear', 'peak' and 'beak', 'peach' and 'beach', and 'pill' and 'bill'. So 'pan' (/pæn/) and 'tan' (/tæn/) is a minimal pair, but 'pan' (/pæn/) and 'ant' (/ænt/) is not because [p] and [t] are not located in the same place in the two words. In English, phonemes are not confined to consonants; vowels form phonemes as well. For example, if we substitute the vowel [æ] in 'pan' with another vowel [e], we have another word 'pen' (/pen/). So 'pan' (/pæn/) and 'pen' (/pen/) also form a minimal pair.

Phonemic features

From Table 1.13, we can say that each consonant is in fact a bundle of feature values. For example, /p/ embodies the features of voiceless, bilabial, and stop, whereas /b/ embodies the features of voiced, bilabial, and stop. We can present the feature values as follows:

$$/p/ = \begin{bmatrix} + \text{ bilabial} \\ + \text{ stop} \\ - \text{ voice} \end{bmatrix} \qquad /b/ = \begin{bmatrix} + \text{ bilabial} \\ + \text{ stop} \\ + \text{ voice} \end{bmatrix}$$

The following table describes all the consonant phonemes in English and provides examples of words in which they are used.

Consonant	Description	Example	
p	+ bilabial; + stop; – voice	pan /pæn/	pill /pɪl/
b	+ bilabial; + stop; + voice	ban /bæn/	bill /bɪl/
t	+ alveolar; + stop; – voice	tan /tæn/	till /tɪl/
d	+ alveolar; + stop; + voice	dam /dæm/	dill /dɪl/
k	+ velar; + stop; – voice	can /kæn/	kill /kɪl/
g	+ velar; + stop; + voice	gang /gæŋ/	gill /gɪl/

tʃ	+ post-alveolar; + affricate; – voice	champ /tʃæmp/	chill / tʃɪl/
dʒ	+ post-alveolar; + affricate; + voice	jam /dʒæm/	jill /dʒɪl/
f	+ labio-dental; + fricative; – voice	fan /fæn/	fill /fɪl/
v	+ labio-dental; + fricative; + voice	van /væn/	villa /vɪlə/
θ	+ dental; + fricative; – voice	thank /θæŋk/	thin /θɪn/
ð	+ dental; + fricative; + voice	them / ðem/	then /ðen/
s	+ alveolar; + fricative; – voice	sand /sænd/	silt /sɪlt/
z	+ alveolar; + fricative; + voice	zap /zæp/	zillion /zɪlɪən/
ʃ	+ post-alveolar; + fricative; – voice	sham /ʃæm/	shilling /ʃɪlɪŋ /
ʒ	+ post-alveolar; + fricative; + voice	seizure /siːʒə/	leisure /leʒə/
h	+ glottal; + fricative; – voice	ham /hæm/	hill /hɪl/
m	+ bilabial; + nasal; + voice	man /mæn/	mill /mɪl/
n	+ alveolar; + nasal; + voice	nap /næp/	nil /nɪl/
ŋ	+ velar; + nasal; + voice	angst /æŋst/	thing /θɪŋ/
r	+ post-alveolar; + approximant; + voice	ram /ræm/	rip /rɪp/
l	+ alveolar; + lateral; + voice	land /lænd/	lilt /lɪlt/
w	+ bilabial; + glide; + voice	wax /wæks/	will /wɪl/
j	+ palatal; + glide; + voice	yank /yæŋk/	yield /jiːldt/

Table 1.14: English consonants with descriptions and examples

When a feature distinguishes one phoneme from another, it is known as phonemic feature (or distinctive feature). Let's take /p/ and /b/ as an example. Both phonemes are + bilabial and + stop; the only difference between them is voicing: /p/ is – voice (voiceless) but /b/ is + voice (voiced). It is this phonetic feature that distinguishes the words 'pan' and 'ban'. This feature is distinctive in a sense it alone can account for the difference in meaning of the two words.

Sequences of phonemes

As mentioned, English, like every language, uses its own set of sounds, and these sounds are combined in different ways to give different meanings. However, these sounds are not combined arbitrarily. There is a system of rules guiding the ways of combination. This phonological system determines which phonemes can begin a word, end a word, and

follow each other; for example, after a consonant such as /b/, /g/, /k/, or /p/, another stop consonant is not permitted; when a consonant such as /l/ or /r/ occurs at the beginning of a word, it must be followed by a vowel; and there are a maximum of three sequential consonants can occur at the beginning of a word, and they are restricted to /s/ + /p, t, k/ + /l, r, w, y/, e.g., 'scramble' /skræm.bl/.

Restrictions exist to constrain the sequence of phonemes not only in words, but also in syllables. One or more phonemes form a syllable – a unit which is often longer than one sound and smaller than a whole word. For example, the word 'examination' consists of five syllables: ex-am-i-na-tion. The syllable is defined by the way in which vowels and consonants combine to form various sequences. Vowel can form a syllable on their own, such as /ɪ/ in the word 'examination' (/ɪg.ʒæm.ɪ.neɪ.ʃn/, or they can be the 'centre' of a syllable, such as /ɛ/ in 'bed' (/bɛd/). Consonants, on the other hand, do not usually form syllables on their own and are at the beginning, e.g., /f/ in 'five' (/faɪv/), or the end of syllables e.g., /t/ in 'fit' (/fɪt/). When transcribing words that have more than one syllable, we put a '.' between the syllables as shown in the above example.

A word with only one syllable is called a monosyllabic word (e.g., 'cut', 'eye', 'flood', 'work', and 'pray'). A word with two syllables is called disyllabic word (e.g., 'barter', 'lecture', 'tired', and 'bottle'). A word with three syllables is called trisyllabic word (e.g., 'fantastic', 'unhappy', 'cigarette', and 'engineer'). A word with more than three syllables is called polysyllabic word (e.g., 'impossibility', 'mobilization', 'historical', 'examination').

Sequential constraints also occur across syllable boundaries. For instance, only consonants that are articulated at the same place of articulation (i.e., labial, alveolar, palatal, or velar) and non-nasal consonant may occur together in English (technically known as homorganic consonants). Therefore, 'ample' is an English word but not '*amtle' or '*amkle'. Similarly, 'antler' is a word but not '*anpler' nor '*ankler'; 'handle' is a word but not '*hanble' nor '*hangle'.

Word stress

In English, for words that have more than one syllable, only one syllable is stressed. Stressing the right syllable is important or else we risk not being able to communicate efficiently. Worst of all, a shift in word stress can actually change the meaning of a word in some cases. In those words that consist of two or more syllables, one syllable stands out. This syllable is called a stressed syllable (or an accented syllable). The prominence of a stressed syllable can be caused by one of three factors (or a combination of these factors): longer in duration, louder in volume, and higher pitch. Stress in a word is marked by placing a high vertical line, ˈ, before the stressed syllable; for examples, /ˈdeɪ.tə/ in the word 'data', /rɪˈbʌf/ in the word 'rebuff'.

Primary and secondary stress

In English, two syllables might stand out in words that have three or more syllables. Of these two stressed syllables, one is more prominent than the other. In such cases, the more prominent stressed syllable is said to have primary or main stress and marked by a high vertical line, ˈ , before the stressed syllable, whereas the other one receives secondary stress and marked a low vertical line, ˌ ,before the stressed syllable; for example, /ˌæd.vən.ˈteɪ.dʒəs/ the word 'advantageous' has four syllables; the first syllable has secondary stress and the third syllable has primary stress.

Stress patterns and word class

In English, word stress is not fixed to a particular syllable; some words stress on the first syllable, some on the second syllable, yet others on the third or the fourth:

(A) Disyllabic words stressed on the first syllable:

1) 'action	4) 'donkey	7) 'gradual
2) 'better	5) 'encore	8) 'hefty
3) 'copper	6) 'format	9) 'instant

(B) Disyllabic words stressed on the second syllable:

1) a'bove	4) de'gree	7) gre'nade
2) be'hind	5) e'vade	8) hu'mane
3) con'cise	6) for'bid	9) in'stall

(C) Trisyllabic words stressed on the first syllable:

1) 'afterwards	4) 'density	7) 'graduate
2) 'botany	5) 'educate	8) 'hesitate
3) 'calendar	6) 'fluctuate	9) 'imminent

(D) Trisyllabic words stressed on the second syllable:

1) ag'reement	4) de'tergent	7) gra'duation
2) bar'baric	5) e'lastic	8) his'toric
3) con'sistent	6) for'mation	9) in'active

(E) Trisyllabic words taking the primary stress on the third syllable:

1) ˌaddres'see	4) ˌdisre'gard	7) ˌgonor'rhoea
2) ˌbombar'dier	5) ˌexpe'tise	8) ˌHallo'ween
3) ˌchimpan'zee	6) ˌfricas'see	9) ˌimma'ture

(F) Words of more than three syllables — various stress patterns:

1) 'adequacy	4) ˌdissatis'faction	7) gym'nasium
2) ˌbene'diction	5) ex'penditure	8) ˌhistri'onic
3) conˌcessio'naire	6) ˌfasci'nation	9) im'penetrable

There are a number of words in English that can be used as both nouns and verbs or adjectives and verbs. For disyllabic words, the stress is generally on the same syllable regardless of whether the word is used as a noun, adjective, or verb. However, there are a few disyllabic words which take the stress on the first syllable if the words are used as nouns or adjectives and on the second syllable if they are used as verbs.

As pointed out above, a number of disyllabic words take the stress on the same syllable whether used as nouns/adjectives or verbs, for example, ad'vance (noun and verb), a'lert (adjective and verb), 'anger (noun and verb), a'ward (noun and verb), bal'lon (noun and verb), com'plete (adjective and verb), damage (noun and verb), 'empty (adjective and verb). However, there are other disyllabic words that take the stress on the first syllable if used as nouns/adjectives and on the second syllable if used as verbs, for example, 'absent as adjective but ab'sent as verb, 'contract as noun but con'tract as verb, 'convert as noun but con'vert as verb, 'present as noun or adjective but pre'sent as verb, 'record as noun but re'cord as verb. In these cases, the stress patterns can be used to differentiate between nouns or adjectives and verbs. Note that there appears to be no particular rule about this. Below, we will first list some disyllabic words that stress the same syllable weather they are nouns/adjectives or verbs; and, then, we will list some words that change the stress pattern based on whether they are nouns/adjectives or verbs.

The addition of some derivational suffixes affects the stress pattern but some do not. Examples of suffixes that do not affect the stress pattern include:

-able (e.g., ad'vise → ad'visable)	*-age* (e.g., 'cover → 'coverage)
-ance (e.g., per'form → per'formance)	*-er* (e.g., re'ceive → re'ceiver)
-ess (e.g., 'waiter → 'waitress)	*-full* (e.g., e'vent → e'ventful)

-fy (e.g., 'terror → 'terrify)	*-ize* (e.g., 'final → 'finalize)
-ly (e.g., 'order → 'orderly)	*-ment* (e.g., enter'tain → enter'tainment)
-ness (e.g., 'bitter → 'bitterness)	*-or* (e.g., di'rect → di'rector)
-some (e.g., 'burden → 'burdensome)	*-ure* (e.g., ex'pose → ex'posure)
-y (e.g., 'winter →'wintry)	

Examples of suffixes that affect the stress pattern include:

-eer (e.g., 'profit → ˌprofi'teer)	*-esque* (e.g., 'picture → ˌpictu'resque)
-ial (e.g., 'essence → es'sential)	*-ian* (e.g., 'music → mu'sician)
-ic, -ical (e.g., 'grammar → gram'matical)	*-ion* (e.g., ap'ply → ˌappli'cation)
-itis (e.g., 'tonsil → ˌtonsi'litis)	*-ity* ('equal → e'quality)

Note that in a large number of cases, an addition of a suffix does not change the stress pattern. Examples of suffixes that do not impact stress pattern on the root word include: *-ed, -s, -ing, -able, -age, -ance, -en, -er, -ess, -ful, -fy, -hood, -ish, -ize, -ly, -ment, -ness, -or, -some, -ship, -ure,* and *-y.*

Activity 1.5

Mark the primary and (if necessary) secondary stresses on the underlined words in the following sentences.

Example: John was <u>absent</u> from school yesterday.

Answer: ˈ<u>absent</u>

1) The Immigration Bureau refused to grant him a work <u>permit</u> to work in Hong Kong.
2) She has <u>extracted</u> a description of the murderer from the newspaper.
3) <u>Manchester</u> is one of the industrial cities in Britain.
4) He was a famous <u>environmentalist</u> before he took up the position of CEO in our company.

5) The police conducted a thorough search for an escaped <u>convict</u> in the forest.

6) The author <u>recapitulated</u> the main points of the paper in the conclusion.

7) There are strict limits on <u>immigration</u> into the United States.

8) The perfume contains <u>extracts</u> from several flowers.

9) The <u>proceeds</u> of today's concert will go to several schools for students with learning disabilities.

10) This report <u>reinforces</u> the findings of the pilot study.

Rhythm in connected speech

When we speak, we stress some words but not others. This creates a rhythm (or a stress pattern). There are three stress patterns amongst the world languages: syllable-timing, mora-timing, and stress-timing. The stress pattern in syllable-timing is that every syllable takes up approximately the same amount of time; syllable-timed languages include Chinese, Spanish, Urdu, etc. The stress pattern in mora-timing is that syllable duration depends on vowel length. In general, each syllable with a short vowel takes up the same time, whereas each syllable with long vowel takes up approximately twice the length. Examples of mora-timed languages include Gilbertese, Hawaiian, Japanese, etc. The stress pattern in stress-timing is that the average amount of time between consecutive stressed syllables is approximately the same, regardless of the number of unstressed syllables in between; stressed-timed languages include German, Russian, etc.

English is a stress-timed language. Thus, in English, the time between two stressed syllables is about the same. The number of unstressed syllables between the stressed syllables does not influence this timing. There are three implications for unstressed syllables in connected speech: vowel reduction, vowel elision, and syllable elision. These are defined and exemplified in Table 1.15 below.

	Meaning	Example

vowel reduction	The vowel in the unstressed syllable is shortened and centralized. Typically, the vowel used in unstressed syllables in English is the central, mid, short vowel, /ə/, (known as the 'schwa'), or the front, high, short vowel, /ɪ/	/e/ in the unstressed syllable 'very' /verɪ/ is reduced to a schwa /vərɪ/
vowel elision	The reduced vowel is elided (deleted)	The unstressed syllable /ə/ of the word 'bottom' is elided all together: /bɒtəm/ → [bɒtm̩]
syllable elision	A whole unstressed syllable is elided	The second syllable of the word ''sen.ten.ces' is elided: [sentənzɪz] → [sen:zɪz]

Table 1.15: Implications for unstressed syllables

Stress in connected speech

In connected speech, we generally stress the content words (i.e., words with content meaning, including nouns, adjectives, main verbs, and adverbs) but not the grammatical words (i.e., words with grammatical function, including articles, pronouns, prepositions, auxiliary verbs, and conjunctions). This is because content words carry meaningful information, whereas grammatical words help organize the content words in a sentence; for example: I 'like 'Jane's 'works. In words that have more than one syllable, only the syllable with primary stress in that word is stressed. Let's take the word 'o,rigi'nality' as an example. In connected speech, only the primary but not the secondary stress is stressed: His 'works 'lacks of origi'nality.

However, we can stress a particular word in connected speech to highlight the meaning that we want to project. For example:

   [1] 'I love Susan.

[2] I 'love Susan.

[3] I love 'Susan.

In sentence [1], it is 'I' who love Susan as opposed to other; in [2], I 'love' Susan, as opposed indifferent to her; and in [3], it is Susan that I love instead of other(s).

Intonation

Apart from using stress, we can change the meaning of our utterances by changing the intonation patterns of our speech. Intonation is a variation of pitch, which refers to the frequency of a sound. In connected speech, we vary the pitch to create specific semantic effects. This is known as intonation.

In English, there are three primary tones: falling, rising, and monotone (level). These tones can combine to form additional patterns: fall-rise and rise-fall. Each of these tones carries a specific meaning in English. They are tabulated in Table 1.16.

Tone	Meaning	Context	IPA symbol	Example
falling	Certainty	making statements	ˋ	He is ˋright.
rising	Uncertainty	asking questions	ˊ	ˊAre you sure?
level	utterance not finish	listing things	ˉ	ˉPeter, Paul, Mary…
fall-rise	Reservation	showing reservation	ˇ	ˇPerhaps.
rise-fall	Surprise	suggesting surprise	^	^Wow!

Table 1.16: Tones and meaning in English

Tone group boundaries typically coincide with the boundaries of major grammatical units. Intonation can therefore be helpful to interpret ambiguous sentences. Let's take the sentence below as an example:

Put the books by the window in my room.

This sentence can have at least two meanings:

(1) The books are to be put by the window in my room, or

(2) The books by the window are to be put in my room.

While ambiguous in written form, the sentence is disambiguated in speech with the tone group.

[a] | Put the books | by the window in my room |
[b] | Put the books by the window | in my room |

In [a], the tone group boundary comes between 'books' and 'by', showing that it should be interpreted as (1); whereas, in [b], the tone group boundary comes between 'window' and 'in', suggesting that (2) is the meaning.

Furthermore, intonation can also carry pragmatic functions. For example, we might indicate that we want to end a conversation by using a falling tone. In contrast, we could suggest that we want the conversation to continue by using a rising tone.

Finally, intonation can also be used to emphasize or to accentuate a particular meaning. In English, the tonal syllable typically lies on the last syllable of a tone group – which is where the tonal stress is usually placed in an unmarked case. However, we might shift the tonal syllable from the last syllable of a tone group to a syllable (in a word) that we want to accentuate, and hence presenting a difference in the meaning; for example:

[a] | Tom stole everything in my `room |
[b] | `Tom stole everything in my room |
[c] | Tom `stole everything in my room |
[d] | Tom stole everything `in my room |

In utterance [a], the speaker uses the regular falling intonation pattern. In [b], the speaker uses a contrastive intonation pattern and places the tonic stress on the subject 'Tom'. By

doing so, the speaker emphasizes that it is 'Tom', not anybody else, who stole everything in the room. In [c], by placing the tonic stress on the verb 'stole', the speaker accentuates that what Tom did is equivalent to stealing, not borrowing or anything else. Finally in [d], by stressing the preposition 'in', the speaker emphasizes that Tom stole everything "in" the speaker's room, not outside it.

Conclusion

In this chapter, we learnt about the sound system of the English language. We started with a description of how sounds in a language are made, and moved on to the smallest units of sounds in a language, phonemes, and then described the various types of vowel and consonants. We also considered how they combine to form words, phrases, and longer texts. We also learnt about the word and sentence stress patterns of English and the meanings that they carry. In short, this chapter introduced us to the sound system of the English language, and how we study it.

Morphology

2

Introduction

In the previous chapter, we examined the system of sounds in English, from individual words to connected speech. In this chapter, we will explore the system of words in English – their internal structure and their formation (i.e., morphology and word formation).

The notion 'morphology' has two meanings: the study of the internal structure of words and a morphemic system. In other words, a word is constituted of parts, these parts are related to each other, and they form a system in which rules are observed. We can therefore draw an analogy between sentence and word. In English, the parts of the sentence are called clauses, the parts of a clause are phrases, and the parts of a phrase are words as shown below:

Sentence:	The	dam	gave	way	*because it was not strong enough to hold the flood waters.*
Clause:	Clause 1				Clause 2
Phrase:	NP		VP	NP	
Word:	Art	N	V	N	

In the same way, like sentences, clauses, and phrases, words are also made up of smaller elements. Let's illustrate with the following sentence.

China's assertiveness has provided enormous incentives to embrace an Asian multilateral system backed by America, rather than accept the exclusionary system that China seeks

to lead.

In the above sentence, some words consist of only one part (known as mono-morphemic), including: *has, enormous, to, embrace, an, Asian, system, by, American, rather, than, accept, the, system, that, China, to, lead.*

Some of them consist of two parts (known as double-morphemic). They include the following:

China's	=	*China*	+	*'s*
provided	=	*provide*	+	*[e]d*
incentives	=	*incentive*	+	*s*
multilateral	=	*multi*	+	*lateral*
backed	=	*back*	+	*ed*
seeks	=	*seek*	+	*s*

Some words, however, can be divided into three parts (known as triple-morphemic). They include:

assertiveness	= *assert + ive + ness*
exclusionary	= *exclu[de] + sion + ary*

Some English words consist of a large number of parts; for example:

ungentlemanliness	= *un + gentle + man + li + ness.*
decontextualization	= *de + con + text + al + ize + ation*
antidisestablishmentarianism	= *anti + dis + establish + ment + ari + an + ism*

Morphology studies the internal structure of words, this branch of linguistics therefore also deals with the study of word formation. In this chapter, we first describe various types of morphemes and then outline a range of processes that English uses in forming new words.

Morphemes

Let's consider the word '*unusual*'. This word is a combination of '*un*' and '*usual*'. Our knowledge of English tell us that '*un*' means the 'opposite of' or 'not' and that its addition to the word '*usual*' changes the meaning of the word to 'not usual'. Our knowledge of English tell us that the prefix 'un' cannot be further broken down into smaller meaningful components, and that it can be added to a large number of words to reverse the meaning of the base word; for examples:

- to noun: *untruth, unrest*
- to verb: *unlock, unloose, unload, unman, unpack*
- to adjective: *unlucky, unhappy, unlike, unmade*

Similarly, the base word '*usual*' cannot be further broken down into smaller meaningful components, but more words can be derived from it, such as 'usually and the notion of 'usuality' in systemic functional grammar. In the above example, 'un' and 'usual' are the smallest parts into which a word can be divided. They are also the smallest parts which encode 'meaning', and joined together according to 'rule'. In linguistics, they are known as 'morphemes'. In other words, a morpheme is the smallest meaningful element of a language, the smallest unit which is grammatically relevant, and the smallest part into which a word can be divided.

Morphemes can be classified according to their properties and function. The typology of morphemes is shown in Figure 2.1 below. In the following sections, we will examine them in detail.
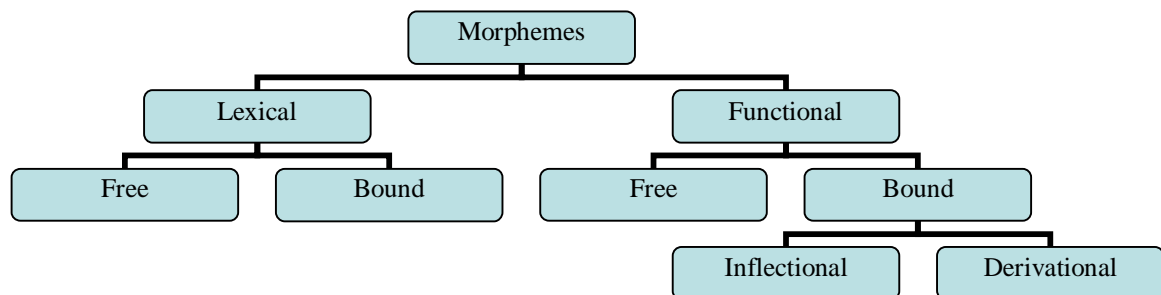
Figure 2.1: The typology of morpheme in English

Due to different combinations of morphemes, words can be categorized as shown in the figure below:

```
                    Words
                      |
      _____|_____
     |                |                |
   Simple          Complex         Compound
```
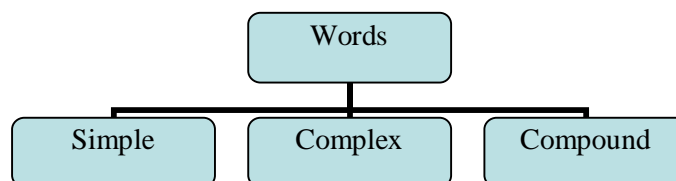
Figure 2.2: The classification of words in English

Words which are made up of a single free morpheme are known as simple words, a free morpheme and one or more bound morphemes are known as complex words, two or more free morphemes (with or without some bound morphemes) are known as compound words, or in some rare cases, two bound morphemes. Here are some examples of complex and compound words:

Simple words:	*time, brother, table, with*
Complex words:	*disallow, impossible, unwise, desirable, kindness, shorten, unacceptable, works*
Compound words:	*bathroom, homework, red-hot, widespread*

Lexical and functional morphemes

The distinction between lexical and functional morphemes is not well defined. In general, lexical morphemes carry the 'content' of messages we convey, i.e. they have 'meaning'. They include the ordinary nouns (e.g., *boy*, *school*), adjectives (e.g., *wonderful*, *dangerous*), adverbs (e.g., *hastily*, *well*) and verbs (e.g., *run*, *follow*). They are classified as lexical morphemes.

Functional morphemes, on the other hand, consist largely of the functional words in the

language such as conjunction (e.g., *and*, *but*), prepositions (e.g., *by*, *of*), articles (e.g., *a*, *the*) and pronouns (e.g., *he*, *they*). They do not carry the 'content' of messages we convey; instead, they express some sort of relationship between lexical morphemes. They are therefore also known as grammatical morphemes.

Bound and free morphemes

The complex word, '*unusual*', as noted above comprises of two morphemes, '*un*' and '*usual*'. While the morpheme '*usual*' can exist independently, the morpheme '*un*' cannot. The morpheme '*un*' must be attached to another morpheme such as '*usual*' or morphemes such as '*usually*' which can exist independently. Morphemes that can exist independently are known as 'free' morphemes, while morphemes that need to be attached to another free morpheme or morphemes are called 'bound' morphemes. For examples: '*happiness*' comprises of two morphemes: '*happy*', which is a free morpheme and '*ness*', which is a bound morpheme.

A morpheme which is attached to the front of a free morpheme is called a prefix. For example, '*im*' and '*un*' are prefixes in the words '*unusual*' and '*unhappy*'. A morpheme which is attached at the end of a word is called a suffix. For example, '*ness*' and '*ly*' in the words '*happiness*' and '*usually*' are suffixes. We use the word 'affix' to refer to both 'prefixes' and 'suffixes'.

In addition to prefixes and suffixes, some morphemes can be inserted in the middle of another word. They are known as 'infixes'. Though uncommon, English does use a few 'infixes' such as '*-o-*' in '*Sino-US*'. Let's examine another word '*abso-bloody-lutely*'. The word comprises of the base word '*absolute*', the infix '*bloody*', and the suffix '*ly*'. English does not have many infixes and the use of these is highly marked as in the example above.

Apart from 'affixes', there are two other important notions: 'base' and 'root'. The notion 'base' refers to a word to which we add another morpheme. For example, '*unfortunate*' is

a word that is comprised of a free morpheme '*fortune*' and two bound morphemes '*mis*' and '*ate*'. Being a bound morpheme attached to the word '*fortunate*', '*mis*' is called a prefix because it is attached to the front of the word '*fortunate*'. On the other hand, the word '*fortunate*' is the 'base' to which the prefix '*mis*' is attached. However, '*unfortunate*' can be further divided into a free morpheme '*fortune*' and a bound morpheme '*ate*'. Being a bound morpheme attached to the word '*fortune*', '*ate*' is called a suffix because it is attached to the back of the word '*fortune*'. In addition, '*fortune*' is a free morpheme which cannot be further divided into meaning carrying units. Therefore, '*fortune*' is also the 'root' word.

English, in addition to having bound affixes, also has some 'bound roots'. 'Bound roots' are root words that must be attached to an affix to exist. They cannot exist as free morphemes, even though their meaning can be understood. For example, the word '*inept*' can be analyzed as being formed by the addition of the prefix '*in-*' to the root/base '*ept*'. However, in English the word '*ept*' does not exist as a free morpheme. Similarly, the word '*vengeance*' appears to be a combination of the root/base '*venge*' and the suffix '*ance*'; however, the root '*venge*' does not exist as a free morpheme: it must either be attached to a suffix (like '*-ance*' to form '*vengeance*') or to a prefix (like '*a*' or '*re*' to form the words '*avenge*' and '*revenge*').

Inflectional and derivational morphemes

Bound morphemes can be further classified into derivational and inflectional morphemes, depending on whether they change the content meaning or the word class of the base or not. Morphemes that influence the meaning or the word class of the base are called derivational morphemes. Morphemes that do not change the meaning of the base and do not change the word class are called inflectional morphemes. Let us look at the following examples:

- *-s: boats*
- *-full: wonderful*
- *un-: unhealthy*

In the first example above, the addition of the plural marker '*-s*' does not alter the word class or the content meaning of the base and is therefore an inflectional morpheme. The latter two examples, on the other hand, change the word class and the meaning of the base and are therefore derivational morphemes.

Derivational morphemes

Derivational morphemes change the word class and/or the meaning of the base word that they are attached to. Derivational morphemes can be prefixes or suffixes.

In English, all prefixes are derivational morphemes; for examples: '*un-*' in '*unhealthy*', '*arch-*' in '*archbishop*', or '*mis-*' in '*misunderstanding*'. They change the meaning of the base that they attach to. Apart from some exceptions, prefixes do not typically alter the word class of the base word. Those which convert the word class of the base are called conversion prefixes. For examples:

be- + *witch* (noun) = *bewitch* (verb)

en- + *danger* (noun) = *endanger* (verb)

a- + *float* (verb) = *afloat* (adjective)

Some derivational prefixes carry a clear meaning that they add to the base that they are attached to. We can use these meanings to group various prefixes in English. For example:

- negative prefixes such as '*un-*' in '*unfair*', '*non-*' in '*non-existent*', '*in-*' in '*invisible*', '*a-*' in '*amoral*' and '*dis-*' in '*disobey*';
- reversible prefixes such as '*un-*' in '*undress*', '*de-*' in '*defrost*' and '*dis-*' in '*discourage*';

- pejorative prefixes such as '*mis-*' in '*misdirect*', '*mal-*' in '*maltreatment*', '*pseudo-*' in '*pseudo-doctor*';

- degree and size prefixes such as '*super-*' in '*superman*', '*out-*' in '*outlive*', '*sur-*' in '*surcharge*', '*over-*' in '*overworked*', '*under-*' in '*underground*', '*hyper-*' in '*hypersensitive*', '*ultra-*' in '*ultra-modern*', '*mini-*' in '*mini-bus*', '*macro-*' in '*macro-photography*', and '*micro-*' in '*microwave*';

- attitude prefixes such as '*co-*' in '*co-operate*', '*counter-*' in '*counter-attack*', '*anti-*' in '*anti-nuclear*', and '*pro-*' in '*prodemocracy*';

- locative prefixes such as '*sub-*' in '*subway*', '*inter-*' in '*international*', '*trans-*' in '*transport*';

- time and order prefixes such as '*fore-*' in '*forewarn*', '*pre-*' in '*prelude*', '*post-*' in '*postcolonial*', '*ex-*' in '*export*', and '*re-*' in '*relocate*'; and

- number prefixes such as '*mono-*' in '*monologue*', '*uni-*' in '*unilateral*', '*bi-*' in '*bilingual*', '*multi-*' in '*multinational*', and '*pluri-*' in '*pluricentric*'.

In contrast to derivational prefixes, derivational suffixes typically – but not always – change the word class of the base that they are attached to. By doing so, they also change the meaning of the word. For example:

- *-hood*: *brotherhood*
- *-hood*: *likelihood*

In the first example above, the words '*brother*' and '*brotherhood*' are both nouns although the meaning of the derived word is quite distinct from the base; in the second example, the addition of a suffix changes the word class and the meaning: *likely* (adjective) → *likelihood* (noun).

Unlike prefixes, it is more difficult to determine the exact meaning of derivational suffixes. Instead of using meaning, derivational suffixes are primarily categorized based on the class of word they change. They are as follows:

Noun suffixes include '*-eer*' as in '*engineer*', '*-ster*' as in '*gangster*', '*-er*' as in '*banker*', '*-let*' as in '*booklet*', '*-ette*' as in '*cigarette*', '*-ess*' as in '*princess*', '*-y*' as in '*daddy*', '*-hood*' as in '*statehood*', '*-ship*' as in '*friendship*', '*-dom*' as in '*freedom*', '*-ery*' as in '*bravery*', '*-full*' as in '*spoonful*', '*-ant*' as in '*occupant*', '*-ation*' as in '*operation*', '*-al*' as in '*approval*', '*-ment*' as in '*argument*', '*-age*' as in '*package*'.

Verb suffixes include '*-ify*' as in '*certify*', '*-ise*' as in '*organise*', '*-en*' as in '*blacken*' and '*-ate*' as in '*activate*'.

Adjective suffixes include '*-ese*' as in '*Japanese*', '*-ist*' as in '*novelist*', '*-ism*' as in '*radicalism*', '*-ful*' as in '*faithful*', '*-(i)al*' as in '*national*', '*-ic*' as in '*acidic*', '*-less*' as in '*crimeless*', and '*-ous*' as in '*vacuous*'.

Adverb suffixes include '*-ly*' as in '*happily*', '*-wards*' as in '*onwards*' and '*-wise*' as in '*clockwise*'.

Although the above holds in general, there are, however, exceptions to it and classifying a derived word can sometimes also be quite difficult. For example, the suffix '*-ing*' can be added to a verb to form a noun, '*the dancing*', or an adjective, '*the sleeping beauty*'; in addition, the suffix '*-ing*' also works as an inflectional suffix, as will be noted in a later section.

Some derivations are simple, i.e., have only one layer of derivation; for example, the derived word '*unhappy*' is a result of a simple derivation, where the prefix '*un-*' is attached to the adjective '*happy*'. Others can go through several layers of derivations called complex derivations; for example, the word '*unhappily*' goes through two layers of affixation and is a result of complex derivation. In some complex derivatives, such as '*unhappily*', the internal structure of the word is not transparent. It is not directly evident whether the prefix '*un-*' is attached to the base '*happy*' before or after the suffix '*-ly*'. In such cases, it is useful to compare the suffixes and to see what word class they attach to

in order to determine the order of derivation. For example, the prefix '*un-*' only attaches to adjectives. So, there are words such as '*unkind*', '*unloved*', (where '*kind*' and '*loved*' are adjectives), there are no words such as '**unlove*' or '**untable*' (where '*love*' is a verb and '*table*' is a noun). We therefore conclude that the prefix '*un-*' is first attached to the adjective '*happy*' to form the adjective '*unhappy*' before the suffix '*-ly*' is attached to form the adverb '*unhappily*'. In contrast, though the word '*unhealthy*' looks similar to '*unhappily*', it is formed in the reverse order. The base word '*health*' is a noun and the prefix '*un-*' cannot attach to it. We thus conclude that the suffix '*-y*' is first attached to form the adjective '*healthy*' and the prefix '*un-*' is added to form the adjective '*unhealthy*'.

Activity 2.1

Identify the derivational affixes you can find in the words of the sentences in the first column.

	Derivational affixes
e.g. The farmer's cows returned home.	–er, re–
(a) This is an historic occasion.	
(b) And I am particularly pleased to see that Chairman Deng Xiaoping is able to be present.	
(c) The Joint Declaration on the future of Hong Kong,	
(d) which we have just signed on behalf of our two Governments,	
(e) is a landmark in the life of the territory;	
(f) in the course of Anglo-Chinese relations	
(g) and in the history of international diplomacy.	
(h) The Agreement establishes a firm basis for confidence in Hong Kong up to 1997 and beyond,	
(i) and for its continued stability, prosperity and growth.	

(Excerpted from the speech by British Prime Minister Margaret Thatcher at the Signature

Ceremony of the Joint Declaration on the Future of Hong Kong in 19 December 1984)

Inflectional morphemes

Inflectional morphemes are morphemes that serve a grammatical purpose but do not change the content meaning of the words that they are attached to. As such, inflectional morphemes do not to change the word class of the base words (also known as 'stems') that they are attached to.

In contrast to derivational morphemes, English has only eight inflectional suffixes. They can be subcategorized based on the class of words that they attach to as shown in Table 2.1 below.

	Purpose/meaning	Meaning
Nouns		
-s	to mark a plural	*dogs, cats, tables*
-'s	to identify possession	*Peter's book, mum's skirt*
Verbs		
-s	to mark third person singular (non-past)	*John likes the idea.*
-ing*	to mark a verb in the progressive aspect	*They are playing soccer.*
-ed	to mark past tense	*Mary raised the question.*
-en/-ed	to create a past participle form of a verb	*Joseph has eaten the apple.*
Adjectives		
-er	to form a comparative adjective	*the nicer one*
-est	to form a superlative adjective	*the nicest one*

Table 2.1: Inflectional suffixes in English

In English, all inflectional morphemes are suffixes and always come at the end of a word. This means that in complex words, which are composed of one or more derivational

morphemes, the inflectional morpheme is always added at the end of the word, e.g. *complications, staterooms, overstated, overstepping, undertaken*.

Inflectional morphemes are applied more regularly across words in a word class and therefore are more productive. They usually attach to all the words in a class. For examples, all nouns can potentially have a plural form (e.g. *tigers, chairs, forks, girls*), and all verbs can have a past tense (e.g. *worked, walked, said, prayed*). Inflectional morphemes are regular also in a sense that when an inflectional suffix is added to a stem, the result is predictable. For example, one can add the suffix '*-ed*' to a verb and form the past tense; and, similarly, add the suffix '*-er*' to an adjective and form a comparative adjective. However, in some cases, the past tense form is formed by making various internal changes to the word, e.g., consider the following pairs of words: s*ink – sank, go – went, eat – ate, drink – drank*, etc. Similarly, the comparative form of adjective may be formed by adding the word 'more' in front of the adjective.

Furthermore, inflectional morphemes tend to have allomorphs. Allomorphs are the same morphemes that have different phonological realization. Inflectional allomorphs tend to follow phonological rules. For example, the English plural morpheme '*-s*' has three allomorphs [-*s*], [-*z*] and [-*əz*]. The choice of the allomorph is based on the final segment of the base. If the base ends with a non-strident voiceless consonant, the allomorph [-*s*] is added; if it ends with vowel or a non-strident voiced consonant, [-*z*] is added; and, if it ends in a strident consonant, [-*əz*] is added.

Activity 2.2

Identify the inflectional affixes you can find in the words of the sentences in the first column.

	Inflectional affixes
e.g. The farmer's cows returned home.	–'s, –s, –ed
(j) This is an historic occasion.	

(k) And I am particularly pleased to see that Chairman Deng Xiaoping is able to be present.	
(l) The Joint Declaration on the future of Hong Kong,	
(m) which we have just signed on behalf of our two Governments,	
(n) is a landmark in the life of the territory;	
(o) in the course of Anglo-Chinese relations	
(p) and in the history of international diplomacy.	
(q) The Agreement establishes a firm basis for confidence in Hong Kong up to 1997 and beyond,	
(r) and for its continued stability, prosperity and growth.	

(Excerpted from the speech by British Prime Minister Margaret Thatcher at the Signature Ceremony of the Joint Declaration on the Future of Hong Kong in 19 December 1984)

In summarizing this section on derivational and inflectional morphemes, it is useful to summarize the differences between derivational and inflectional suffixes. The differences are tabulated in Table 2.2.

Derivational morphemes	Inflectional morphemes
- carries lexical (content) meaning	- carries grammatical (functional) meaning
- forms derivations	- locates at the end of the base
- may change the word class	- does not change word class
- may not be semantically transparent	- is mostly semantically transparent
- is restricted and conditioned by context	- is fully productive
- includes prefixes and suffixes	- includes only suffixes

Table 2.2: Derivational and inflectional morphemes in English

Activity 2.3

Identify the derivational and inflectional affixes you can find in the words of the sentences in the first column.

	Derivational affixes	Inflectional affixes

e.g. The farmer's cows returned home.	–er, re–	–'s, –s, –ed
(a) Those socks are inexpensive.		
(b) The strongest rower won.		
(c) The dramatization went well.		
(d) The dispute was eventually resolved after protracted negotiations.		

Word formation in English

Derivational morphology can be used to create new words by altering or extending the meaning of the words and/or changing their word class. These processes create new words in English, and are known as affixation. However, in addition to affixation, there are a number of other ways to form new words as shown in Figure 2.3. These processes are discussed in more detail below.
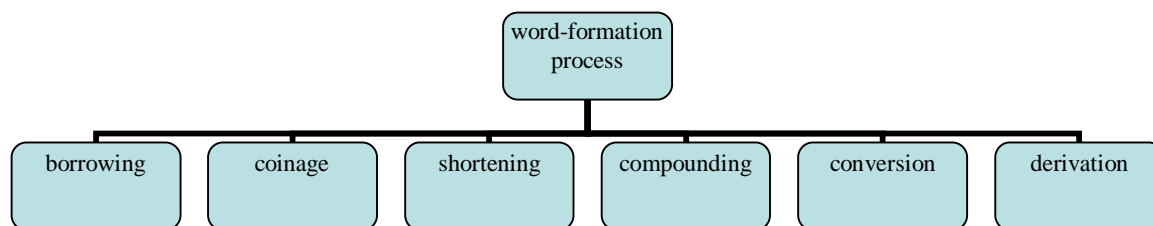
Figure 2.3: Word-formation process in English

Borrowing

Borrowing is a process of using words in one language in another. However, as Yule (2010:54) points out, it is 'the taking over of words from other languages' because the words being borrowed will not be given back. Words that are borrowed, typically known as loan words, are used productively in the language into which they are borrowed. English has and continues to borrow a large number of words from other languages.

Some common borrowing in English from Chinese include: *feng shui, chai, lychee, silk, ketchup, wok,* etc. As you would note, some of these words are used so commonly in English that most people do not realize that they were originally borrowed from Chinese (e.g. *ketchup, silk*). Typically words borrowed into English a long time ago have been phonologically and orthographically adapted to suit the English phonological and orthographic systems. Newer borrowings, on the other hand, may be phonologically and/or orthographically marked. For example, the word '*music*' borrowed from the French word '*musique*' has been phonologically and orthographically assimilated into English; while the word '*chauffeur*' has maintained its French spelling.

Coinage

Coinage is a process in which a totally new word is invented. Typically, the new words are derived from proper names of individuals or places; for example, the word '*sandwich*' is named after the fourth Earl of Sandwich, who put his food between two slices of bread so that he could eat while he gambled. Other examples include '*robot*', which is named after the mechanical creatures in the Czech writer Karel Capek's play R.U.R., the initials standing for 'Rossu's Universal Robots', '*jumbo*' is name after an elephant brought to the United States by P.T. Barnum. Other typical sources of coinage are trade names or commercial products, including *aspirin, vasline, zipper, kleener, xerox.*

Shortening

Shortening here is used as a cover term referring to any process of word formation to create words by shortening the original shorter in various ways. This word creation process includes acronyms, abbreviations, blending and back-formation (see Figure 2.4 below). Shortening is rule-governed process and what is deleted often depends on the English convention of spelling or pronunciation.
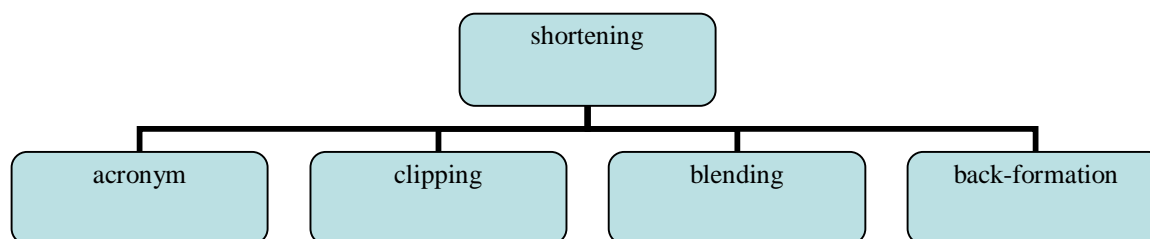
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                              ┌─────────────┐
                              │  shortening │
                              └─────────────┘
          ┌──────────────┬──────────┴──────────┬──────────────────┐
   ┌────────────┐  ┌────────────┐      ┌────────────┐    ┌──────────────────┐
   │  acronym   │  │  clipping  │      │  blending  │    │  back-formation  │
   └────────────┘  └────────────┘      └────────────┘    └──────────────────┘
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Figure 2.4: Types of shortening in English

Acronyms

Generally speaking, acronyms are words formed by taking the first letters of (some or all) the words in a title or a phrase to form a new word. Some acronyms are pronounced as a single word (e.g., *UNESTCO, NASA, AIDS, scuba, laser*), while others are spelled out (e.g., *ATM, UN, HIV, CEO*). As they are written and pronounced as words, some words might be omitted, e.g., the word '*laser*' comes from '*light amplification <u>by</u> stimulated emission <u>of</u> radiation*', and sometimes more than one letter might be taken from one word, e.g., the word '*radar*' comes from '<u>ra</u>*dio detecting and ranging*'.

Clipping

Clipping is a process of word formation in which a polysyllabic word is shortened. Often the shortened word is monosyllabic, but there are exceptions. For example, the word '*examination*' is often shortened to '*exam*'. Other examples of clipping are: *facsimile → fax*; *popular → pop*; *gasoline → gas*; *university → uni* (in Australian English), or *university → varsity* (in American English); *pajamas → jammies*; *influenza → flu, physical education → phys-ed*; *doctor → doc*; *zoological garden → zoo* etc.

One common form of clipping is in forming diminutives; for examples, *Susan → Sue*; *Elizabeth → Liz*; *Robert → Rob*.

For the sake of pronunciation and spelling, additional change may be made in the process of clipping, e.g., *microphone → mike*; *coca cola → coke*; *television → telly*;

comfortable → *comfly*.

Blending

Blending is a process of word formation in which we join non-morphemic parts of two words together to form a new word. A common example of a blend is '*brunch*' which is formed by blending the '*br*' of '*breakfast*' and '*unch*' of '*lunch*'. Other examples of blends include: *smog* (*smoke* + *fog*), *spork* (*spoon* + *fork*), *motel* (*motor* + *hotel*), *broasted* (*broiled* + *roasted*), *breathalyzer* (*breath* + *analyzer*).

The manner of blending may vary. For examples, the word '*camcorder*' is formed by blending the first three letters '*cam*' of '*camera*' and the last five letters '*corder*' of '*recorder*', while '*colaholic*' is formed by blending the last four letters '*cola*' of '*coca cola*' and the last five letters '*holic*' of '*alcoholic*'. Other examples include <u>tele</u>phone + <u>quiz</u> → *telequiz*; <u>lunar</u> + *astro<u>naut</u>* → *lunarnaut*.

In the examples above, the blending process involves nouns. Though rare, words of other classes can be involved; for examples, *guess* + *estimate* → *guesstimate*; *fantastic* + *fabulous* → *fantabulous*.

Backformation

Backformation is a process of word formation where a real or supposed affix is removed from a word to form a new word. This process is also sometimes referred to as reanalysis because a word that appears to have an affix is reanalyzed as a base + affix which then leads to the use of the base as a separate lexical item (where it did not exist earlier). Examples of backformation include: *edit* from *editor*, *swindle* from *swindler*, *resurrect* from *resurrection*, *televise* from *television*, *hawk* from *hawker*, *stoke* from *stoker*.

Activity 2.4

The following words are products of shortening. Identify the type of shortening in the processes involved, and put down the original words.

		Acronyms	Abbreviations	Blendings	Back-formations
1.	interpol			International + police	
2.	to juggle				
3.	FBI				
4.	deli				
5.	telecom				
6.	biz				
7.	cardy				
8.	TOEFL				
9.	hi-tech				
10.	Oxbridge				
11.	to escalate				
12.	BBC				
13.	heliport				
14.	UFO				
15.	limo				

Compounding

Compounds are formed when two words (lexemes) join together to form a new lexical item. There are a great number of types of combination because words that join together to form a compound may or may not belong to the same word class. But compound words are typically nouns, verbs, or adjectives as shown in Table 2.3.

	-adjective	-noun	-verb
Adjective-	*yellowish green*	*black panther*	*highborn*
Noun-	*country wide*	*fire-engine*	*manhunt*
Verb-	*carryall*	*breakwater*	*sleepwalk*

Table 2.3: Combination of compounding in English

Note that when the two words are in the word class, the compound will be in this category. But, when the two words fall into different categories the class of the final word will be the grammatical category of the compound (see Table 2.4 for examples).

Types of compound		Compound
Noun compounds		
girl (noun)	*friend* (noun)	*girlfriend* (noun)
black (adjective)	*panther* (noun)	*black panther* (noun)
pick (verb)	*pocket* (noun)	*pickpocket* (noun)
Verb compounds		
break (verb)	*dance* (verb)	*break dance* (verb)
man (noun)	*hunt* (verb)	*manhunt* (verb)
black (adjective)	*list* (verb)	*blacklist* (verb)
Adjective compounds		
icy (adjective)	*cold* (adjective)	*icy-cold* (adjective)
water (noun)	*tight* (adjective)	*watertight* (adjective)

Table 2.4: Types of compound in English

There are some exception to the rule described above: e.g., '*down*' (adverb) + '*hill*' (noun) → '*downhill*' (adverb); '*down*' (adverb) + '*pour*' (verb) → '*downpour*' (noun); '*down*' (adverb) + '*cast*' (verb) → '*downcast*' (adjective).

Apart from nouns, adjectives and verbs, we may also form preposition compounds (e.g., *over + heated* → *overheated*; *in + to* → *into*; *out + of* → *out of*). In general, compounds formed with a preposition are in the category of the non-prepositional part of the compound.

under (preposition)	*class* (noun)	*underclass* (noun)
under (preposition)	*sell* (verb)	*under sell* (verb)
over (preposition)	*heated* (adjective)	*over heated* (adjective)
hanger (noun)	*on* (preposition)	*hanger-on* (noun)

Table 9: Examples of prepositional compound in English

However, there are some exceptional cases, e.g., '*after*' (proposition) + '*glow*' (verb) → *afterglow* (noun).

In English, a compound can consist of more than two lexemes; for examples: *three-time loser, four-dimensional space-time, sergeant-at-arms, mother-of-pearl, man about town, master of ceremonies, daughter-in-law.*

The English orthographic system is not very consistent in marking the various types of compounds. Compounds are sometimes written with a space between the two words (e.g., *air raid, black market, fancy dress, ground staff, rock garden*), sometimes with a hyphen (e.g., *air-conditioning, brother-in-law, double-cross, mother-tongue*), and sometimes as a single word (e.g., *afternoon, airtight*). With some compounds, there is a considerable amount of variation and they may be written without space, with space, and with a hyphen, e.g., *birdcage, bird cage*, or *bird-cage.*

When a compound is written with a space between the two words, one question arises: How do we know whether or not it is a compound? While English orthography does not mark compounds, the phonology generally does. In general, compounds, especially adjective-noun compounds, are pronounced with a stress on the first component of the compound, i.e. the stressed syllable of the first component is pronounced with greater force than the other component(s) in the compound; while non-compound combinations of the same words stress the second word. For example, when we use the word *dark room* as a compound (a room where photographic plates are processed), we stress the first part of the word; but when we use it as a non-compound (a room which is dark), we stress the second word.

In addition to the phonology, compounds are also marked in grammar. For example, in adding an inflectional morpheme on compounds, we typically add them to the second component. For example, we *break dance* → break dancing (not breaking dance);

football → *footballs* (not foots ball). However, we should note that there are some exceptions to this rule, e.g., *passer by* → *passers by*.

In the discussion above, compounds are classified according to their word class. We can also categorize compounds according to their meaning, i.e. according to some semantic criteria (see Figure 2.5 bolow).

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                        ┌──────────────┐
                        │  types of    │
                        │  compound    │
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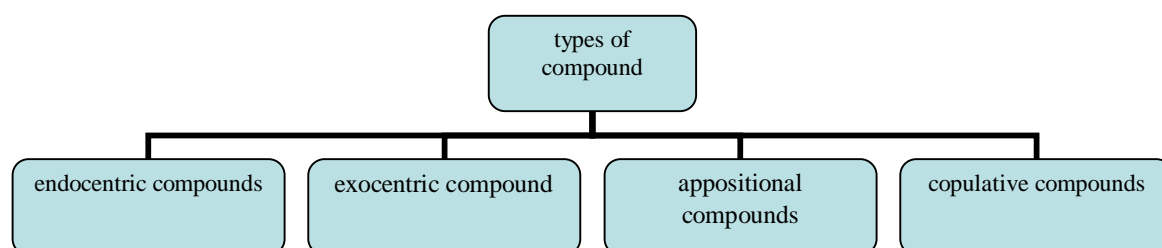| endocentric compounds | exocentric compound | appositional compounds | copulative compounds |

Figure 2.5: Types of compound in English

Endocentric compounds refer to those compounds in which one component is the centre and the other is the modifier, e.g., *armchair* (a kind of chair), *house party* (a kind of party), *black panther* (a kind of panther). The semantic criterion used here is: A classifies B.

Exocentric compounds, on the other hand, refer to those compounds in which there is no focal component and therefore the whole compound refers to something else rather than either one of the components denotes, e.g., *walkman* (a type of stereo but not a kind of man); *birdbrain* (a type of behavior but not the brain of bird). The semantic criterion used here is: A and B together classify a person/thing that is not explicitly stated in the compound

Appositional compounds are those compounds in which the referents of them embody the meanings of both components but one of them is the focal element, e.g., *girlfriend* (a girl and also a friend), *woman lawyer* (a woman and a lawyer), *chef-owner* (a person is both the chef and the owner of a restaurant). The semantic criterion used here is: Both A

and B contribute different descriptions to the person/thing they denote.

And, finally, copulative compounds are those compounds which show a coordinating relationship and they are often difficult to decide which of the components is the focal element, e.g., *French-German*, *aural-oral*. The semantic criterion used here is: The meanings of A and B are combined.

Conversion

In conversion, an existing word, which belongs to one word class, is used as a word from a different word class. Conversion is similar to derivation, because we change the word class. However, it is different in that no affixes are added. This is the reason why conversion is sometimes referred to as 'zero derivation'. Conversion is a common process of word formation in English. Examples of conversion include: *butter* (noun → verb, as in '*butter the toast*'), *report* (verb → noun, as in '*submit a report*'), *dirty* (adjective → verb, as in '*dirty the room*'), *up* (preposition → verb; as in '*up the price*'), *poor* (adjective → noun, as in '*the poor people*'.

But what are the criteria for treating one of the two words related by the zero affix to be the source or the base? Three criteria are generally used: meaning, form and history. The criterion of meaning relies on our sense of the congruence between a word and its referent. A word is typically identified as a noun if it denotes a person or an object; a verb if it denotes action; and an adjective if it denotes a quality, and so on. In a pair of words related by the zero affix we can generally tell which meaning is primary and which derived. For examples, *carpet, stone, table*, etc., are primarily nouns as they denote objects, hence we regard the verb to be derived. On the other hand, in pairs like *attack* (verb) and *attack* (noun), *help* (verb) and *help* (noun), *laugh* (verb) and *laugh* (noun), etc., we can tell that the base is the verb since the words primarily denote actions.

The criterion of form concerns our knowledge of affixes. Some suffixes occur typically with nouns, others with verbs. For examples, the suffixes *-tion, -ion, -ure* are typically noun

endings. Hence when words containing such endings are used as verbs, we can tell that the noun form is basic, the verb form derived. The prefix *re-*, on the other hand, is a typical verb prefix. Hence in a pair containing a noun and a verb with the prefix *re-* the noun word is considered to be derived from the verb word, e.g., *recall* (noun) and *recall* (verb); *re-run* (noun) and *re-run* (verb).

The criterion of history involves our knowledge of etymology. Here, we can turn to the history of the language and try to determine which use came first. For example, the noun *worship* has existed in English for about 600 years, but the verb is even older. This criterion is, however, not very reliable as historical records are not easily available for all words.

Activity 2.5

In each of the following expressions, write down in the first column the word which undergoes conversion, and in the second column the type of that conversion (the types are represented by numbers):

       1: Verb derived from Noun

       2: Noun derived from Verb

       3: Verb derived from Adjective

       4: Noun derived from Adjective

       5: Verb derived from Preposition

		The conversed word	Type of conversion
e.g.	Mr. Lam's fingering the piano.	finger	1
(a)	Listen to the exciting contest!	contest	2
(b)	He's gonna open the door.	open	3
(c)	My mum's buttoning my shirt.	button(ing)	1
(d)	The boutique has upped the price.	up(ped)	5
(e)	Jesus asked us to love the poor.	poor	4

Derivation (affixation)

As mentioned in the previous section, unlike inflection, derivation can result in new words by adding affixes to stems or bases. Hence, derivation is also known as affixation. As infixes are rare and not productive in English, derivation as a process of word formation is mainly divided into prefixation and suffixation. Prefixation changes the meaning of the base but normally not the word class. For examples, the prefix '*dis-*' is added to the root '*obey*' to form a new word of the same word class '*disobey*'. Other examples include *treat* → *maltreat*; *distribute* → *redistribute*. Suffixation, on the other hand, changes the word class as well as the meaning (usually grammatical meaning). For example, the suffix '*-ment*' is added to the root '*treat*', which is a verb, to form a noun '*treatment*'. Other examples include *obey* → *obedient*; *distribute* → *distributor*. However, there are some exceptional prefixes which do change the word class, e.g., *a-* → *alive*; *be-* → *befriend*; *en-* (*em-*) → *endanger*, *embitter*.

Activity 2.6

Analyze the word formation of the complex words in (a)-(f) by labeling bracketing.

(a) *happiness*	[[un [happy]]ness]
(b) incomprehensible	
(c) redisposal	
(d) disestablishment	
(e) impossibly	

Activity 2.7

The following words are products of certain morphological processes. Write down the original words and processes involved.

		Original words	Morphological processes
(a)	loveseat	love, seat	compounding
(b)	comfy		
(c)	aerobathon		
(d)	automate		
(e)	autocide		

Activity 2.8

Explain briefly the formation process responsible for the creation of each of the following words.

e.g.	bookshelf	It is created by compounding by which two separate words (i.e. 'book' and 'shelf') are combined to produce a single form 'bookshelf'.
1.	hurdy gurdy	
2.	popfest	
3.	moneywise	
4.	to ape	
5.	hoover	
6.	eighty	
7.	to better	
8.	walkie-talkie	
9.	centimetre	
10.	WWW	
11.	footprint	
12.	to better	

13.	limo	
14.	nitty-gritty	
15.	medicare	

Conclusion

This chapter focused on word formation in English. We started off by defining morphemes, which are the smallest meaningful units in a language. We then discussed different ways of categorizing morphemes: bound and free; roots and affixes; prefixes, infixes, and suffixes; and open and closed classes of morphemes. We then looked at derivational and inflectional morphemes in some detail. Derivational morphemes include both prefixes and suffixes in English and may change the meaning and/or the word class of the words that they are attached to. In English, only suffixes can function as inflectional morphemes. Inflectional morphemes serve grammatical function (number, tense, aspect, possessive, etc.), but do not change the core semantic meaning of the base that they are attached to. After examining morphemes in some detail, we spent the later half of the chapter examining some of the processes of word formation in English. These included: use of acronyms to form new words; backformation, blending, borrowing, clipping (shortening), compounding, and conversion (zero derivation).

Syntax I

3

Introduction

In the previous chapter, we explored the internal structure of words and a morphemic system. In the present chapter, we will first examine the classification of English words – word classes (also known as parts of speech), and then the combination of words into phrases. In traditional grammar, there are eight main word classes: noun, adjective, verb, adverb, pronoun, preposition, conjunction, and article. These eight classes can be grouped into two types: open and closed word classes as shown in Table 3.1. Open classes are those that permit the entry of new words to the class, while closed classes normally do not. Table 3.2 contrasts the differences between the two word classes.

word classes	
open word classes	**closed word classes**
nouns	pronouns
verbs	prepositions
adjectives	conjunctions
adverbs	articles

Table 3.1 The traditional classification of word classes

Open word classes	Closed word classes
have inflections to show a change in meaning or grammatical function	are uninflected
refer to objects, events, processes and	make relations between components in a

qualities	text
have denotative (or content) definitions	have grammatical functions
an infinitely large set with the possibility of items being added or deleted	a small finite and unchanging set
unpredictable frequency in a text	high frequency in a text

Table 3.2   Contrasts between open and closed word classes

Some contemporary grammars, however, argue that under the traditional classification, adjective becomes too large a class in which some subtypes do not situate themselves squarely into the characteristics of open word classes. Another way of classification therefore is proposed as shown in Table 3.3. In the new classification, there is a new word class called determiner, which include not only the 'articles' but also the 'limiting adjectives' in the traditional classification. In the following section, we will first examine the open word classes and then the closed word classes.

word classes	
open word classes	**closed word classes**
nouns	pronouns
verbs	prepositions
adjectives	conjunctions
adverbs	determiner

Table 3.3 A new classification of word classes

Open Word Classes

Noun
Nouns generally refer to both physical and abstract objects, ideas and phenomena. The general classification of noun is shown in Figure 3.1.
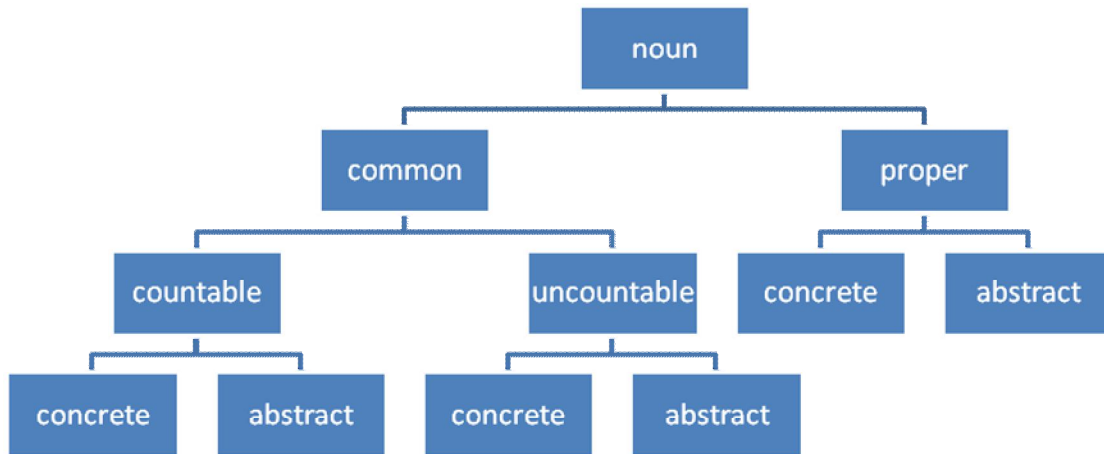
Figure 3.1 Classification of noun

Nouns can be classified into proper nouns and common nouns. Proper nouns refer to the name of individual entities — places, persons, months, seasons, religions, customs and festivals. They are capitalized in written form and usually have no plural because of the uniqueness of their referents. In general, they are not modified by adjective. Common nouns, on the other hand, are distinguished from proper nouns by being able to have their meaning limited by adjectives, e.g., *the beautiful dog*, *a smart boy*, *hot weather* and the like. Common nouns have two distinct subtypes — countable and uncountable nouns. Countable nouns refer to things and concepts that are regarded as separate units with definite boundaries, whereas uncountable nouns refer to things and concepts that are regarded as whole or impossible to divide such as *coffee*, *milk*, *smoke*, and *taste*. Words that refer to a whole class of similar objects, such as *cutlery, equipment, and furniture*, are also considered uncountable.

Both proper nouns and common nouns can be either concrete or abstract. Concrete nouns represent objects that we can experience by way of the senses (touch, sight, hear, feel and so on), such as *table*, *picture*, *oxygen*, and *song.* Abstract nouns, on the other

hand, refer to abstractions and concepts such as *truth, forgetfulness, intuition.*

There is one sub-category of countable common noun called collective noun. Collective nouns refer to countable nouns of the kind *herd, flock* and *school* which can be followed by the name of their members: *a herd of buffalos, a flock of sheep, a school of fish* and so on. The point is that the members for a collective noun are all of the same kind — all *buffalos*, all sheep, all fish.

Adjective

In traditional grammar, adjective is a large and controversial class as shown in Figure 3.2.

However, the subtypes of limited adjective do not situate themselves squarely into the characteristics of open word classes, as they comprise a small finite unchanging set. In contemporary grammar, the classification of adjective is streamlined as shown in Figure 3.3. The various subtypes of limiting adjective are reclassified as subtypes of determiner. We will discuss them later. Here, we only discuss the differences between common adjectives and proper adjectives.
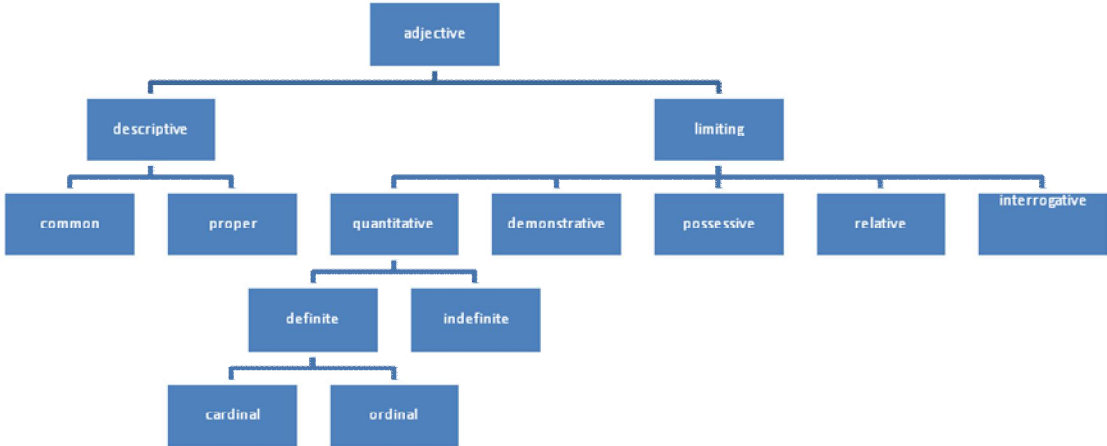
Figure 3.2 Classification of adjective in traditional English grammar
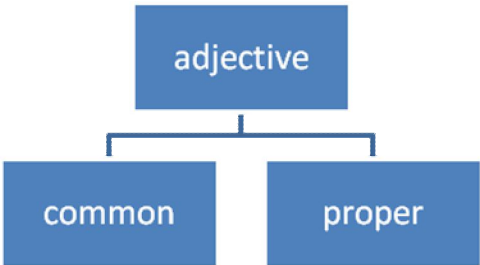
Figure 3.3 Classification of adjective in contemporary grammar

Common adjectives may themselves be modified in degree by words like *very, quite, rather.* Proper adjectives are those adjectives formed from proper nouns such as

Canadian, Christian, and Freudian. They may be gradable only for special emphasis: *more Canadian than me, very Christian, rather Freudian.*

According to their position in a sentence, there are two uses of descriptive adjective – attributive and predicative. Adjectives used attributively go immediately before the noun they describe:

Rebecca is a *smart* girl.

Peter works in a *large* and *prominent* law firm.

Adjectives used predicatively are part of the complement of a sentence and go immediately after the verb:

Rebecca is *smart*.

Peter's law firm is *large* and *prominent*.

Verbs

There are two major subtypes of verbs: main verbs and auxiliary verbs. Main verbs are those that realize reference to or relations within the real world. They express states, processes, actions, and relations. Auxiliary verbs are those that express time relations, and degrees of truth and possibility. Both main verbs and auxiliary verbs can be further classified into sub-categories as shown in Figure 3.4.
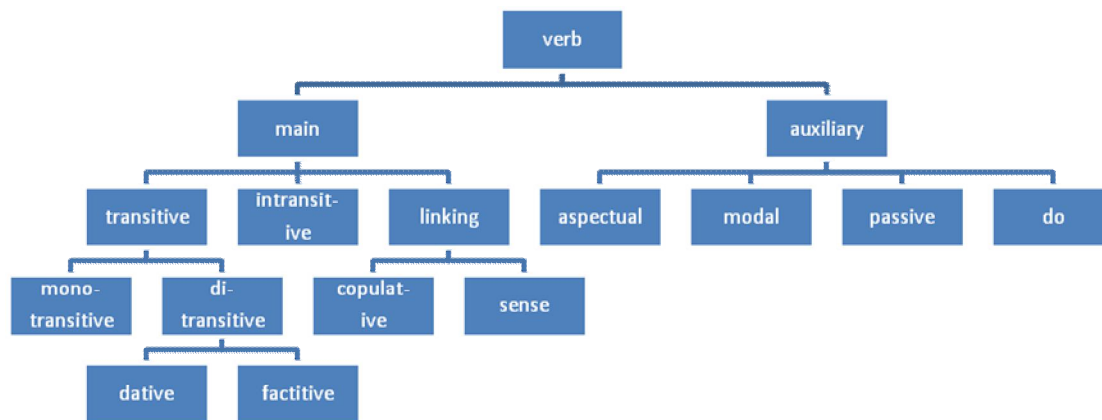
Figure 3.4 Classification of verb

Main Verbs

Semantically, intransitive verbs express a state such as *We disagree*, process such as *The ice melted*, or action such as *The thief fled* that is completed in itself. They do not permit a noun to follow it.

Transitive verbs, on the other hand, express some action of one noun or another. 'Transitive' means 'going across', and there is often an action which goes across from one noun to the other. Transitive verbs are either monotransitive or ditransitive. Monotransitive verbs permit only one noun to follow as in *Bruce hates the cat*. Ditransitive verbs, on the other hand, permit two. Ditransitive verbs can be further classified into dative verbs and factitive verbs.

In general, dative verbs convey the action of transfer of something, usually from one person to another such as *I gave her a book*. The order of the two nouns can be reversed. In such case, a preposition is used to mark the indirect object such as *I gave a book to her*. There are not many dative verbs in English, e.g., *send, give, tell, lend* are some of them. Factitive verbs also permit two nouns to follow. They express an attribute of the first noun.

The attribute can be realized either by a noun such as *We found David a traitor; We elected Peterson our representative*, or by an adjective such as We *thought Peter reliable; We made Mary successful*. Since the attribute is marked by the order, the two nouns cannot be reversed: *We elected our representative Peterson.* Common factitive verbs include *choose, designate, appoint, make, elect, think, consider, find, believe, call*, etc.

Among the intransitive and transitive verbs, there are two special sub-categories that are not shown in the diagram. They are prepositional verbs and phrasal verbs. They are named according to their composition. Prepositional verbs, as the name indicated, are verbs made up of a verb + preposition. They are always transitive such as *We thought about the problem; We looked at the picture.* Phrasal verbs are verbs like prepositional verbs but whose second element is called a 'particle' and it can be moved away from the verb:

> *to put up (we put up the tent : we put the tent up)*
> *to put out (I put out the fire : I put the fire out)*

Linking verbs are a small set of verbs, which have the logical relation of inclusion by or sameness:

Charlie is a fool	= Charlie is included in the set of 'fools'
Charlie is the CEO	= Charlie and the CEO are the same

There are two kinds of linking verb: copulative verbs (coupling verbs) and sense verbs. The most common copulative verbs is '*to be*', however, they also include *to seem, to appear, to become.* Copulative verbs can be followed by an adjectival expression such as *It is very odd; It seems very odd; It became very odd.*

Sense verbs are also classified as linking verbs. They function like copulative verbs but they add a notion of one of the five senses to the copula:

It <u>looks</u> very odd.	(It is very odd, by the way it looks.)
It <u>sounds</u> very odd.	(It is very odd, by the way it sounds.)
It <u>smells</u> very odd.	(It is very odd, by the way it smells.)
It <u>feels</u> very odd.	(It is very odd, by the way it feels.)
It <u>tastes</u> very odd.	(It is very odd, by the way it tastes.)

Auxiliary Verbs

Auxiliary verbs form a small set of verbs. They are considered auxiliary because they carry no referential (or content) meaning and have to accompany a principal (main) verb. Their functions are mainly grammatical. They can be classified into four sub-categories: aspectual auxiliary, modal auxiliary, passive auxiliary and auxiliary *do*.

Aspectual auxiliaries express the speaker's viewpoint with respect to an action expressed by the main verb — whether it is considered as complete (the perfect aspect) or as on-going (the progressive or continuous aspect). The perfect aspect is expressed by the auxiliary *have*, such as *I <u>have</u> done my homework*, and the progressive aspect by the auxiliary *be*, such as *I <u>am</u> doing my homework*. The two auxiliaries may be used together. When this happens, the perfect aspect coming first:

have + *be* + en + principal verb + ing
I have been working on my homework since this morning.

The modal auxiliaries include *can*, *could*, *may*, *might*, *shall*, *should*, *will*, *would*, and *must.* They seem to have a present and past tense; however, the sense of the past tense need not be past at all, but merely one of indirectness. Modal auxiliaries are used to express the speaker's assessment on the probability of a proposition, or the obligation and inclination of a proposal:

Peter may come home this Christmas. (probability)
Peter has to come home this Christmas. (obligation)
Peter will come home this Christmas. (inclination)

The passive auxiliary *to be* is used to form the passive voice such as *The assignment <u>was</u> done by Jennifer.* The active voice of the above statement is *Jennifer did the assignment.*

The auxiliary *do* is used to form negative, interrogative, and emphatic verb structures:

<u>positive form</u>   <u>negative form</u>

he chased the thief down   *he did not chase the thief down*

he landed the plane beautifully   *he did not land the plane beautifully*

<u>interrogative form</u>

Did he chase the thief down?

Did he landed the plane beautifully?

<u>emphatic form</u>

he did chase the thief down

he did land the plane beautifully

Activity 3.2

Identify the verbs (including auxiliaries as separate verbs) in the following sentences and give the subclassification for each. For the verbs, use: transitive, intransitive, ditransitive (dative or factitive), linking (copulative or sense). For the auxiliaries, use the following: auxiliary, aspect (perfect or continuous), modal auxiliary, passive auxiliary, and *do*-auxiliary. Identify also the phrasal verbs, prepositional verbs, and phrasal-prepositional verbs.

Example: The weather has been very cold.

Answer: <u>*has*: auxiliary, perfect aspect; *be(en)*: copulative</u>

1)   I have never felt so cold as when the wind starts blowing from the north.

2) They are impeaching the President but he does not seem to care.

3) Did they invite you to their wedding? That must have made you happy.

4) Were you given a ticket to come and attend the Leon Lai concert this week?

5) Hurry up! Go and tell your sister to get on with her homework.

6) Don't stand around thinking about it! Come on and do it with enthusiasm!

7) He must be feeling very pleased with himself after he was promoted.

8) I heard that the Committee have just awarded Tom top marks for performing so well.

9) George V was crowned king when his brother abdicated and left England.

10) She didn't ask her teacher any more questions because she had been told off for wasting time.

Activity 3.3

Analyze the verb type of the underlined verbs.

Example: He <u>chased</u> the thief down the street.

Answer: <u>chased</u> (monotransitive)

"That'<u>s</u> (1) not true," the boy <u>said</u> (2). "I <u>learned</u> (3) the alchemist's secrets in my travels. I <u>have</u> (4) inside me the winds, the deserts, the oceans, the stars, and everything <u>created</u> (5) in the universe. We <u>were</u> all <u>made</u> (6) by the same hand, and we have the same soul. I <u>want</u> (7) to be like you, able <u>to reach</u> (8) every corner of the world, cross the seas, <u>blow away</u> (9) the sands that <u>cover</u> (10) my treasure, and carry the voice of the woman I love."
(Extracted from Paulo Coelho, 1993. *The Alchemist,* London: HarperCollins Publishers. P.154)

Adverbs

While adjectives modify nouns, adverbs modify verbs, adjectives, adverbs, and even the whole sentences. Unlike nouns, verbs and adjectives, adverbs do not form a neat typology. The various kinds of adverb are simple adverb, interrogative adverb, relative adverb, adverb of degree, sentence adverb, and conjunctive adverb.

Simple adverbs are generally defined as those that modify a single word, group or phrase, but not a clause or sentence. They are of the kind *tomorrow, quickly, there* whose description includes their semantic function:

It is going to rain tomorrow	(adverb of time)
She had her breakfast quickly	(adverb of manner)
Put the chesterfield there	(adverb of place).

The adverb of manner is often taken as the standard example of a simple adverb in that it is made up of an adjective + ly such as *quickly, usually*. But it is noted that there are many adverbs of manner that don't have this characteristic. For instance, *hard* can be both adjective and adverb as in *It was a hard job* and *She worked hard*. All adverbs of manner can be modified for degree as follows:

quickly	*hard*	(positive degree)
more quickly	*harder*	(comparative degree)
most quickly	*hardest*	(superlative degree)

Apart from adverb of time, adverb of manner and adverb of place, indefinite adverbs are simple adverbs, but have indefinite reference. They form a small set including *somewhere, anywhere, everywhere, sometime, somehow, anyhow* etc. They have an indefinite pronoun or determiner as their first element.

Interrogative adverbs also make up a small set: the common ones are *when, where, why, how*. Their function is to indicate the particular kind of information being asked for. They are thus grouped semantically: interrogative adverb of time (e.g., *When will his plane*

arrive?), interrogative adverbs of place (e.g., *Where are you going to dine with her?*), interrogative adverb of reason (e.g., *Why didn't you answer my phone?*), and also interrogative adverb of manner (e.g., *How did you work it out?*).

Relative adverbs share the same form as interrogative adverbs — *why, when, where*, but they occur after a noun to which they make a semantic qualification. Example: *The reason why Miles did it is quite obvious; The time when children studied Latin is long past; I can't remember the place where we are supposed to meet.*

Adverbs of degree express the degree of quality expressed in the word they modify. They can be used to modify adjectives, verbs and other adverbs as shown in the following table. This sub-class is sometimes called an 'intensifier'; however, some of its members do not in fact intensify the degree, but reduce it.

adverb of degree	+	adjective
very		*pretty*
quite		*good*
rather		*stupid*

adverb of degree	+	verb
almost		*died*
completely		*destroyed*
literally		*vanished*

adverb of degree	+	adverb of manner
very		*happily*
quite		*well*
rather		*speciously*
extremely		*fast*

Clausal adverbs modify a whole sentence. They can be further classified into sentence adverbs and conjunctive adverbs. A sentence adverb modifies a single clause. It can occur at the beginning, in the middle or at the end of a sentence, e.g., _Certainly_, Jessica _is a suitable applicant; The diamond ring is _evidently_ lost; David is cheating, _obviously_. Conjunctive adverbs are often called 'sentence connectors' because they semantically join one sentence with the previous one. Their function is to express the logical relationship between two consecutive sentences. For instances:

> _Mary has a lot of money and therefore is generous with it._ (a relation of logical)
> _Bob worked very hard; however, he failed the test._ (a relation of contrast)
> _Peter speaks German; moreover, he is studying Japanese._ (a relation of addition)

Activity 3.4

Identify the adverbs in the following sentences and give the subclassification for each. The types are time, place, manner, indefinite, interrogative, relative, degree, sentence, and conjunctive.

Example:　　　Sometimes, she can run very quickly.

Answers:　　　_sometimes_: indefinite; _very_: degree; _quickly_: manner

1) Why do you seldom reply nowadays when I write you such extremely long letters?
2) Anyway, I henceforth refuse to constantly correspond with a rather lazy person like you.
3) I will probably stay late as I have nowhere to go. Where are you going?
4) We are definitely not going to that shop again after their extremely rude behavior today.
5) Therefore, perhaps we'll send the maid somewhere else if we still need anything

urgently.

6) When are we going back to that rather nice bar where they have that refreshingly cold beer?

Activity 3.5

Identify the words belonging to the major word classes (treat auxiliary verbs as part of the main verb here) in the following sentences.

Example: I heard the young boy sneaking quietly away to the beach.

Answers: I heard (V) the young (adj) boy (N) sneaking (V) quietly (adv) away (adv) to the beach (N).

1)   Strings of electric lights were now alight in the trees and along the alley.

2)   A block of frozen ice was soon brought in and placed in a tin tub.

3)   His host seemed pleased at that too, as though it were a special act of politeness.

4)   It was like the China Resources building, glowing hotly in reflected sunlight that dazzled the eyes.

5)   Going indoors to remove his shoes he felt his feet bare on the cool marble.

6) Harriet is a self-employed vendor aimlessly roaming the neighborhood.

7)   The movie portrays a depressed actor who has lost his job.

8)   They take part in a dance contest to raise money for two friends.

9)   The demands of friendship get more complex as these relationships move along.

10) He then decided to engage a butler to take better care of him for a while.

Closed Word Classes

Closed word classes make up a fixed inventory of words whose major function is grammatical – joining, modifying, or relating major class words. While major class words

convey denotative or content meaning, and therefore have dictionary definitions, minor class words have little denotative or content meaning and are difficult to define in words. Their function is to organize the content expressed in major class words into grammatical structures so that hearers or readers can interpret. In general, closed word classes can be divided into two groups according to their functions (see Figure 3.5). Pronouns and determiners have the general function of indicating things, whereas prepositions and conjunctions have the function of joining:

> I remember her face.
>
> ('I' indicates the speaker and 'her' a female.)
>
> Mary is the girl I mentioned in the phone.
>
> ('the' indicates a girl that the speaker and the hearer have discussed.)
>
> I will go shopping with Mary this afternoon.
>
> ('with' joins the action 'go' with 'Mary' for a more complex picture.)
>
> I was late for the meeting because I was trapped in the elevator.
>
> ('because' joins the two clauses and tells us the logical relation between them.)
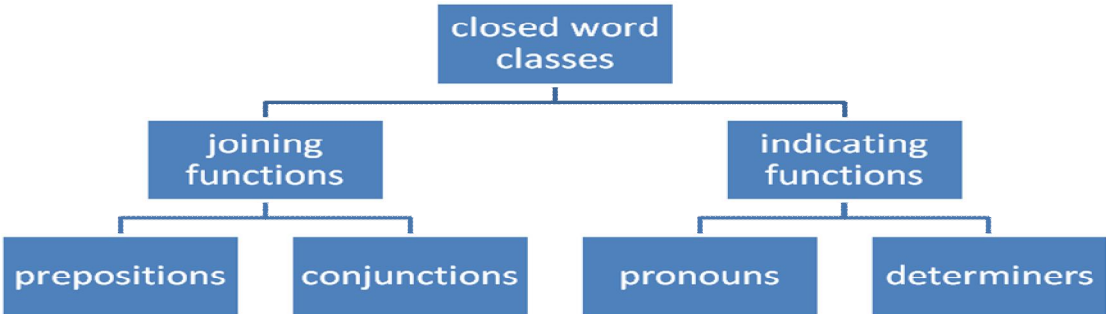
Figure 3.5 Classification of closed word classes

Pronouns

Pronouns are words that stand in place of a noun. They indicate objects directly and

avoid the use of a noun. The classification of pronoun is presented in Figure 3.6 below:
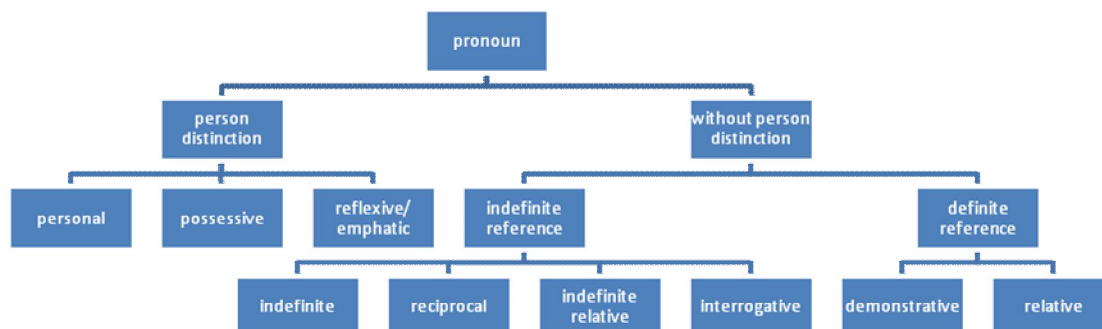
Figure 3.6 Classification of pronoun

As can be seen in Figure 3.6 above, pronouns are categorized based on whether they show a person distinction or not. Personal pronouns in English may be sub-categorized based on whether they are first person, second person, or third person; whether they are singular or plural (and, in the case of third person pronouns, if they have a known gender); whether they are used in the subject position or the object position; and whether they are possessive or reflexive/emphatic. The various pronouns used in Standard English are listed in Table 3.4 below.

	Number/ gender	Subject	Object	Possessive		Reflexive/ emphatic
				Independent /absolute	Attributive/ determinative	
First person	Singular	I	Me	Mine	My	Myself
	Plural	We	Us	Our	Our	Ourselves
Second person	Singular & plural	You	You	Yours	Your	Yourself
Third	Singular /	He	Him	His	His	Himself

person	masculine					
	Singular / feminine	She	Her	Hers	Her	Herself
	Singular / neutral	It	It	Its	It	Itself
	Plural	They	Them	Theirs	Their	Themselves

Table 3.4: Pronouns in Standard English

The reflexive form of the pronouns can have two functions. The first function is reflexive such as *She hurt herself.* A reflexive pronoun is used to indicate that the non-subject pronoun has the same reference as the subject. The second function is emphatic. In emphatic pronouns, the same form of reflexive pronoun is used to emphasize a noun or pronoun by being placed directly after the noun/pronoun to be emphasized such as *Mary herself made the birthday cake.* The emphatic pronoun may be moved away from the subject to the end of the sentence, comparing *Mary herself made the birthday cake* with *Mary made the birthday cake herself.* However, we should note that it is more common to postpone emphatic pronouns to the end of a sentence, whether they relate to the subject or not. The probable reason for this is that it is assumed that the end of a sentence is the 'focus' of information in written language i.e., the element that the writer invited the reader(s) to interpret as new information.

Demonstrative pronouns make no distinction between human and non-human. However, they make distinguish between singular and plural, and proximity and distance in relation to the speaker as shown in Table 3.5.

	near to speaker	remote from speaker
singular	this	that
plural	these	those

Table 3.5 Demonstrative pronouns

Relative pronouns include *who, whom, which, whose, that*. The first three distinguish between human (*who* and *whom*) and non-human (*which*), the fourth one – *whose* – is the possessive pronoun, but the last one – *that* – may refer to humans and non-humans alike. For instances:

The boy who was here yesterday is a student of mine.

The assignment that the teacher chose to reward was outstanding.

The man whose book you stole is a neighbor of mine. (Possessive relative pronoun)

Indefinite reference pronouns are sub-categorized as indefinite pronouns, reciprocal pronouns, relative pronouns, and interrogative pronouns. Indefinite pronouns indicate non-specific objects. In other words, an indefinite pronoun does not refer to a particular object but a general class of possible things. They do not distinguish between persons; however, they make a distinction between human and non-human: *someone vs. something, whoever vs. whatever.* The commonest indefinite pronouns are:

Human	Non-human
someone, somebody,	something
anyone, anybody,	anything
everyone, everybody,	everything
no one, nobody,	nothing

Other indefinite pronouns include *either, neither, some, all* etc.

The commonest indefinite relative pronouns are *whoever, whatever, whichever, and whomever (in formal style)*. While *whoever* and *whomever* refer to non-specific humans, *whatever* and *whichever* refer to non-human referent.

Like the other indefinites, interrogative pronouns distinguish between human and non-

human, and they may be singular or plural. The commonest interrogative pronouns are *who, Whom, What, and which.*

Reciprocal pronouns are pronouns that refer to an exchange or mutual interaction between people or groups such as *Peter and Mary smiled at each other.* It should be noted that the two reciprocal pronouns in English – *each other* and *one another* – are in fact phrases.

Activity 3.6

Identify the pronouns in the following sentences and give the subclassification for each. The types are pers(onal); poss(essive), reflex(ive); emphat(ic); demon(strative); rel(ative); interrog(ative); indef(inite).

Example: The book that he lost is out of print.

Answers: *that*: rel; *he*: pers

1)   Is there anyone here who knows which of these answers is the right one?

2)   These are not the ones your mother bought for herself; hers are over there.

3)   What did you yourself do all afternoon, you good-for-nothing?

4)   Somebody owes me some money and I want what's mine.

5)   Don't take that – it belongs to the man who hurt himself.

6)   The technicians themselves admitted that their new ones were as faulty as ours.

Prepositions

A preposition is a word that is placed before a noun or pronoun to connect the noun/ pronoun with another major class word such as *Send it to the General Office; Buy one for me.* In effect, it is a kind of linking word that expresses a relation between two major class words. In the example above, *it* and *the General Office* are linked by *to* which expresses a direction towards *Celia; One* and *me* are linked by *for* which expresses the beneficiary. In a sentence such as *He stood by the door,* the preposition *by* expresses a position taken by

he in relation to *the door.* The classification of prepositions shown in Figure 3.7 below:
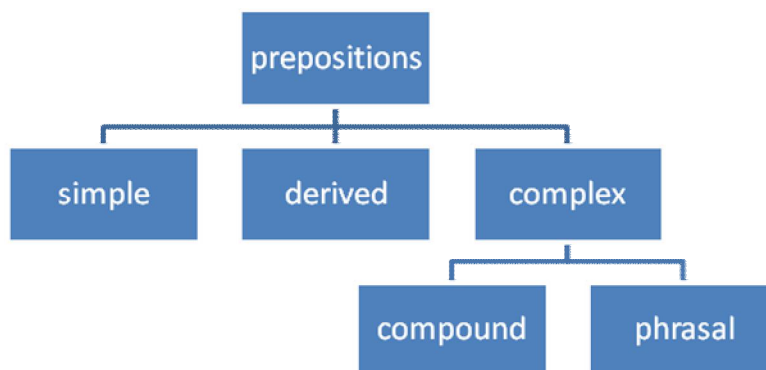
Figure 3.7Classification of preposition

Simple prepositions consist of one word such as *by, with, from, over, under.* The common structure of derived prepositions is that of a present participle verb + -ing such as *during, concerning, regarding, respecting.* Complex prepositions can be further classified into compound prepositions and phrasal prepositions. Compound prepositions are made up of two simple prepositions, such as *as for, on to, out of. They are* sometimes written as one such as *into, upon, within.* Phrasal prepositions are of the kind *because of, due to, by means of,* etc. They have a formal association, whereas simple prepositions have a general or informal association. The structure of phrasal prepositions is generally:

simple preposition	+	general abstract N	+	simple preposition
in		relation		to
in		accordance		with
in		opposition		to

However, there is quite a variety of possibilities:

- as + verb past participle + simple preposition, e.g., *as opposed to*

- adverb + simple preposition, e.g., *independently of*

- adjective + simple preposition, e.g., *opposite to*

In English, there are about thirty pairs of word functioning as simple preposition and adverb of place/time and each pair of word share the same form. In other words, these words do not take the normal adverbial inflections, and must be identified by position. For instances:

prepositions	adverbs
He looked at the books *around* him.	He passed the books *around.*
They lowered the cargo *down* the ship.	They lowered the cargo *down.*
She wasn't seen *after* class.	She wasn't seen *after.*
We leaned on the bridge and looked *up* the river.	We looked *up* and saw the bridge.

The few adverbs of time *before, after, since,* do not follow this pattern, but are identifiable by their fronted position in sentences such as *Before, he was very disorganized; After, she was a different person; Since, we have lost touch with them.*

There are about half a dozen words which function as verb particles in phrasal verbs such as *He thought over the plan and smiled to himself*. The identifiable characteristic of an adverbial particle in phrasal verbs is that it is separable from the verb itself such as *He thought the plan over and smiled to himself*. Contrast this structure with a similar prepositional verb structure e.g., *He thought about the plan and smiled to himself*, in which the preposition *about* is not separable, i.e. * *He thought the plan about and smiled to himself.* Naturally, if a verb is prepositional, it must take an object, and is, therefore, always transitive. However, as we saw in the sub-categorization of the verb-class, phrasal verbs may be transitive or intransitive.

Identify the prepositions in the following sentences and give the subclassification for each. The types are simple; complex: compound; complex: phrasal; derived.

Example: After dinner, they discussed the problems regarding the new policy.

Answers: *after*: simple; *regarding*: derived

1) In regard to your letter of yesterday concerning the exam results, we have put your mark up to the next rank.

2) Because of the heavy traffic waiting to go into the tunnel, we had to hang about for an hour underneath the flyover.

3) Concerning their offer and provided they are now sincere, we are committed to accepting it.

4) I'll opt for another round of negotiations in spite of their antipathy towards us.

5) As regards your latest venture, you seem to be jumping out of the frying pan into the fire.

Conjunctions

A conjunction is a word that joins two structures of the same kind:

the East and the West	(noun + noun)
pretty and smart	(adjective + adjective)
quickly *but* carefully	(adverb + adverb)
swear and scream	(verb + verb)
I'll go and meet the family	(clause + clause)

There are two types of conjunction: coordinating and subordinating. Both of them can be further classified as shown in the Figure 8. Examples of these conjunctions are given in Table 3.5.
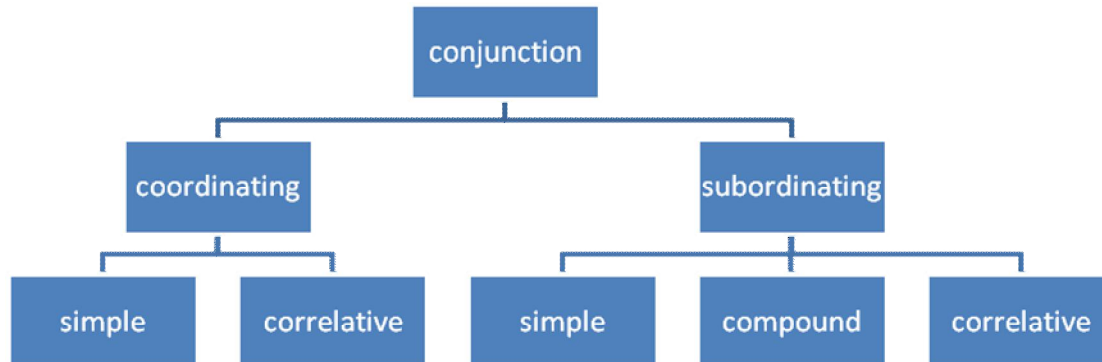
Figure 3.8 Classification of conjunction

coordinating		subordinating		
simple	**correlative**	**simple**	**compound**	**correlative**
and	*both. . . and*	*after*	*in that*	*if . . . then*
but	*either . . . or*	*where*	*so that*	*so . . . that*
yet	*not only . . . but also*	*as*	*as if*	*as … as*

Figure 3.5 Examples of coordinating and subordinating conjunctions

Coordinating conjunctions are used to express several basic logical connections of structures of the same kind: copulative, disjunctive and adversative. The three types of coordinating conjunctions and their examples are given in Table 3.6 below.

Functions	**Conjunctions**	**Examples**
Copulative	*and, both . . . and*	*Both you and your sister will be invited to the party.*
Disjunctive	*either . . . or, or*	*Either David or Mark will join the team.*
Adversative	*but, yet*	*He worked very hard this time but failed again.*

Figure 3.6 Types of coordinating conjunctions

Subordinating conjunctions have a greater range of semantic functions than that expressed by coordinating conjunctions, though there is some overlap between the two. Some of the more common types of subordinating conjunctions are given in Table 3.7 below.

Types	Conjunctions	Examples
Time	*when, until, since, before, after, while*	*The new law doesn't take effect until the end of next month.*
Place	*where, wherever*	*I'll accompany you wherever you go.*
Manner	*as, as if, as though*	*He shrugged as if he didn't know.*
Reason	*because, as, since*	*She got the job because she was the best candidate.*
Result	*so that, so . . . that*	*I was so tired that I fell asleep right away.*
Purpose	*so that, in order that*	*She changed her job so that she could have more time with her kids.*
Condition	*if, unless (= 'if not')*	*If you promise not to tell anyone else, I'll tell you the truth.*
Concession	*though, although, even if, while*	*She is generous although she is poor..*
Comparison	*as . . . as, than*	*He ran as fast as he can.*
Nominal	*that, where, when, what, if, whether*	*We all knew that he was the thief.*

Figure 3.7 Types of subordinating conjunctions

Activity 3.8

Identify the conjunctions in the following sentences and give the subclassification for each. The types are <u>coord</u>(inating): cop(ulative); disjunct(ive); advers(ative); causal; result(ative); <u>subord</u>(inating): time; place; manner; cause/reason; result; purpose; cond(ition); concess(ion); comp(arison).

Example: Before we went to bed, we read and did our homework.

Answers: *Before*: subord, time; *and*: coord, cop

1) If you need a househelp or babysitter, please call me so that I can arrange it as soon as possible.

2) Even though he tried, he floundered and failed; but he didn't give up as he was determined.

3) The animal perked up its ears as if it understood, while its tail stuck up stiffly: yet it made no real response, so I put it back in its cage.

4) Though Joe realized the thieves were not armed, he hid in the cupboard before they could see him, as he was both scared and defenceless.

5) Once they had gone, he ran across to his neighbour's so that he could phone the police and wait until they came, rather than return to the house.

6) As far as he could ascertain, seeing that there was such a mess, they had been looking either for a file or for a disk, so everything had been trashed.

Determiners

A determiner is 'a word placed before a noun to specify its range of reference' (Coffin, Donohue and North 2009: 40). Determiners comprise a number of different items, including articles, quantifiers, demonstratives, possessives, and numerals.

Articles indicate whether a noun is 'definite' (i.e., has deictic/anaphoric aspect) or

'indefinite' (i.e., has a general aspect.) In some traditional descriptions, articles are classified as adjectives. There are three types of articles: definite, indefinite, and zero. The three types of articles, their functions, and examples are given in Table 3.8 below.

Types	Functions	Examples
Definite article	used principally before a noun that has already been mentioned	*Once upon a time, there was a beautiful princess. The princess, however, was born under a spell.*
	used deictically to specify an object within the speech participants' sight or memory	*There's the boy I mentioned to you this morning.*
	used deictically to indicate objects in general knowledge	*The Prime Minister; The Rockies; The City Hall*
	indicate a generic class	*The beaver is a large rodent.*
	indicate a collective class in terms of singular nouns	*the judiciary; the military; the Church; the Press*
Indefinite article	refer to a kind of object, not a particular instance of an object	*I bought you a new computer.*
	express the sense of *any*	*A child would know how to do that.*
	express the sense of *one*	*A whole day passed without news.*
Zero article	No need to classify and specify a noun	*Education is getting more and more expensive.*
	For places such as cities, towns, villages and parks	*I'll stay in Chicago.*

Table 3.8 Types and functions of article

Demonstratives include *this, that, these, those*. Their function is 'deictic', i.e., to indicate or point at a particular instance or some instances of the reference of the noun, in relation to the speaker; *this* is near to the speaker, and *that* is far from the speaker.

Possessives include *my, your, his, her, its, our, their*. Their function is to indicate noun in terms of personal possession. They are known as possessive pronoun or possessive adjective in tradition grammar. We should note that while *my, your, his/her, its, our, their* function as possessive determiners, *mine, yours, his/hers, ours, theirs* are possessive pronouns functioning independently of nouns.

Quantitatives (or quantifiers) include what the traditional grammar called indefinite adjectives such as *some, all, every, each, many, much*, etc. They specify how many or how much of something is being referred to. They can be used with both countable and uncountable nouns irrespective of number.

Numerals include what the traditional grammar called definite quantifier (or numerical adjectives). They can be further classified into cardinal numerals such as *one, two, three*, and so on, and ordinal numerals such as *first, second, third.* Cardinal numbers precede countable nouns while ordinal numbers provide notions of time order or rank and normally precede a singular countable noun. However, there are examples in which the ordinal (with a cardinal number) precedes a countable noun in the plural such as *The <u>first three</u> runners will be selected to represent the school for an interschool competition.*

Determiners are essential elements of many noun phrases (discussed later in this chapter) and are placed before head noun. Determiners help to identify and explain the reference of the nouns. In terms of their structure inside a noun phrase, determiners fall into three main sub-categories as shown in Figure 3.9.
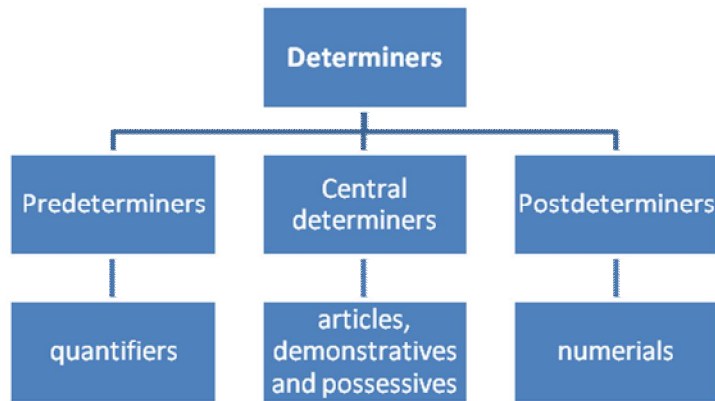
Figure 3.9 A classification of determiners inside a NP

All determiner types precede the noun they modify and are always placed in the order: predeterminer > central determiner > postdeterminer, if all are present.

Activity 3.9

Identify the determiner in the following sentences and give the subclassification for each. The relevant terms are **art**icle; **poss**essive; **dem**onstrative; **rel**ative, **interrog**ative; **indef**inite; **card**inal; and **ord**inal.

Example:

    poss   desc   dem

    His support was the nicest fringe benefits of pursuing this research.

1) These private agencies investigate any matter from cheating spouses to pirated foreign goods.

2) Many people in the police and judiciary oppose their unorthodox style, the use of which techniques contravene all normal standards.

3) With business so brisk, his firm turned away nine of the ten cheating cases that were offered last month.

4) What success I have had in this business is due to my dogged determination to solve every case.

Word Phrases

Phrases are the essential building blocks for the construction of sentences. Grammarians generally recognize five phrase types: noun (NP), adjective (AdjP), adverb (AdvP), verb (VP) and prepositional (PP) that play these sentence roles. These five phrases and their constituents are discussed in more detail below.

Noun Phrases

Noun phrases may consist of:

- a single noun: *boy, David, school*
- a pronoun: *I, you, he, she, it, we, they, anyone, everyone, something, anything*
- a gerund: *swimming, smoking, cooking*
- a group of words including a head noun: *the school of fish, Peter's car, a handsome young man, my closed friend at school*

A multi-word noun phrase normally consists of a 'head' (a noun, pronoun or gerund) which may be premodified and/or postmodified (see Table 3.10 below):

Premodifier	Head	Postmodifier
beautiful	puppies	
a group of beautiful	puppies	
	everyone	in the group of puppies
my	puppies	
the	puppies	in the farm
some	puppies	of mine

his husband's	smoking	
	swimming	in the sea
her growing	desire	to complete
these	materials	transported by rivers
two strings	strings	that hold the tubs together

Table 3.10   Constituents of the noun phrase

The premodifier of a noun phrase comprises any combinations of three main word classes: determiners (e.g., 'my', 'the', 'some'), attributive adjectives or adjective phrase (e.g., 'beautiful'), nouns functioning as an adjective (e.g., 'school' used to modify the head noun 'friends' as in *my school friends*), and participle (e.g., 'growing').

The head of a noun phrase can be a noun (e.g., 'friends', 'desire', materials', strings'), a pronoun (e.g., 'everyone') or gerund (e.g., 'smoking', swimming').

The postmodifier of a noun phrase is normally a prepositional phrase (e.g., 'in the farm'); however, it can be a clause: a non-finite clause (with infinitive) (e.g., 'to complete), a non-finite clause (with participle) (e.g., 'transported by rivers') or a relative clause (e.g., that hold the tubes together').

Noun phrases fulfill grammatical functions (or roles) of sentence in traditional grammar. Apart from subject, a noun phrase may function as:

Subject complement (SC): *Peter is <u>a good boy</u>.*
Direct object (DO): *Peter took <u>a taxi</u> to school this morning.*
Indirect object (IO): *Peter bought <u>me</u> a book.*
Object complement (OC): *I found Peter<u>a liar</u>.*
Object of a preposition: *Peter usually does his homework in <u>the evening</u>.*
NP in apposition (app): *My friend <u>Peter</u> is going to visit me this Saturday.*

Activity 3.10

Analyze the composition of the underlined noun phrase. Indicate the premodifier, head and postmodifier. For both premodifier and postmodifier, name all the constituents in them.

One may argue that, nearly 40 years after (1) <u>Kissinger's secret visit to Beijing</u>, (2) <u>the level of mutual misunderstanding</u> has never been as high as it is today. The problem is not (3) <u>real conflict of interest</u> but (4) <u>the lack of trust</u>. (5) <u>Neither side</u> seems to have (6) <u>a long-term strategic vision</u> and things could spin out of control in this condition.

After all, (7) <u>Germany and Britain</u> shared much (8) <u>common global interest at the time</u>, but they eventually ended up on (9) <u>opposing sides in a major war</u>. This is (10) <u>a precarious moment for the Sino-US relationship</u> and we should cross our fingers and hope that history does not repeat itself.

Prepositional Phrases

Prepositional phrases are closely related to noun phrases in that the role of a preposition is to express the temporal or spatial relationship between entities – and 'the entities' in question are expressed in noun phrases. So a prepositional phrase embodies a preposition and a noun phrase (as shown in the examples in Table 3.11 below).

Preposition	Noun Phrase
in	the garage
under	the tree
in	that situation
because of	the storm
on	duty

Table 3.11　　　Constituents of the prepositional phrase

Prepositional phrases have adverbial functions in sentences. More specifically, they function as adverbials or adverb complements. The function of the adverbial (A) is to tell us how (manner), when (time) and where (place) something was done. Adverbials provide additional information to a sentence while an adverb complement completes the sense of a sentence. So, while the adverbial is an optional element in that all sentence types may (or may not) have one, adverb complements are obligatory and are required by the verb to complete the sense of the message, e.g., *John put the book on the shelf*.

Examples of prepositional phrases functioning as adverbials and adverb complements are:

He stood alone *on the podium*.	(place)
He ran quickly *toward the door*.	(movement)
He handled the bomb *with great care*.	(manner)
I met him *at around 7 o'clock* last night.	(time)
He failed the exam *because of carelessness*.	(reason)
He ran *for safety*.	(purpose)
He kept up with other people *in spite of considerable hardship*.	(concession)
He wrote the letter *with a red ballpoint pen*.	(instrument)
The whole plan was devised *by him*.	(agent)
He went to the party *with Diana*.	(accompaniment)

Apart from the above functions, a prepositional phrase can also serve the role of the postmodifier of noun phrase as in *The man on the empty platform looked lonely*. Like sentence adverb, a prepositional phrase may also modify a whole sentence. It presents the speaker's stance or viewpoint on the proposition expressed in the statement such as *In all honesty, I'm not sure if I have time to attend the meeting*.

Adjective Phrases

Like noun phrases, an adjective phrase always contains an adjective which may be premodified and/or postmodified. A few examples of this are provided in Table 3.12 below:

	Premodifier	Adjective	Postmodifier
He is		Worry.	
	very	Worry.	
		worry	about his job.
	particularly	worry	about his job.
	particularly	worry	that he may lose his job.

Table 3.12 Adjective phrases

In terms of structure, adjective phrases commonly take a predicative position in sentences; that is, they follow the verb as in *We are delighted about your promotion*. Attributive adjective phrases are usually compound adjectives that precede the noun they modify such as '*in-class* essay', '*on-site* visit' or '*in-house* demonstration'. Some attributive adjective phrases can be shortened (e.g., 'class essay' and 'site visit') but some cannot (e.g., *'house demonstration').

An adjective phrase may function as a subject complement or an object complement, for example:

> Her apartment is *very luxurious*. (subject complement)
> We have to make him *conscious of his responsibilities*. (object complement)

An adjective phrase may premodify a noun phrase such as *He is an internationally famous rocks star*. Lastly, an adjective phrase may also postmodify both a noun phrase and an indefinite pronoun (e.g., *He is the best person available to us*).

Adverb Phrases

Like noun phrases and adjective phrases, an adverb phrase always contains an adverb which may be premodified and/or postmodified. Table 3.13 provides a few examples of these.

	Premodifier	Adverb	Postmodifier
He is behaving		strangely	
		oddly	lately
	a little	bizarrely	
	rather	aggressively	for him

Table 3.13 Constituents of the adverb phrase

The premodifying elements of an adverb phrase indicate the degree of intensification of the adverb, ranging from the high level expressions such as '*very*' '*rather*' through '*quite*' to the lower level expressions such as '*a little*'.

Verb Phrases

Verbs are classified as finite or non-finite. A finite verb is always marked for tense and sometimes also for person and number such as *He always produces excellent works*. In this example, *produce* is marked for present tense and shows grammatical agreement with its subject '*he*' in terms of person and number.

In a verb phrase, the first or only verb is the finite one, for example, '*has*' in the example below, where '*produced*' is non-finite such as *He has produced an excellent work*. When the subject changes, it is the first verb '*has*' but not '*produced*' has to be changed in order to be grammatical as in *They have produced an excellent work*. Similarly, when a verb phrase comprises a modal verb, the modal verb is finite, comparing *He can always produce excellent works* with *He could produce excellent works in the past*.

There are three non-finite verb forms:

- the infinitive (with or without *to*): (to) *produce*
- the present participle base + *ing*: *producing*
- the past participle base + *ed*: *produced*

The infinitive normally follows the modal such as *He <u>must produce</u> a better work* and do auxiliaries such as *He <u>does produce</u> an excellent work.* The infinitive may be active or passive. In active voice, the infinitive may express both progressive and perfect aspects as well as their combination in active voice. In passive voice, the infinitive expresses only the perfect aspect.

- Active: *to produce* (simple), *to be producing* (progressive), *to have produced* (perfect), *to have been producing* (perfect + progressive)
- Passive: *to be produced* (simple), *to have been produced* (perfect)

Present participles, on the other hand, retain both active and passive voices and both progressive and perfective aspects as well as their combination as shown below.

- Active: *producing* (simple), *producing* (progressive), *having produced* (perfect), *having been producing* (perfect + progressive)
- Passive: *being produced* (simple), *being produced* (progressive), *having been produced* (perfect), *having been being produced* (perfect + progressive)

The past participle is also known as the passive participle, because it is the form of the main verb in the passive voice as in *The project report <u>has already been submitted</u>.* Past participles can take several forms:

- regular verbs *–ed*, e.g., *talked, stopped, amended*
- irregular weak verbs *–(e)n*, e.g., eaten, *taken, shown*
- irregular strong verbs, where several forms occur, e.g., (seek) sought, (*sing) sung*, etc.

Past participles do not have an active voice form and thus do not express all the variations of the other non-finite forms:

- Passive: *produced* (simple), *being produced* (progressive), *having been produced* (perfect), *having been being produced* (perfect + progressive)

Activity 3.11

Examine all the verbs and identify the examples of passive voice; progressive (continuous) or perfect aspect; present or past tense OR modal auxiliary in the following sentences. Verbs without these features in full may be imperative; infinitive (note that after a modal auxiliary the infinitive may be without 'to'); present participle or past participle (don't use *participle* if the tense of the verb is complete).

Example: I might even have been attacked by the dog which was starting to growl.

Answers: <u>*might*: modal; *have been attacked*: present perfect, passive; *was starting*: past progressive; *to growl*: infinitive</u>

1) Lauren thinks she may know the editor who has just revised her book.
2) A note had been pinned to the door saying Victor called.
3) Since I didn't own a car I would have to take a cab.
4) I couldn't dance very well so I just watched her perform on her own.
5) Tina kept talking to me and I had no idea I was staring at her.
6) When the screaming started I would have liked to leave.
7) Don't confuse me with that fellow I've always hated and avoided.
8) I might have tried to help her if I had been asked to.
9) Though weakened, my muscles were still valiantly saying to me Fight.
10) That girl who's sitting opposite me now doesn't seem to have been invited by Lauren.

Activity 3.12

Analyze the verb type of the underlined verbs. For finite verbs, identify the verb type, namely intransitive, transitive (monotransitive, dative or factitive), and linking (copulative or sense). For auxiliary verbs, identity if they are aspectual, modal, passive and do. For non-finite verbs, identify if they are infinitive (bare infinitive or to-infinitive) and participle (present or past). (15 marks)

These men just (a) watched as the fire (b) consumed the tinder-dry roof and (c) began (d) to eat into the walls, then (e) to ignite a sore-room of soya beans and wheat and (f) send a cloud of thick smoke (g) drifting across the village, (h) making the livestock panic and (i) sending roosting birds (j) shooting up into the sky in search of fresh air. Leung's men (k) were alerted and (l) raced to the hut (m) to put out the flames, (n) reaching it in time (o) to save the bulk of the structure. (Excerpted from Helen Tse's *Sweet Mandarin*, p. 59)

Conclusion

In this chapter, we first discussed word classes, which can be further classified as open word classes and closed word classes. Open word classes include noun, verb, adjective, and adverb, while closed word classes include preposition, pronoun, conjunction, and determiner. Then we examined five word phrases, namely, noun phrase, adjective phrase, adverb phrase, verb phrase, and prepositional phrase. Words are the essential building blocks for the construction of phrases, whereas phrases are the building blocks for the construction of sentences and the grammatical functions (roles) they play in a sentence, i.e., subject, subject complement, verb, direct object, indirect object, object complement, adverbial and adverb complement. In the next chapter, we will focus on the clause and sentence structure.

4

Syntax II

Introduction

the previous chapter, we discussed word classes, i.e. noun, verb, adjective, adverb, preposition, pronoun, conjunction and determiner, and word phrases, i.e. noun phrase, adjective phrase, adverb phrase, verb phrase and prepositional phrase. While words are the essential building blocks for the construction of phrases, phrases are the building blocks for the construction of sentences and the grammatical functions (roles) they play in a sentence, i.e., subject, subject complement, verb, direct object, indirect object, object complement, adverbial and adverb complement. Both components are below the clausal level. In this chapter, we will first examine the structure of English at the clausal level. We will discuss the functional structure of simple sentence, the mood types, clause and sentence, and finally, compound and complex sentences.

The functional structure of simple sentences

The structure of a sentence can be analyzed according to its functional parts, namely subject, verb, direct object, indirect object, subjective complement, objective complement, adverbial complement, and adverbial. For the purpose of 'functional analysis', traditional grammar uses the declarative and the active form as the basic form.

Each functional category has its own permitted word-class members. For example, the subject of a sentence is typically a member of the noun class. However, because a

functional position may be filled by different structures, we have to create an analytical level between word class/part of speech (known as class token) and the functional parts. This additional level is called class type, realized by word phrase.

Class type:	nominal	verbal	adjectival	adverbial
Class token:	noun	verb	adjective	adverb.

Functionally, a simple sentence embodies two components: subject and predicate. While the subject is usually realized by a nominal structure, the predicate is always realized by a verbal structure together with other class types. The difference in combination creates different basic sentence patterns in English.

(1) The simplest predicate consists of just an intransitive verb 'Vi': S + Vi

Subject	Predicate
	Vi
Peter	arrived.
He	is swimming.
She	has disappeared.

(2) The predicate may be modified by adding an adverbial structure 'A': S + Vi + A

Subject	Predicate	
	Vi	A
Peter	arrived	yesterday.
He	is swimming	in the pool.
She	has disappeared	again.
I	have been working	in this school for more than ten years.

As adverbial is an optional component in the predicate, it is enclosed by brackets (A).

(3) When the predicate comprises a mono-transitive verb 'Vt', it is follow by a direct object 'DO': S + Vt + DO + (A)

Subject	Predicate		
	Vt	DO	A
She	wrote	the email	quickly.
He	finished	the report	on Monday.
They	visited	Seattle	last year.

(4) A predicate with a dative verb 'Vd' consists of not only a direct object 'DO' but also an indirect object 'IO': S + Vd + IO + DO + (A)

Subject	Predicate			
	Vd	IO	DO	A
We	shall buy	Mary	a birthday present	today.
They	sent	us	his condolences	last night.
She	told	me	the news	incoherently.

(5) A predicate with a factitive verb 'Vf', on the other hand, carries a direct object 'DO' and an object complement 'OC': S + Vf + DO + OC + (A)

Subject	Predicate			
	Vf	DO	OC	A
You	should find	the apartment	comfortable	now.

| The class | elected | him | a representative | again. |
| The accident | made | him | a hero | overnight. |

(6) A predicate with a linking verb 'Vl', either a copulative verb 'Vc' or a sense verb 'Vs', is followed by a subject complement 'SC': S + Vl + SC + (A)

Subject	Predicate		
	Vl	SC	A
The price	is	attractive	now.
The podium	became	dark	again.
The canary	sounded	hysterical	yesterday.
James	is	a lawyer	now.

(7) A predicate with a linking verb 'Vl' may be followed by an adverbial. But the adverbial is an essential component in the sentence. This is known as adverbial complement 'AC': S + Vc + AC + (A)

Subject	Predicate		
	Vl	AC	A
People	was	everywhere	yesterday.
The report	is	on its way	to you.
The suspect	got	into a taxi	quickly.

(8)   For some predicates with a transitive verb, a adverbial is essential to make the

meaning complete: S + Vt + DO + AC + (A)

Subject		Predicate		
	Vt	DO	AC	A
John	put	the book	on the shelf	this morning.
The teacher	sent	the students	home	at once.
I	hung	the picture	on the wall	yesterday

We may represent the relationship between functional elements and word classes as follows:

Function:	S	DO	IO	Complements	Adverbials
Class (Type):	Nominal	Nominal	Nominal	Nominal	Adverbial
				Adjectival	
				Adverbial	
Structure	Noun Phrase	Noun Phrase	Noun Phrase	Noun Phrase	Adverb Phrase
				Adjective P.	Prepositional P.
				Adverb Phrase	(Noun Phrase)
Word Class (Class Token)	Noun +Noun	Noun	Noun	Noun Adjective	Adverb Preposition
				Adverb	(Noun)

Activity 4.1

Identify the verb type in the sentence with intransitive (Vi), transitive (Vt), dative (Vd), factitive (Vf), copulative (Vc), sense (Vs).

1. Peter <u>murdered</u> his wife.

2. Mary <u>watched</u> the soccer match.

3. The dog <u>chased</u> the thief.

4. David <u>took</u> a taxi to school.

5. Rebecca <u>presented</u> the trophy to the winner the trophy on the stage.

6. Peter <u>like</u> the fact that soft drinks are being served in the party.

7. A piercing cold wind <u>blew</u> toward the platform.

8. An officer <u>died</u> last night.

9. Marianne <u>laughed</u> wholeheartly.

10. Tom <u>bought</u> Susan a gift yesterday.

11. She <u>saw</u> the car accident.

12. Ronnie <u>is</u> the school prefect.

13. David <u>climbed</u> the mountain.

14. They <u>like</u> serving soft drinks in the party.

15. Rebecca <u>looked</u> at the doctor.

16. The salt <u>dissolved</u> in the soup.

17. She <u>told</u> me that it was raining heavily.

18. There <u>seems</u> to be a tiger under the bridge.

19. Mary <u>likes</u> the movie very much.

20. John <u>is</u> smart.

21. She <u>asked</u> me a question.

22. Both of the men <u>shivered</u> in the cold wind.

23. John <u>is</u> smart.

24. The boys <u>like</u> the soft drinks.

25. The one who killed Mary <u>is</u> John.

26. He <u>has</u> a million dollars in his pocket.

27. I <u>forgot</u> the answer.

28. I <u>am looking</u> at John.

29. Litter <u>is</u> everywhere after the festival.

30. There <u>seems</u> to be a tiger under the bridge.

31. On the tree is a cat.

32. Jenny played Ophelia in the drama.

33. The people vote him president.

34. They name the baby John.

35. Red stands for danger.

36. Judy sounds like a star.

37. Winnie is a good girl.

38. The sign indicates that Gate 40-62 are to the right.

39. The boys like the idea of holding a party on Friday

40. Max owns the property.

41. I saw Mary after school.

42. The cat smells the flower.

Activity 4.2

Analyze the verb type of the underlined verbs and the grammatical functions in the sentences of the text.

[1] The people / were singing / on the bus. [2] To my surprise / the driver / objected. [3] He / complained / that the bus was not a karaoke club. [4] On the other hand / the passengers / argued / that they had paid for their tickets. [5] He / complained / that the people on the bus were interfering with his concentration. [6] I / felt / a bit sorry / for him. [7] As the singing / was / truly / awful, / he stopped / the bus / at a small shop, / got out / and / bought / some tissues / to block / his ears. [8] From his point of view / the passengers / were / noisy and inconsiderate. [9] The passengers, / however, / were / more concerned about / the driver's attitude.

Activity 4.3

Analyze the verb type of the underlined verbs and the grammatical functions in the sentences of the text.

Example: You must add the butter after you have poured the milk over the potatoes.

Answer: You (S) / must add (V) / the butter (DO) / [after (X) you (S) / have poured (V) the milk / (DO) over the potatoes (A)] (A).

Summer / is coming. It / is / time / for a few reminders / about the effects of heat / on your pets. Do not leave / your pets / shut up / in a car / without adequate ventilation. The heat of the sun / can be / so intense / [that / a few inches of open window / is / not enough. Give / your pets / enough fresh water / to drink. [When / you / are / at a pool or on the beach], / do not let / your dog / drink chemically treated or salt water. Always / keep / them / clean, groomed and trimmed, / especially / [if / it / is / long-haired].

Mood types of a sentence

The classification of mood type in English is controversial. In general, all grammarians argue on three different types of mood: declarative, interrogative and imperative. Some grammarians, however, argue that there are one or two more types: exclamative and subjunctive. Below, we will examine them separately.

Declarative sentences

Declarative sentences are sentences which assert and declare something. They can be either positive or negative. When a sentence is used to make a positive statement, we label it as affirmative.

Boredom is a state of mental tension.

They make him the editor every year.

When a sentence is used to make a negative statement, we call it negative sentence.

They have a negative element in them.

> It is <u>not</u> my fault.
>
> The sun does <u>not</u> move round the earth.

Both affirmative and negative sentences normally start with a capital letter and end with a period (full stop).

Interrogative sentences

Sentences that are used to ask questions are also called interrogative sentences. There are several types of interrogative sentences. The following questions are called *yes-no* questions, because they may be answered with 'yes' or 'no'.

> Is boredom dangerous?
>
> Do they make him the editor every year?

The following questions are called *wh*-questions or information-seeking questions. They cannot be answered by saying 'yes' or 'no'. All questions start with a capital letter and end with a question mark. *Yes-no* questions start with some verbal element such as *is*, *am*, *are*, *do*, *did*, etc. *Wh*-questions start with a *wh*-word such as *who*, *what*, *where*, *how*, etc.

> What is boredom?
>
> Who has done it?

Like declarative statements, questions can also be positive or negative. But positive and negative questions do not contrast in the same way as positive and negative statements do.

> He came.   (positive declarative)
>
> He didn't come.   (negative declarative)
>
> Did he come?   (positive yes/no question)

Didn't he come?	(negative yes/no question)
Why did he come?	(positive wh- question)
Why didn't he come?	(negative wh- question)

Positive question is neutral with respect to the answer that could be given: it could be 'yes' or 'no'. But negative question is a way of expressing surprise and the expected answer is 'no'.

Imperative sentences

Imperative sentences are sentences which are used to express commands, requests, desires, etc. The subject of such sentences is invariably the hearer 'you' and is optional. In the unmarked form, the word 'you' is generally deleted. Unlike other sentence types, we can use only the finite base form of the verb in imperative sentences.

> Shut the door.
> Do not make a noise.

Exclamatory sentences

Sentences that express strong or sudden feelings are called exclamatory sentences. These start with a capital letter and end with an exclamation mark.

> How brave (he is)!
> What utter nonsense (it is)!

Subjunctive sentences

Subjunctive sentences are not very productive in contemporary English. They may be seen in certain set (fixed) expressions that use only the base form of the verb as in

> God _save_ the queen!
> So _be_ it then!

> I won't go into details, _suffice_ it to say that it was a real mess.

Subjunctive sentences may be used for unreal, hypothetical, or doubtful statement:

> If I were a king, I would stop the exploitation at once.
>
> I wish I were a billionaire.

It is noted that in the above examples all such sentences use the form _were_.

The use of subjunctive forms is still sometimes found in _that_ clause after certain verbs.

> It is required that she be present.
>
> I demand that he come at once.

Activity 4.4

Identify all the mood types of the following dialogue.

Dialogue	Mood type
Jane: I'm awfully sorry!	
John: It's all right.	
Don't worry.	
Jane: Is anything broken?	
John: No, no.	
Jane: No eggs in your shopping bag, I hope.	
John: No. Just potatoes and junk food.	
Jane: Oh good!	
I mean, I'm glad nothing was broken.	
I don't mean that I'm glad you're buying junk food!	

Sentence and clause

A clause is a group of words which has a subject and a predicate of its own.

> She (subject) is baking a cake in the kitchen now (predicate).

A simple sentence comprises of only one clause. The above example is therefore a clause but it is also a simple sentence. Compound and complex sentences, on the other hand, consist of more than one clause.

> The dog (subj.1) / came up to me (predi.1) when I (subj.2) whistled (predi.2).
>   (subject)   (predicate)

The above sentence contains two clauses: 'the dog came up to me' (clause 1) and 'when I whistled' (clause 2).

There are two types of clause: (1) independent clause (also known as 'main clause') and (2) dependent clause (also known as 'subordinate clause'). An independent clause is a clause which does not depend on another clause to form a complete grammatical construction, and thus can be used to make a complete statement as in _I went home after I'd talked with Mary_. A dependent clause, on the other hand, is one that must be used with another clause to form a complete grammatical construction. It depends on the other clause and is subordinate to it. Semantically, it depends on the main clause for it to be meaningful. In the above example, the second clause '_after I'd talked with Mary_' is incomplete except when it is read or heard as part of the longer sentence. Sometimes, a sentence can consist of more than one independent clause. In this case, the independent clauses are known as coordinate clauses as in _I like ice-cream_ and _Mary likes chocolate_.

Types of Sentence

In terms of clause composition, there are four types of sentences: simple sentence, complex sentence, compound sentence, and compound-complex sentence.

A simple sentence is one that contains only one subject and one predicate. In other words, it consists of only one independent clause:

> She likes tea.
>
> She and her sister like tea.
>
> She likes tea as well as coffee.
>
> She and her sister like tea, coffee and milk.

A complex sentence is one that contains one independent clause and one or more dependent clauses:

> Everybody knows that the earth is round.
>
> He is the one whom I like most.
>
> If we don't meet tomorrow, we shall postpone our discussion till next week.

A compound sentence is one which contains two or more coordinate clauses:

> You can go by train or you can take a bus.
>
> I believe in democracy but I don't believe in a total lack of control.
>
> I like poetry, and I don't dislike prose, but I can't appreciate some modern specimens of either.

A compound-complex sentence is a combination of compound and complex sentences:

> I had nothing against him when I met him last, but I have found out that most of what he says is untrue, and he says it so convincingly.

Compound sentences

Coordinate clauses within a compound sentence may be related to each other in one of the four ways: agreement, contrast, alternation, and consequence.

Agreement

The relationship of agreement refers to two or more statements which agree with each others in terms of their content meaning being put together to form a compound sentence. There may not be a coordinator between the statements. The relationship of agreement is further sub-categorized into the relation of addition, explanation, exemplification, and massed detail.

Addition: The second statement provides additional information of the first statement. Generally, a coordinator such as *and* is placed in front of the second statement to indicate an addition relation:

Tidy up your room *and* switch off the light before you go.

I am going to write good stories *and* become a famous novelist.

Explanation: While the first statement is a general statement, the second statement provides an explanation of the previous. Generally, no coordinator is used between them. The punctuation mark used is either a colon (:) or a semicolon (;).

He did his job dutifully: he observed the deadline and finished the manuscript carefully.

He has done the right thing: he reported the crime even he knew that his brother was the suspect.

The house is not new; two tenants have stayed in it since it was built.

Exemplification: The second statement is an example to illustrate the first statement. Like the case of explanation, no coordinator is used between them

> It is vital to resist the temptation of power to be great; Mandela – the former president of South Africa – is a good example.

Massed detail: Massed detail, to a certain extent, can be considered a general statement following by a number of details for one effect.

> She was stunning; she wore the right make-up; her dress was glamorous; the color of her shoes matched her dress perfectly; her diamond necklace sparkled under the chandeliers.
>
> I can trust him; he has never lied; he always keeps his word; he care about others more than himself.

Contrast

The relationship of contrast occurs when two or more statements which disagree with each others in terms of content meaning being put together to form a compound sentence. Generally, the second statement is against the expectation of the first statement. The common coordinators include *but*, (and) *yet* … etc.

> The play is good, *but* it is still not good enough.
> They got divorced after only six months of marriage, (*and*) *yet* they are still sharing the same apartment since then.

Alternation

The relationship of alternation refers to the choice among two or more statements being put together to form a compound sentence. The common coordinators include *or*, *nor*, *either ... or*, etc.

> *Either* you leave now *or* I call the police!
> We can *neither* change *nor* improve it.
> You can pay now *or* when you come back to pick up your car.

Consequence

There is a cause-result relationship between the two statements in the compound sentence. The common coordinators include (*and*) *therefore*, *thus*, *hence*, *consequently*, etc.

> We were unable to get enough funding *and therefore* had to abandon the project.
>
> He planned to reduce staff and thus to cut cost.

Activity 4.5

Name the relationship (*agreement*, *contrast*, *choice*, or *consequence*) that exists between the independent (coordinating) clauses in each of the following sentences. If the relation is "agreement", please indicate the sub-class: (i) addition, (ii) general statement and explanation, (iii) massed details.

Example: I have already written to him; therefore, I expect a reply soon.

Answer: consequence

1) You are not permitted to accompany us; besides, you haven't finished your homework yet.
2) They hoped to reach here by the morning express; on the contrary, they arrived by the evening passenger.
3) He was true to his word; he lent me two hundred dollars.
4) He is lazy, yet he gets the highest marks in the group.
5) This piece of land is fertile; therefore we have paid such a high price for it.

Activity 4.6

Identify the **ellipted elements** in the following compound sentences:

> *Subject, auxiliary, verb/predicate, subject complement, direct object, object complement, adverbial.*

Example: She picked up the flower and put it in the vase.
Answer: Subject

1) To my surprise, he did not answer my question and did not seem interested in my question at all.
2) Joe was arrested, charged, and brought before a magistrate.
3) May should wash the windows and Ken scrub the floor.
4) Henry was, and his wife used to be, a doctor.
5) Jane won the championship this year and Joanne last year.

Complex Sentences

While a compound sentence represents a linking together of two or more independent (or coordinate) clauses of equal rank, a complex sentence is one which has one independent (or main) clause and one or more dependent (or subordinate) clauses such as *He said that he came from Australia*. In this sentence, *He said* is the independent (or main) clause and *that he came from Australia* is the dependent (or subordinate) clause. It is noted that a dependent clause can be subordinated to another dependent clause so that there is a hierarchy of clauses in the sentence.

> He said (1)/ that *he came from Australia* (2) / which was the largest country in the southern hemisphere (3).

In the above example, (1) is the main clause and (2) is a dependant clause which is subordinated to the main clause *He said*, while (3) is a dependent clause but it is subordinated to (2).

Subordination is a linking device holding two units or elements by means of a subordinating conjunction. In a complex sentence, the subordination relationship that holds between two clauses (X and Y, where X being the main clause and Y being the dependent clause) is that Y is like a constituent or part of X. In other words, the dependent clause Y becomes a substitute for a noun or an adjective or an adverb, and performs the function of that part of speech in X. Subordination may therefore be taken as the downgrading of a clause to the status of a phrase.

> He told me *what he knew.*
>
> He told me *the story.*
>
> He told me *that.*

In the first example above, *what he knew* is a clause with a subject *he* and a predicate *knew.* In functional terms, it can be taken as the direct object of the verb *told.* It can be replaced by the noun phrase *the story* as in the second example, or its equivalent pronoun *that* in the third example.

Activity 4.7

For each sentence, say whether it is a simple, complex, compound or a compound–complex sentence. If the sentence is a complex or a compound–complex sentence, underline the main clause as shown in the example.

Example: <u>I am glad</u> that you are joining our company.

Answer: complex:

1. Send it to me by post or bring it around yourself.
2. Last year we spent our holiday in Span, the year before in Greece.
3. They refused to say what they would do if the strikers did not return to their jobs.
4. Government measures, social injustices, financial policy, industrial relations, classical

and modern literature, new trends in music, the causes of England's defeats in international sport – all these and a host of others are vigorously argued about.

5. They claimed that the streets are clean, the rubbish is regularly collected, and the crime rate is low.

Classification and Syntactic Functions of Dependent Clauses

Dependent clauses can be organized into four categories, depending upon their class types: nominal, adverbial, relative, and comparative.

Nominal clauses (also known as noun clauses) can have the following functions: subject (S), direct object (DO), indirect object (IO), appositive (App), subject complement (SC), object complement (OC) and prepositional complement (PC). Nominal clauses usually refer to abstractions like ideas or events.

That he was a spy surprised us all. (S)

He knew *what he should tell the president.* (DO)

He will give *whoever needs* that donation. (IO)

Peter, *the boy sitting next to me in the class*, failed the examination. (App)

The reality is *that no one wants to work for him anymore.* (SC)

I found this paper *to be very inspiring.* (OC)

I tried to pay attention to *what the speaker was saying.* (PC)

Adverbial clauses (also known as adverb clauses) function like adverbs or prepositional phrase. They express meaning, such as time, place, manner, purpose, result etc.

Submit the assignment *when you have finished it.* (time)

He created enemies *wherever he went.* (place)

We did it *just as we had been told.* (manner)

He bought a car *so that he could take his girl friend around the city.* (purpose)

She ate *so* much food *that she burst.* (result)

Since he was a regular customers, we should give him a discount. (reason)

If I go to Shatin, I shall visit my grandma. (open condition)

If I had gone to Shatin, I would have visited my grandma. (hypothetical condition 1)

If I had wings, I would have flown to England to see my mum. (hypothetical condition 2)

Although he hated us, we saved him. (concession)

He screamed *as though he had seen a ghost.* (comparison)

Rather than watch sports on the television, he read a book. (preference)

The more I studied, *the more* I learned. (proportion)

Activity 4.8

Adverbial clauses can be classified on the basis of the meaning relationships they bear in a sentence: *time, place, purpose and result, reason and circumstance, condition, concession and contrast, manner and comparison, proportion, preference.* Study the italicized adverbial clauses in each of the following sentences.

Example: Buy the ticket *as soon as you reach the station*
Answer: time

1.   The students finished the project *as the teacher instructed*.
2.   He would certainly have won the mayoral election comfortably *had he run*.
3.   The food is better than average, *although prices are somewhat higher.*
4.   The study of rhetoric is complex *as new conventions of performance for particular purposes are being generated all the time.*
5.   *Sooner than marry to that man*, she made a living as a servant.
6.   They stared at me *as if I was crazy*.
7.   *With two minutes left in the game*, Michael Owen beat three defenders to place a perfect ball in the Arsenal net.
8.   She is happy *as long as she can offer help to people.*
9.   He began to make more friends *as he took more initiatives to chat with people.*

10. *While in Rome*, do as the Romans do.

Like adjectives, relative clauses (also known as adjective clauses) modify noun phrases.

The map *that I bought yesterday* should be good enough.

Peter, *who is my sister's best friend,* will be the best man.

Comparative clauses modify adverbs or adjectives.

I like watching movie <u>more</u> *than I like watching TV*.

He ran <u>as</u> fast <u>as</u> *the rest of us could be*.

Nominal clauses

Nominal clauses can be: *that*-clauses, *wh-* interrogative clauses, *yes-no* or alternative interrogative clauses, and non-finite clauses.

That-clauses

That-clauses can function as subject (S), direct object (DO), subject complement (SC), appositive (App) and adjectival complement (AdjC) in a sentence but not prepositional complement (PrepC) or object complement (OC):

That she was given a conditional offer is known to the whole village. (S)

Her mum told the others *that she was given a conditional offer.* (DO)

The good news is *that she was given a conditional offer.* (SC)

The rumor, that *she was given a conditional offer*, is unfounded. (App)

We were sure *that she was given a conditional offer.* (Adj C)

*The interview board did not consult the President on *that candidate they should select.* (PrepC)

*They made him *that he had always wanted to be.* (OC)

When the *that*-clause is the subject complement, delayed subject or the object of a sentence, the conjunction *that* can be omitted in informal use.

> The fact is *(that) she was given a conditional offer.* (SC)
>
> It is true *(that) she was given a conditional offer.* (delayed subject)

Nominal Relative Clauses

Nominal relative clauses are signaled by one of the *wh*-words: *who, what, which, where, when, why, how.* They have the same range of functions as *that*-clauses, and in addition, they can function also as prepositional complement or object complement.

> *What she was given* is a conditional offer. (S)
>
> Her mum told the others *what she was given.* (DO)
>
> A conditional offer is *what she was given.* (SC)
>
> The secret, *what she was given*, is revealed. (App)
>
> We were not sure *what she was given.* (Adj C)
>
> The interview board can choose *whichever candidate they find appropriate.* (OC)
>
> The board can *vote for whoever they want.* (PrepC)

Wh-interrogative Clauses

Like nominal relative clauses, wh- interrogative clauses are also signaled by one of the *wh*-words, and they have the same range of functions. However, wh- interrogative clauses resemble wh-questions in terms of both structure and meaning.

> *What was given to her* is a mystery. (S)
>
> Her mum told the others *what made her do it.* (DO)
>
> A well-paid job is *what made her give up her study.* (SC)
>
> Her secret, *why giving up her job*, was finally revealed. (App)
>
> We were not sure *whose house we were in.* (Adj C)
>
> The interview board can choose *whichever candidate they find appropriate.* (OC)
>
> The board has not decided on *who should be blame.* (PrepC)

Yes-no and Alternative Interrogative Clauses

A *yes-no* interrogative clause is signaled by *if* or *whether*.

> Do you know *if (whether) Henry is in the building*?

An alternative clause is signaled by *whether ... or* or *if ... or*.

> I don't know *if (whether) he has flu or just a cold*.

Non-finite Nominal Clauses

Non-finite nominal clauses are nominal clauses that include a non-finite verb form. There are three types of non-finite nominal clauses: to-infinitive, nominal –ing, and bare infinitive clauses.

To-infinitive nominal clauses are exemplified below:

> *To become a great scientist* is not an easy task. (S)
>
> He wants *his son to become a great scientist*. (DO)
>
> His plan is *to become a great scientist*. (SC)
>
> His plan, *to become a great scientist*, finally came true. (App)
>
> His parents are pleased *to see him become a great scientist*. (AdjC)

Nominal -ing clauses (Participle Clauses) are exemplified below:

> *Driving in the mist* can be dangerous. (S)
>
> He likes *swimming at night*. (DO)
>
> My worry is *forgetting toclose the door when I leave the apartment*. (SC)
>
> His duty, *watching out for the enemy*, kept him alert all the time. (App)
>
> I am pleased at *being appointed as the class representative*. (PC)
>
> He was slow *learning how to swim*. (adjectival complement)

When an infinitive clause is represented by the pro-verb *do* in a sentence, the word *to* can be either omitted or retained when the clause is not at the beginning of the sentence.

> What I did was *(to) give him a hand.*
> All I did was *(to) offer him an opportunity.*

Study the italicized dependent clauses in each of the following sentences, and then write down the function of each. A list of the functions is provided as follows:

Subject, delayed subject, appositive, direct object, indirect object, subject complement, object complement, adverbial, postmodifier in noun phrase, prepositional complement, adjectival complement.

Example: My brother was ready *to help* when I told him about my trouble.
Answer: adjectival complement

1) They are aware of *what will happen* if the market crashes.
2) Please give *whoever applied* an application form.
3) *That she needs a holiday* is obvious.
4) I believe *that a hot, humid summer has benefited the movie business.*
5) I listen to *what the candidates had to say.*
6) He gave his children what they wanted.
7) Roger was afraid *to tell his parents.*
8) The problem *that we do not get enough time* has not yet been considered.
9) You can tell *whoever is interested* that I am cancelling my subscription.
10) She made him *what he is.*
11) It is not surprising *that myth should be a prominent element in the rhetoric of persuasion.*

12) The ancient discipline or rhetoric was intended to prepare the beginner for tasks *that involved speaking in public.*

13) In myths and parables *what we are asked to take literally* is accompanied by one or more possible levels of interpretation.

14) It does not matter to me *who pays the bills.*

15) The Chancellor of the Exchequer faces intense pressure *to halt inflation.*

Relative Clauses

Like an adjective, a relative clause modifies a noun or a pronoun, which is called its *antecedent.* Relative clauses can be defining, non-defining, or sentential.

He has a <u>house</u> *that is big enough to hold a very big party.*
I met the <u>man</u> *who robbed the bank yesterday.*

The defining relative clauses (or restrictive relative clauses) not only give specific information about their antecedents, but also define what their antecedents are. If the clauses are omitted, the meanings of the antecedents may loss or no longer be identified. A defining relative clause is introduced by *that*, *who* or *which*.

The sport *that I like most* is jogging in the country.
The candidate *who won the first prize this year* is my best friend.

In general, *that* can be used for both animate and inanimate antecedent; *who* for animate; and *which* for inanimate. The use of the relative pronoun is optional when it is not the subject of the relative clause.

The sport (*that) I like most* is jogging in the country.
*The candidate (*who) won the first prize this year* is my best friend.

The nondefining relative clauses (or non-restrictive relative clauses) can be omitted

without change or loss of meaning because they only provide additional information of the antecedents. Thus, there is always a comma before a nondefining relative clause, and also at the end of it if it comes in the middle of the sentence.

> Sun Yat-sen, who was a doctor by profession, spent several years in Japan.
>
> I have a brother, who teaches Physics at a college.

Sentential relative clause does not have a noun or pronoun as its antecedent; it refers back to a whole clause or sentence, and sometimes to a whole series of events. A sentential relative clause always comes at the end of the sentence or clause to which it relates. In terms of meaning, it is a comment on what has preceded it, but structurally it is relative because it is generally introduced by *which*.

> After that things changed remarkably, *which surprised everyone.*
>
> He likes me but not my friends, *which saddens me.*

Activity 4.10

Underline and name the noun clause, adverb clause, or relative clause in the sentences below. For noun clause, state the function of it. For adverb clause, state its subtype. For relative clause, state whether it is restrictive or non-restrictive. (10 marks)

Example: I think it's unlikely <u>the weather will improve any time soon</u>.

Noun clause: extraposed noun clause subject

Let's meet <u>before we go to the airport</u>.

Adverb clause: time

I have a brother, <u>who teaches Mathematics</u>.

Relative clause: non-restrictive

(1) Police opened fire on a car which failed to stop at a checkpoint last night.

(2) I would like to know what happened to Mary yesterday.

(3) The final episode of that TV series was what I liked least.

(4) Jonathan's hard work made him what he is today.

(5) He dislikes his neighbor who is the suspect of sexually abused a young girl.

(6) We were worried that she would commit suicide.

(7) The rumor that he would marry the princess proved to be wrong.

(8) Who is the least popular politician in the coming Chief Executive election is not difficult to guess.

(9) Police were unable to collect enough evidence to prove that he was responsible for the forgeries.

(10) The student who needs constant attention in the class is undergoing counseling.

Activity 4.11

Identify all the clauses (Main (MC), Subordinate/Adverb (AC), Noun (NC), Relative (RC)) in the following sentences and state the type of sentence (Simple, Compound, Complex, Compound–Complex). You should underline the main clause and put a bracket round each of the other clauses as in the example and write the clause type above:

Note. If one clause is inside another it will require brackets within brackets, and hyphens on the labels to show that it is one split clause and not two separate clauses.

MC-   [NC-   (RC)   -NC]   -MC   = Complex

Example: The fact [that the car (you bought) is defective] makes me angry.

1) The claim that the Great Wall of China can be seen from the moon is not in fact true.

2) It's hard for very well-known sites to be selected because there's skepticism as to whether they really need help.

3) The upcoming 2008 Olympics have made cultural preservation a particularly hot

issue in Beijing and China desperately wants to put on its best face for the occasion.

4) Some sources state that the Great Wall was built 2000 years ago but, although sections of the wall existed then, the pieces weren't organized into a unified system until the Ming Dynasty.

5) Nearly two decades ago Deng Xiaoping launched a national campaign that was aimed at rebuilding the Great Wall but by that point two-thirds of the vast national symbol had been reduced to rubble by centuries of war, weather, and farmers mining its bricks.

Conclusion

In this chapter, we first discussed the structure of simple sentences; we then examined the classification of mood types, namely declarative, interrogative, and imperative. After distinguishing the notions of clause and sentence, we examined compound and complex sentences. Clauses within a compound sentence have equal status and they may be related to each other in one of the four ways: agreement, contrast, alternation, and consequence. In contrast, clauses within a complex sentence have different status: independent clause and dependent clause, i.e. one that is dependent on the other. There are several types of dependent clause: nominal clause, relative clause and adverb clause. In the next chapter, we will focus on semantics and pragmatics.

Semantics and Pragmatics

5

Introduction

This chapter introduces some fundamental concepts about semantics and pragmatics. Semantics is defined as the study of meaning. Lexical semantics examines the meaning of individual lexical items and of phrases. In addition to lexical semantics, linguists also look at how meanings relate to context. This study of meaning in context is called pragmatics. We will learn more about pragmatics in the later half of this chapter.

Semantics

In this part of the chapter, we will focus on semantics. In studying semantics, we will first define and discuss some of the basic notions in semantics. These include a discussion of the linguistic sign and also a discussion of componential analysis. We will then examine some of the key semantic relationships between words. This will be followed by a discussion of processes of language change. The section on semantics will then end with a discussion of semantic relationship across sentences.

The linguistic sign

The linguistic sign is a basic unit of communication. It allows us to create and interpret meaning by using symbols or signs. In this section of the chapter, we will learn about two major approaches to the linguistic sign: the first developed by Ferdinand de Saussure and the second by Charles Pierce.

Saussure's work on the linguistic sign is extremely relevant to the study of meaning (semantics) in language. In order to understand Saussure's work, we need to start with setting up some key concepts in semantics. Two core concepts that we need to understand are 'signifier' and 'signified'. 'Signifiers' are sounds, signs and symbols that are used to identify the 'signified', which can be understood as an object, a concept, or a referent. The concepts of signifier and the signified were used by Saussure to study the nature of the linguistic sign. For Saussure, the linguistic sign is the association of the signifier to the signified. The linguistic sign is the whole: the signifier and the signified. One cannot exist without the other. They both interact with each other to create meaning. This is represented in Figure 5.1 below. The two arrows on the side of the diagram signify this interrelatedness and the interaction between the two. The dotted line that separates the signifier and the signified is meant to suggest that we can separate the two for analytical purposes; however, in reality these cannot be separated. The two (signifier and the signified) together form the linguistic sign. The two arrows in the figure below reflect the interrelated nature of the signifier and the signified.

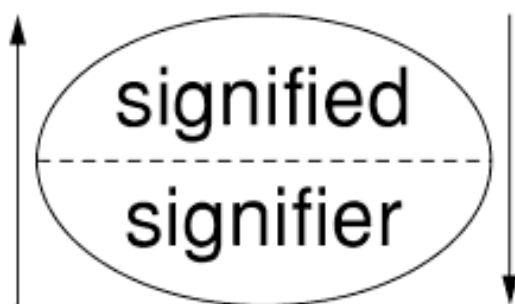Figure 5.1: Saussure's model of sign. Source: Chandler (2007: 14)

According to Saussure, the linguistic sign is immaterial, meaning that the linguistic sign does not carry any intrinsic value. The value is in fact ascribed to the linguistic sign by the community that uses the sign. In any language, words do not carry any value by themselves. The language users assign value and meaning to them.

As stated earlier, the linguistic sign is a basic unit of communication, which allows us to create and interpret meaning by using symbols or signs. The process of creating and interpreting symbols and signs is called signification. In doing this, the signified (concept) and the signifier (sound/letters) together signify. Let illustrate with a classic example of the process of signification: the word 'tree' signifies the object tree in the real world. This is shown in Figure 5.2.
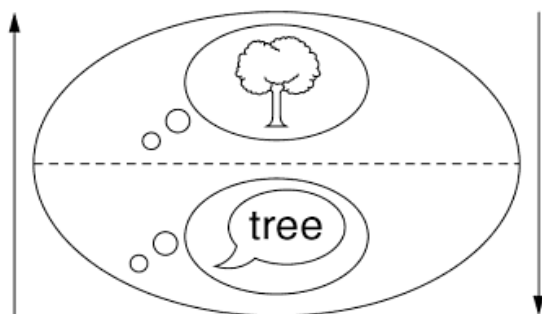
Figure 5.2: Saussure's concept of the signifier and the signified. Source: Chandler (2007: 15)

In the above figure, the signifier 'tree' represents the object in the physical world and that together they constitute the linguistic sign. The relationship between a signifier and the signified is an arbitrary one, meaning that the relationship between signifiers (sound/letters) and the signified is not necessarily fixed. There is no real or natural relationship between the word 'tree' and the object that it refers to. The relationship is an arbitrary one. This arbitrary relationship is relative, i.e., some systems of language (e.g., vocabulary) are more arbitrary than others (e.g., syntax).

The notion of arbitrariness is extremely important in our understanding of how language shapes reality. It is because of the arbitrary nature of the linguistic sign that languages can change and that languages differ from each other. If the relationship between the signifier and the signified were fixed, there would be no language variation. But we all know that this is not the case. We will further elaborate this point when we look at the distinction between signification and value.

Saussure, in outlining his theory of the linguistic sign, pointed out that there is a difference between signification (what we signify) and the value given to it. According to Saussure (1983: 112):

> The notion of value... shows us that it is a great mistake to consider a sign as nothing more than the combination of a certain sound and a certain concept. To think of a sign as nothing more would be to isolate it from the system to which it belongs. It would be to suppose that a start could be made with individual signs, and a system constructed by putting them together. On the contrary, the system as a united whole is the starting point, from which it becomes possible, by a process of analysis, to identify its constituent elements.

He further exemplifies this by comparing the meanings of the word 'mouton' in French and 'sheep' in English:

> The French word mouton may have the same meaning as the English word sheep; but it does not have the same value. There are various reasons for this, but in particular, the fact that the English word for the meat of this animal, as prepared and served for a meal, is not sheep but mutton. The difference in value between sheep and mouton hinges on the fact that in English there is also another word mutton for the meat, whereas mouton in French covers both (Saussure 1983: 114).

This example of the differences in the value of the linguistic sign has led linguists to identify ways in which we can differentiate between the meanings of words. One approach used to do this is called componential analysis. We will look at componential analysis in more detail later. However, before we do that, let us briefly examine one other influential model of semiotics.

In addition to Saussure's work, Charles Peirce has been very influential in our understanding of semantics. Peirce, an American logician, identified three essential elements of a sign: representamen, interpretant, and object. The representamen refers to the form that a sign takes (comparable to the signifier in Saussure's theory). The representamen is also sometimes referred to as the 'symbol' or the 'sign vehicle'. The interpretant refers to the sense (not an interpreter). And the object is the referent. One noticeable difference between Peirce and Saussure is that while for Saussure the signified could be either a physical entity or an abstract thought, Peirce sees the interpretant as a sign in itself. The representamen, according to Peirce, "creates in the mind of that person an equivalent sign, or perhaps a more developed sign. The sign which it creates I call the interpretant of the first sign" (Peirce, 1931: 58, 2.228 as cited in Chandler 2007: 31). It is this interpretant that connects to the object. This notion of an 'interpretant' allows us to engage with the 'subject' that creates a 'sign' of the object in their mind. In addition, the suggestion that a signified is in it self a sign allows us to see how meanings are made through reference to other words. In fact, Peirce argues, "the meaning of a representation can be nothing but a representation" (Peirce 1931: 58, .339 as cited in Chandler 2007: 31). Peirce's model permits us to go beyond the study of the sign itself and to examine the process of 'semiosis', i.e., the process of interpreting signs. A detailed discussion of this is beyond the scope of this chapter (for an accessible discussion of Peirce, see Chandler 2007). Peirce's triad is illustrated below in Figure 5.3.
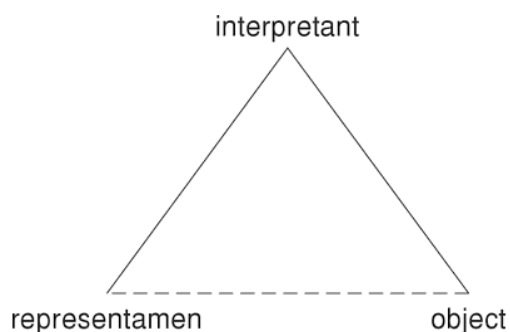
Figure 5.3: Peirce's semiotic triangle. Source: Chandler (2007: 30)

Peirce's semiotic triangle was adapted by other linguists and presented with some terminological variation. For example, Figure 5.4 is from Ogden & Richards (1923).
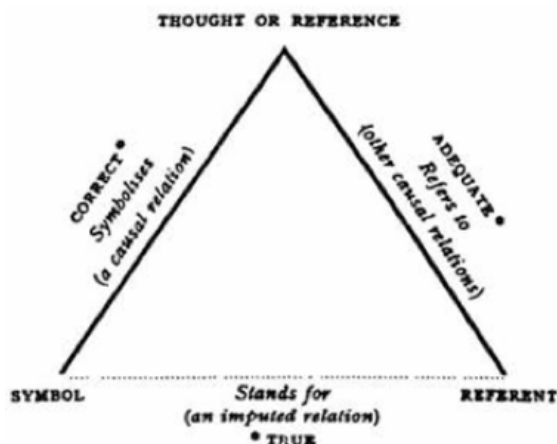
Figure 5.4: Ogden and Richard's semiotic triangle.

You will note that in Ogden and Richard's representation of the semiotic triangle, the term 'symbol' is used instead of 'representamen', 'thought or reference' instead of 'interpretant', and 'referent' instead of 'object'. The model, apart from the use of these more common terms, is identical to Peirce (Chandler, 2007).

Componential analysis

Componential analysis is an approach that attempts to describe lexical items based on their semantic features. The purpose of conducting a componential analysis, also known as feature analysis or contrastive analysis, is to define the meaning of a lexical item in terms of its semantic components. Using componential analysis allows us to identify the semantic features that make lexical items different from each other. For example, let's look at Table 5.1:

	HUMAN	ADULT	MALE

woman	+	+	-
man	+	+	+
girl	+	-	-
boy	+	-	+
cow	-	+	-

Table 5.1: A componential analysis of 'woman', 'man', 'girl', and 'boy'.

Table 5.1 presents a componential analysis of 'woman', 'man', 'girl', 'boy', and 'cow'. As can be observed in Table 5.1, the componential analysis is done by identifying a set of features that can be used to define and differentiate the various items being investigated. The features used in Table 5.1 are HUMAN, ADULT, and MALE. Each of these characteristics is either present (+) or absent (-) in the words being analyzed. Based on a binary distinction of these features, we are able to define and differentiate between the words being analyzed. For example, Table 5.1 tells us that a 'man' is a human, an adult, and a male, as opposed to a 'woman' who is a human, an adult, but not a male. Similarly, a 'woman' and a 'girl' share all the features except 'adult' and so do a 'man' and a 'boy'. A 'woman' and a 'cow', on the other hand, share all features except 'human'. Componential analysis also allows us to categorize lexical items: words that share a feature can be grouped as such. For example, all four words, 'woman', 'man', 'girl', and 'boy' are +Human; and 'woman' and 'girl' are +Female. Componential analysis also allows us to differentiate the various features of a lexical item such as 'bachelor' as shown in the following diagram.
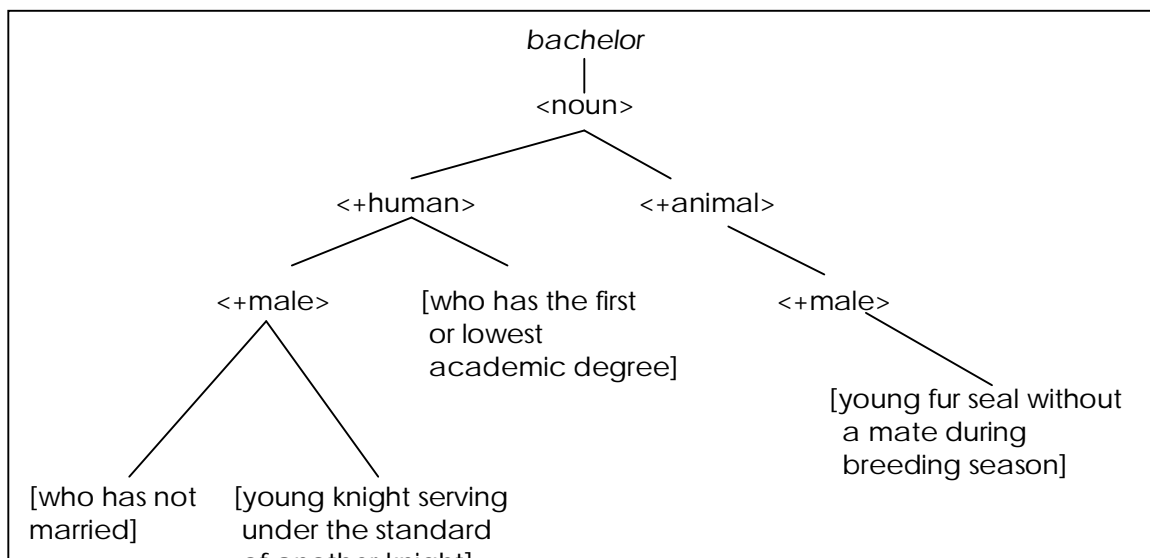
(adopted from Katz and Fodor 1963: 186)

While componential analysis can be quite useful, it does have a few limitations. Here we will look at three major limitations. One issue with conducting a componential analysis is in determining which features or characteristics are relevant in a particular set of words. At times there appear to be no features that can do the task. For example, it is difficult to differentiate between 'victory' and 'success', 'displease' and 'annoy', 'wicked' and 'cruel' using componential analysis. There appear to be no unique semantic characteristics that can be used to distinguish between these pairs of words. Another problem with componential analysis is that it can sometimes be difficult to judge whether a particular feature is present or absent. For example, shampoo and soap can be +PERFUMED or –PERFUMED depending on the brand etc. Finally, the features that are used in a componential analysis may themselves be difficult to define or may lack a clear definition. For example, in Table 5.1, we used ADULT as a characteristic feature. While adult can be defined in terms of a legal age, this age is not the same for all countries. Also, if we choose to use +/- MATURE as a feature instead of ADULT, we would have to worry about the fact that individuals mature at a different time and that maturity itself can be seen as physical, intellectual or emotional. However, regardless of these limitations, componential analysis does help us in getting a basic understand of a word based on its semantic characteristics.

Componential analysis can also help us in differentiating between core and peripheral meanings of a word. Core meanings of a word are meaning that are associated more frequently with a word. Core meanings tend to be related to the semantic characteristics of a word that are most salient. Peripheral meanings, on the other hand, are meanings

that are not associated as commonly or frequently with a word. The difference between a core and a peripheral meaning can be quite useful for lexicographers, who examine the various meanings of a word and then use this information to make dictionaries etc.

Activity 5.1

Conduct a componential analysis of the following words. Illustrate how each of the words is distinct.

Example: Man

Formula: Man: +HUMAN, +ADULT, +MALE

Explanation: The referent of the word *man* has the semantic features of being human [+HUMAN], being an adult [+ADULT], and being a male [+MALE].

(a) Higher Diploma (HD)

(b) Bachelor of Arts (BA)

(c) Doctor of Philosophy (PhD)

Activity 5.2

Conduct a componential analysis of the following words. Illustrate how each of the words is distinct.

Example: Man

Formula: Man: +HUMAN, +ADULT, +MALE

Explanation: The referent of the word *man* has the semantic features of being human [+HUMAN], being an adult [+ADULT], and being a male [+MALE].

(a) football

(b) snooker

(c) reading

Lexical relationships

In the previous section, we learnt how to carry out a componential analysis. Componential analysis allows one to identify the core meanings of a word and can be used to categorize them. In this section, we will look at a few ways in which words relate to each other, this can be based on semantics (synonymy, antonymy, hyponymy) or can be based on their phonology/graphology (homophony, homonymy, polysemy). Below, we will look at each one of these relationships in more detail.

Synonymy

Synonymy refers to the sameness or similarity of meaning. Words that exist in this relationship are called synonyms. In other words, synonyms are different lexical items which have similar meanings such as 'finish' and 'complete', 'make' and 'create', 'ask' and 'inquire' etc. Both 'finish' and 'complete' in performing a task suggest that the task is fulfilled. Similarly, both 'make' and 'create' suggest that something is produced through the action of 'making' or 'creating'. Both pairs of words can in fact be used interchangeably in certain circumstances:

Susana has yet finished her assignment.

Susana has yet completed her assignment.

Susana is making a new design.

Susana is creating a new design.

However, a pair of synonyms need not be synonymous in all their meanings or uses. For example, while the words 'finish' and 'complete', and 'make' and 'create' are synonymous in the examples above, they cannot be used interchangeably in other contexts:

Susana finished her meal.
Susana completed her meal.

Susana is making a Christmas cake.
* Susana is creating a Christmas cake.

By contrasting the two sets of sentences, we note that only certain 'senses' of the words 'finish' and 'complete', and 'make' and 'create' are synonymous, others are not.

Synonymy allows language users to differentiate in nuances of meanings between different lexical items and select appropriate words for particular uses or contexts. The variations in the meanings of synonyms can be used to signal a number of social and contextual variations, e.g., politeness, technicality, familiarity, and formality, etc. For example, two doctors may choose to use technical terminology to discuss the case of a patient but use everyday terms to explain the case to the patient. As a matter of fact, the difference in the 'technicality' of the terms can be used for a range of purposes. For example, by using technical terms, a person can identify themselves as professional and knowledgeable in a particular field of expertise. This also serves the purpose of building communities of practice and to identify who is or is not a member of a particular community.

The words 'mommy' and 'mother', and 'daddy' and 'father', on the other hand, vary in terms of their formality. While it is possible to say 'My mommy/daddy is taking a shower and is not available now' and 'My mother/father is taking a shower and is not available now', the first sentence suggests that we are familiar with the people with whom we are

speaking with, while the second one marks some distance. While we can use 'mommy' and 'daddy' in an informal context, we will use 'mother' and 'father' in a formal context.

In addition to the functions of synonyms described above, synonyms can also mark a variation in intensity of meanings, e.g., 'happy' and 'ecstatic' (where 'ecstatic' is more than just being happy). Synonyms also carry implicit connoation such as 'thin' vs. 'slim' (where 'slim' carries a positive connotation), and 'squander' vs. 'spend' (where 'squander' is seen as a waste of money).

Antonymy

Antonyms are words that are opposite in meaning to each other. Let illustrate with 'tall' and 'short'. The two words are in an inherently incompatible relationship where if someone is 'tall', he or she cannot be 'short'; and if someone is 'short', he or she cannot be 'open'. Other examples of antonym include 'on' and 'off', 'human' and 'animal', 'open' and 'close', 'deep' and 'shallow', 'hot' and 'cold' etc.

Antonyms can be gradable antonyms, non-gradable anonyms, or directional opposites. Gradable antonyms refer to words that can be compared by degree. That means, gradable antonyms lie at opposite ends of a scale or a continuum. For example, the words 'hot' and 'cold' are gradable opposites because they can be placed on a scale with a range of other words that describe 'coldness' as part of the continuum.

Hot   Cold
⟵--⟶

scorching   hot   warm   cool   cold   freezing

Other examples of gradable antonyms include 'hot' and 'cold', 'tall' and 'short', 'good' and 'bad' etc. Gradable antonyms have comparative and superlative forms, e.g., rich, richer, and richest. In addition, the negative of one gradable antonym does not imply the

other. For example, if we say 'It is not hot today', it doesn't imply that 'It is cold today', because it is possible that today is warm, but not scorching or freezing.

Not all antonyms can be placed on a scale and have comparative or superlative forms. For examples, if a light is 'on', it cannot be 'off'. Similarly, if someone is not a 'male', then she must be a 'female'. A light cannot be in a stage between 'on' and 'off'; or someone a 'male' and 'female'. 'On' and 'off', or 'male' and female' are antonyms that are non-gradable. Non-gradable antonyms are also called complementary pairs. 'Dead' and 'alive' is also a complementary pair. The two words are the opposite of each other and there is no gradable scale or continuum between them. We cannot say that something is 'aliver' or 'alivest'. Similarly, we cannot say that something is 'more dead' or 'most dead'. A thing is either alive or dead. It cannot be in between the two. When people say something like 'Susana is the most alive person I know', the phrase 'most alive' is in fact used metaphorically to imply that Susana is very active (and not that she is 'more alive' than any one else in a literal sense). Unlike gradable antonyms, the negative of non-gradable antonym implies the other in the pair: for example, if a thing is not 'on', it is 'off'.

There is a third type of antonym called directional opposites, which is further divided into two sub-types: reversives and converses (also known as relational opposites). Reversives are directional opposites that signal a reversal of relationship between words such as 'zip' and 'unzip', 'expand' and 'contract', 'freeze' and 'defreeze', etc. 'Zip' and 'unzip' are a pair of reversive antonyms because unzipping is the reverse of zipping. Similarly, the process of expanding is the reverse of contracting, and freezing the reverse of defreezing. Converse antonyms, on the other hand, refer to words that describe the same relationship from two different perspectives. For example, if I bought a book from you, you have sold it to me. In this situation, 'buy' and 'sell' signal a converse relationship. Converse antonyms are also known as relational opposites. Other common examples of relational opposites are 'give' and 'take', 'borrow' and 'lend', 'parent' and 'child', 'wife' and 'husband' etc.

Activity 5.3

Give at least <u>one</u> opposite to each of the underlined items in the following passage and state the type of opposites.

The <u>new</u> Venetian Macao Resort Hotel is the biggest building in Asia, they tell you. Yet, you are still <u>unprepared</u> for just how <u>BIG</u>. At 7pm on a Thursday, there was <u>no</u> queue and I was checked <u>in</u> <u>within</u> four minutes. It took 15 minutes to find the lifts.

(Adapted from "Big is Beautiful", The Standard, 5 October 2007)

Hyponymy

Hyponymy refers to a particular kind of relationship between a more general word and a more specific word such as 'building' and 'church', 'profession' and 'teacher', 'drink' and 'coffee', 'fruit' and apple', etc. The more general word such as 'fruit' (technically known as superordinate) includes a number of more specific words (technically known as hyponym) like 'apples', 'oranges', 'bananas', etc. The various fruits, e.g., 'apples', 'oranges', 'bananas', etc. are considered co-hyponyms. Similarly, 'hammer', 'screwdriver', 'pliers' are hyponyms for the superordinate word 'tools'; 'rose', 'lily', 'jasmine' are hyponyms for the superordinate word 'flowers'.

Activity 5.4

List <u>four</u> sets of co-hyponyms from the paragraph below and for each set (i) name the superordinate, and (ii) state the relationships between the superordinates and co-hyponyms in terms of hyponymy.

Like a sprawling sidewalk market, the streets are full of food. There is a Squid Street and a Shrimp Street and a Tuna Fish Street. There is Avocado Street, Onion Street, Corn Street, Rice Street and Bean Street. However surprisingly, Mexico City has no Chicken Street, Bull Boulevard or Sheep Avenue, but

Homophony

Homophony occurs when two or more words (known as homophones) sound the same. However, it is noted that homophones do not have to be written with the same spelling. Examples of homophones include 'beer' and 'bear', 'die' and 'dye', 'flower' and 'flour', 'hi' and 'high', 'new' and 'knew', 'tail' and 'tale', etc. Each pair of words have the same phonological realization, but are spelled differently.

Homonymy

Homonymy occurs when two or more words (known as homonyms) share the same spelling, but have unrelated meanings. For example, the word 'spring' can have at least four distinct meanings:

1. the season between winter and summer
2. a natural source of water, where water comes from under the ground
3. a metal or plastic piece shaped like a coil and that can expand if pulled, but takes its original shape when the tension is removed
4. to jump quickly or suddenly

Other examples of homonyms include 'air', 'mould', 'steer', etc. It needs to note that some words like as 'row'. It can mean number of people or things arranged in a line. It can also mean loud noice or uproar. However, 'row' with the first meaning and 'row' with the second meaning have different pronunciations and represent two different words. Therefore, they are not homonyms.

Polysemy

Polysemy occurs when one word having more than one meanings that are related by extension. Polysemous words are similar to homonyms, but with one important difference – the meanings of polysemous words are somehow related to each other (unlike homonyms, where the meanings of the word are different). In other words, polysemous words tend to share some core semantic features, whereas homonyms are semantically distinct from each other. For example, 'mouth' of a river and 'mouth' of a person' is polysemous. Another example of a polysemous word is 'crane', which can refer to a type of bird and to a machine used to move heavy objects because the bird crane and the machine crane look similar to each other. Other examples of polysemous words include fork (instrument for eating; in a road), head (of a person; of a team/department etc.).

Activity 5.5

Which of the words italicized in the following sentences are best described as cases of polysemy or homonymy? Explain how you made your decision.

    a) i) He has been appointed to the chair of sociology at Southampton University.

         ii) She is the chair of the Defense Advisory Committee on Women in the Military.

    b) i) I took Michelle for a row on the lake.

         ii) A man had been stabbed to death in a family row.

Activity 5.6

What are the lexical relationships between the following pairs of words? A list of lexical relations is provided in the following:

Hyponym, Co-hyponym, Homophone, Homonym, Polysemy, Metonomy, Synonym and Antonym. You need to specify the subtypes of Antonym (Gradable, non-gradable, reversive, converse (relational opposite)).

1) liberty – freedom

2) male – female

3) enter – exit

4) pine – tree

5) race (contest of speed) – race (ethnic group)

6) foot (of a person) – foot (of a mountain)

7) king – crown

8) suite – sweet

9) fair – unfair

10) appear – disappear

Processes of semantic change

In the previous section, we look at ways in which words relate to each other on the base of their semantics (synonymy, antonymy, hyponymy) and on the base of their phonology/graphology (homophony, homonymy, polysemy). We can also use semantics to understand how people use words to refer to things or ideas that are not the core meaning of those words. In this section, we will start by developing our understanding of metaphors. We will then examine how people use words or phrases to either make something that is not very positive look better (euphemism), and how they can use language to make something look bad (dysphemism). We will then end the section with a brief discussion of metonymy.

Metaphors

In semantics, literal language vs. figurative language is an important dichotomy, and metapghor is certainly an important aspect of figurative language. A metaphor, to put it in the simplest way, is a word or a phrase that is used to refer to another thing, which is originally not part of its core meaning. As such, metaphors are a type of figure of speech, and are therefore non-literal. They typically use characteristics from a tangible 'source' to

refer to an abstract 'target', i.e., a less tangible idea or notion (Lakoff and Johnson, 1980). Let us illustrate the point with the following example:

> Don't worry. Things have started looking up!

In this example, the speaker supports his/her optimistic view with the observation that things have already started 'looking up'. Things are not animate that can be 'looking up'. The use of the phrase 'looking up' is thus figurative. It does not refer to an actual physical 'look up', but rather is symbolic or metaphorical.

Metaphor is an important meaning-creation source in English as it helps the language users develop an understanding of concepts that are more abstract by using references that are more concrete and familiar to them.

In English, fire is a concept that generates a number of fire-related metaphors such as 'spark off', 'play with fire', 'spread like wild fire', 'burnt out', 'light up' etc. So we can say things like 'Your article *sparked off* a number of research avenues', 'His act is simply *playing with fire*', 'The rumor is *spreading like wild fire*' etc. Apart from 'fire', 'food' is another concept that generates a lot of metaphors because food-related terms are common and widely understood in our lives. As a result of this, we can say 'to devour a book', 'the raw facts', 'try to digest (an idea)', 'to stew over (something)', 'to let (something) simmer for a while', 'to put on the back-burner', 'to regurgitate (ideas/thoughts)', 'to cook up explanations', 'half-baked ideas' etc. Other examples of concepts that are widely used for developing metaphors include: body parts (mouth, foot, hand, etc.), building/construction (foundation, stand, framework, scaffolding, etc.), directions (moving up, feeling down, aside, looking forward, looking backward, etc.), and travel (journey, lose one's way, move through, etc.) etc.

Traditionally, the study of metaphor focused on lexical metaphors as the above-mentioned examples. However, linguists have also identified the existence of grammatical metaphors in which one grammatical category is used to construe a meaning that is

typically captured by a different grammatical category. For example, we can use a noun to construe the meaning of verb as shown in the following example:

> He studies the movement of the current in the Indian Ocean.
>
> The voltage of the secondary circuit is induced by the changing of magnetic field.

In the example above, the phrase 'the movement of the current' can be unpacked to mean 'the pattern of how the current moves'. The verb 'moves' is construed as the noun 'movement'. Similarly, the phrase 'the changing of magnetic field' can be unpacked to mean 'the magnetic field changes and this induces…' The verb 'changes' is construed as the noun 'changing'. 'Movement' and 'changing', in the example above, thus function as a grammatical metaphor. Grammatical metaphors are an important aspect of technical and academic writing because they allow us to make meanings in incongruent ways resulting in more formal language. The appropriate use of grammatical metaphors allows writers to realize technicality and abstraction, create logical reasoning within clause, use authoritative language while giving opinions, and provide incongruent ways of text structuring. For a more detailed discussion of grammatical metaphors, see Schleppegrell (2004).

Euphemism and dysphemism

Euphemism refers to words or phrases that are used in place of other expressions that are considered offensive or unpleasant in the particular contexts or cultures. Like metaphors, euphemisms carry a non-literal meaning. However, unlike metaphors, euphemisms serve a very specific purpose: to hide unpleasant or disturbing ideas. Subjects that are euphemized are generally cultural-specific. In western culture, they include excretion, sex, war, death, religion, disability, etc. As words referring to excretion are considered taboo in English, people use a number of euphemisms to say things that refer to excrement. For example, 'going to the toilet' can become 'pay a call', 'urinate' can become 'take a leak', and the 'toilet' itself can be referred to as 'the powder room', 'the washroom', 'the restroom' etc.

We should note that euphemisms may change meaning over time. Let us illustrate with the following example of disability:

lame → crippled → handicapped → disabled → physically challenged → differently abled

This example shows how, over time, words that refer to disability have changed. Today, calling someone a cripple or even handicapped is evaluated negatively. Instead, people prefer 'differentially abled', which is seen as a neutral term. Over time, these terms will most likely change again. This serial shift of euphemisms over time is called the 'euphemism treadmill' (Pinker, 2003).

In contrast, dysphemisms are harsh or impolite words or phrases that are used in place of neutral or polite ones. Some examples of dysphemisms that refer to death include 'having your ass handed to you', 'kick the bucket', 'left for the rats', 'toasted', and 'bent over the barrel'.

It should be noted that dysphemism and euphemisms are not only culturally-specific, they are sometimes an issue of perspective. That meant, even within the same culture, what for some people might appear to be a polite way of referring to a socially tabooed topic, might be offensive to the others.

Metonymy and Synecdoche

Metonymy refers to a referential strategy by which a person refers to an entity by naming to something closely associated with that thing. For example, in the sentence below, 'the White House' refers to the US President:

The White House sent their congratulations to the newly elected Prime Minister.

Similarly, 'the stage' in the following example refers to the 'theatrical profession:

He is expected to retire from the stage by the end of this year.

In both the examples above, the metonyms – 'the White House' and 'the stage' – are closely associated with the entities or concepts that are being referred to – the US President and the theatrical profession respectively. We can call this a symbol-representtive relationship. However, this relationship between the two entities is not a direct one (e.g., there is nothing intrinsic that ties 'the U.S. President' to 'the hill', nor 'the theatrical profession' to 'the stage'). The relationship may sometimes be a container-contents one such as 'John has finished the whole *glass*' ('glass' = wine, etc.). This relationship is alsonot a direct one.

A synecdoche, on the other hand, is similar to, but different from a metonym because synecdoche refers to a part-whole relationship between the two entities. For example, if we refer to 'a car' as 'wheels', we are using a part of the car to refer to the whole object. In contrast, we can use the whole to refer to a part as in 'Spain has initiated a number of monetary reforms since the European debt problem'. Spain refers not to the full country, but to the government of Spain.

Semantic relationships across sentences

Just as words can be related to each other semantically, so can sentences. In this section, we will look at how sentences are related to each other. There are at least four types of relationships between sentences: paraphrasing, contradiction, entailment, and presupposition.

Paraphrase

While words that carry similar meanings are called synonyms, sentences carry similar meaning are called paraphrase. In other words, when we have two or more sentences that have similar meaning, then we consider them as paraphrases of each other. Logically, a sentence is paraphrased by sentence Y if X has the same meaning as Y. We

use paraphrasing to say or write what someone else has said or written, but using different words. Let's illustrate with the following set of sentences:

Jane to Jack: Davis is taller than Thomas.

Jack to Judy: Thomas is shorter than Davis.

Judy to Mary: Jack says that Thomas is not as tall as Davis.

In the examples above, Jack paraphrased Jane's statement and Judy paraphrased what Jack had told her. All three sentences carry similar meanings and are paraphrases of each other. If Mary, after listening to Judy, tells someone that 'Thomas is short', then Mary is misinterpreting Judy's statement. It is not a paraphrase because even Thomas is not as tall as Davis, it is not necessary that Thomas must be short.

Contradiction

Two or more sentences in a language can contradict each other. Logically, a sentence X is contrary to sentence Y if X has the opposite meaning of Y. This can be done through syntactic choices or through the choice of lexicon. To understand this better, let us look at the following sentences.

Jane: The garage is empty.

Jack: The garage is not empty.

Judy: The garage is occupied.

Jane's statement above is contradictory to Jack's and Judy's. Jack contradicts Jane's statement by using negation (not). On the other hand, Judy contradicts Jane's statement by using a different lexical item 'occupied'.

Entailment

Entailment refers to a situation in which the truth of one sentence implies a number of related truths. The entailment of an utterance is what follows logically from the information communicated in the utterance. The entailment is the logical outcome or the conclusion of what has been stated. To put it in another way, a sentence X may entail sentence Y if

when X is true, then Y is also true. For example, if I say, 'Peter was late for school', then the utterance entails that: 1) someone was late for school, and 2) Peter was late for something.

An interesting observation about entailment is that it is unidirectional, i.e., while one text can entail a number of others, the reverse relationship may not hold. Let's use the above example as an illustration, the statement 'Peter was late for something' does NOT entail that 'Peter was late for school'. He could have been late for something else. Similarly, the statement 'someone was late for school' does NOT entail that 'Peter was late for school'. It could be someone else was later for school.

Presupposition

Presupposition refers to a situation in which the truth of one sentence implies the truth of the other. Logically, a sentence X presupposes sentence Y if X assumes that Y is true. For example, if I say, 'I apologize for my mistake', then the utterance presupposes that I have made a mistake. Similarly, if I say, 'Peter drove his car to school', then the utterance presupposes that Peter had a car.

Like entailment, presupposition is also unidirectional. In the examples above, 'I have made a mistake' does not presuppose that I have to apologize for it. Ssimilarly, 'Peter had a car' does not presuppose that he drove the car to school.

Pragmatics

Pragmatics is the study of meaning in context. By meaning in context, we mean that pragmatics focuses on how meanings are created and understood in context. The meanings of texts evolve and are understood in relation to factors such as shared physical, linguistic, social, or conceptual experiences. These factors also allow us to read between the lines – i.e., to interpret the text and understand meanings that are not necessarily explicitly coded in the text. For example, it is our understanding of pragmatics

that allows us to realize that a friend at a dinner party at our house might be asking for some water when they say something like, 'wow, nice food, but a bit spicy'. In this example, the utterance itself does not have a request, but by saying that the food is spicy, the guest might be signaling that some water might be good to help with the spicy food.

To introduce you to the study of pragmatics, we will focus on speech act theory, the cooperative principle, and politeness in this chapter. Other aspects of pragmatics, such as reference and coherence, will be discussed in Part 2 of the book, when we focus on discourse semantics and Systemic Functional Linguistics.

Speech Acts

Language is not only something that describes things, but it is also used to perform actions. The speech act theory, developed by John Searle Austin (1962), is one approach to understanding how language functions as 'performative'. To understand this theory, we need to explain a set of technical term that will allow us to differentiate between different types of speech acts.

Locution, illocution, and perlocution

The speech act theory categorizes utterances as carrying out three types of acts: locutionary act, illocutionary act, and perlocutionary act. Locutionary act is the basic act of making an utterance without any ambiguous meaning or reference. An illocutionary act refers to the [Ahmar, would the insertion of the word 'intended' here help students to understand the notion better?] act performed by virtue of the communicative force associated with that utterance. And, finally, the perlocutionanry act is the actual effect that an utterance has on the listener(s). To understand these concepts better, let us consider the following example. Imagine that a person inside a room says 'The door is open' to another person who is outside the room. The locutionary act, 'The door is open', is literally a statement or an observation describing the fact that the door is open.

However, this utterance may have a range of possible illocutionary acts. For example, it could mean

a) request: please come in

b) request: please close the door

c) confirmation check: make sure that the door stays open

The exact meaning of the utterance will be interpreted by the hearer based on the context (such as the relationship between the participants, the setting, etc.). Thus, in order to fully appreciate the illocutionary force of an utterance, we need to have some knowledge of the setting, the participants, and the context of the speech event. Dell Hymes (1974) developed the acronym SPEAKING to help identify some of the essential contextual factors that we need to understand in order to interpret an utterance. The acronym SPEAKING refers to:

Setting and Scene (S): refer to the time and place of a speech event as well as the psychological, social, and cultural setting of a speech event

Participants (P): refer to the people engaged in the speech event

Ends (E): refer to the goal, purpose, or intended outcome of a speech event

Act Sequence (A): refer to the form and order of a speech event

Key (K): refer to the "tone, manner, or spirit" (Hymes, 1974, p. 57) of a speech event

Instrumentalities (I): refer to style and form of a speech event (e.g., formal, casual, etc.)

Norms of interpretation (N): refer to the social and cultural norms that govern a speech event

Genre (G): refer to the kind of speech event (e.g., narrative, recount, exemplum, etc.)

An understanding of illocutionary act may at times result in an action or a response. This act, which is a response to the utterance, is called the perlocutionary act. So, in the case of the utterance 'The door is open', if the hearer responds by closing the door, this closing of the door is the perlocutionary effect of the utterance. The effect or the perlocutionary

force of an utterance can vary based on a number of factors, e.g., the hearers' ability or desire to act.

Types of illocutionary acts

Research on pragmatics has shown that speech acts typically perform a range of functions. Searle (1979) has grouped these functions into five categories: declaratives, representatives (also called assertives), expressives, directives, and commissives. These speech acts may be committed by using what are known as 'illocutionary force indicating devices' (IFIDs for short) (however, it needs to be noted that using IFIDs in not essential and that speech acts can also be carried out indirectly). IFIDs may include verbs that express the speech act being carried out as well as other linguistic markers such as intonation, stress, punctuation, word order, and the mood of the verb. Verbs that indicate the illocutionary force of an utterance are called performative verbs (because, by uttering them, the speaker performs an act).

Speech acts can be carried out directly – when the form and function of an utterance are congruent (e.g., a statement is made using a declarative sentence) or they may be indirect – when the form and function of an utterance are incongruent (e.g., a question is asked by using a declarative sentence instead of an interrogative sentence). Here, we will focus on the types of illocutionary acts following Searle's (1979) categorization above and will exemplify these through performative verbs.

Declaritives are speech acts that by uttering bring about a change in the existing situation. For example, if a judge sentences a person to 'I find the accused guilty and sentence them to three years imprisonment' then by the making that utterance the judge effectively changes the status of the accused to being a convict and 'sentences' them to prison. Some performative verbs that indicate that an utterance is declarative include *name, baptize, pronounce*, etc.

Representatives, also known as assertives, are speech acts that describe states and events. For example, if one says, 'I believe that there are two spiders in that shoe', the speaker represents a state of being that they believe to be true. Some performative verbs that indicate that an utterance is representative include *affirm, conclude, posit*, etc.

Expressives are speech acts that express a speaker's feelings, attitudes, and emotional reactions about something. For example, by saying 'I congratulate you on the fantastic performance', the speaker is 'congratulating' the person. Some performative verbs that indicate that an utterance is expressive include *thank, apologize, empathize*, etc.

Directives are speech acts that direct hearers to do something that the speaker wants. For example, in the utterance 'I request you to be come back tomorrow', the speaker 'requests' the hearer by using the performative verb 'request'. Some performative verbs that indicate that an utterance is a directive include *ask, command, order*, etc.

Commissives are speech acts that commit the speaker to performing something in the future, including promises, threats, and refusals. For example, by saying 'I promise to give you 25 dollars tomorrow', the speaker is committing himself or herself to the act of giving the hearer $25 in the near future. Commissives may be delivered either by an individual or by a speaker on the behalf of a group. Some performative verbs that indicate that an utterance is a commissive include *pledge, vow, guarantee*, etc.

Activity 5.7

Read the following dialogue and identify the speech act categories of the numbered and underlined sentences.

'(1) <u>It's a crime to conceal evidence</u>,' Tragg commented, his voice was crisp as a cold lettuce leaf.

'I realize that,' Perry Mason said.

'And that,' Tragg said, 'is why you're calling me up now. You wanted to clean your own shirts.'

'I thought you should know.'

'Well, (2) why don't you call the Las Vegas police?'

'Perhaps I should,' Mason said, 'but since they are in an entirely different jurisdiction I felt that (3) I would first discharge my responsibility by notifying you.'

'All right,' Tragg said, 'you've notified me. (4) Thanks a lot. (5) I'll keep it in mind. Thanks for calling, Mason. Goodbye.'

> Adapted from E S Gardner 1985, *The Case of the Daring Divorce*)

Activity 5.8

Read the following dialogue taken from Agatha Christie's *Murder on the Orient Express* (1934) and identify the **speech act categories** of the numbered and underlined sentences. Use Searle's classification, namely assertive, directive, commissive, expressive, and declaration. You must also give brief justification(s) for your classification.

'(1) There are few people travelling this time of year,' he said, glancing up at the windows of the sleeping-car above them.

'(2) That is so,' agreed M. Poirot.

'(3) Let us hope you will not be snowed up in the Taurus!'

'(4) That happens?"

'It has occurred, yes. Not this year, as yet.'

'Let us hope, then,' said M. Poirot. 'The weather reports from Europe, they are bad.'

'(5) Very bad! In the Balkans there is much snow.'

'In Germany too, I have heard.'

Felicity conditions

Felicity conditions refer to a set of conditions that need to be fulfilled for a speech act to succeed. If these conditions are not met, then the speech act will be inappropriate or infelicitous. You can think of felicity conditions as the equivalent of the truth-value of a statement – if we say something that we know is not true, then we are telling a lie. Similarly, if the felicity conditions of a speech act are not fulfilled, then the speech act is infelicitous. To understand this better, let us consider the utterance 'I find the accused guilty and sentence them to three years imprisonment' discussed earlier. For this utterance to be felicitous, it has to be made by a judge, in a court of law, at the end of a trial once all the other procedures have been completed. If any of these conditions are not met, for example, if instead of a judge, your sibling says this at home, the speech act would not be felicitous. Similarly, if I have no intention of giving you $25 and I say, 'I promise to give you 25 dollars tomorrow' then the felicity conditions of a promise (commissive) will not be met. This is because for a promise to be felicitous, the speaker must mean what they are saying and have the ability and intention of doing what they promise.

As you can note from the two examples above, each speech act has its own set of felicity conditions. Felicity conditions for some speech acts are given below. All these conditions have to be satisfied for the speech act to be felicitous and for it to have the effect that is intended or desired.

Felicity conditions for apology: the speaker must be the one responsible for the act that is being apologized for; the speaker must be sincere about their apology; the speaker does not intend to do the offending act again

Felicity conditions for warning: the speaker believes that an event will occur in the future which will be detrimental to the hearer; the speaker believes that the hearer does not know about the event

The cooperative principle

One of the central questions in language studies is about how, given the variation in meanings and interpretations, people are able to communicate with each other. Furthermore, linguists wonder how it is possible for a hearer to determine what a speaker really means. In responding to this question, Grice (1975) developed the notions of 'implicature' and 'cooperative principle'.

Grice posited that for communication to work, we must have some shared understanding, a minimal common interest, and a willingness to cooperate. By having this shared interest and a desire to communicate, a hearer can interpret the 'implicature' behind an utterance. Implicature refers to invisible meanings generated intentionally by the speaker, or, in other words, implicature refers to what is suggested in an utterance, even though it is not explicitly expressed. For example, if a manager says to his assistant 'Do you think we should call Sarah? She is never absent without notice' then the manager is suggesting that they are worried about Sarah and there might be something wrong since she is not usually late. This interpretation of what the manager might mean shows that an utterance can mean more than what its literal meaning suggests. To be able to interpret this suggested meaning we have to understand the implicature generated by the speaker.

Grice further notes that for communication to be successful, we have to make a number of assumptions. For example, let's look at the following interaction:

Jane: Darling, which dress do you think I should wear tonight, black, or red?
Bill: I think the red one is lovely.

This short exchange involves a number of assumptions. For example, we have to believe that Jane has two dresses, a red one and a black one. If this were not true, Jane's question would not be valid. We make assumptions like this one in most interactions that we experience.

Grice's cooperative principle is an attempt to illustrate what people do in order to succeed in communication. Grice (1975:45) states: "Make your contribution such as it is

required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged." This cooperative principle is best understood in terms of four 'maxims of conversation':

1. Maxim of quantity: Do not make your contribution more or less informative than required
2. Maxim of quality: Do not make your contribution false, or for which you do not have evidence
3. Maxim of relation: Be relevant
4. Maxim of manner: Do not make your contribution ambiguous; be brief and orderly

Before we exemplify these maxims, we need to note that Grice's maxims are not meant as prescriptions of how we ought to communicate; rather, the purpose of identifying these maxims is to help us understand what presumptions speakers and hearers share about the communicative event and the norms of creating and interpreting them. They also help us in understanding how hearers are able to figure out that a speaker's intended meaning is different from their locutionary act.

To see how these maxims work, let's look at the following interaction:

Jane: What time is it?
John (looking at the watch): 6.45

While very short, the conversation follows all the maxims. John gives just the right amount of information, is truthful, relevant, and clear.

While it would be ideal if people followed these maxims at all times, we know from engaging in conversations that these maxims are not always followed in real life and that people 'flout' or 'violate' them for various reasons – both intentionally and accidentally. 'Flouting' refers to breaking the maxims in a context where the speaker expects that the

hearer will be able to understand the 'hidden' message or the implicature of the utterance. For example, if someone responds by saying 'It's raining' to the question 'Should we go out for a game of tennis?', then by assuming that the speaker is trying to be cooperative, we can interpret the speaker is 'flouting' the maxim of relevance. By realizing that the speaker is flouting the maxim of relevance, we can further interpret the implicature of their statement that 'It's raining, so it's not a good day to play tennis'. 'Violating', on the other hand, refers to breaking the maxim in a context where the hearer is NOT expected to know that one or more of the maxims are being broken.

In some cases, speakers may mark their utterances by hedging to signal that they are aware that they may be breaking or flouting one of the maxims. For example, some common hedges used to signal breaking the maxim of quantity are:

- I don't want to bore you but,…
- Let me give you a bit of background…
- While there's a lot more to it, but let me just say…

In the examples above, the hedges show that the speaker is breaking the maxim of quantity.

Hedging can also help signal if the speaker is not sure about the truth value of their utterance, for example:

- Perhaps, …
- I think that…
- It's possible…
- I can't be sure, but…
- …, I suppose.

In the examples above, the speakers preface (or end) their utterance with a phrase that marks the tentative nature of their utterance. These hedges thus function as disclaimers and serve to distance the speaker from what is being said.

Speakers can also use hedges to signal that they are flouting the maxim of relevance. For example, in the utterance '*I will be working double shift on Thursday. This is a long weekend, by the way*', the two sentences are unrelated. The speaker marks this by adding a hedge 'by the way' to signal that they are aware that they are flouting the maxim of relevance.

Hedges can also signal that a speaker is flouting the maxim or manner. For example,

Jane: John says that he will be going on a diet.
Mary: Now, this might sound paradoxical, but I recently read that dieting doesn't help people lose weight and can actually be harmful to healthy.

In the example above, Mary uses the hedge 'this might sound paradoxical' to signal that she is aware that she is flouting the maxim of manner.

In this section, we focused on how speakers and hearers are able to use a set of conventions and maxims to successfully communicate what they mean literally and what they might be implying in their utterance. As we conclude this section and focus on the notion of 'politeness' in language, we would like to note that Grice's cooperative principle and the conversational maxims are culture and language specific. So, while the principle helps us to understand conversational implicature in English, it may or may not work for other languages.

Activity 5.9

Explain the following exchange in terms of Grice's Cooperative Principle (CP) and the four maxims.

	A:	What is your annual income?
	B:	Eh?
	A:	Your salary.
(1)	B:	Oh, that. It depends.

Politeness

Foley (1997; 270) defines politeness as "a battery of social skills whose goal is to ensure everyone feels affirmed in a social interaction". There are a number of important dimensions such as age, social status, social distance, power, etc. that we need to consider when looking at politeness (or appropriate linguistic choice). People make linguistic choices in accordance with their assessment of the social context and social relationship. Politeness, thus, is about using language appropriately in various contexts of our social interaction and involves:

- How people use 'polite' expressions in certain context to express deference or to distance themselves from other social groups.
- How people use 'impolite' or 'abrupt' expressions in certain context to maintain/enhance solidarity or to distance themselves from other social groups.

Politeness in linguistics is also defined as an attempt to mitigate or minimize the impact of face threatening acts (FTA). To understand this better, we need to understand the notion of face, which is the focus of the following sub-section.

Face

The notion of face was first developed by Goffman (1955). Face refers to the self-image that one likes to project. In developing Goffman's work, Brown and Levinson (1987) broke up the notion of face into two aspects: positive face and negative face. Positive face is defined as "the want of every member that his [*sic.*] wants be desirable to at least some others" (Brown and Levinson, 1987, p. 61). Negative face, on the other hand, is "the want

of every 'competent adult member' that his [*sic.*] actions be unimpeded by others" (Brown and Levinson, 1987, p. 61).

In many communicative contexts, a person's 'face' may be threatened by a verbal or non-verbal act – such acts are called Face Threatening Acts (FTAs). In order to protect their face, people do 'face-work' so that 'loss of face' can be avoided and face is maintained (Goffman1955). Like face, FTAs can also be positive or negative. Positive FTAs are ones in which a person's positive face is threatened. This may happen when one does not care about their interlocutor's feelings or wants, etc. For example: hearer oriented positive FTAs include: insults, accusations, disagreements, challenges, interrupting, swearing, topics that are considered sensitive in the society; and speaker oriented positive FTAs include: apology, confession, inability to control one's physical or emotional self. Negative FTAs are ones in which a person's negative face is threatened. This may happen when an individual does not avoid (or intend to avoid) the obstruction of their interlocutor's freedom of action. For example: hearer oriented negative FTAs include: orders, requests, expressions of envy or admiration, strong negative emotions (e.g., hatred, lust), offers, promises; and speaker oriented negative FTAs include: thanking, or accepting a thank/apology/offer. To see why these communicative acts are FTAs, let's look at a few of these examples in more detail:

Apology: threatens speaker's positive face (speaker has done something wrong or inappropriate)

Disagreement: hearer's positive face threatened (as speaker thinks there is something wrong with the opinion hearer's holds)

Mentioning taboo: threaten hearer's positive face (speaker does not care about hearer's values)

Offer: threatens speaker's negative face (speaker pursuing hearer's aims)

Request: hearer's negative face threatened (as it is an attempt to get the hearer to do what the speaker wants him/her to do)

Tripping or stumbling: threatens speaker's positive face (reveals incompetence in carrying out a basic action like walking)

Speakers may also use strategies to mitigate the effects of a potential FTA. For example, strategies addressing the positive face needs (positive politeness strategies) include:

1. Attend to hearer's interests, needs, wants

    You look sad. Can I do anything?

2. Use solitary in-group identity markers

    Hey, mate, can you lend me a dollar?

3. Be optimistic

    I'll just come along, if you don't mind.

4. Include both speaker and hearer in activity

    If we help each other, I guess, we'll both sink or swim in this course.

5. Offer or promise

    If you wash the dishes, I'll vacuum the floor.

6. Exaggerate interest in hearer and his interests

    That's nice haircut you got; where did you get it?

7. Avoid disagreement

    Yes, it's rather long; not short certainly.

8. Joke

    (Brown and Levinson 1987: 101-29 in Foley 1997: 271-272)

Similarly, some strategies addressing the positive face needs (Negative politeness strategy) include:

1. Be indirect

    Would you know where Oxford Street is?

2. Use hedges or questions

    Perhaps, he might have taken it, maybe.

3. Be pessimistic

    You couldn't find your way to lending me a thousand dollars, could you?

4. Minimize the imposition

It's not too much out of your way, just a couple of blocks.

5. Use obviating structures, like nominalizations, passives or statements of general rules

I hope offence will not be taken.

Spitting will not be tolerated.

6. Apologize

I'm sorry; it's a lot to ask, but can you lend me a thousand dollars?

7 Use plural pronouns

We regret to inform you…

(Brown and Levinson, 87: 129-211 in Foley 1997: 272)

The following examples show different degrees of politeness. Explain the differences between these examples in terms of such notions as power, social distance, and imposition.

Activity 5.10

(2) Shut up!

(3) Please can you be quiet?

(4) Excuse me, but could you possibly stop chatting?

Conclusion

This chapter focused on semantics and pragmatics. In the first part of the chapter, we started out with a discussion of the nature of the linguistic sign and learnt about how Saussure and Pierce explained the linguistic sign. We then looked at ways in which we can identify core meanings of words and identify differences between words by using componential analysis. The chapter than focused on ways in which words relate to each other. In doing so, we examined the notions of synonymy, antonymy, hyponymy, homophony, homonymy, and polysemy. This was followed by a discussion of ways in

which the meanings of words can change. Here we looked at the notions of metaphors, euphemism, dysphemism, and metonymy. Then we shifted our attention from lexical items and focused on sentences. We examined how sentences may relate to each other and learnt about paraphrasing, contradictions, and entailment.

Then, in the second part of this chapter, we looked at meaning in context, i.e. pragmatics. In this section, we focused our attention on speech act theory and developed our understanding of locutionary, illocutionary and perlocutionary acts. We then looked at IFIDs and five types of illocutionary acts before turning our attention to how speech acts need to follow a set of felicity conditions if they are to be felicitous. This section was followed by a discussion of Gricean cooperative principle. The section on pragmatics then concluded with a discussion of politeness and positive and negative face.

In this chapter, we focused on the study of formal semantics and pragmatics. In Part 2 of the book, we will shift our focus to Systemic Functional Linguistics (SFL). SFL, as a semiotic theory of language, draws on and contributes to study of semantics and pragmatics. However, unlike the focus of formal semantics, which is mostly limited to lexical or clausal level, SFL examines how meanings are constructed through a text.

Language Variation

6

Introduction

All languages change. Language change occurs over time and across geographical regions. In this chapter, we will review some of the key issues related to language change and variation.

Language change can be studied in two ways: we can either look at language variation across time, or look at variation in language across communities at a particular time. These two ways of studying language variation goes back to Saussure. Saussure referred to studies of language at any one point in time as synchronic studies. Studies of language that look at language across time are called diachronic studies. For example, if we were to look at how English is spoken in Hong Kong today, we would be carrying out a synchronic study. If, however, we were comparing how English is used today to how it was used in 1925, then we would be carrying out a diachronic study.

In this chapter, we will consider both diachronic and synchronic language variations. The chapter will begin with a discussion of historical linguistics. In this section, we will consider diachronic language change, i.e. how language changes over time. The second and the third sections of the chapter focus on synchronic language change. In the second section, the focus will be on the study of dialects, i.e. language variation across regions. Then, finally, in the third section, we will consider how social variables of age, social class, gender, and ethnicity relate to language variation.

Historical Linguistics

Historical linguistics is the branch of linguistics that studies how language changes over time, i.e. it is primarily concerned with diachronic study of language. As stated in the introduction to this chapter, diachronic studies look at language across time, as opposed to synchronic studies that focus on language at any given point in time. All languages, including English, change over time. In this section, we will look at how English has changed over time. Language change will also be the focus of Chapter 12, where we will examine how English changed in the process of becoming a global language.

Historical linguistics is one of the oldest sub-fields in modern linguistics. Historical linguists are interested in the origins of languages and how various languages are related to each other. In investigating these relationships, historical linguists engage in comparative study of languages as well as in the etymology of words. In comparative historical linguistics, linguists compare data from various languages to find evidence of relationship between them. Based on such analysis, they place languages that are related to each other into language families. Number words are a good variable to study in historical linguistics because numbering systems remain relatively stable over a long period of time, unlike names of things that may change relatively quickly. For example, linguists have noted that there are a number of cognates (similar words) in English, Russian, and Urdu. These languages are not geographically close to each other, yet they have a number of words, including some of the number words, that are very similar – such as two (English), dva (Russian), and do (Urdu), and three (English), tri (Russian) and teen (Urdu). The patterns of similarity between English, Russian, and Urdu suggest that these three languages belong to the same language family, the Indo-European language family. In addition to categorizing languages into family trees, historical linguists also search for patterns of language change that can explain how the various languages within a language family are related and how they became different.

In studying etymology, on the other hand, linguists focus on the history of words. Etymologists research how a word enters a language and how it changes meanings and use after it has been introduced. In Chapter 3, we looked at various word formation processes (e.g., borrowing, coinage, combining, etc.). Etymologists also look at these processes of word formation and describe ways in which the meanings of words evolve and change over time within and across languages. For example, etymologists suggest that the word 'smooch' (kiss) is derived from the word 'smouch' and is onomatopoeic, i.e., the word represents the sound of a kiss. They also note that the word was first recorded in the late 1500s and is related to the German word 'schmutzen'. Students who are interested in etymology will note that a number of dictionaries include this information (e.g., the Oxford English Dictionary). There are also specialized etymological dictionaries and reference books (e.g., the John Ayto's Dictionary of Word Origins: Histories of More Than 8,000 English-Language Words). Today, there are a number of online etymology dictionaries (e.g., http://www.etymonline.com/) as well.

Language change over time

As stated above, all languages change. Languages don't only change in their vocabulary, but all strata of language change over time. Figure 11.1 provides an example of this. It gives four renderings of the Lord's Prayer in English from four periods of time. As you look through these four versions, you will find that you are not really able to read or understand the first version of this prayer. However, as you go through the versions, you will be able to pick up a bit more with each rendering of the prayer. If you examine the four versions of the Lord's Prayer carefully, you will note that the spellings, the letters, the vocabulary, the morphology, and the syntax – pretty much everything has changed. For example (as stated in the note in Figure 11.1), the 'þ' in the old and middle English versions of the prayer represent the symbols 'th'. Thus, the words 'þat' and 'þi' in the middle English version stands for the words 'that' and 'thy' in early modern English orthography.

Language change
Here is the opening extract from the Lord's Prayer from different periods of English:

1. *Old English* (c. 400 AD to c. 1100): Fæder ure, þu þe art on heofonum, si þin nama gehalgod. To become þin rice. (West Saxon text, end of tenth century, in W. B. Lockwood 1972: 132)
2. *Middle English* (c. 1100 to c. 1500): Fader oure þat is i heuen, blessid hi þi name to neuen. Come to us þi kingdome. (In C. Jones 1972)
3. *Early Modern English* (c. 1500 to c. 1800): Our father which art in heaven, hallowed be thy name. Thy kingdom come. (King James Bible)
4. *Modern English* (from c. 1800): Our father who is in heaven, may your name be sacred. Let your kingdom come. (A modern rendition)

Note: þ is an old symbol for *th*.

Figure 6.1: Language change in English (source: Mesthrie, Swann, Deumert, and Leap, 2000, 114)

Historical linguists, as discussed in the previous section, study how language changes over time. In addition to looking at structural changes, historical linguists also look at the change in meaning of words. Linguists have identified several processes that can take place through which the meanings of words can change. For example, semantic widening, semantic narrowing, semantic elevation, semantic degradation, etc. Semantic widening is the process in which the meaning of a word is extended. For example, the word 'salary' used to refer to money given to a soldier; however, today the word refers to wages given to anyone. Semantic narrowing is the inverse of semantic widening. In semantic narrowing, the meaning of a word becomes more focused. For example, the word 'meat' used to refer to any kind of food; however, today it refers to a particular type of food. Semantic elevation is the process in which words gain a positive meaning. For

example, in the past, the word 'pretty' referred to a sly or a crafty person; however, today, the word refers to a beautiful thing and thus has developed a positive meaning. Semantic degradation is the inverse of semantic elevation. In semantic degradation, the meaning of a word takes on a negative meaning. For example, the word 'silly' meant 'happy' and 'innocent' in Middle English; however, today this word means something not very clever and smart and thus has acquired a negative meaning.

Dialects and varieties

In the previous section, we learnt that all languages change over time. However, a language does not change evenly. What we mean by this is that languages change in different ways in different communities and at a different pace. Because of this, the same language spoken by one community of speakers can change in one way, while that spoken by another community of speakers can change in a different way. Over time, this creates a range of dialects and sociolects. Dialects are understood as variation in a language based on their geographical location; whereas, sociolects are understood as variations in a language based on socio-cultural factors. Dialects and sociolects are typically studied using a synchronic approach, i.e. linguists collect a cross-section of data from a number of people and/or communities and groups at the same time to study how language varies in a society at a given time.

In this section, we will focus on language dialects. The following section will examine sociolects. In addition to regional dialects of a language, a language can have international varieties as well. For example, there are American, Australian, British, and Canadian varieties of English. There are also varieties of English spoken by people as an additional language (for example, Hong Kong English, Pakistani English, Singaporean English). These varieties of English are examined in Chapter 10.

Dialects and languages

A dialect is a label that is used to refer to a variety of a language that is shared by a group of speakers and can be understood as variations in language based on a region. Dialects of a language share a number of lexical and grammatical features. They are also typically mutually intelligible, i.e., people who speak different dialects can understand each other. For example, a speaker of Italian in Rome can communicate with a speaker of Italian in Venice. Generally speaking, a dialect is different from a language because languages tend to be mutually unintelligible, i.e., people who speak different languages cannot understand each other. For example, a speaker of Chinese is unable to understand users of Urdu and vice versa. This is because Chinese and Urdu are mutually unintelligible and are different languages.

A definition of dialects and languages based on mutual intelligibility is, however, not problem free. This is because the labels dialect and language are not only applied using linguistic judgments. A range of political, historical, social and religious factors influence whether or not two linguistic codes are considered dialects of the same language or different languages. For example, Urdu and Hindi have the same origins and are mutually intelligible, but are considered different languages by their speakers. Both Hindi and Urdu have shared historical roots. However, over a period of time, Urdu became associated with the Muslim population and Hindi with the Hindu population. The Muslim population adopted a Persio-Arabic script to write their lect and the Hindu population adopted the Devangri script. This made the two dialects look different and gave the impression that Urdu and Hindi were different languages. This perception grew with the splitting of British India into two independent countries: India and Pakistan. Today, Urdu and Hindi are seen as two different languages by many of the speakers of these languages; however, the two languages continue to be intelligible and people who affiliate with Urdu can easily converse with people who affiliate with Hindi. This example shows us that mutual intelligibility is not an essential criterion for separating dialects from languages. Hindi and Urdu are mutually intelligible, but are not considered dialects of the same language today. This labeling is a result of complex historical and political processes.

The example of Urdu and Hindi is not an isolated one. Another example of the same process is that of Serbian and Croatian. These languages used to be considered dialects of Serbo-Croatian before the breakup of Yugoslavia. They have a number of grammatical and lexical similarities, but like Hindi and Urdu, they use different scripts. Croatian uses the Roman script, while the Serbians use the Cyrillic script. Again, this is due to different religious and political loyalties; in this case, one group is Catholic while the other is Orthodox. Conflict between the two groups has created a socio-political atmosphere where they emphasize the differences between the two languages and do not acknowledge their shared histories and mutual intelligibility. Because of this, Serbian and Croatian are now considered two separate languages.

While the case of Hindi, Urdu, Serbian, and Croatian presents one challenge to our understanding of the differences between dialects and languages; Chinese presents another. Many of the dialects of Chinese are mutually unintelligible; however, they are considered by the Chinese as dialects of the same language rather than different languages. For example, Hakka and Cantonese share a script, but are mutually unintelligible. However, people who speak Hakka and Cantonese do not see themselves as speaking different languages, but rather dialects of the same language. In this case, they use their shared cultural history to find commonalities.

The examples presented here show us that while the terms dialects and languages are often used in linguistics, linguists are keenly aware of the limitations of these terms and realize that there is more to the labels 'dialect' and 'language' than linguistic code and mutual intelligibility.

Standard and non-standard dialects

Some dialects of a language are favored in a society and have social status and prestige while other dialects may be socially disfavored. Dialects that are favored are considered 'standard' dialects. Standard dialects are codified in grammar books and used to describe and teach the language. Dialects that are stigmatized are considered 'non-

standard'. As with the labeling of dialects and languages, it is essential for us to realize that the process of marking dialects as standard or non-standard is a socio-political process and is not based on any core linguistic criteria. For linguists, all dialects (and languages) are equal. The choice of marking a particular dialect as the standard dialect is a political choice. In words ascribed to Uriel Weinreich, "a language is a dialect with an army and a navy." What this means is that a 'language' (a standard dialect) is the dialect of the group that has power. The dialect that is codified tends to be the language of the elite in a society. For example, Standard British English or the Received Pronunciation is based on the dialect of English spoken by the elite living in southern England around the early 20th century. The choice of this dialect as the standard dialect has to do with the social prestige that this group carried. There is nothing linguistically superior about this dialect of English as opposed to any other. All dialects are able to create the meanings that the speakers of these dialects wish to create and communicate. However, in codifying the language, it is the language of the elites that tends to be modeled and used for writing up grammar books and developing educational material. This choice of one dialect over another has a number of consequences that will be discussed in the following section.

Language and power

Power can be understood as the ability of one group to influence the behavior of another group. In the context of language, power can be realized in a number of ways. The relationship between language and power is a very complex subject and there have been a number of books published on this topic (see, for example, Cummins 2000, Mooney et. al. 2011, Fairclough, 2001). An extended discussion of this literature is beyond the scope of this chapter. In this section, therefore, we will limit our discussion to briefly considering how the notion of standard language relates to education. As discussed in the previous section, a standard language is associated with the language of the elite. This codification of the elite's language contributes to and reflects their status and power and has a number of consequences, e.g., in the context of education. Let us consider this further.

Imagine a scenario where a child learns dialect 'X' at home. When this child goes to school, they can find that the language of their home serves as the foundation of the language of schooling. If this is the case, they feel affirmed in their school environment – although this does not guarantee success in school. However, if they find that their home language is not recognized within the wider school curriculum, they have to learn another language and then learn through it. This becomes a double handicap for these children and signals to them that their home language is not valued in school contexts. This can result in an unequal distribution of opportunities for children in school. When children are put into these handicapped situations, without well-developed language and literacy support frameworks, they tend to fall behind other students whose language matches that of schooling. If this process carries on for a long time, people start pointing out that students from certain 'language' (or ethnic or social) backgrounds don't perform as well as others. In these situations, people fail to question the choice of the linguistic code adopted in schooling that produce such result. They tend to overlook how the socio-economic resources that the parents can afford (and the parents' own linguistic and educational backgrounds) correlate with how children from certain backgrounds succeed or fail.

In trying to understand the role of language in education, it will be useful to develop an understanding of the notions of 'language allocation' and 'language affiliation'. The language that we learn in our families and learn to use in our every day environments plays a critical role in shaping our sense of our selves and our surroundings. As we grow older, we learn new ways of meaning and also learn about how and where to use which forms of language. This language, that we learn at home, can be seen as our language allocation – it is the language that is allocated to us based on who we are. As time goes by, we note that different communities of practice (such as a community of scientists, historians, or people in another region) use our language differently (or use a different language). We can choose to (or be forced to) learn this language, which we can call the language of affiliation – this is the language that we learn to use based on how and

with whom we want to be identified. This distinction between our allocated languages and our languages of affiliation is quite important and can help us explain how individuals' repertoire of language(s) evolves and changes over their lifetime. However, keeping our focus on language and power here, we will use the notions of allocation and affiliation to understand how power is distributed through the society.

In the scenario presented earlier, we noted that children whose language is not represented in the school system are at a disadvantage in relation to students whose language is used as 'standard' language in schooling. This can be understood in terms of language allocation and affiliation. If the language of power and prestige is associated with a student's language allocation, then they find their identity and their language affirmed in the school system. However, if a student finds that their allocated language is considerably different from the language that they need to affiliate with, they have to struggle to learn the new code (the 'standard' dialect) and then learn through it. This results in unequal access to education and knowledge across the society and contributes to maintenance of power hierarchies – where children from empowered spectrum of the society do well in education while children from the working classes struggle to meet the challenges of schooling. Unless there is a well-planned and effective intervention, this cycle can repeat itself over and over again. Over time, as pointed out earlier, this leads to a perception that children who speak non-standard languages (i.e. children who come from less powerful and influential social classes) do not do well in school. What is not realized in this context is how language allocation relates to language affiliation. The codification and use of a particular dialect can disenfranchise people who speak non-standard dialects.

Social factors and language change

In the previous section, we learnt that dialects are defined in terms of regional variations. We also introduced the notion of sociolects, i.e., language variation based on social factors. Some of the factors that relate to language variation include age, gender, social class, and race. Sociolects can help us understand historical processes of language

change – why and how languages change. However, unlike typical studies in historical linguistics, studies of sociolects are synchronic.

Age

The notion of age relates closely to historical developments and changes in language and can be studied in at least two ways: (1) age-specific use of language, i.e., the changes in a person's language over their lifespan and (2) generation-specific use of language, i.e., the changes in language across different cohorts of people living in a speech community. While people's pronunciation, knowledge of vocabulary, command of grammatical structures, and access to genres does change over their lifespan, we will not focus on these factors here. Instead, our focus here will be on changes in language across generations. This is an important area of studies in language variation because, unlike historical linguistics, which is diachronic, studies that focus on age are synchronic. They show us how a language varies at a particular point in time. Age based synchronic language variations show us how the language is changing. Researchers working in this area have suggested that age-based patterns serve as a window on what has happened to a language in a community over the last few generations. It thus represents language change in progress.

One example of such research is Bailey et al. (1991) in which they focused on 14 features of Texas speech, including: /i/ before /l/; /e/ before /l/, and /j/ after alveolar stops. Using an apparent-time research design (which take[s] a sample of people from different age groups/generations, i.e. adopts a cross-sectional approach to data collection), they found that there was a variation in how these sounds were realized based on the age of the speakers. They noted that while the older generation maintained these sounds, the younger generation did not. For example, while more people from the older generation said /fild/ (field), /sel/ (sale), /tjuzdi/ (Tuesday), many more people from the younger generation said /fɪld/ (field), /sɛl/ (sale), /tuzdi/ (Tuesday). These findings suggest that synchronic age-based studies of language variation can help us study language change in progress.

The position that examples of language variation across generations is evidence for language change in progress has, however, been challenged. More recent research in this area suggests that the distinction between age and generation cannot always be maintained. For example, Penelope Eckert (1997) writes, "age and ageing are experienced both individually and as part of a cohort of people who share a life stage, and /or an experience of history" (156). What this implies is that traditional definitions of age are problematic and that using age to group people into different (and comparable) cohorts is therefore not the best research approach. In saying this, she problematizes the notion of age and differentiates between chronological, biological and social age. Chronological age corresponds to the traditional notion of age measured in the number of years since a person's birth; biological age considers physical maturity; and social age refers to events that a person witnesses or experiences in a community or in a family. These three types of age do not necessarily correlate with each other. For example, girls and boys mature physically at different chronological ages and there is considerable variation within each group as well (e.g., not all girls mature physically at the same chronological age).

In addition to the challenges to traditional definitions of age, replication studies of early apparent-time (cross-sectional, synchronic) studies also did not result in the kind of finding that were predicted. For example, Fowler (1986) replicated Labov's 1963 study in which Labov had noticed a variation in the use of rhotic accent in New York and had predicted that this feature was in rise. Fowler found that while there was some increase in the use of rhotic accent, it was not sweeping and that a large variation in the use of rhotic and non-rhotic varieties was still evident.

As a result of the problematizing of 'age' as well as limited support of earlier studies, linguists started reexamining the relationship of age and language variation. In some of the newer research in the area, linguists have forwarded 'age-grading' as one possible explanation for language variation in synchronic studies. According to Cheshire (2005),

"Age-grading refers to a change of behavior with age that repeats itself in each generation." By this we mean that each generation modifies its linguistic practices at different stages in life. For example, children across time use similar language, which is not observed in adult speech. An example of this would be the use of one-word utterances made by young children, or the use of particular songs or chants as children play. These utterances are common in children across generations, but not in adults. Another example of age-grading is that of teen's use of the word 'wicked' to mean 'good'. This use is dropped, as the teens grow older, but continues in other teen communities. Labov (1994) has pointed out that age-grading is not necessarily associated with language change; it reflects how individual's use of language changes over time, but not change in the language itself.

Class

As discussed in an earlier section, language varies across social classes. These differences are strongly marked when we examine the language of the upper classes and the working classes; but there are also variations between these and the middle classes. In a classic study of language variation across social classes, Trudgill (1974) studied the following four variables:

      (ing) or in

      (t) or glottal stop

      (h) or nothing

      Presence or absence of -s inflection on verbs he works/he work

In this study, Trudgill found a marked variation across the social classes. His results are presented in Table 6.1.

Socio-economic class	'-in' instead of '-ing'	Use of glottal stop	'h' dropping	'-s' inflection on verbs
Middle middle class	*31*	*41*	*6*	*100*
Lower middle class	*42*	*62*	*14*	*98*

Upper working class	87	89	40	30
Middle working class	95	92	59	13
Lower working class	100	94	61	3

Table 6.1: Distribution of four linguistic features across the social classes (based on Trudgill 1974)

Table 6.1 shows that the three non-standard features (use of 'in', use of glottal stops, and 'h' dropping) are found most extensively in the lower working class populations. In contrast to this, the Standard English feature of marking third person singular '–s' was present in the lower/middle middle classes, but became less frequent in the lower classes. The findings of Trudgill's study corroborate other findings on this topic that show variation in language use across the social classes – where standard language features are found in the higher classes, and non-standard features in the lower classes. For example, in an earlier study, Labov (1972) noted that the upper classes in New York used a rhotic variety of English, while the lower classes used non-rhotic varieties.

Variation in language across social classes relates to language change in interesting ways. To study this, Labov (1972) introduced the notion of 'prestige'. He argued that prestige could be either 'overt' or 'covert'. Overt prestige is seen as a positive or negative value assigned to a linguistic form or variant in mainstream society and is associated with status. Covert prestige, on the other hand, is seen as the value assigned to a linguistic form or variant based on its value in local community (as opposed to mainstream society), and is typically associated with solidarity. The notions of overt and covert prestige operate in different ways in the process of language change. We will exemplify this in the following section.

Sex and Gender

We should start this section by pointing out that the terms sex and gender are not considered synonyms in current social theories. Sex is understood as a physiological and a biological factor, whereas gender is understood to be a social construct. This

differentiation is an important one to recognize as we examine research on language and gender.

We can examine language variation and gender along at least two dimensions: (1) how women and men influence language change over time and (2) how the language of males and females differ. In addition to this, we can also study how sexism relates to language practices and examine the deliberate efforts being made to remove this. In this section, we will briefly consider each of these.

Deborah Cameron (2003) in her review of literature on gender and language change quotes Otto Jesperson's 1922 observation that "women do nothing more than keep to the traditional language which they have learnt from their parents and hand on to their children, while innovations are due to the initiative of men" (Jespersen, 1998: 230). This, however, is almost the inverse of our current understandings of the relationship between language change and gender. Current studies about language change and gender indicate that women actually lead language change in a range of domains.

Recent research on language, gender, and social class has shown an interesting relationship between gender and social class. Labov (1990), for example, suggests that gender is one of the factors involved in language change alongside social class. He posits that while gender is independent of social class at the beginning of a change, that interaction develops as social awareness of the change increases. Cameron (2003: 190), building on Dubois and Horvath (2000), has nicely summarized Labov's (1990) discussion and presented it in the form of the following principles:

> Principle I: For stable sociolinguistic variables (i.e., those not involved in change), men use a higher frequency of nonstandard forms than women.
>
> Principle Ia: In change from above (i.e., where speakers are conscious of the existence and social meaning of competing variants), women favor the incoming prestige form more than men.
>
> Principle II: In change from below (i.e., where speakers are not conscious that change

What is noticeable here is that the two principles suggest contrasting tendencies in the way men and women relate to linguistic change. Labov calls this the gender paradox, by which he means, "Women conform more closely than men to sociolinguistic norms that are overtly prescribed, but conform less than men when they are not" (Labov 2001: 293).

A different approach to studying language variation and gender is to examine differences between the language used by males and females. Many languages, including English, mark male and female speech in their grammatical and discursive structures (discourse practices). In English, for example, gender is marked in its pronominal system: she and he; her and his; her and him. In addition to looking at how languages mark gender grammatically, interesting observations have been made in how men and women use language differently.

Holmes (1998: 462-475) presented a set of five sociolinguistic features that she used to explain the variation in male and female language:

1. Women and men develop different patterns of language use.
2. Women tend to focus on the affective functions of an interaction more often than men do.
3. Women tend to use linguistic devices that stress solidarity more often than men do.
4. Women tend to interact in ways which will maintain and increase solidarity.
5. Women are stylistically more flexible than men.

Mesthrie et al. (2000; 230) have also summarized the findings of research in this area and have categorized the findings into five broad observations:

1. Amount of talk: male speakers have been found to talk more than females, particularly in formal or public contexts.
2. Interruptions: male speakers interrupt female speakers more than vice versa.
3. Conversational support: female speakers more frequently use features that provide support and encouragement for other speakers, for example 'minimal responses' such as mmh and yeah.
4. Tentativeness: there are claims that female speakers use features that make their speech appear tentative and uncertain, such as 'hedges' that weaken the force of an utterance ('I think maybe...', 'sort of', 'you know') and certain types of 'tag questions' (questions tagged on to statements, such as 'It's so hot, isn't it?').
5. Compliments: a wider range of compliments may be addressed to women than to men, and women also tend to pay more compliments.

While the summary above provides us with a broad understanding of linguistic variation between males and females, the use of biological sex in reporting these findings has been questioned. Research that is informed by theories of social constructivism (a theory in sociology that explores how groups and communities collaborative create shared artifacts and meanings) have pointed out that gender and sex need to be differentiated. Gender should not be confused with sex: gender is a social construct whereas sex is a biological one. In her influential work, Judith Butler's (1990: 33) reconceptualised the notion of gender. She argued that feminine and masculine identities are formed through what we do, and are not qualities that we innately possess. She states, "Gender is the repeated stylization of the body, a set of repeated acts within a rigid regulatory frame which congeal over time to produce the appearance of substance, of a 'natural' kind of being."

The variations reported above are not based on sex, but rather gender; and, the meanings that evolve out of the use of these variations are contextually determined. For example, research on gay men's language shows that they use a number of features identified with 'female' speech patterns. This is done consciously to create a feminine gender. Leap (1996: xii) argues that it is not appropriate to simply label features of a language as being either 'male' or 'female'. What is important, he argues [,] is the "connections to other forms of social practice." Simone de Beauvoir in his book The Second Sex captures the essential characteristic of gender: "One is not born, but rather becomes, a woman." Gender is a socially rather than a biologically constructed attribute. What this means is that people are not born with a gender, but rather develop it by engaging in interaction with others in their community. As such, the notions of gender are not universal and vary from community to community. What are ascribed as masculine characteristics in one community might be perceived as feminine ones in another. For example, certain ways of talking, gesturing, and voice quality as well as certain ways of dressing and hairstyles are considered more masculine or feminine based on the community that one belongs to.

One other issue that we need to consider here is that of gender-exclusive language. Gender-exclusive language refers to language that discriminates based on the gender. For example, the morpheme 'man' in words such as 'policeman', 'fireman' etc. suggests that the person being referred to is a male and thus excludes females. Similarly, the use of 'he' or 'his' as generic pronouns is gender-exclusive because it does not include women. Over the last 40 years or so, there has been considerable work done to change the language in order to make it more gender-neutral and gender-inclusive. For example, instead of using terms like 'policeman' we find people saying 'police officer'; and, instead of using 'he' as the generic pronoun people use 'they' (even for singulars). People today are quite aware of gender-exclusive language forms and are taught how to avoid sexist language (language that uses the masculine pronouns/nouns as neutral forms). Pauwel (1998) observes that this deliberate effort of influencing language change can be seen as a type of language planning (any attempt to regulate the use, spread, or description of

language). Pauwel also notes that the impact of replacing individual words has been rather limited. She argues that changing one form with another does little or nothing to influence the meanings associated with the forms and the socio-cultural practices. Cameron (2003), referring to work by Ehrich & Kling (1992) and Kitzinger and Thomas (1995: 196), highlights the importance of research that focuses on the discursive practices in a community, rather than the use of individual words and phrases. She writes that "substituted or newly coined terms may acquire meanings that were not intended by their instigators. Examples in English include the reinterpretation of Ms. so that it functions not as the intended parallel to Mr. but as a third term alongside Miss and Mrs., applied to anomalous women such as lesbians and divorcées; and the use of –person suffixes with female referents only, while –man continues to be used for male referents."

Race and Ethnicity

Language variations based on ethnicity are called ethnolects and relate to socio-cultural factors such ancestry, culture, and religion.

Labov (1972) was one of the first linguists to study this variation in detail. Labov observed that Puerto Rican speakers of English in New York showed variations that were different from both the Afro-American and the Anglo-American participants. For example, he noted that the Puerto Ricans simplified the word final –rd consonant clusters by deleting the consonant that comes after the /r/. Similarly, Labov also observed that while all the white participants in the study always maintained an intervocalic 'r', it varied amongst the black participants.

Language variations based on social class and ethnicity are especially important in terms of their social implications. For example, as discussed in an earlier section, the language of the upper classes and the dominant ethnicity are codified into educational texts. This contributes to the belief that standard language is the 'correct' language and marginalizes other speakers of the language. It also restricts access to education and

success by people who come from lower socio-economic groups or from marginalized ethnic communities.

Conclusion

This chapter focused on language variation and language change. The first part of the chapter examined how languages change over time, i.e., diachronic language change. The second and the third part of the chapter focused on synchronic language change. In the second section, we discussed how linguists define dialects and languages and considered some of the problems associated with these terms. In this section, we also looked at how language relates to power. Then, in the third part, we examined how various social factors such as age, social class, gender, and ethnicity relate to language variation and change.

Modern Englishes

7

Introduction

In the previous chapter we examined some of the ways in which linguists study language variation and change. We pointed out that language change is a natural process and that language change can be a result of a range of factors including language contact. Language contact refers to a situation where people speaking different languages come into contact. English, as a global language, has come into contact with a range of languages all over the world. In fact, today, there are more 'non-native' speakers of English than there are 'native' speakers of the language. This has resulted in the English language changing in different ways in different parts of the world. In this chapter, we will focus on how English has changed as it has become a global language and how linguists study the World Englishes that have emerged as a result of this phenomenon.

Linguists have been fascinated by the global rise of English and have been studying what happens to a language when it is adopted by people around the world as a lingua franca. They have noted that as English gained territory, it evolved in different ways. For example, it has served as a lexifier language in the creation of new pidgin and creole languages, which are quite distinct from English in other ways. English has also been "adopted" as an official language in many countries, and by many multinational groups (such as ASEAN) and corporations. When people from diverse social, cultural, ethnic, and religious backgrounds use English for their local purposes, they adapt it to create meanings that are relevant for them. This results in changes in the structural features of the language as well. These 'new' and 'emerging' varieties of English are called 'World Englishes'. In this chapter we will explore ways in which we can study World Englishes.

Traditionally, the English language used by 'native' speakers was considered the appropriate model for language description, language acquisition, and language teaching. However, over the last 20 years, as linguists document how the English language varies around the world, there has been a growing acceptance of language variation and of World Englishes. There are two related bodies of research that have contributed to this work. The first thread of research that looks at World Englishes examines the language (and its politics and uses) in different parts of the world. This work on World Englishes focuses on language divergence – i.e., how local/regional varieties of English differ from other varieties of Englishes. The second thread of research looks at English as a Lingua Franca (ELF) and focuses on language convergence – i.e., what happens when people who use different varieties of Englishes interact with each other.

Typical research on World Englishes describes the linguistic features of particular varieties of Englishes. Research on ELF, on the other hand, looks at: 1) features of language that are shared by different varieties of Englishes, 2) features of language that can impede communication between users of different varieties, and 3) strategies that people use to accommodate for language variation. World Englishes and ELF research focus on different aspects of the same global phenomenon: global spread of English. In doing so, World Englishes examines how language changes as it spreads; whereas ELF researchers look at how language variations are negotiated or accommodated in order to achieve a communicative goal. In both of these approaches to looking at English language in a global context, the focus is on the language as used by people in diverse contexts and not on an abstract notion of a 'standard' language that is based on 'native' speaker norms. There are several reasons for linguists to go beyond the 'native' model of English. Here, let's look at two of these.

Descriptions of 'native' Englishes tend to be based on English as spoken by middle class White speakers of the language. Being the politically dominant group in BANA (Britain, Australia, and North America) countries, their dialect is used to 'codify' and 'standardize'

the language. Other speakers of English are marginalized. For example, the English spoken by Afro-Americans or the Chicano speakers in the United States are not used for the purposes of codification of Standard American English. One example of the difference between Standard English and Afro-American English is in the use of double negatives. Double negatives such as '*I ain't gonna do nothing*' are considered inappropriate in Standard English; however, this linguistic feature is quite common in Afro-American English. Scholars researching World Englishes are aware of this and note that using only 'Standard English' models in diverse settings (e.g., education) can have negative implications for people who speak divergent varieties of English (as highlighted in the previous chapter). Their work is, thus, a tool to help give 'legitimacy' to the local uses of English and to empower these varieties (and the speakers of these varieties).

Another thing that linguists have noted is that there is no single 'standard' English. Native speakers of English show a lot of language variation. As a result of this, grammar books that are based on the 'native' speakers are not always accurate in their description of English. For example, while many (prescriptive or pedagogical) grammar books tell us that we should not split infinitives, i.e., we should not insert an adverb in between a word group such as '*to conclude*', there is plenty of evidence that people [even native speakers] do so. If we look at how language is actually used, we will note that this rule cannot be supported by actual language data. We often come across constructions such as: '*to quickly conclude*', '*to boldly conclude*', and '*to finally conclude*'. In all three of the examples just cited, the to-infinitives are broken up by an insertion of an adverb. Grammar books prohibit this; however, language samples collected from users of English do not support this rule. This shows that native speakers show considerable variation and that grammar books that are used to describe them do not always capture this variation. Thus, linguists go beyond the 'standard' models and look at how language is actually used by people.

This chapter is divided into three main sections. In the first section, we will share a broad outline of the development of English over the centuries. The purpose of this section is to

help us develop an understanding of how the English language evolved over time and how it gradually became a global language. The following section presents some of the main models developed to explain the development of World Englishes. This section will help us in understanding ways in which linguists describe and categorize global varieties of Englishes. Finally, the third main section describes some of the linguistic features of the World Englishes.

The Story of English

The English language developed as a contact language between speakers of a range of Germanic languages who moved to what is now England in the 5th century. Over time, this language grew and incorporated new words from other languages that it came into contact with (for example, French). The English language might have remained a local or a national language if the English did not conquer neighbouring lands and set out on a colonial mission.

The first wave of expansion of English was within the British Isles. As the English conquered Scotland, Wales and Ireland, they imposed their own language on these regions. This early expansion of English resulted in the demise of a number of vernaculars. Even today, the impact of this expansion is visible. For example, while Ireland has been actively engaged in reviving the Irish language, English still dominates in the country. Similarly, English is the main language in Wales and Scotland, with the Gaelic and Welsh having very limited used. This first wave of the expansion of English played an important role in the later development of the language as well.

The second wave of expansion of English can be linked to the larger colonial expansion of England. This wave can be seen as a set of related, but qualitatively different, dimensions. In one dimension of the colonial expansion of England, the English people moved to "new" lands, where they removed the local populations. This was the case in the British conquest of North America, and Australia. As part of this conquest, large number of

migrants from England moved to these "new" lands and established their colonies. In moving to these lands, they brought the English language with them and used it as the language of the new colonies. Over time, migrants from other parts of the world also moved to these countries and contributed to the development and changes in the English used in these countries. As a result of the influence of different languages as well as a result of other natural time-based language changes, English in these parts of the world evolved in different ways. Today, we identify these Englishes as Inner Circle Englishes, such as those spoken in Australia, Canada, English, Ireland, New Zealand, and the United States.

In a different dimension, the British captured countries which already had well established systems of government and had organized military capability that resisted colonization. In these contexts, the British captured the lands, but ruled them through the local populations. This was the case in countries such as India, Nigeria, Pakistan, etc. In these countries, English was used as an 'official' language alongside a range of local languages. In these contexts, the English language was influenced by the local languages and was 'nativized' to construe and represent local experiences. With the decline of the British Empire, the various territories controlled by the British claimed independence. After independence, these countries typically identified one or more of the local languages as national language(s), but maintained English as an official language. The English that developed in these contexts are considered to be Outer Circle Englishes.

The territorial gains of the British Empire resulted in a need for 'workers' in the new regions to help the White settlers in farming the lands etc. There were not enough migrants from the UK or Europe to fill the demand for human resources. To meet this need, people were captured in Africa and sold as slaves in the colonies (such as in the United States and the Caribbean). The slaves who were captured and moved to the colonies did not necessarily speak the same language. Thus, in order to communicate with each other and with their masters, they created new 'pidgin' languages that used English as a lexifier language. These Englishes, spoken today in the Caribbean and other parts of the world emerged as

pidgins, but then creolized into national varieties of Englishes (e.g., Jamaican English, Guyanese English, etc.).

With the ban on slave trade in early 19th century, there was a change in the politics of human migration. Instead of capturing and selling slaves, the British recruited 'indentured labour' to work in their colonies. A large number of these bonded labourers were recruited in India and then shipped to different parts of the British Empire, such as the Caribbean, Fiji, Kenya, Malaysia, Mauritius, South Africa, etc. These populations brought their own languages with them, but also spoke or learnt English. This movement of indentured migrants impacted the development of the English language in the regions where they were relocated.

The British control of their empire started weakening after the 2nd world war and the formal colonies started gaining independence from the empire. While many of these countries developed their local languages into national languages, they also maintained English as an official language. As a consequence of this policy, English maintained its global positioning and use as a lingua franca. At the same time as the English were losing their global power, the United States of America was becoming a 'super power'. With the rapid growth of the US economy and power, and with the development of its highly successful media industry (Hollywood), the Americans gave the English language a new lease. Over time, with the dominance of the United States as a major international power, the English language not only maintained its position, but also expanded its global positioning. People in countries around the world learnt English as a foreign language. These new Englishes are called the Expanding Circle Englishes.

Today, English is not only associated with the United States or England, but is also used as the language of a number of international organizations and corporations. This use of English in international organizations has further strengthened its position as the lingua franca of the world. This use of English as a global language has also resulted in the language changing and evolving in different ways over time. World Englishes studies these

variations in English as well as associated policies and practices. In order to do this, linguists have developed (and are developing) a number of models to study the phenomenon. We will examine some of these models in the following section, before focusing on the linguistics of World Englishes.

Models of World Englishes

Over the last 30 years, linguists have developed a number of models to explain the development of World Englishes. In this section we will look at four of these: Kachru's three concentric circles, McArthur's circle of Englishes, proficiency based model, and ELF (English as a lingua franca).

Kachru's Three Concentric Circles

One of the most often cited models of World Englishes is Braj Kachru's (1986) three concentric circles model. This model is based on an understanding that English evolved in England, moved with the speakers of this English to other parts of the world, and then was adopted by people in different parts of the world as an 'official' or an 'additional' language. This process is ongoing as the number of people around the world learning and using English increases. Within this model, Kachru positions England and countries where English is used as a mother tongue by a large proportion of the population, e.g., Australia, Canada, New Zealand, the United Kingdom and the United States of America, as the 'inner circle' countries. And the varieties of English used there are called 'Inner Circle Englishes'. Next, we have varieties of English that were formed as a result of colonization (as in Bangladesh, Hong Kong, India, Kenya, Pakistan, and Singapore). These varieties of English are called 'Outer Circle Englishes'. Finally, with the current political and economic power of English speaking countries and the multi-national corporations that use English as their official language, English is used in most other countries as a foreign language (e.g., Brazil, China, Japan, Spain, etc.). These varieties of English are called 'Expanding Circle Englishes'. This model is presented in Figure 7.1 below.
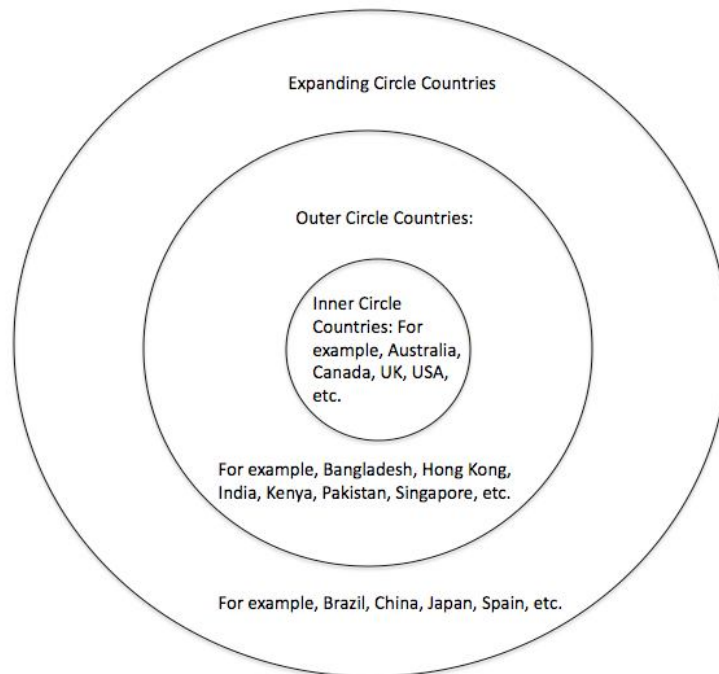
Figure 7.1: Kachru's three concentric circles

Kachru's model and his terms 'inner', 'outer', and 'expanding' circles are used extensively in works on World Englishes. However, critics have identified a few major problems with it. One of the most problematic issues with this model is that it places countries that are historically linked to English in the 'inner' circle, thereby giving them a position of privilege. Critics argue that by placing these countries in the centre, they appear to be the core countries or the countries that are seen as 'norm' setting. This was, of course, not the purpose of Kachru's work – his model was based on an understanding of the spread of English over time: from inner circle countries, to outer circle countries, to expanding circle countries. However, the centralizing of the 'inner circle' countries did lead many to see these 'native' varieties of Englishes as being the only 'correct' Englishes and others as being 'incorrect' or 'wrong'. Over time, other linguists have presented different models of World Englishes to avoid this problem. We will look at one of these next.

McArthur's Circle of Englishes

In attempting to avoid the criticism levied against the concentric circles, McArthur (1998) presented an alternative view of understanding World Englishes. McArthur's 'Circle of World Englishes' (see Figure 12.2) grouped the Englishes regionally. The circle puts the abstract notion of 'World Standard English' in the centre of the circle and then groups Englishes spoken in different regions of the world together. In doing so, McArthur's circle is an improvement on Kachru's circles because it does not give a 'core' position to any particular variety of English. Furthermore, McArthur's model includes English-based creole languages in the circle of Englishes (e.g., the ones listed for the Caribbean), which did not find a comfortable place in Kachru's model. As a result of McArthur's work, we can see that all Englishes are equal and that they serve the purposes of the people who use this language in their local setting. It also shows that no one dialect of English is better or more central than another.
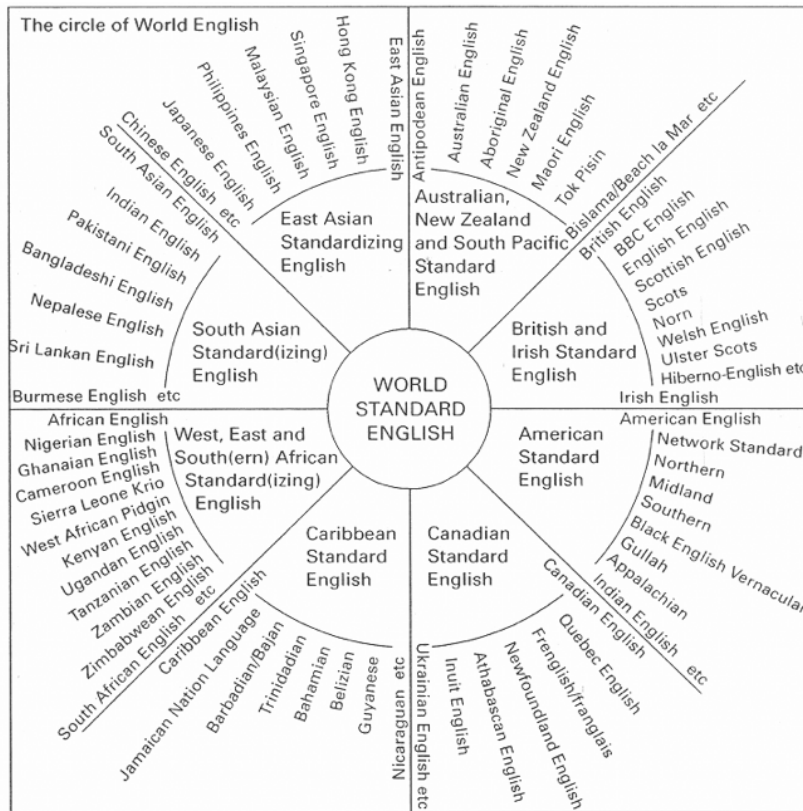
Figure 7.2: McArthur's (1998) circle of World Englishes

McArthur's circle helps to label and describe different dialects and varieties of Englishes. However, it does not help us in understanding what 'World Standard English' is or what happens in contexts where speakers of different dialects/varieties communicate with each other. This gap in our understanding is currently being studied by linguists working in the area of ELF (English as a Lingua Franca).

Proficiency-based model of World Englishes

Another model of World Englishes that we will consider here can be called a 'proficiency-based model'. This model posits that the notion of a second or an additional language user of English is no longer relevant in today's globalized world. It also questions the use of nation-state labels to group speakers of English around the world. This model looks at the world of English speakers based on their proficiency in the language, rather than their links (e.g., mother tongue, ESL, EFL) to the language. This model is illustrated in Figure 7.3 below (Graddol, 2006).
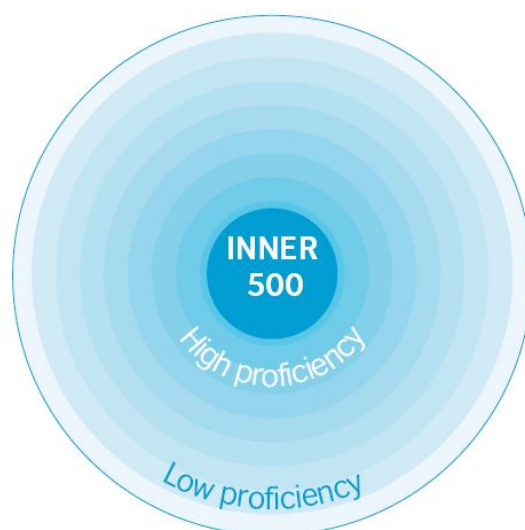
Figure 7.3: Proficiency-based model of World Englishes. Source: Graddol, 2006, 110

The proficiency-based model is different from the earlier models of World Englishes in that it does not consider who the users of the language are – whether they are 'native' or 'non-native'. Instead, the model focuses on language proficiency. This ability of the model to move away from the notions of 'nativeness' and the 'country-of-origin' is a strength of this model. However, there are some problems with this model as well. The most significant issue with this model is that it does not define the term 'proficiency'. Proficiency is a problematic term because it is typically measured in relation to 'native' models of the language (such as in TOEFL and IELTS tests). Thus, this model, in some ways, ties us to the 'native' model instead of helping us understand how proficiency is negotiated between users of English in the context in which it is used.

English as a Lingua Franca (ELF)

Research in the area of ELF attempts to explain what happens to English when people from different backgrounds (dialects and varieties) interact with each other. In earlier models of ELF, linguists working in this area posited the notion of a 'core English' – a set of features that were shared by all speakers of English. Modiano (1999) presented one visualization of this model (see Figure 12.4) in which he tried to capture the notion by showing that ELF (or EIL: English as an International Language) was the common 'language' between different dialects or varieties of English. However, this particular model of 'core' English (or World Standard English – as in McArthur's model) has been extensively criticized because there are no clearly identifiable 'universals' of English. Canagarajah (2007), amongst others, have noted that ELF attempts to manufacture a 'core' English without any real linguistic evidence for it. He argues that any 'manufactured variety [ELF] will be another exonormative norm, imposed from outside, and not developed locally within communities of usage' (208). Linguists such as Canagarajah point out that language evolves in local settings and that people negotiate their differences in order to achieve their communicative goal. This importance of negotiation

has been taken up in more recent work on ELF, which has moved away from the notion of a 'core' and is currently looking at work on 'accommodation' and 'negotiation' of language in situated contexts (Jenkins, 2011). The notion of accommodation here is derived from work on accommodation theory (Giles, 1979). According to this theory, interlocutors converge their language to that of their interlocutors in order to achieve communicative success. In the context of ELF, this means that people who speak different Englishes adapt their language to their interlocutors. This process is largely subconscious and requires interlocutors to adjust and negotiate their language to achieve their communicative purpose. Sedlhofer (2001: 240) discusses this in the context of ELF and points out that ELF users accommodate their language as they focus "on the purpose of talk and on their interlocutors as people … absorbed in the ad hoc, situated negotiation of meaning."
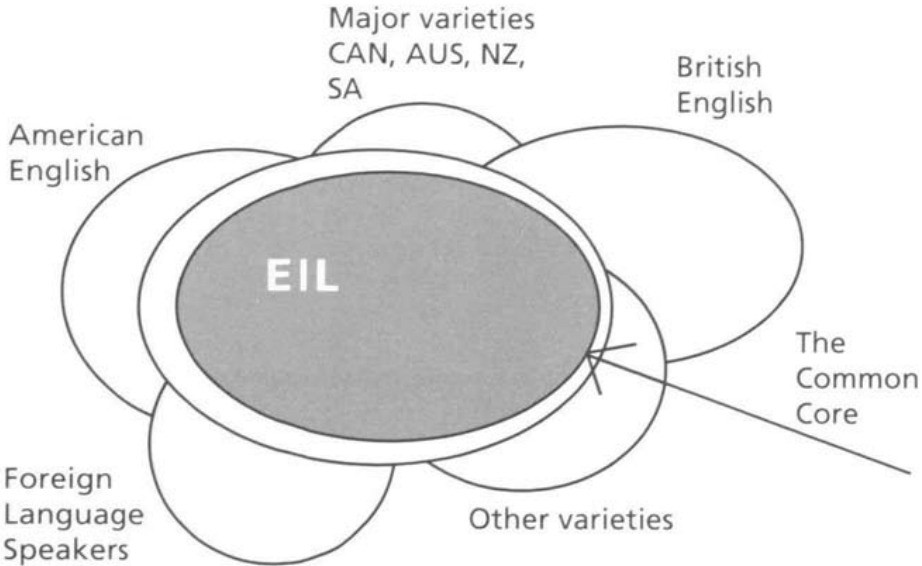
Figure 7.4: Modiano's (1999) model of English as an International Language (another term for ELF).

The Linguistics of Modern Englishes

The previous section introduced you to the theoretical considerations that led to the development of the notion of World Englishes and some of the models that have been developed to describe them. In this section, we will look at particular varieties of Englishes from around the world and study their linguistic features.

Phonetics and phonology

Varieties of Englishes differ from each other greatly in their phonetic inventory and their phonological features. These differences are the first noticed differences when speakers of different dialects engage with each other in oral contexts. Many of the sound features of the varieties of World Englishes appear to be influenced by local languages. However, there are other phonological features of these varieties that are not influenced by the local languages (such as spelling-based pronunciation). Some of these features are shared across different varieties of Englishes, while others are more localized. Here we will exemplify this by looking at some of the phonetic and phonological features of Chinese English, including Hong Kong English.

Chinese English is not a single variety of English, but rather includes a number of sub-varieties, or Chinese Englishes. Many of the differences in Chinese Englishes are based on the 'dialects' of Chinese that people speak as a mother tongue. However, regardless of these variations, there are also a number of similarities across Chinese Englishes. For example, all varieties of Chinese Englishes are non-rhotic. This means that the /r/ at the end of words such as '*bar*' or '*car*' is not pronounced. Chinese Englishes also tends to reduce consonant clusters. For example, Chinese Englishes delete the word final stops such as /k/ and /t/ in words like '*husk*' or '*first*'. This is because Chinese has a CVC syllable structure that does not permit consonant clusters. Chinese English therefore routinely reduces consonant clusters. The reduction of consonant clusters can sometimes lead to a breakdown in communication when, for example, the distinction between the present and past tenses is neutralized in sentences such as '*They asked me to come*', where [ɑskt] is pronounced as [ɑs]. In order to avoid such communicative problems, more experienced

speakers of Chinese English insert a vowel between the two final consonants to break up the consonant cluster into two syllables. Thus, in such cases, the word [ɑskt] becomes [ɑsk ət]. While this variation appears different from other varieties of English, it works better for speakers of Chinese English than syllable reduction because it avoids potential miscommunication. McArthur (2002: 360) notes that in addition to possible miscommunication, the spoken forms of Chinese English sometimes affect written forms as well. McArthur exemplifies this by sharing a text that was observed on a set of bookshelves: '*Arrange by author*'. This is another example of consonant cluster reduction, where the [d] in 'arranged' has been omitted. In this case, the phonological reduction of the consonant cluster has carried over from the oral mode to the written mode.

In addition to these features of Chinese Englishes, there are a number of phonetic and phonological features that are local. For example, Hong Kong English does not have the voiced alveolar fricative /v/. The /v/ sound is replaced by either /f/ or /w/, as in the word 'develop', where the 'v' is sometimes realized as /f/ and at other times /w/. Another feature of Hong Kong English is that mutlisyllable words are sometimes shortened by deleting an unstressed syllable. For example, the second syllable '-fer-' in the word 'differences' is deleted in Hong Kong English. McArthur (2002) also notes that in Hong Kong English "word –final glottal stops are common, notably with p, t, and k, as in cap, hat, and week, sometimes producing a staccato effect, as in "Let me get you big bit of cake" (360)

Lexis and morphology

A large number of vocabulary items in World Englishes are borrowed from local languages. These items usually describe or refer to things that are culturally relevant and may not have a comparable word in English. While some of the borrowings into World Englishes are new, others have been attested for a long time. Here we will look at examples from Chinese and South Asian Englishes.

In his work on Chinese English, Bolton (2002: 185-6) refers to Morrison (1834) who had complied a 'Glossary of words and phrases peculiar to the jargon spoken at Canton'. Some of the words include:

Can do?	Will it do? Also used through, mistake, for 'how d'ye do?'
Chop	from Malay *chapa*, a seal or stamp, any thing sealed or stamped; hence government edicts, licenses & c., also stamped or printed documents. Again, a thing licensed, as a chop-boat; also, a place able to give licenses, as a chop-house, ie/e/ a custom-house
Chop	is also used as synonymous with 'quality', as first chop or No1 cop, for 'best quality'.
Fan-kwei	foreign devil, a contemptuous designation applied to foreigners
Makee	is often considered a necessary prefix to a verb, as 'you makee see this side', for 'look here'.
Two muchy	very much, very many, very, extremely

Interestingly, some of these lexical innovations in early Canton English are still used in the region (including Hong Kong). In addition, many new words have either been borrowed, changed, or been coined over time. For example, McArthur (2002: 361) gives the following examples:

Exco	Executive council
Ils (pronounced eye-eyes)	illegal immigrants also called illegals
Snakehead	a smuggler of illegal immigrants

Traid	a criminal society or a member of a criminal society

In addition to lexical innovations, World Englishes sometimes borrow affixes from local languages and/or use existing English morphemes in unique ways. For example, in South Asian Englishes, people use the morphemes '–walla/i' (masculine/feminine) which, depending on the context, may mean a person with/owner of/seller of etc.

This donkey belonging to a Gadhagari-wala [person who owns a donkey cart] was borrowed, cart and all, by a cop… living in the neighbourhood.

As soon as the churiwali [a woman who sells bangles] entered a home all young girls surround her, delving in her basket. (Baumgardner 1993)

This Urdu/Hindi morpheme may also be attached to words of English origin.

But Hamza stood up to talk against the "Sugarwali" [person who owns sugar/sugar mill] - hinting at the Sakrand Sugar Mills alleged to be owned by Benazir Bhutto's in-laws. (Baumgardner 1993)

In addition to Urdu-based affixes, a number of English affixes are also used productively in Pakistani English. These suffixes may be attached to either English or Urdu words (or of words from other local languages). Examples of such affixation are given below.

De-: List of telephone numbers F-1 to be converted into other numbers due to de-loading of F-1 exchange. (Baumgardner 1990)

-lifter: A motorcycle-lifter was arrested by CIA following recovery of six stolen motorcycles at his pointation on Sunday. (Kennedy 1993)

-ism: … a policy of ad-hocism and stop-gapism has been followed with respect to Azad Kashmir… (Baumgardner 1990)

Syntax

World Englishes differ from each other based on their syntactic features. While some of these features can be traced back to influence from local languages, there are a number of features that are unique. There are also a number of features shared between outer and expanding circle Englishes that are different from inner circle Englishes.

Many varieties of World Englishes do not inverse the subject and the auxiliary verbs in Wh-questions. For example, people from many parts of the world say: 'Why so many people are being stopped?' and not 'Why are so many people being stopped?'. A number of World Englishes also use the perfective aspect instead of the simple past marker in sentences that contain adverbials referring to the past, e.g., '*I have seen him yesterday*' for '*I saw him yesterday*'. Another common feature observed in a range of varieties of World Englishes is 'pro-dropping', i.e., either the subject or the object pronouns are dropped. This typically (but not always) happens in conversations. For example, in response to the question 'What do you like to do on your weekends?', people can say 'Play games and enjoy a lot.' In this example, the subject pronoun 'I' is dropped from 'I play…' as well as the object pronoun 'it' from 'I enjoy it…'.

While there are some syntactic features (as shared above) that have been attested in a large number of varieties of World Englishes, there are also features that are quite localized. For example, Zhichang (2010) notes that, among other features, Chinese English

syntax is characterized by the use of adjacent default tense, and subject pronoun copying. Let us look at these features in some detail below.

Adjacent default tense is a feature of Chinese English, but is not found in inner circle Englishes. Zhichang (2010) describes the adjacent default tense as a property of a language in which if the overall tense of an utterance is marked in the context of the utterance, then the 'adjacent' finite verbs in the utterance can (but may not necessarily) be set in their 'default' forms. For example:

> When I was a 7 years old, I first came here and lived with my relatives. So, may be at that time, I think Beijing is a good city as a child (Zhichang 2010, p. 289).

In this example, we note that the first sentence uses past tense (*was*, *came*, *lived*); however, the verbs in the second adjacent sentence are unmarked (*think*, *is*) because they are related to the first sentence (marked by *at that time*).

Subject pronoun copying refers to the copying of the subject in the utterance. Zhichang states that this is a feature of Chinese spoken (not written) English. Subject pronoun copying is also used in other varieties of Englishes, but in most varieties, it is used for stylistic purposes. In Chinese English, however, Zhichang notes that this is the unmarked form. For example,

> I'm the youngest one in my family, so I think *my parents, they* have no interest in… on… in… me. (Zhichang 2010, p. 290)

In this example, the pronoun 'they' refers to the speaker's parents and is a repetition of the subject pronoun.

Discourse and pragmatics

The semantics and pragmatics of World Englishes are among the less studied features in the field. However, the available research does show significant impact of local cultural practices on the pragmatics (meaning in context) of local varieties of Englishes. For example, in Zhichang's (2010) study, they note that Chinese English includes a number of local discourse and pragmatic features. Zhichang's research indicates that Chinese English discourse makes references to local practices and draws on localized understandings of the issues and context. Zhichang lists six features of Chinese English discourse that were identified in their data. For example, Zhichang states that Chinese English draws on the "discourse of 'political status' and 'political life', implying that Communist Party membership and the Youth League Party membership are key indicators of political status" (294).

In a different thread of work, Hartford & Mahboob (2004) compared letters of editors published in Pakistani English newspapers to those published in American English newspapers. They found that the Pakistani English texts included moves (introductions and appeals to the editor) that were not included in American English newspapers. They further noted that these moves were found in Urdu language newspapers as well as in model letters in Pakistani English (used for teaching purposes).

In addition to the difference in the move structure, the actual forms of the requests were particularly interesting. Hartford and Mahboob argued that these forms represent localized ways in which users of Pakistani English mitigated the force of their complaints and served as politeness markers. These constructions used a variety of complex English constructions that are not found in inner circle varieties of English. The most frequent politeness strategies were: use of the interrogative form, use of passives and impersonal constructions, and use of speech act verbs (illocutionary force indicating device or IFIDs) or Affect Indicating Phrases (AIPS). IFIDs are those introductory clauses which actually name the speech act which is about to be performed. Table 12.5 gives a list of such IFIDs. IFIDs occur both in the active and passive forms, e.g., "It is requested". In addition, there

were introductory clauses which indicated the writer's attitude towards the request being made. Hartford and Mahboob called these Affect Indicating Phrases, examples of these are also listed in Table 7.5 below.

True IFIDs	AIPs:
I suggest	I want
I urge	I wish
I/we (would) request	it is high time
	it is hoped
	it is not understandable
	it is not understood
	may we hope
	the least that could have been done
	the need of the hour is

Table 7.5: Lexical/phrasal devices in English and Urdu models

Conclusion

This chapter introduced us to the concept of World Englishes. It challenged us to rethink the notion of 'standard' language and suggested that English, as a lingua franca, is used in different ways in different parts of the world. The chapter presented a broad-brush

history of the English language, which showed how the English language evolved from being a small contact language to a global language. This understanding of the development of English helped us in understanding some of the dominant models that have been developed to explain Modern Englishes. The chapter then looked at the linguistic features of World Englishes. It looked at the phonetic, phonological, lexical, morphological, syntactic, discourse and pragmatic features of a few varieties of World Englishes.

PART B

The description in Part A of this book took what we have generally called formal (or structural) approach to English grammar. Formal grammar focuses on the forms (or the structure) of language. There is, however, another approach to the study of language – the functional approach. Apart from the forms, the functional approach puts emphasis on the meaning (in terms of function) and context on language, and hence, on the uses of language. We explore three modes of meaning, namely representational mode of meaning, interpersonal mode of meaning, and textual mode of meaning in Chapters 8, 9 and 10 respectively. The representational mode of meaning concerns how we use English to construing our experience in the world around us and inside us; the interpersonal mode of meaning concerns how we use English to interact with other people; and the textual mode of meaning concerns how we turn the representational and interpersonal modes of meaning into message and discourse. We then discuss textual continuity in Chapter 11, the relation between language and context in Chapter 12, and finally, language and translation in Chapter 13.

The move from formal to functional approach in this book represents not only a study of the other side of the same coin, providing a comprehensive and complementary description of English grammar, but also a study that captures the current development in this discipline. The functional approach pushes the description of grammar from the level of sentence into the level of discourse, and thus enhancing our understanding and ability to not only create grammatically correct sentences but also group sentences appropriately to achieve specified social functions. Such a move thus shortens the gap between learning grammar as the content knowledge of a subject and as a means to apply the knowledge to create coherent and appropriate discourse and text in context.

In other words, functional grammar, which is the focus of Part B of this book, can be considered a bridge between form and usage. Here, we will explore a particular type of functional grammar known as Systemic Functional Grammar. This tradition of grammar is widely known and adopted in different branches of linguistics such as discourse analysis, critical discourse analysis, text analysis, sociolinguistics, multimodal analysis and also in other disciplines such as education and translation. We will explore some applications at the end of each chapter and also discuss translation from this perspective.

Construing Experience

8

Introduction

From the formal perspective, grammar is perceived as a set of rules – rules that the language users observe consciously or unconsciously, for instances, the subject and verb agreement, the transformation from active voice to passive. This approach also pays particular attention to the order of constituents in sentences – identifying constituents in sentences that are movable with or without making the sentence grammatically unacceptable and also with or without bringing a change in meaning. Let us illustrate this with the following example:

[1] *Mary loves Harry.*
[2] *Harry loves Mary.*
[3] **Harry Mary loves.*

While both examples [1] and [2] are grammatically acceptable, their meanings are different. Example [3] is considered grammatically unacceptable unless used for some stylistic purposes.

From the functional perspective, grammar is perceived as a resource for making meaning. For instance, when someone says 'Peter was the thief', the speaker has no doubt of the proposition that Peter was the one who stole something. In English, however, there is a grammatical resource called 'modality' upon which the speaker can modify the degree of his certainty. The speaker can say '*Peter must be the thief*' if he is certain of his belief; or '*Peter would be the thief*' if he thinks it is probable; or '*Peter may be the thief*' if he thinks

that there is such a possibility. As this example illustrates, functional grammar is not only engaged with the wordings of texts, but also the meanings that are construed through them. Functional grammars take language use as a starting point and try to answer questions about what meanings are being created, in what contexts, and how. They posit a relationship between the use/function of language and the structures that are chosen to achieve those functions. Functional grammars give meaning a privileged position in their study of language. They consider meanings as a feature of the whole text (rather than a sentence or a word) and therefore take full texts (which may be a single utterance or a whole novel, and which may be oral or written) as their unit of analysis.

Functional linguists have identified three modes of meanings that languages create simultaneously: ideational meaning, interpersonal meaning, and textual meaning. In this chapter, we will focus on ideational meaning. Interpersonal meaning will be the focus of Chapter 7 and textual meaning will be discussed in Chapter 8. In this chapter, we begin with a brief introduction of functional linguistics. Then we examine the ideational meaning in details. In the final section, we will look at a study that uses this knowledge and applies it to a real world issue.

Functional Linguistics

The history of functional linguistics dates back to the beginning of the 20th century. Functions of language are more or less equals to uses or ways of using language. Important functional scholars are not confined to pure linguist (e.g., Jakobson) but also anthropologist (e.g., Malinowsky), educationalist (e.g., James Britten) and zoologist (e.g., Desmond Morris). Given their diverse interests, these scholars have contributed to the development of functional grammar in different and enriching ways. For instances, Malinowsky was interested in the languages on early cultures before settlement. In his classification, the primarily distinction of language functions is between 'pragmatic' and 'magical' uses in language. 'Magical' use in language refers to the magical practices associated with the gardening among the tribes he was studying. 'Pragmatic' use in

language, on the other hand, is further differentiated into 'narrative', 'active,' and 'phatic communion'. 'Narrative' refers to the use of language to tell our experience; 'active' the use of language to plan something and to carry out the plan; and 'phatic communion' the use of language to maintain and/or strengthen the social relationship between the interactants such as talking about the weather in the western culture. Morris, on the other hand, was a zoologist. He studied the uses of language among apes, and identified three major categories of communicative contexts – information talking, grooming talking, and exploratory talking. In terms of modern theories of functional grammar, these early functional categorizations are referred to extrinsic functionality.

In 1930s, the Prague School raised our attention to the issue that categories of language function may actually reflect the internal structure of language, i.e. intrinsic function of language. Let's illustrate the notion of intrinsic function with Text 6.1, which is a conversation between two Australian teenagers. Their American friend planned to visit them in Sydney and they were discussing where to take him.

Text 8.1

Question	A:	*So what time does he arrive at Sydney?*
Statements	B:	*6 am. He plans to stay in a hotel near Hyde Park and he's going to take a bus at 10 on Sunday to Melbourne.*
Exclamation	A:	*That we only have one day to show him the whole Sydney!*
Questions		*What are we going to so? Where are we going to take him?*
Statements	B:	*I think we should definitely take him to see the Opera House. That's a definite must. And also Darling Harbour.*
Statements	A:	*Oh. I like the Darling Harbour idea. That way he can get some souvenir in Sydney and take back with him.*
Offer/promise		*I think I can drive him to Manly Beach.*
Directive	B:	*Don't. Can't you remember …*
Exclamation	A:	*Oh! Come on.*

In the dialogue, language functions are closely related to the clause types: statements to declarative clauses, questions to interrogative clauses, directives to imperative clauses, exclamation to exclamative clauses and offers or promises to declarative clauses (with first person pronouns and in future tense). This mapping of language functions on to clause types suggests that structural features of a language contribute to the meaning of a text. This is an important observation to make and one that helps us understand the need to invest in developing and understanding functional models of grammar. In functional linguistics, grammar is seen as a resource for meaning-making. This focus on meaning makes functional grammars 'appliable' in a range of contexts (as we will see in Part 3 of the book).

The mode of meaning expressed by the categories of language functions listed above (declarative, interrogative, imperative, and exclamative) contribute to the creation of what is called 'interpersonal meaning', i.e. how we get things done through the language, how we interact and keep the conversation going, and how we negotiate our opinion and express our feeling with each other. Interpersonal meaning will be the focus of Chapter 7.

Among the functional approaches, we shall highlight the systemic functional linguistics (SFL) because it is the perspective that this book has adopted. This perspective can be traced to the works of a prominent linguist, M.A.K. Halliday. The foundational work on systemic functional grammar goes back to the 1960s. The masterly work is Halliday's *An Introduction to Functional Grammar* (1985; 1994; and then revised by M.A.K. Halliday and C.M.I.M. Matthiessen, 2004). Other important works include Martin's (1992) *English Text: System and Structure* and Matthiessen's (1995) *Lexicogrammatical Cartography: English Systems.*

Systemic functional linguistics is built on, inspired by, and contrasted with studies by noted anthropologists, psychologists, linguists and philosophers. The most relevant ones include de Saussure's distinction between the syntagmatic and paradigmatic axes; Malinowski's

notion of 'context of situation'; Firth's work on prosody and the concept of 'system'; Hjelmslev's notion of language as process; the Prague School's notion of Theme and Rheme; Bűhler's three 'functions' of language; Boas's concept of 'language as a social system'; and Whorf's emphasis on the role of language in culture. These concepts provide the theoretical context of SFL. This functional approach views language as a social semiotic system, i.e. a resource that the language users use to construe their experience in the world (Chapter 8), to accomplish their purposes (Chapter 9) and to create and organize their messages as text and/or discourse (Chapter 10). The messages in a text are connected and form a unity (Chapter 11) and every text is created in context (Chapter 12). This view of language implies that language is a system of choices and that aspects of a given context (e.g., the topics, the users, the channels) help users in making the appropriate choices and construing the meanings that are relevant.

In SFL theory, language as a social semiotic system is realized on four different levels of abstraction, which have been termed *strata*: phonology-graphology, lexicogrammar, discourse-semantics and context. The most basic resources for meaning-making are phonological or graphological units. At the stratum of lexicogrammar, the units of phonology and graphology are realized as words and structures and as higher-level abstractions. At the discourse semantic level, meanings are created across text as a whole, rather than just within clauses. Context stands at the highest level of abstraction, which can be divided into context of situation (register) and context of culture (genre) (these will be examined below). The first three strata are linguistic in nature, and are tied to the structure of a language while the last stratum – context – is extra-linguistic and relates the social features in which the language is used.

The relationship between any two adjacent strata is not one of constituency, i.e. the higher stratum embodies the lower stratum, but of realization, i.e. the higher stratum is encoded in the lower stratum; meaning at the discourse semantic level is realized as wording at the lexicogrammatical level which, in turn, is realized as sounding/writing at the level of phonology-graphology. These strata of a language are represented by different

linguistic systems: the semantic system, the lexicogrammatical system, and the phonological or orthographic system respectively. In this way language is perceived as a multiple coding system: Language production is taken as a process of encoding a message that starts from meaning and goes through the process of wording and ends up with sounding or writing; whereas language comprehension is a process of decoding the message, from sounding/writing to meaning via wording. This is depicted in Figure 8.1.

Language production: coding process

meaning	the semantic system
wording	the lexicogrammatical system: grammar & vocabulary
sounding/writing	the phonological/orthographic system

Language comprehension: decoding process
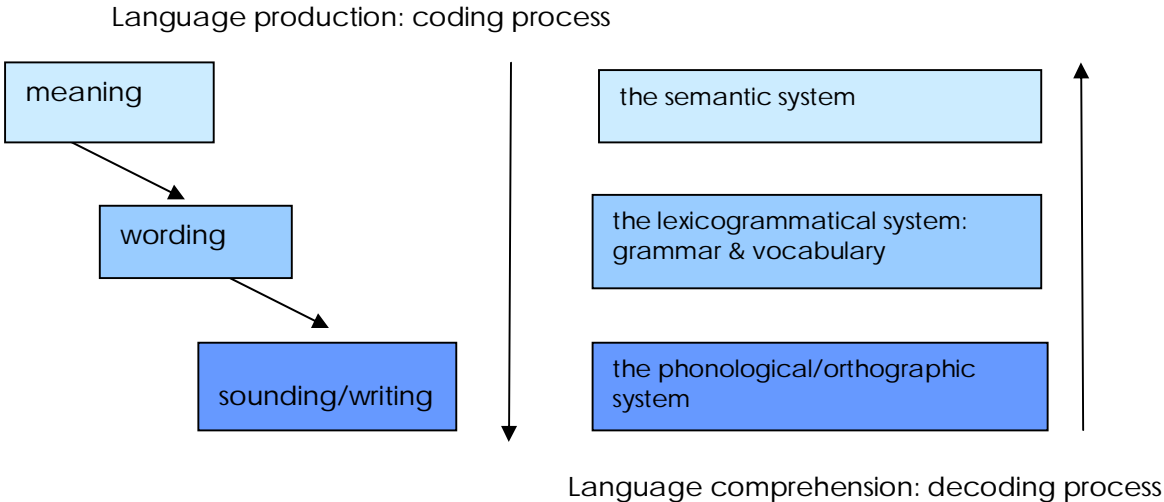
Figure 8.1: Language production and comprehension and language stratification. (Adapted from Halliday & Hasan, 1976, p. 5)

From the systemic functional perspective, there are three different modes of meaning (known as metafunctions): ideational, interpersonal, and textual. The ideational metafunction is further classified into representational and logical metafunctions. The representational metafunction concerns how we use language to construe our experience in the world around us and inside us, while the logical metafunction concerns how we interpret the logical relationship between events of our experience; the interpersonal metafunction concerns how we use English to interact with other people; and the textual metafunction concerns how we turn the ideational and interpersonal modes of meaning into message and discourse. These three metafunctions – ideational, interpersonal, and textual – are embedded in every major clause of a language

simultaneously.

Furthermore, language is produced and comprehended in a particular social context, which in turn affects how language is used and meaning is interpreted. Context in SFL stands at the highest level of abstraction or strata, which, as pointed out earlier, can be divided into context of situation (register) and context of culture (genre). Context of situation refers to the things going on in the world in which the text is created. They are social factors beyond the domain of language, affecting the use of language in the text and thus creating the extralinguistic features of it. These social factors are grouped into three dimensions, namely *field*, *tenor*, and *mode*. They are patterned into situation type (known as register). Field is concerned with the nature of social action; tenor refers to the relationship among participants, their roles and status; whereas, mode refers to the role of language to realize meanings (Martin & Rose, 2008). Field is thus closely related to ideational metafunction, tenor to interpersonal metafucntion, and mode to textual metafunction.

Within the context of culture, another notion – genre – is set up to account for relations among social processes in more holistic terms, with a special focus on the stages through which most texts unfold. Genres are defined as 'staged social processes' with particular social roles and functions in society that are goal-oriented, institutionalized forms of discourse (Martin & Rose, 2003, 2005). The strata and metafunctions are mapped on to each other in SFL. This mapping is presented in Figure 8.2.
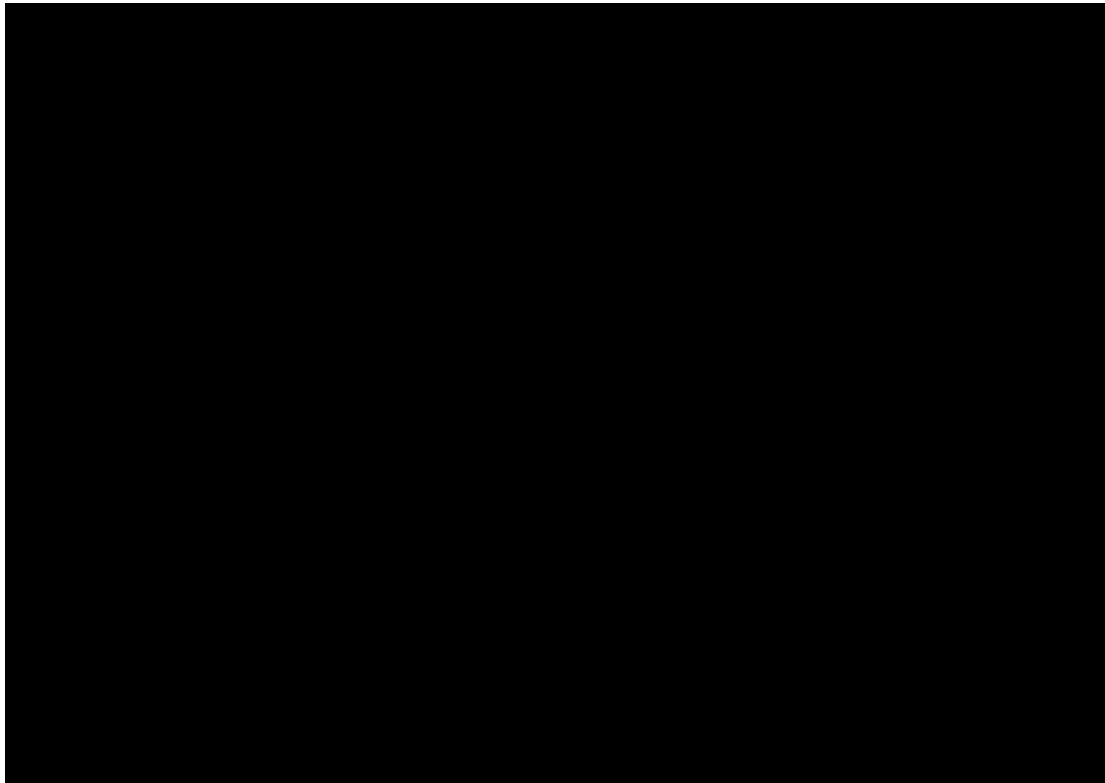
Figure 8.2: Stratification and metafunction in SFL

In the following sections, we will examine the ideational metafunction in more detail.

Ideational metafunction

Ideational metafunction orients towards the physical world that we are living in. It concerns with how we construe the events that we experience and how we interpret the logical relationship between these events. The ideational metafunction is thus classified into two subcategories: representational and logical metafunctions. The representational metafunction concerns how we use language to construe our experience in the world around us and inside us, while the logical metafunction concerns how we interpret the

logical relationship between events of our experience. We will examine these two metafunctions in detail.

Representational metafunction

Representational metafunction (also known as referential metafunction and experiential metafunction) expresses our experience of the world around us and inside us – experience that we obtain through observation or participation in the events occurring in the world and experience that we imagine, think, or feel inside our mind. But we have new experiences every day, every hour or even every minute. How can we possibly conceptualize our new experiences and thoughts and put them into new wording? It is only possible because we do it through generalization – a way of categorizing every event in our experience into three components and grouping the infinite events into several types of process. The three components of this conceptualization of experience are in very general terms:

1.   participant: i.e. who/what is taking part
2.   process: i.e. what is going on
3.   circumstance: i.e. when, where, why and how the event is taking place

Our experience is conceptualized into these three components; among them, the nucleus is the process, plus a participant directly involved in it. So the simplest structure of an English clause is a participant involved in a process such as *He is swimming.* In a directive, there can be only a process without any participant such as *Go.* It should be noted that the process in a directive, in fact, also requires a participant – the hearer – to carry out the command. So we can always insert the word '*you*' in any imperative clause.

In English, there may be one and at most two additional participants but many circumstances, depending on the nature of the event. For example:

Mary	hits	the ball	beautifully.
Participant 1	Process	Participant 2	Circumstance

In the example above, there are two participants '*Mary*' and '*the ball*' and one circumstance of manner '*beautiful*' in the event encoded in the clause.

Mary	bought	her kids	a little puppy	yesterday.
Participant 1	Process	Participant 2	Participant 3	Circumstance

In the example above, there are three participants '*Mary*', '*her kids*' and '*a little puppy*' and one circumstance of time '*yesterday*' in the event encoded in the clause. Below we will look at each of the concepts in more detail.

Participant roles

In general, participant refers to who or what is taking part in the process of an event. A participant can be an animate or a thing. Let's examine the following examples.

[1.1] *The suspect was released.*

[1.2] *The printing machine was out of order.*

[1.3] *The only cow was sought for his tuition fee.*

[1.4] *The image of his mother grew vaguer and vague as the time passed.*

[1.5] *The organization finally collapsed in 1984.*

[1.6] *The mass demonstration brought the traffic to a standstill.*

[1.7] *The rocketing food prices finally brought down the governing party.*

[1.8] *She is clever.*

The participant in [1.1], '*the suspect*', is an animate, whereas the one in [1.2], '*the printing machine*' is a thing, i.e. inanimate. An animate can be a human being such as the

participant in [1.1] or an animal such as '*the only cow*' in [1.3]. A thing can be a physical entity such as the participant in [1.2] or an abstraction such as '*the image of his mother*' in [1.4]. A thing can also be a semiotic one like an institution such as '*the organization*' in [1.5]. It can also be a macro thing, i.e. an act such as '*the mass demonstration*' in [1.6] or a fact such as '*the rocketing food prices*' in [1.7]. It should be noted that in English the participant in a clause can be the quality of something such as '*clever*' in [1.8].

A participant can take up different roles in a clause. Below is a list of participant roles in English:

1. An 'Actor' refers to a participant who/which does something; for instance: <u>*The Chinese military*</u> *had just tested a stealth fighter jet.*

2. A 'Goal' refers to a participant upon which the process has created an impact; for instance: *The President's visit will soothe* <u>*recent tensions between the two countries*</u>.

3. Unlike a Goal, a 'Range' specifies the scope of the happening expressed in the process, instead of being impacted by it; for instance: *He successfully climbed* <u>*the mountain*</u> *in 24 hours.*

4. A 'Senser' (or an 'Experiencer') refers to the participant who senses something; for instance: <u>*China and the United States of America*</u> *have never enjoyed such broad common interests.*

5. A 'Phenomenon', on the other hand, is the 'something' that is sensed by the Senser; for instance: *Kissinger recalled* <u>*his secret visit to China*</u> *in 1971.*

6. A 'Carrier' is the participant upon which a quality is assigned; for instance, <u>*The international financial crisis*</u> *was very severe in 2008.*

7. An 'Attribute' is the quality that is assigned to the Carrier; for instance, *Societies are* <u>*more harmonious*</u>, *nations are* <u>*more successful*</u>, *and the world is* <u>*more just*</u>.

8. Unlike a Carrier, an 'Identified' (also known as 'Token') refers to the participant which is identified as another participant – the 'Identifier' (also known as 'Value'); for instance: <u>*China's decision-making on North Korea*</u> (Identified) *was always* <u>*a black box*</u> (Identifier).

9. A 'Possessor' is the participant who owns something, while the 'something' is referred to as the 'Possession'; for instance, _The President_ (Possessor) _will have_ _a regal entourage of aides, bodyguards, and limousines_ (Possession).

10. A 'Sayer' is the participant who addresses another participant – the 'Receiver' – a message, i.e. the content of saying; for instance, _He_ (Sayer) _asked_ _a senior U.S. official_ (Receiver) _if this is true_.

11. The message, in English, is analyzed as a participant known as the 'Verbiage'; for instance, _He told the manager_ _that coordination is not his strong suit_.

12. A 'Behaver' is an animate whose behaviour is described in the clause; for instance, _The kid_ _was shaking with fear when he was found_.

13. An 'Existent' is a participant who is introduced into the scene; for instance, _There was_ _little progress_ _on the Obama administration's goal_.

What role a participant plays in a clause depends on the process in which the participant is involved. We describe this in detail in the following section.

Process types

There are innumerable events occurring around us all the time, and each event is likely to be different from each other. To handle the situation, we group all our experience into a small number of process types. 'Process' as stated earlier refers to what is going on in the event. Each process type has its own language features. Let us examine Text 6.2, another short excerpt from _Murder on the Orient Express._

Text 8.2

> [2.1] *Lieutenant Dubose was saying his parting speech.* [2.2] *He had thought it out beforehand and had kept it till the last minute.* [2.3] *It was a very beautiful, polished speech.* [2.4] *Not to be outdone, M. Poirot replied in kind.* [2.5] *'En voiture, Monsieur', said the Wagon Lit conductor.* [2.6] *With an air of infinite reluctant M. Poirot climbed aboard the train.* [2.7] *The conductor climbed after him.*

In this short excerpt, there are several types of process. There are processes involving doing and happening such as '*had kept*' in [2.2], '*climbed*' in [2.6] and [2.7]; saying such as '*was saying*' in [2.1], '*replied*' in [2.4], '*said*' in [2.5]; thinking such as '*had thought*' in [2.2]; and relation such as '*was*' in [2.3].

According to Halliday (1994), there are three major process types: processes of doing (known as material processes), processes of sensing (known as mental processes) and processes of being (known as relational processes). Material processes express our experiences in the world of material reality, e.g., *We* <u>*ate*</u> *lunch together several times*; mental processes express our conceptions in the world of consciousness, e.g., *Ted* <u>*hated*</u> *coming home to the empty house*, and relational processes express our understanding of the world of abstract relations, e.g., *If A* <u>*equals*</u> *to B and B* <u>*equals*</u> *to C, then A* <u>*must be equal*</u> *to C*. Let's examine a short excerpt in the *Murder on the Orient Express* to understand these better. All the processes in this text are underlined.

Text 8.3

> [3.1] *M. Hercule Poirot,* <u>*having*</u> *nothing better to do,* <u>*amused*</u> *himself by* <u>*studying*</u> *her without appearing to do so.* [3.2] *She* <u>*was*</u>*, he* <u>*judged*</u>*, the kind of young woman who could* <u>*take care*</u> *of herself with perfect case wherever she* <u>*went*</u>*.* [3.3] *She* <u>*had*</u> *poise and efficiency.* [3.4] *He rather* <u>*liked*</u> *the severe regularity of her features and the delicate pallor of her skin.* [3.5] *He* <u>*liked*</u> *the burnished black head with its neat waves of hair, and her eyes, cool, impersonal and grey.* [3.6] *But she* <u>*was*</u>*, he* <u>*decided*</u>*, just a*

> *little too efficient to what he <u>called</u> 'jolie femme.'*

We can classify the processes in the excerpt as in the following table.

Process types	Examples in the excerpt
Material	*amused* in [3.1]; *went* in [3.2]; *take care of* in [3.2]
Relational	*having* in [3.1]; *was* in [3.2] & [3.7];
Mental	*studying* in [3.1]; *judged* in[3.2]; *liked* in [3.4] & [3.5]; *decided* in [3.6]

Table 8.2: Major processes in Text 8.3

In addition to the three major process types, there are three minor processes: minor processes: verbal process (between relational and mental), behavioral process (between mental and material), existential process (between material and relational). These processes seem to lie between the major processes. The major and the minor process types in English are described in more detail below.

Major processes

As pointed out earlier, there are three major process types: material processes, mental processes and relational processes. Each major process types can further differentiate into a number of sub-categories. We will describe them in detail in the following sections before we move on to describe the minor process types.

Material processes

Material processes typically construe our experience towards the physical world. There are two subcategories of material process – action (i.e. doing) and event (i.e. happening). For example:

Ben parked his car across the street. (material process of action)

Mary climbed the Alps last month. (material process of event)

We can further classify the material process of action into two types: transitive and intransitive. In a simple transitive action, a participant (the Actor) does something that creates an impact on another participant (the Goal). In the above example, '*Ben*' is the Actor and '*his car*' is the Goal.

Some transitive material processes may involve an additional participant (the Beneficiary). These di-transitive processes typically construe a process of giving, i.e., the Actor buys or gives something (the Goal) to someone (the Beneficiary). For example:

Actor	Di-transitive process	Beneficiary	Goal	Circumstance
Tom	*bought*	*Susan*	*a gift*	*yesterday*
Rebecca	*presented*	*the winner*	*the trophy*	*on the stage.*

There is an alternative way to represent the phenomenon, in which the Goal precedes the Beneficiary in the clause. It is noted that in this case, a preposition 'for' or 'to' has to be placed before the Beneficiary.

Actor	Di-transitive process	Goal	Beneficiary	Circumstance
Tom	*bought*	*a gift*	*for Susan*	*yesterday*
Rebecca	*presented*	*the trophy*	*to the winner*	*on the stage.*

In English, both transitive material clauses and di-transitive material clauses can be presented in active voice or in passive voice. For example:

Ben parked his car across the street. (active)

Ben's car was parked across the street. (passive)

Rebecca presented the winner the trophy. (active)

> *The winner was presented the trophy by Rebecca.* (passive)
>
> *The trophy was presented to the winner by Rebecca.* (passive)

Up to this point, all the examples present the Actors as participants who do something that creates an impact the Goal, who/which are participants pre-existing before the processes and are changed by the processes. However, there is another type of transitive material process in which the Goal is created through the process as shown in the following examples.

> *David built a house for his family.*
>
> *She wrote a letter to her mother last week.*

In a material process of event, there is only one participant (the Actor). For example:

Actor	Intransitive material process	Circumstance
Susanna	swam	across the channel.
The salt	dissolved	in the soup.

Sometimes, there can be a second participant in a material process of event. This additional participant – the Range – specifies the scope of the happening expressed in the process, instead of being impacted by it. For example:

Actor	Intransitive material process	Range
Susanna	climbed	the Lion Rock.
He	crossed	the harbor by ferry.

Though material processes typically construe our experience towards the material world and the processes can be perceived physically. In English, such concrete processes can be employed to construe our experience of change in abstract phenomena as shown in the following examples.

> *The stock market melted down last month.*
>
> P*rices rocketed after the war.*
>
> *The scandal destroyed his credibility.*
>
> *The good news strengthened our morale.*

Mental processes

Unlike the material processes, which typically construe our experience towards the physical world, mental processes construe our experience towards the world of consciousness. In a typical mental process, a participant (the Senser or sometimes referred to as Experiencer) senses something (the Phenomenon). For example:

Senser	Mental process	Phenomenon
I	*felt*	*someone touching my back.*
He	*sensed*	*danger.*
The world economy	*experienced*	*a severe recession last year.*

Here, the notion 'sense' is used in a very broad way, including seeing, feeling and thinking. Therefore, mental processes can be further classified in three sub-categories: perception, affection, and cognition. For example:

> *She saw the car accident.* (perception)
>
> *The witness heard three gunshots.* (perception)
>
> *I taste something strange in this soup.* (perception)
>
> *The camels smelt the water a mile off.* (perception)
>
> *The doctor felt his head.* (perception)
>
> *The boys like the soft drinks.* (affection)
>
> *I am interested in your proposal.* (affection)
>
> *He despised himself for his own cowardice.* (affection)
>
> *I forgot the answer.* (cognition)
>
> *He knew too much.* (cognitive)

The Senser in a typical mental process is an animate; however, this is not an essential requirement. Let's illustrate with the following two examples. In both cases, '*My car*' and '*My knees*' are thing but not animate. However, they take up the Sensor role in a mental clause as if they are able to '*like*' or '*hate*' the Phenomenon.

My car doesn't like rainy day.

My knees hate wet weather.

In addition, Phenomenon may precede the Senser in a mental clause. For example:

Phenomenon	Mental process	Senser
Her proposal	*interested*	*the public.*
His performance	*pleased*	*his boss.*
The current situation	*puzzles*	*me.*

The Phenomenon being sensed can be any kind of entity (both concrete and abstract), act and fact. For example:

Senser	Mental process	Phenomenon
The boys	*like*	*the idea of holding a party on Friday.* (abstract)
The boys	*like*	*the soft drinks in the party.* (concrete)
The boys	*like*	*serving soft drinks in the party.* (act)
The boys	*like*	*the fact that soft drinks are being served in the party.* (fact)

Furthermore, the Phenomenon in a mental clause can be expressed by a separated clause as shown in the following examples.

Senser	Mental process	Phenomenon
I	*believe*	*he is wrong.*

People	think	the economy is recovery.
The villagers	want	the hikers to leave immediately.
The guests	prefer	champagne to red wine.

Relational processes

Unlike material processes, which construe our experience towards the physical world, or mental processes, which construe our experience towards the world of consciousness, relational processes construe our experience towards the world of various modes of being. There are two major modes of relational clause – attribution and identification. Each has its own set of participant roles. In an attributive process, the speaker assigns a quality (the Attribute) to a participant (the Carrier). The quality can be expressed by an adjective phrase or a noun phrase. For example:

Carrier	Attributive process	Attribute
John	is	good.
John	is	a good boy.

In an identifying process, on the other hand, the speaker identified a participant (the Identified/Token) as another participant (the Identifier/Value). One important structural difference between attributive clause and identifying clause is that the two participants in an identifying clause can swop their position but those in an attributive clause cannot.

Identified/Token	Identifying process	Identifier/Value
John	is	the class representative.

Identifier/Value	Identifying process	Identified/Token
The class representative	is	John.

Both attribution and identification are typically expressed in copulative verbs (as known as coupling verbs in the terminology of traditional grammar). However, sense verbs (in the

terminology of traditional grammar), which add an additional meaning feature of the five senses to the copula can also express the attributive processes. They include look, sound, smell, feel, and taste. For example:

> *She looks good. (cf. She is good, by her appearance.)*
>
> *The voice sounds good. (cf. The voice is good, by its sound.)*
>
> *The cigar smells good. (cf. The cigar is good, by its smell.)*
>
> *The textual feels good. (cf. The textual is good, by the way it feels.)*
>
> *The dish tastes good. (cf. The dish is good, by the way it tastes.)*

In addition, there are numerous verbs which also express the identifying processes with an additional meaning feature such as express, mean, represent, signify, betoken, stand for, reflect, spell, translate as, mean, name, christen, call (with the meaning of naming), function as, serve as, act as, vote, elect (with the meaning of voting), play (with the meaning of acting as), act as and so on. However, unlike an identifying clause, in which Identified and Identifier can swop their positions in the clause, the participants in these relational clauses with an additional meaning feature cannot swop their positions.

> *Zn stands for zinc.*
>
> ** Zinc stands for Zn.*
>
> *She was christened Mary.*
>
> **Mary was christened her.*
>
> *Among his other duties, he acts as the Chairperson of the English Panel.*
>
> **Among his other duties, the Chairperson of the English Panel acts as him.*

Apart from the attributive and identifying processes, there are other relational processes, including possessive process and circumstantial process. They can be interpreted as a relational clause with additional meaning feature. A possessive process expresses a participant (the Possessor) who owns something (the Possession). The possessive process is expressed in a small group of verbs such as have, own, possess and so on.

Possessor	possessive process	Possession	Circumstance
He	*has*	*a million dollars*	*in his pocket.*
He	*owns*	*an apartment*	*In London.*
He	*possesses*	*a fortune of billions of dollars.*	

A circumstantial process, on the other hand, expresses the circumstance in which a participant (the Carrier) is in. It is noted that the Circumstance in a circumstantial process is an essential element in the clause. It is known as adverbial complement in traditional grammar. Circumstantial processes are typically expressed in copulative verbs. But they can also be expressed by other verbs such as surround. For example:

Carrier	Circumstantial process	Circumstance
Litter	*is*	*everywhere.*
The police	*surrounded*	*the suspect's house.*

Minor processes

In the last section, we discussed three major process types: material process, mental process and relational process. As Halliday (1985: 138) points out, these three types of process are considered major processes because 'they are the cornerstones of the grammar in its guise as a theory of experience'. There are, in addition, three minor process types, which locate semantically between the major types of process, and share characteristics of them. These minor types of process include verbal process, behavioral process and existential process. We examine them in this section.

Verbal processes

Verbal processes share the characteristics of mental processes and relational processes. The typical verbal process is the process of 'saying', e.g., *She said something*. Verbal

processes, however, include different modes of saying such as *saying*, *telling*, *informing*, *stating*, *commanding*, *asking*, and so on. For example:

> *He said something.*
>
> *He told us a story.*
>
> *He informed the police of the burglary.*
>
> *He stated that he was innocent.*
>
> *He commanded that roads be built to link the isolated villages.*

In a typical verbal process, a participant (the Sayer) addresses another participant (the Receiver) a message, i.e. the content of saying. In English, the content of saying is an essential component in a verbal clause, whereas the Receiver is optional. The content of the saying can be construed as a participant (the Verbiage), or it can be presented as a separate clause (a locution) as quoting or reporting as shown in the following examples.

Sayer	Verbal process	Receiver	Verbiage
She	*told*	*me*	*a story* (verbiage)
She	*told*	*me,*	'*it is raining heavily.*' (verbatim)
She	*told*	*me*	*that it was raining heavily.* (reporting)

Verbal processes also include semiotic processes such as showing, indicating, hinting etc. For example:

> *The data shows that there is no significant relation between the two variables.*
>
> *The findings indicate that he is the real murderer.*
>
> *The Principle hinted he might make some changes in the school.*

Comparing a verbal clause as in '*she told me a story*' and a circumstantial clause as in '*the police surrounded the suspect's house*', the Verbiage '*a story*' in the verbal clause is very similar to the Circumstance '*the suspect's house*' in the circumstantial clause. Verbal processes are thus in between relational processes and mental processes.

Behavioral processes

Behavioral processes share the characteristics of material processes and mental/verbal processes. According to Martin, Matthiessen, and Painter (1997: 109), behavioral processes 'construe (human) behavior, including mental and verbal behaviors, as an active version of verbal and mental processes.' In other words, the processes of saying and sensing are construed as activities as shown in the following examples.

Behavioral process	Mental / verbal process
He was looking at Mary.	He saw Mary.
He was listening to music.	He heard some music.
He was thinking of you.	He thought that you should come.
He was shaking with fear.	He feared that he might die.

In a typical behavioral process, the participant (the Behaver) is an animate. For example:

Behaver	Behavioral process	Circumstance
Marianne	*was laughing*	*whole heartedly.*
Both of the men	*were shivering*	*in the cold wind.*

Sometimes, the Behaver may not be the sole participant in the clause. Unlike the Goal in the material process of doing, the second participant here does not affect by the process and has the semantic characteristics of the Circumstance of Range or the Phenomenon in mental processes. For example:

Behaver	Behavioral process	Range/Phenomenon
Mary	*was watching*	*the soccer match.*
Rebecca	*was looking at*	*the doctor*

Behavioral processes express (animate) behavior, including mental and verbal behavior. These processes express sensing and saying as activity; they are thus in between material processes and mental processes. Unlike mental processes, but like material processes, the topical representation of present time of a behavioral process is the progressive aspect such as *watching*, *listening*, *tasting*, *chatting* etc. Furthermore, behavioral processes cannot report, i.e. occurring as a locution.

Existential processes

Existential processes share the characteristics of relational processes and material processes. An existential process is a minor process between relational and material process. In an existential process, the speaker introduces a participant (the Existent) into the scene. For example:

	Existential process	**Existent**
There	*is*	*a tiger*

In the above example, 'there' signals the process type as existential; however, it does not function as a circumstance or as a participant. There may be a circumstance in an existential clause; for example,

	Existential process	**Existent**	**Circumstance**
There	*is*	*a tiger*	*under the bridge.*

If a circumstance of location occurs in the clause, there is an alternative expression:

Circumstance	**Existential process**	**Existent**
Under the bridge	*is*	*a tiger.*

Like relational processes, existential processes express a participant involving in a process of being. However, unlike relational processes, but like material processes of event, there is

only one participant in the clause. They are thus in between material processes and relational ones.

At this point, we can tabulate the participant roles in the various process types in the following table.

Process types	Essential Participant roles	Examples
Material action- transitive	Actor + Goal	She murdered someone.
action- ditransitive	Actor + Beneficiary + Goal	She bought a present to her kid.
	Actor + Goal + Beneficiary	She bought her kid a present.
intransitive	Actor	The sugar dissolved in the coffee.
	Actor + Range	She climbed the mountain.
Behavioral	Behaver	She was laughing wholeheartedly.
Mental perception	Senser/Experiencer + Phenomenon	She saw a car.
affection		She liked his music.
cognition		She forgot his name.
quoted		She thought, 'It's a beautiful day.'
reported		She thought that it was a beautiful day.
Verbal quoted	Sayer + Receiver + Verbiage	She told her kid a story.
		She told her, 'It's a beautiful day.'
reported		She told her kid that it was a beautiful day.
Relational attributive	Carrier + Attribute	She was pretty smart.
identifying	Identified/Token + Identifier/Value	She was the class representative.
	Identifier/Value +	The class representative was her.

	Identified/Token	
possessive	Possessor + Possession	*She had a dog.*
circumstantial	Carrier + Circumstance	*She was at the roof last night.*
Existential	Existent	*There was a girl on the roof.*

Table 8.3: Essential participant roles in various process types

Identify the process types of underlined verbs of the clauses in the following text.

[a] <u>Walking</u> aimlessly on a beach last week, I [b] <u>was caught</u> in a sudden thunderstorm. I [c] <u>took</u> shelter under a tree while I [d] <u>looked</u> in my backpack for my umbrella desperately. It [e] <u>was</u> missing. [f] <u>Standing</u> in the rain I [g] <u>felt</u> miserable. Gradually the rain [h] <u>slackened</u>. I quickly [i] <u>decided</u> to [j] <u>leave</u> my tree and [k] <u>run</u> to the bus shelter. When I [l] <u>reached</u> the shelter some people [m] <u>were waiting</u> there. They [n] <u>told</u> me politely that it [o] <u>was</u> dangerous to [p] <u>shelter</u> under trees during thunderstorms.

Identify the process types of underlined verbs of the clauses in the following text.

Local media (1) had <u>carried</u> headline stories about Sunshine Max, part politician, part movie star. On evening TV news, he (2) <u>was</u> there, a grin, eyes sparkling. Young people (3) <u>screamed</u> with arms in the air, crowds gaped open-mouthed as he (4) <u>walked</u> past.

He (5) had <u>helped</u> firemen (6) <u>evacuate</u> elderly men (7) <u>trapped</u> in cage like tenements from (8) being <u>burnt</u> to cinders. A hero.

Who (9) is this Sunshine boy? She (10) wondered.

A man in his twenties with well-proportioned features and a strong jaw, certainly photogenic, like a pop star, Canto-pop. He (11) reminded her of someone she (12) knew but (13) could not place.

What intrigued Eve (14) was the sentence (15) quoting Max as (16) saying, 'I (17) have space in my hostel *Memory House* (18) to help provide temporary accommodation for the homeless. But you (19) need a concerted community effort and I (20) appeal to the community for support. One man's effort is not enough.'

Circumstance Types

An action or an event must occur in some particular circumstances in the material world; however, to construe an event in a clause from the perspective of the representational metafunction, the circumstances are optional as shown in the following examples.

Actor	Transitive process	Goal	Circumstance
Peter	*murdered*	*his wife.*	
David	*took*	*a taxis*	*to school.*
The dog	*chased*	*the thief*	*down the road.*

The circumstances (i.e. '*to school*' and '*down the road*') in which the events took place are mentioned in the second and the third examples but not in the first one. Although there is no Circumstance in this clause, we know that virtually the Actor '*Peter*' must murder the Goal '*his wife*' at a particular location in a particular time. However, in English, the circumstances are optional in a clause when they are understood or not relevant in the text.

There can be a number of types of circumstances in an English clause. Let's illustrate this with the following examples:

Participant	Process	Participant	Circumstance
Peter	*murdered*	*his wife.*	
Peter	*murdered*	*his wife*	*last month.*
Peter	*murdered*	*his wife*	*in their apartment last month.*
Peter	*murdered*	*his wife*	*in their apartment in Paris last month.*
Peter	*murdered*	*his wife*	*In a brutal way in their apartment in Paris last month.*
Peter	*murdered*	*his wife*	*In a brutal way in their apartment in Paris last month because of you.*

In the first example, no circumstance is given in the clause. In the second example, there is a temporal circumstance, providing the time that the murder took place. In the third example, apart from the temporal circumstance, there is a spatial circumstance, providing the information of where the murder occurred. In the fourth example, there are one temporal and two spatial circumstances. In the fifth example, apart from temporal and spatial circumstance, there is a circumstance of manner, telling the readers the way that Peter murdered his wife. In the last example, an additional circumstance of reason is added, providing the information of why the murder took place. As a matter of fact, we can continue to add more circumstances to the clause. We should note that although all the circumstances are added at the end of the clause in the above examples, circumstances can in fact occur in the other places of a clause. For example, it is possible to thematize the temporal circumstance such as '*Last night Peter murdered his wife*'. It is also possible for the circumstance to be placed in the middle of the clause such as '*Peter finally murdered his wife*'.

In general, circumstances provide information on when, where, why and how the event is taking place. In English, there are numerous types of circumstance as shown in Table 8.4.

Circumstance Type	Typical probe	Example realisation	Subcategory	Subcategory probe
Extent	how ___ ? at what intervals?	for three hours every three hours	temporal	for how long?
		ever second step for six miles	spatial	how far?
Location	at what point?	in September before tea	temporal	when?
		in the yard from Paris	spatial	where?
Manner	how?	with a hammer by trickery	means	by what means?
		quickly	quality	how?
		like a top	comparison	what like?
Cause	why?	because of you thanks to him	reason	Why?
		for better result in the hope of a good deal	purpose	For what purpose
		on behalf of us	behalf	On whose behalf?
Contin-gency	in what circumstance?	in the event of rain without more help	condition	Under what conditions?
		in spite of the rain	concession	Despite what?
		in the absence of proof	default	Lacking what?
Accomp-animent	together with?	with(out) his friends	comitative	Who/what with?
		as well as them instead of them	additive	And who/what else?
Role		as a concerned parent	guise	What as?
		(smashed) into pieces	product	What into?
Matter	what about?	about this with reference to that		
Angle	says who?	according to the Shorter Oxford		

Table 8.4: Types of circumstance (excerpted from Martin, Matthiessen & Painter 1997:104)

In the previous sections, we examined how we construe our experience towards the physical world, the world of consciousness, and the world of various modes of being. We also examined how we theorized an event into three components: participant, process, and circumstance in a clause. Our experience, on the other hand, also includes our interpretation of the relationship between events. This is known as the logical metafunction. We will examine this metafunction in the following section.

Logical metafunction

In traditional grammar, when two or more clauses are joined together, they form a compound sentence, a complex sentence, or a compound–complex sentence. In SFL, it is known as clause complex. Clauses within a complex are related grammatically in terms of two language resources: taxis and logico-semantic types. Taxis refers to the interdependency between the clauses in a complex; whereas, logico-semantic types refer to logical relationship in terms of meaning between clauses.

Taxis

There are two basic types of interdependency between the clauses in a complex: hypotaxis and parataxis. Hypotaxis refers to the modifying relation between a dominant clause and a dependent one, whereas, parataxis refers to the developing relation between an initiating clause and a continuing one, in which neither of them is grammatically dependent on the other. For example:

> *When you eat a cooked fish, you should not turn it over to get at the fresh on the other side of it.* (Hypotaxis)
> *She waved goodbye and climbed onto the train.* (Parataxis)

In the first example, the first clause '*When you eat a cooked fish*' is said to be dependent upon the second one '*you should not turn it over to get at the fresh on the other side of it*'.

As a matter of fact, the first clause (known as dependent clause) functions as a circumstance, giving us the information of the situation upon which the proposal expressed in the second clause (known as dominant clause) is held. So the two clauses have different status: grammatically, we say that a dominant clause can stand by itself while a dependent clause cannot; and semantically, a dominant clause construes an event while a dependent clause provides additional information of it (the circumstance in this case). In technical terms, we can say that a dominant clause can stand as 'an independent functioning whole' (Martin, Matthiessen & Painter 1997:168).

In the second example, the two clauses are linked in a paratactic relation. Both of them have the same status: grammatically, each clause can stand by itself; and semantically, each clause can construe an event. In other words, each clause can stand as an independent functioning whole and thus have equal status. More examples are provided in the following table.

Parataxis	Hypotaxis
My apartment was a mess after the storm; the windows were broken, the sofa was soaked with water, my books were all over the floor.	It was a mess in my apartment, which was badly savaged by the storm.
The windows were broken, and the sofa was soaked with water.	After the windows of my apartment were broken by strong wind, the sofa was soaked with water.
The storm was strong so the windows of my apartment were broken.	My apartment was a mess because of the storm.
Peter said, 'my apartment was a mess after the storm.'	Peter said that his apartment was a mess after the storm.
'It is really a mess', Peter thought.	Peter thought that his apartment was really a mess.

Table 8.5: Examples of parataxic and hypotaxic clause complex

Logico-semantic type

The clauses in a clause complex are linked to each other not only in terms of taxis but also in terms of logico-semantic relation. There are two general types: expansion and projection. Expansion includes the meanings realized by conjunctions, whereas projection includes direct and indirect speech and thought.

The relations of expansion can be further differentiated into three types: elaboration, extension, and enhancement. In an elaborating relationship, one clause expands another clause by elaborating on it; in an extension relationship, by extending beyond it; and in an enhancing relationship, by embellishing around it. Let's examine the following examples.

She is talking about the little girl || who wondered aimlessly along the beach this morning. (Hypotaxis: elaboration)

The girl looked terrible; || her dress was wet, dirty, and torn. (Parataxis: elaboration)

The first example is a hypotactic elaborating complex. The dependent clause '*who wondered aimlessly along the beach this morning*' is realized by a relative clause. The relationship is considered elaboration because the dependent clause provides an elaborating description or comment of the little girl. The second example is a paratactic elaborating complex. The two clauses have equal status. The second clause specifies the first clause so that the readers can visualize how terrible the girl looked.

Now I can walk to work || instead of going by car. (Hypotaxis: extension)

The students cleaned the white board; || and put their chairs back to their original places. (Parataxis: extension)

The first example is a hypotactic extending complex. The dependent clause '*instead of going by car*' provides the readers additional (though adversative) information of how the narrator goes to work. The second example is a paratactic extending complex. The two

clauses have equal status. The second clause also provides the readers additional information of what the students did.

> *I won't follow the instructions || because I don't think they work.* (Hypotaxis: enhancement)
>
> *I spent half of my salary on the tuition fee || so I have to go for those bargains in the sale.* (Parataxis: enhancement)

The first example is a hypotactic enhancement complex. The dependent clause '*because I don't think they work*' is realized by an adverbial clause. The relationship is considered enhancement because the dependent clause provides a reason for the narrator's decision of not to follow the instructions. The second example is a paratactic enhancement complex. The two clauses have equal status. The second clause provides the readers information about the consequence of the narrator spending half of his/her salary on the tuition fee.

Projection refers to the relations between a mental or verbal clause and the content, which the clause quotes such as '*Your mum said (that) you must finish your lunch before you could go to the playground*' or reports such as '*Your mum said, "Peter must finish his lunch before he can go to the playground"*'. In a clause complex, while the mental and verbal clause in a projection is known as projecting clause, the content is realized in a projected clause. For example:

	Projecting clause	Projected clause
Paratactic projection (quoting)	*Your mum said*	*"Peter must finish his lunch before he can go to the playground"*
	Your mum thought	*"Peter must finish his lunch before he can go to the playground"*
Hypotactic projection (reporting)	*Your mum said*	*(that) you must finish your lunch before you could go to the playground*
	Your mum thought	*(that) you must finish your lunch before you could*

		go to the playground

Table 8.6: Examples of parataxic and hypotaxic projections

In the examples above, '*Your mum said…*'is a verbal clause while '*Your mum thought…*' is a mental one because the former concerns a locution while the latter an idea. In SFL, quoting is considered a paratactic projection and reporting a hypotactic one. In the projecting clause, we find the components of 'Sayer' or 'Sensor', and the verbal process or the mental process. In the projected clause, we find the content, i.e. a locution in a verbal clause or an idea in a mental clause. The following figure summarizes the options of clause complex relations.
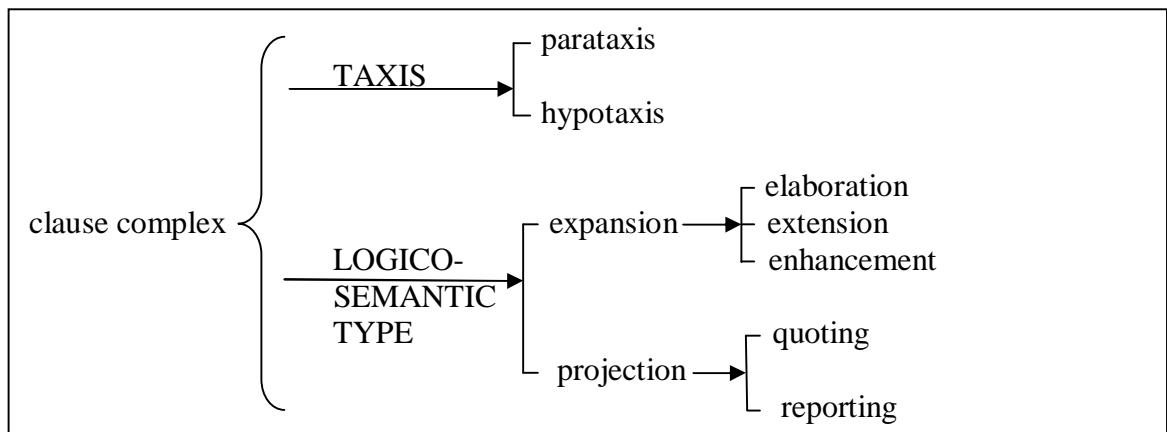
Table 8.7: Summary of clause complex options

Application

Systemic Functional Linguistics is considered an 'appliable' theory. In the previous sections, we examined the ideational metafunction. In this section, we will discuss the findings of a research paper to illustrate how the knowledge of ideational metafunction is applied in the analysis of news English.

The paper that we examine here is written by Li and Chan (2011), entitled 'Sino-US ties through sociolinguistic lens'. The paper explored how the Sino-US relations were reflected in the reports and commentaries in the newspapers from different societies. Adopting the perspective of systemic functional linguistics, Li and Chan examined the news coverage of Hu's U.S. visit in 2011 in six newspapers: the *China Daily* (Mainland China), the *South China Morning Post* (Hong Kong), the *Tai Pei Times* (Taiwan), the *Washington Post* (the United States), *The Guardian* (the United Kingdom), and the *Sydney Morning Herald* (Australia). Li and Chan categorized all the new items according to their contents and analyses the language used in the headlines in order to investigate the concerns over the issue from the perspective of different societies reflected in the newspapers and to describe the images of the two important news actors – President Hu and President Obama – portrayed in them.

The paper analyzed the language used in news items in terms of the three metafunctions. As we have not explored the interpersonal and textual metafunctions, we only describe their finding on the portrayal of President Hu and President Obama here because their images arise mainly from the language used in the transitivity, i.e. the representational metafunction.

In Section C of the paper, Li and Chan described how the images of Hu and Obama were portrayed in the headlines of all news items, focusing on the three core issues of the Sino-US ties: first, the context of Sino-US relations (including the political relation and military relation); second, the Sino-US economic relations (including the Yuen exchange rate); and third, human rights (including the issue of Tibet and the democracy in China), in the six newspapers in general, and in the *China Daily* and the *Washington Post* in particular.

The *China Daily*, as expected, portrayed a very positive image of Present Hu's contribution to the improvement of the Sino-US relations. This image was built up through the choices of process type used in the headlines. Before Hu visited America, the visit was foreseen as not only providing a '*good opportunity*' but actually helping to '*chart course for future*'

relationship with the United States. During the visit, President Hu was construed positively as an active participant who had initiated various actions for the development of the Sino-US ties during and after the visit. This active and constructive image was construed in the various participant roles in which Hu took part: first, the role of 'Actor' who '_sets_ vision for strong ties', '_makes_' and '_initiates_ proposal to advance Sino-US ties', '_maps_ road ahead for ties' and takes action to lubricate the development of the relations; second, the role of 'Senser' who '_sees_ broader basis for Sino-US co-op'; and third, the role of 'Sayer' who '_urges_ US Congress' to further facilitate ties' and announces the progress. And after the visit, Hu's efforts were evaluated as contributing in the respect of '_sketching blueprint for China-US ties'_.

In contrast, the _Washington Post_ exhibited a more neutral, if not negative, picture of Hu, who was construed to play an overtly 'passive' role in the building of the Sino-US relationships. The image was again formed through the choices of process type in the headlines. Before the visit, Hu was construed as a passive 'Sayer' who '_answers_ questions with Washington Post', and a 'Senser' who '_looks_ for "common ground" with U.S.'. During the visit, Hu was also construed as a passive 'Actor' who '_meets_ with lawmakers' and 'Senser' who '_hears_ concerns on human right'.

The US President Obama, on the other hand, was rarely thematized alone in the headlines of the news items in the _China Daily_. Before the visit, Washington and the United States were described as '_set[ting] to welcome Hu in grand style_' and '_hope to see a stronger relationship'_. In such course, President Obama was projected as the collaborator in the course of developing the relations. For instances, _Chinese, U.S. presidents start talks at White House_; _Hu, Obama vow to deepen China–U.S. ties_. In the _Washington Post_, President Obama was also rarely thematized alone in the headline of a news item during the visit. Only after Hu's visit was Obama portrayed with an active role to host Hu Jintao on state visit and to press China on human rights. So in short, Obama was portrayed as achieving very little in this visit.

Apart from the participant roles, the *China Daily* construed a positive image of Hu's visit to the future Sino-US relationship through other language resources:

(1) the qualification of the major participant in the headlines such as '*stable Sino-US ties*', '*landmark trip*', '*new chapter*', '*historic masterstroke*', '*common interests*', '*mutual benefit*', and '*growing role*';

(2) the qualification of other participants in the headlines such as '*big chance for progress*', '*a platform for stronger bond*', '*new era of cooperation*'; and

(3) the positive connotation of words themselves such as '*milestones*', '*progress*', '*masterstroke*', '*bond*', '*benefit*' and '*cooperation*'.

In the *Washington Post*, there was only one news item published on the last day of Hu's visit with a headline entitled '*Summit yields gains for both China and U.S.*', which seemed to carry a positive connotation; however, the positive denotation of '*gains*' was subtly implicated as a sort of compromise through the choice of the process '*yields*'. Other headlines before and after Hu's visit were, in general, negative. For instance: *In China, a sometimes-opaque divide between power of party and state* and *Mistrust stalls U.S.-China space cooperation*.

The above description is only a small part of the findings through the analysis of representational metafunction. However, it shows how images are portrayed through the selection of process types in the headlines. It also shows that the two newspapers – the *China Daily* and the *Washington Post* – though supposed to be neutral and objective, are in fact ideologically bound.

Conclusion

Starting from this chapter, the description of grammar moves its focus from form into function. This description of grammar from the functional perspective can be considered

the other side of the coin, complementing and in fact strengthening the description of the former. This functional approach focuses on the meaning (in terms of function) and the context of language. From a systemic functional perspective, there are three modes of meaning (technically known as metafunction), namely ideational, interpersonal and textual. In this chapter, we examined the representational metafunction, which concerns how we construe our experience in the world. These include how we construe our experience towards the physical world through material processes, our experience towards the world of consciousness through mental processes, and our experience towards the world of various modes of being through relational processes. Lying between these three major processes, there are three minor processes, which share the characteristics of these major ones. These minor processes include behavioral processes, verbal processes and existential processes. Involving in every process are participants, which play different roles in different processes. Process and participant(s) form the core of an event, which occurs in certain circumstances. In English, process and participant(s) are essential components in a major clause, whereas circumstances are optional. We also examined the logical metafunction, which concerns how we interpret the logical relation between events of our experience. Lastly, we examined an academic paper that made use of the knowledge of representational metafunction to analyze how newspapers construed the images of President Hu and President Obama in Hu's US visit in 2011.

Enacting Relationship

9

Introduction

Starting from the previous chapter, we described the grammar of English from the systemic functional perspective, which emphases the function and the context of language. There are three types of metafunction – ideational, interpersonal, and textual. We examined the ideational metafunction, which concerns how we construe our experience in the world, including the physical world, the world of consciousness and the world of various modes of being. In this chapter, we will examine another metafunction – the interpersonal metafunction. This metafunction concerns how we use language to enact relationship with others, including how we use language (1) to interact and keep the conversation going, (2) to get things done, and (3) to express our attitude towards the events encoded in the language. In this chapter, we will examine how we use language to perform the above three functions. Then, in the final section, we will look at a study that uses this knowledge and applies it to a real world issue.

Keeping the conversation going

Interpersonal metafunction is a mode of interaction; the continuity of a conversation is collaborative in nature, i.e. the interactants of a conversation take turn to be the speaker to keep the conversation going. Let's illustrate with a short excerpt from *The Catcher in the Rye*.

[1.1] *"Have a seat there, boy," old Spencer said.* [1.2] *He meant the bed.*

[1.3] *I sat down on it.* [1.4] *"How's your grippe, sir?"*

[1.5] *"M'boy, if I felt any better I'd have to send for the doctor," old Spencer said.* [1.6] *That knocked him out.* [1.7] *He started chuckling like a madman.* [1.8] *Then he finally straightened himself out and said, "Why aren't you down at the game?* [1.9] *I thought this was the day of the big game."*

[1.10] *"It is.* [1.11] *I was.* [1.12] *Only, I just got back from New York with the fencing team," I said.* [1.13] *Boy, his bed was like a rock.*

[1.14] *He started getting serious as hell.* [1.15] *I knew he would.* [1.16] *"So you're leaving us, eh?" he said.*

[1.17] *"Yes, sir. I guess I am."*

In the excerpt, the two characters – old Spencer and the narrator of the story 'I' – took turn to be the speaker in the conversation. We can identify two types of move – initiating and responding. For example, old Spencer initiated a command in [1.1], the narrator complied and sat down. Then the narrator initiated a question in [1.4], old Spencer responded with the answer in [1.5]. And old Spencer initiated a question in [1.8] and [1.9], the narrator responded on [1.10] to [1.12] and so on. We can also observe that the speaker who takes up the floor to contribute in the process of conversation adopt a particular speech role '*I*' and assigns the other interactant a complementary role '*you*' in each turn. For example, when old Spencer spoke, he used '*you*' to refer to the narrator in [1.8] and '*I*' to himself as the speaker in [1.9]. When the narrator took the turn in [1.10], he also used '*I*' to refer to himself. This is what Halliday and Matthiessen (1999:525) point out:

the interpersonal metafunction is 'language in its "first and second person" guise, the interaction of a "me" and a "you"'.

Getting things done

Interpersonal metafunction is also a mode of action: the interactants use language to get things done. In SFL, speech function is the notion that generalizes the things that the interactants of a conversation can do through the use of language.

Speech functions

Being the speaker, old Spencer and the narrator intended to do a number of things through language in the examples above:

(1) Old Spencer:
- gave a directive to command Holden to have a seat in [1.1];
- gave information as a response to Holden's question in [1.5];
- asked Holden for information in [1.6];
- gave information of what he thought in [1.9]; and
- asked Holden for further information in [1.16]

(2) Holden ('I'):
- asked old Spencer for information about his grippe in [1.4];
- gave information as a response to old Spencer's question from [1.10] to [1.12]; and
- gave further information as a response to old Spencer's further question in [1.17].

In this interactive event, the speakers are either giving out or demanding something from the hearers. In technical terms, there are two basic orientations of the speaker: that of giving and that of demanding. The former includes [1.1], [1.5], [1.9] to [1.12] and [1.17], and the latter [1.4], [1.6] and [1.16].

The 'something' (or commodity) that is given or demanded may be linguistic in nature (e.g., information or opinion) or non-linguistic (e.g., command to act). The former includes [1.4], [1.5], [1.6], [1.9] to [1.12], [1.16] and [1.17], and the latter [1.1] only.

The interplay of these two dimensions gives four basic speech functions: statement, question, offer, and command. They are tabulated in Table 9.1.

commodity orientation	[information]	[goods-&-services]
[giving]	statement	offer
[demanding]	question	command

Table 9.1: Speech functions in an interactive event

The choices of orientation and commodity can be expressed in the system of SPEECH FUNCTION:
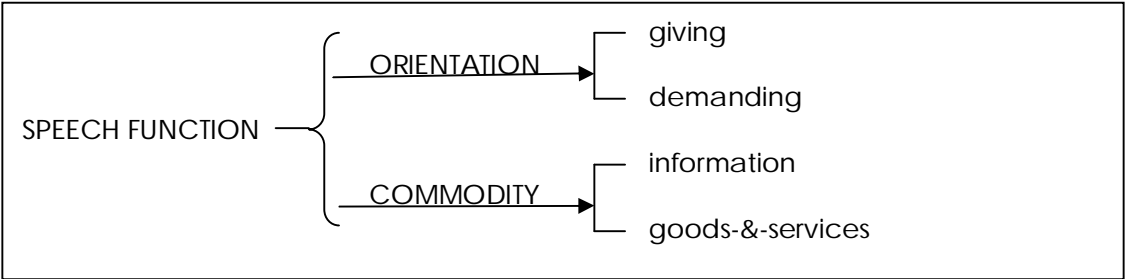
Figure 9.1: The system of SPEECH FUNCTION

Activity 9.1

Identify the speech functions in the following dialogue.

Jane: (1) I'm awfully sorry!

John: (2) It's all right.

   (3) Don't worry.

Jane: (4) Is anything broken?

John: (5) No, no.

Jane: (6) No eggs in your shopping bag, I hope.

John: (7) No. Just potatoes and junk food.

Jane: (8) Oh good!

        (9) I mean, I'm glad nothing was broken.

        (10) I don't mean that I'm glad you're buying junk food!

Mood Type

In the interpersonal mode of meaning, the speech functions are encoded in various mood types. In English, there are two major distinctive mood types: indicative and imperative. The basic message of an indicative clause is 'I give you this information' or 'I demand you this information', while the message of an imperative clause is 'I demand you to do something' or 'I want us (you and me) to do something'. The indicative mood can further divide into declarative mood and interrogative mood. Let's examine a short excerpt from Paulo Coelho's *The Alchemist*.

Text 9.2

[2.1] *The Englishman shook the boy: "Come on, ask her!"*

[2.2] *The boy stepped closer to the girl, and when she smile, he did the same.*

[2.3] *"What's your name?" he asked.*

[2.4] "Fatima," the girl said, averting her eyes.

[2.5] "That's what some women in my country are called."

In the above conversation, we can find some examples of them as shown in Table 9.2.

Mood Type	Examples
declarative	*(My name is) Fatima.* *That's what some women in my country are called.*
interrogative	*What's your name?*
imperative	*Come on, ask her!*

Table 9.2: Examples of mood types

Apart from the declarative, interrogative, and imperative moods, some grammarians distinguish exclamative as a separate mood type. For example, How lazy (you are)! What a mess (that is)! Wonderful! Exclamative mood, however, can be considered as a subtype of declarative because similar to a declarative clause, an exclamative clause also provides information, though the information concerns the subjective emotion of the speaker. Next we will look at the components that we need to be able to identify to carry out a Mood analysis.

In the previous chapter, we learnt that the functional components for ideational metafunction are Participant, Process, and Circumstance. The functional components for the interpersonal metafunction are Subject, Finite, Predicator, Complement, and Adjunct.

The Subject is the element upon which the validity of the proposition is based. To be more specific, the Subject of a clause 'supplies the rest of what it takes to form a proposition: namely, something by reference to which the proposition can be confirmed or denied' as in example [3.1], or it 'specifies the one who is responsible for the success of the proposal' as in [3.2] (Halliday and Matthiessen 2004:117). In [3.1], '*Mary*' is the Subject of the clause upon which the proposition expressed in the clause is upheld by speaker A, and denied by speaker B. In [3.2], the Subject – speaker B, the one assigned with the speech role '*you*' – is specified by speaker A to be responsible to '*get the file*'.

[3.1]   A: _Mary got the Outstanding Award last year._

  B: _It wasn't Mary. It's Marian who got the award._

[3.2]   A: _Could you please get the file for me?_

  B: _Sorry, I'm terribly busy. Ask Peter to do it._

The Finite in English is the element which makes a clause negotiable in two ways: (1) by coding the clause as positive or negative as in [4.1], and (2) by grounding the clause in terms of time or in terms of modality as in [4.2]. We will further discuss the issue of polarity and modality in the following section.

[4.1]   A: _I'm going to a movie this evening._ (positive)

  B: _Aren't you taking your English examination tomorrow?_ (negative)

[4.2]   A: _I usually have a cup of black coffee after dinner._ (present)

  B: _They may not serve black coffee here._ (modality)

The Predicator specifies the process that is predicated on the Subject such as '_A dragon guarded the treasure_'. The verb of a clause is always in concordance with the Subject as shown in the following examples.

[5.1]   _I'm sorry. I was only joking._
[5.2]   _They meant no harm. They were only joking._

The Complement is an element that has the potential of being the Subject in the clause. Let's illustrate with the following example: In [6.1], both '_Susan_' and '_two cones of ice cream_' are Compliments as they are potential Subjects. In [6.2], '_Susan_' is fronted and takes the functional role of Subject in the second clause, while in [6.3], '_two cones of ice cream_' becomes the Subject of the second noun clause.

[6.1] A: *I bought <u>Susan</u> <u>two cones of ice cream</u>*.

[6.2] B: Are you kidding? <u>Susan</u> ate two cones of ice cream.

[6.3] A: *No, what I said is <u>two cones of ice cream</u> were brought and given to Susan*.

Finally, the Adjunct is an element that depicts the circumstance and modal assessment of the proposition or proposal expressed in the clause. Let's illustrate our points with the following examples: In [7.1], '*from boxing*' is encoded as an Adjunct, which expresses the circumstance upon which the narrator has a feeling of pleasure. In [7.2], '*certainly*' is analyzed as an Adjunct, which expresses the speaker's modal assessment in terms of probability on the proposition expressed in the clause.

[7.1] *I get a big kick <u>from boxing</u>*. (circumstance)

[7.2] *She <u>certainly</u> will not find boxing exciting.*   (modal assessment)

Each mood type in English has its distinctive structure, which distinguishes them from the others, as seen in our analysis of Text 7.2 above. Mood types are closely associated with the four speech functions that we examined in the previous section. Statements are congruently expressed in declarative clauses, questions in interrogative clauses, and command in imperative clause, whereas offers have no congruent realization as shown in Table 9.3.

Speech functions	Mood types	Examples
statement	declarative	[1.5]; [1.9]; [1.10]; [1.11]; [1.12]; [1.17]
question	interrogative	[1.4]; [1.8]; [1.16]
command	imperative	[1.1]
offer	no congruent realization	no incidence found

Table 9.3: Speech functions and mood types

In English, mood type is intrinsically realized grammatically – i.e., it is created and identified by the presence and the order of the functional components of mood. A clause in English

can be divided into two parts: Mood and Residue. The Mood contains the Mood elements, which differentiates the mood types while the rest of the clause is called the Residue. Mood elements are Subject and Finite. The structures of declarative, interrogative, and imperative moods are manifested in the presence and the order of Subject and Finite in the clause. For example, in the sentence '*In fact he may know the truth of the matter*' the Mood elements are the Subject 'In fact he' and the Finite 'may' and the Residue is the remaining part of the sentence 'know the truth of the matter'. An analysis of the sentence is provided below.

In fact	*he*	*may*	*know*	*the truth of the matter*
Mood			**Residue**	

The declarative mood expresses a statement, through which the speaker is giving out information. The typical order of mood elements in the declarative mood is Subject ^ Finite. The declarative mood is the most common one among the three mood types. There may be more than one Adjunct and Complement in the clause. An example of a declarative sentence is given below. In this example, you will note that the Subject of the clause is '*Napoleon*'. It is the element upon which the validity of the proposition is based. In the example, the Subject is followed by the word '*butted*', which embodies two components: the Predicator and the Finite. These two components are separated in emphatic form 'did butt'. So the order of mood elements in this declarative sentence is Subject ^ Finite.

Napoleon	*butted*		*the door*	*open*	*with his shoulders.*
Mood		**Residue**			
Subject	**Finite (past marker 'ed')**	**Predicator (but)**	**Complement**	**Adjunct**	**Adjunct**

The interrogative mood expresses a question, through which a speaker can demand information from the hearer. In English, there are two major types of interrogatives: polar

type (expressing a yes-no question) and wh- type (expressing an open-ended question). In both cases, the typical order of mood elements is Finite ^ Subject. An example of a polar question is given below. In this example, you will note that the Finite '*Will*' is fronted to precede the Subject '*there*'. So the order of mood elements in this polar question is Finite ^ Subject.

Will	*there*	*still*	*be*	*sugar*	*after the Rebellion?*
Mood		**Residue**			
Finite	**Subject**	**Adjunct**	**Predicator**	**Complement**	**Adjunct**

An example of a wh- question is given below. In this example, you will note that the Finite '*do*' is also fronted to precede the Subject 'we'. So the order of mood elements in this wh- question is also Finite ^ Subject.

Why	*then*	*do*	*we*	*continue*	*In this miserable condition?*
Re-		**Mood**		**-sidue**	
Complement	**Adjunct**	**Finite**	**Subject**	**Predicator**	**Adjunct**

The imperative mood realizes a command, through which the speaker is demanding goods-&-services from the hearer. The typical feature of imperative clause is the absence of the Subject as shown in the following example. In this example, '*Boxer*' is not the Subject of the imperative clause but a Vocative, which identifies the addressee in the conversation. The Subject is omitted though its referent is recoverable in the context.

Boxer!	*Get out!*	
	Get out	*quickly!*
	Residue	
Vocative	**Predicator**	**Adjunct**

As can be seen in the descriptions above, the structures of the declarative, interrogative, and imperative mood types are determined by the presence or absence of Subject and the ordering of Subject and Finite. These relationships have been summarized in Table 9.4 below.

Mood types	+/- Subject	Order
declarative	+ Subject	Subject ^ Finite ^ Predictor
interrogative	+ Subject	Finite ^ Subject ^ Predicator
imperative	- Subject	Predicator ^

Table 9.4: The realization of mood types

The relation between speech functions and mood types in English is depicted in Figure 9.2. The arrows with broken line represent the realization between various speech functions and mood types.
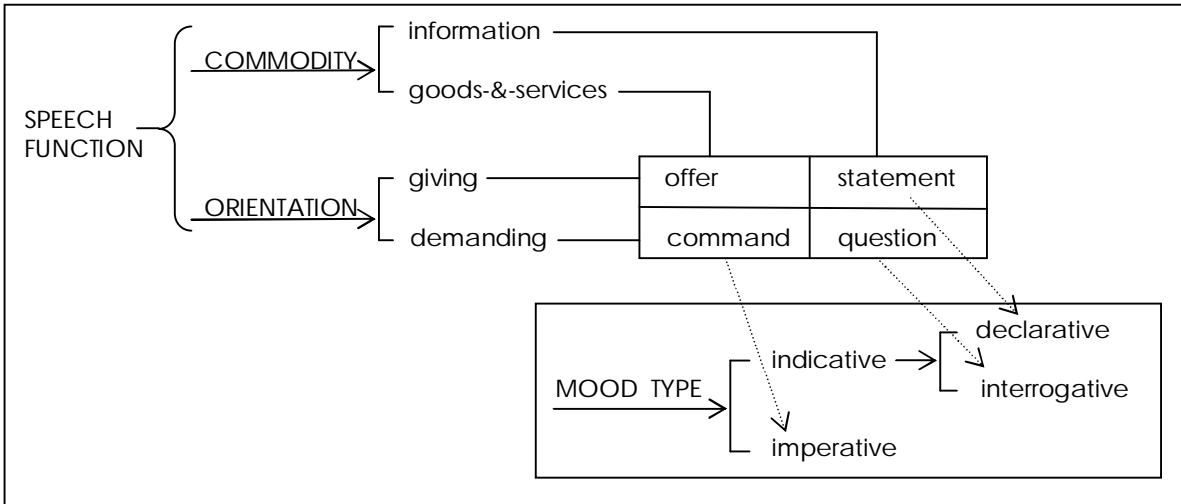
Figure 9.2: Realizational relation between SPEECH FUNCTION and MOOD TYPE

Expressing our attitude

The interpersonal mode of meaning concerns how we use language to enact relationship with others, including how we use language to interact and keep the conversation going, to get things done, and to express our attitude towards the events encoding in the language. In the previous sections, we examined the first two functions. In this section, we explore how we use language to express our attitude in English. We focus only on two language resources: polarity and modality. Polarity refers to 'positive' or 'negative' (i.e. 'is' or 'is not') of a proposition, and 'yes' or 'no' (i.e. 'do' or 'do not') of a proposal expressed in a clause. Modality, on the other hand, is the grey area between the two poles. Speakers of English use language resources to indicate their modal assessment of the proposition or proposal expressed in the clause.

Polarity

All the mood types can be either positive (e.g., *Rebecca is the thief*) or negative (e.g., *Rebecca is not the thief*). The following examples are exerted from *Animal Farm*.

Mood Types	Polarity	Examples
declarative	positive	*Man is the only creature that consumes without producing.*
	negative	*He does not give milk, he does not lay eggs …*
Interrogative – wh-	positive	*No, comrades, what is the nature of this life of ours?*
	negative	*Can you not understand that liberty is worth more than ribbon?*
Interrogative – yes/no	positive	*But is this simply part of the order of nature?*
	negative	*Is it not crystal clear, then, comrades, that all the evils of this life of ours spring from the tyranny of human being?*
imperative	positive	*Remove Man from the scene.*
	negative	*Even when you have conquered him, do not adopt his vices.*

Table 9.5: Mood types and polarity

In English, positive polarity is the default case, i.e. the unmarked form. This can be gauged by the fact that texts with positive polarity do not need any marker. Negation, on the

other hand, is expressed either with a negative marker '*not*' or with an interpersonal Theme '*No*'. We will examine the notion of Theme in the Chapter 8. Here, we focus on the negative marker '*not*'. The negative marker 'not' in English is located within the Mood element of the clause. It is always placed between the Finite and the Predicator in a clause. In the analysis, we may classify it as mood Adjunct. Let us look at a few examples to understand this better.

He		does	not	give	Milk,
he		does	not	lay	eggs …
Mood				Residue	
Subject		Finite	Adjunct	Predicator	Complement

In these two declarative clauses, the negative polarity is expressed with a negative marker 'not', which is placed between the Finite 'does' and the Predicators 'give' and 'lay'.

Can	you	not	understand	that liberty is worth more than ribbon?
Mood			Residue	
Finite	Subject	Adjunct	Predicator	Complement

Is	it	not	crystal clear	that all the evils of this life of ours spring from the tyranny of human being?
Mood			Residue	
Finite	Subject	Adjunct	Predicator	Complement

In these two yes/no interrogative clauses, though the Finite is fronted to indicate that information is sought, the negative marker 'not' is also placed between the Finite '*Can*' and the Predicator '*understand*' in the first example and between the Finite '*is*' and the Predicator '*clear*' in the second.

Why	do	n't	you	go	to school.
Residue …	Mood			… Residue	
Wh/Adjunct	Finite	Adjunct	Subject	Predicator	Adjunct

Similarly, in the above wh- interrogative clauses, though the wh- element is fronted to indicate what information is sought, the negative marker 'not' is also placed between the Finite '*do*' and the Predicator '*go*'.

Modality

In the interpersonal metafunction, modality is the language resources that the interactants use to signal their modal commitment: the degree to which they commit themselves to the validity of their propositions or to the responsibility of their proposals. Modality can be further sub-categorized into modalization and modulation. Modalization refers to the speakers' assessment on how probable or how usual it is for something to happen in their belief. Modulation, on the other hand, refers to the speakers' signal on how inclined they are to do something or to what degree they believe it is their responsibility to do something. This can be presented in a system as shown below:
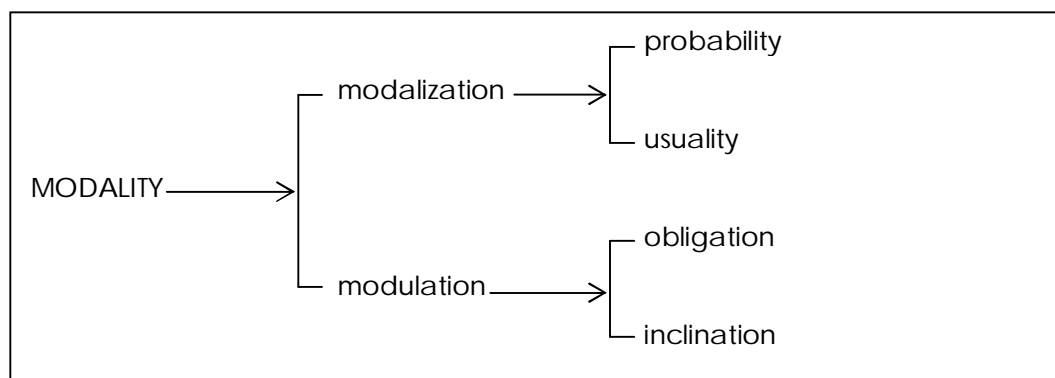
Figure 9.7: The system of MODALITY

The primary contrast in the system of modality is 'modalization' and 'modulation'. For the choice of 'modalization', the speakers can express their assessment on 'probability', i.e.

how likely the proposition expressed in the statement is true, or 'usuality', i.e. how often would the expressed action or event occur. For the choice of 'modulation', the speakers can express their assessment on 'obligation', i.e. how certain the speaker believed to be the obligation of the subject to act, or 'inclination', i.e. how inclined is the speaker to act.

The four sub-types – probability, usuality, inclination and obligation – can be graded high/medium/low degree of force. Table 9.6 provides examples of these.

	Subtype	Degree of force	Examples
modalization	probability	high	Peter *certainly* stole the jewellery.
		medium	Peter *probably* stole the jewellery.
		low	Peter *possibly* stole the jewellery.
	usuality	high	Peter is *always* in time.
		medium	Peter is *usually* in time.
		low	Peter is *rarely* in time.
modulation	inclination	high	Peter is *determined* to finish the job.
		medium	Peter is *keen* to finish the job.
		low	Peter is *willing* to finish the job.
	obligation	high	Peter is *required* to help out.
		medium	Peter is *supposed* to help out.
		low	Peter is *allowed* to help out.

Table 9.6: Types of modality and degree of force

In English, the assessment of modality can be expressed in modal auxiliaries, in modal adverbs, and sometimes in both. The following table, adopted from Martin, Matthiessen, and Painter (1997: 64), outlines the types of modality and their realizations.

Types of modality	Finite: modal (modal auxiliary)	Mood Adjunct (modal adverb)
(modalization) probability	may, might, can, could; will, would;	perhaps, maybe; possibly;

	should must	certainly, probably
usuality	may, might, can, could; will, would; should, must	never, ever, seldom, rarely; sometimes; usually, always
(modulation) obligation	may, might, can, could; should must	possibly; definitely, absolutely
Inclination (ability)	may, might, can, could; will, would; must, shall; can, could	willingly, easily; gladly, readily; certainly

Table 9.7: Types of modality and realization

When we are making an assertion, we may have a little reservation of the proposition expressed in a statement. Similarly, when we are making a command, we may want to assess whether it is the obligation of the hearer to perform the act. In other words, in between the yes or no, there is an area in which the speaker may want to assert his assessment. Let's examine the short excerpt from *Animal Farm*:

Text 9.8

[8.1] *'No more delays, comrades!' said Napoleon when the footprints had been examined.* [8.2] *'There is work to be done.* [8.3] *This very morning we begin rebuilding the windmill, and we <u>will</u> build all through the winter, rain or shine.* [8.4] *We <u>will</u> teach this miserable traitor that he <u>cannot</u> undo our work so easily.* [8.5] *Remember, comrades, there <u>must</u> be no alteration in our plans: they <u>shall</u> be carried out to the day.* [8.6] *Forward, comrades!* [8.7] *Long live the windmill!* [8.8] *Long live Animal Farm!'*

In this excerpt, we find how the speaker Napoleon inserted his own assessment through the use of modal auxiliaries: it would be reasonable to predict (the use of '*will*') that they

would work the whole winter to rebuild the windmill in [8.3] so that there was a probability (the use of '*will*') that they taught the traitor that he was unable to (the use of '*cannot*') undo their work in [8.4]. Napoleon further reminded them that there was a high likelihood (the use of '*must*') that there was no alternative and with an authoritative tone, they had the obligation to carry it out and he guaranteed that they carry it out (the use of '*shall*') in [8.5].

Activity 9.2

Classify the underlined modal auxiliaries in the following text into the four sub-categories of modality.

That note being destroyed so carefully can only mean one thing. There (1) <u>must</u> be on the train someone so intimately connected with the Armstrong family that the finding of that note (2) <u>would</u> immediately direct suspicion upon that person.

To begin with, you (3) <u>must</u> realize that the threatening letters were in the nature of a blind. They (4) <u>might</u> have been lifted bodily out of an indifferently written American crime novel. They are not *real*. They are, in fact, simply intended for the police.

'Exactly, and she (5) <u>always</u> speaks broken English, and she has a very foreign appearance which she exaggerates. But it (6) <u>should</u> not be difficult to guess who she is. Now what (7) <u>would</u> we do to her? Or what (8) <u>should</u> we do to her?

Princess Dragomiroff loved Linda Arden as great ladies do love great artists. She was godmother to one of her daughters. (9) <u>Would</u> she forget so quickly the married name of the other daughter? It is not likely. No, I think we (10) <u>can</u> safely say that Princess Dragomiroff was lying.
(Extracted from A. Christie 1934. *Murder on the Orient Express*, Berkley: Berkley

Press. P. 245)

Identify the four sub-types of modality in the following text.

If you are a student and have a job as well, you may feel that there are usually not enough hours in the day to accomplish all that you would like to do. A probable solution to the problem of limited time is to organize carefully the time you have for practice. It is always better to study a little than to concentrate all your effort into one huge session. Everyone, no matter how busy they may be, has empty time intervals in their days that can possibly be put to good use. These intervals may be small - for example, time spent travelling on the bus or time spent waiting for a minibus can be put to productive use if you are suitably organized.

Application

In the previous sections, we examined the interpersonal metafunction in English. In this section, we will examine an academic paper to illustrate how the knowledge of modality – an important language resource of interpersonal metafunction – is applied in the analysis of an English literary work in order to explore the effect of using both modal verb and modal adjunct in the same clause.

The paper that we examine here is written by Li and Tam (2009), entitled 'The Interaction of Modal Verbs and Modal Adjuncts in the system of MODALITY in an English Literary Work'. We mentioned that modality in English is realized by modal verbs and/or modal adjuncts. We also learnt that English speakers/writers can express their own assessment on modality by the use of modal verbs such as would, could or by modal adjuncts such as possibly,

sometimes. In addition, we pointed out that both modal verbs and modal adjuncts can occur in the same clause such as *Mary should probably come home by now*.

In the past, while the co-occurrence of modal verb and modal adjunct in the same clause was widely observed, few studies had investigated the patterns and the effects of their coexistence. Based on the phenomenon of modality in an English novel *Falling Leaves* written by Adeline Mah, Li and Tam's paper addresses the issue of co-occurrence of modal verbs and modal adjuncts to investigate the patterns of this co-occurrence and its effects on the clause.

Li and Tam (2009) pointed out that the co-occurrence of modal verb and modal adjunct was by no means random. Their findings indicated that in the novel co-occurrences most likely occurred in declarative mood, and in case of co-occurrence, the modal adjunct was most likely to be thematized, i.e. being fronted to the beginning of a clause and becoming the theme of the clause (a concept we will introduce in Chapter 8). Furthermore, the sense of modality seemed first to be sought from the modal verb while the insertion of mood Adjuncts could change its intensity of the modality, i.e. increasing or diminishing its degree of force.

While we have learnt different types of modality in this chapter, a more comprehensive and delicate description of MODALITY also includes other language resources such as 'orientation' and 'manifestation'. The former concerns whether the speaker/writer takes a subjective or objective stance in his/her own assessment, whereas the latter concerns whether the assessment is explicitly or implicitly stated. Both 'orientation' and 'manifestation' occur simultaneously in a clause; therefore, there are four possibilities: (1) subjective: explicit (e.g., *I think you're wasting your time*.); (2) subjective: implicit (e.g., *James will do the right thing*.); (3) objective: implicit (e.g., *I never went out with H.H. again*.); and (4) objective: explicit (e.g., *It's more likely that the economic miracle of Hong Kong will take over China after 1997*.). Li and Tam (2009) pointed out that while co-occurrences occurred in all the four combination of 'orientation' and 'manifestation', the

combination of subjective and implicit type was the most frequent one in the novel, followed by the combination of subjective and explicit, of objective and implicit, and of objective and explicit. However, further research is needed to conclude if these favorite patterns of combination are genre-specific or idiosyncratic.

Li and Tam (2009) further investigated an issue of modality that we have not discussed in this chapter. According to Halliday and Matthiessen (2004: 82-84), there are two types of mood adjunct. Type I is closely related to the realization of modality, including the subtypes of probability, usuality, typicality and obviousness, while Type II is loosely related, including the subtypes of opinion, admission, persuasion, entirely, presumption, desirability, reservation, validity, evaluation, prediction, and others. Based on the data, Li and Tam pointed out that in general Halliday and Matthiessen were right to classify Type I and Type II mood adjuncts in terms of their relationship to the realization of modality, even though the 'opinion' subtype of Type II had a relatively high frequency in the clauses with modality.

Conclusion

In this chapter, we examined the interpersonal metafunction. This metafunction concerns how we use language to enact relationship with others, including how we use language to get things done, to interact and keep the conversation going, and to express our attitude towards the events encoded in a language. We discussed the four speech functions in English, i.e. statement, question, command, and offer, and their realization, i.e. mood types – declarative, interrogative, and imperative. We also discussed the notion of polarity, i.e. positive vs. negative, and the grey area between the two poles, i.e. the notion of modality – probability, usuality, inclination and obligation. Lastly, we examined an academic paper that used of the knowledge of interpersonal metafunction to investigate the issue of co-occurrence of modal verb and modal adjuncts in English. Both ideational metafunction and interpersonal metafunction concern phenomena that are non-linguistic

in nature, the textual metafunction is intrinsic to language. We will explore this metafunction in Chapter 8.

Enabling Discourse

10

Introduction

In the previous two chapters, we examined the ideational metafunction, which concerns our experience of the world around us and inside us, and the interpersonal metafunction, which concerns the interaction between speaker and listener(s) or between writer and reader(s). While both ideational and interpersonal metafunctions concern phenomena that are non-linguistic in nature, the textual metafunction is intrinsic to language. In this chapter, we will explore this third metafunction – how speakers of English arrange the ideational and interpersonal meanings and construct these meanings into messages. After a brief introduction of textual metafunction, we will discuss the information and thematic structures of a message, and the selection of theme type. We will then examine how the selection of theme affects the flow of information of a text – the thematic progression. Then, in the final section, we will look at a study that uses this knowledge and applies it to a real world issue.

Textual metafunction

The textual metafunction focuses on how we create and organize our messages as text in order to guide our readers/hearers to interpret what we intend to mean. In other words, it concerns the creation of text/discourse and the flow of information in it through the assignment of the thematic role and information focus in a clause. In technical terms, this metafunction orients towards 'the creation of meaning in the realm semiosis, a second-order, symbolic reality which is brought into existence by the language itself' (Li 2007: 159).

In terms of textual meaning, a message can be divided into two parts – Theme and Rheme – and it embodies two kinds of information – Given and New. That means, each message simultaneously comprises two structures: thematic structure and information structure. In English, the Theme of a clause can be identified as the element(s) which come(s) first in the clause. The rest of the clause is called the Rheme. For example, in the clause *Lieutenant Dubosc performed his part manfully*, '*Lieutenant Dubosc*' is the Theme while '*performed his part manfully*' is the Rheme. The Theme of a clause is the departure point from which the speaker begins a message, and it is the topic upon which the speaker wants to comment. Each message, on the other hand, embodies known information (known as 'Given') and new information (known as 'New'). Given refers to the information which is (presented as) known or information which is obvious in the given situation, whereas New refers to the information which is (presented as) unknown or the information which is not obvious in the given situation. In written text, *Given* often coincides with Theme and *New* with Rheme. Furthermore, the information focus of a message is often placed at the end of a clause.

In the following sections, we will first discuss the thematic structure and then the information structure of a message.

Thematic structure of a message

A message can be divided into two parts – Theme and Rheme. In English, Theme is identified by position, i.e. at the beginning of a clause. In fact, not only linguists but many non-linguist writers of English notice that the arrangement of words in a clause concerns more than the grammatical correctness of a sentence, and the beginning of a clause is a very special position in a message. For example, Jean Wyrick (1984: 73) notes that:

> [t]he arrangement of words in a sentence can determine which ideas receive the most emphasis. To stress a word or phrase, place it at the end of the sentence. The second most emphatic position is the beginning of the

sentence. Accordingly, a word or phrase receives least emphasis when buried in the middle of the sentence.

While Wyrick is aware of how the information structure in English is organized, there are a number of things that haven't been elaborated upon. For example, Wyrick does not explicate what the notion 'emphasis' really means. From the systemic functional perspective, the arrangement of words in a sentence is closely associated with the textual mode of meaning. Now that we have explored the ideational and interpersonal metafunctions, we can start to bring our understanding of the metafunctions together as we begin to understand the textual metafunction better. Let's apply our knowledge and compare the following two sentences:

> (1) Peter murdered his wife yesterday.
> (2) Yesterday, Peter murdered his wife.

In terms of the ideational metafunction, both sentences construe the same phenomenon because both sentences express the same Actor – *Peter*, who had carried out a material process – *murdered*, and this process affected the same Goal – *his wife*, under the same Circumstance – *yesterday*. This shows that the fronting of the adverb *yesterday* does not change the ideational meaning in the sentence. In terms of the interpersonal metafunction, the speech function of both sentences is the same – statement, i.e. giving of information. Both sentences are also identical in terms of polarity and modality. So what meaning does the speaker intends to highlight by choosing one or the other of the two sentences? The answer concerns the textual metafunction. In example (2), the Circumstance '*yesterday*' is thematized by being placed at the beginning of the clause. This means that the speaker wants to emphasize the circumstance (time) at which this event occurred. In the thematic structure of a message, we say that '*yesterday*' is the Theme of the clause while the rest is the Rheme. The thematic position is a very special position. Let's examine the following excerpt from George Orwell's *Animal Farm*. It shows how Major – the pig – in the farm persuaded the other animals to rebel against human being.

[1.1] '*Man is the only creature that consumes without producing.* [1.2] *He does not give milk,* [1.3] *he does not lay eggs,* [1.4] *he is too weak to pull the plough,* [1.5] *he cannot run fast enough to catch rabbits.* [1.6] *Yet he is lord of all animals.* [1.7] *He sets them to work,* [1.8] *he gives back to them the bare minimum that will prevent them from starving,* [1.9] *and the rest he keeps for himself.* [1.10] *Our labour tills the soil,* [1.11] *our dung fertilizes it,* [1.12] *and yet there is no one of us that owns more than his bare skin.* [1.13] *You cows that I see before me, how many thousands of gallons of milk have you given during this last year?* [1.14] *And what had happened to that milk which should have been breeding up sturdy calves?* [1.15] *Every drop of it has gone down the throats of our enemies.* [1.16] *And you hens, how many eggs have you laid this year, and ….*

In the excerpt, the starting point of every clause is underlined. Focusing on the underlined elements alone, we know that the text is about '*man*', who is the only creature that consumes without producing [1.1]. Though the word '*man*' is replaced with the pronoun '*he*', it remains to be the Theme that is being talked about in [1.2], [1.3] and [1.4]. In [1.6], apart from '*he*', the clause begins with the word '*yet*', indicating something in contrast with the weaknesses and inability of '*man*' – it is '*lore of all animals*', and '*he*' remains to be the Theme in [1.7], [1.8] and [1.9]. In [1.9], apart from the meaning of '*in addition*', the word '*and*' in the Theme indicates the end of the list. From [1.10] onward, the Theme turns from '*man*' to '*us*' – '*our labour*' in [1.10] and '*our dung*' in [1.11]. Then in [1.12], the word '*yet*' indicates that despite their contribution, none of them got what they deserved. So the part of departure turns to the '*cows*' from [1.13] to [1.15] and to the '*hens*' from [1.15] and so on.

In this section, we discussed the thematic structure of a message. In the following section, we will examine the information structure – Given and New – of a message.

Information Structure of a message

Information conveyed in a message can be differentiated into 'Given' and 'New'. Given information is 'the old stuff: what is presented as being already known to the listener', whereas new information is 'what the listener is being invited to attend to as new, or unexpected, or important' (Halliday 1994: 59). In general, a message begins with given information, which is followed by new information. The unmarked information structure of a message is thus a given – new structure. The thematic and information structures of a message can be depicted in the following figure.

Given								New
He	*has*	*brought*	*money*	*to*	*give*	*to*	*your*	*tribe.*
Theme	Rheme							

Figure 10.1: Thematic structure and information structure of a clause

The above figure shows a very natural structure for a message in English because the Theme is the departure point from which the speaker begins a message, and it is the topic upon which the speaker wants to comment. It is natural for the speaker to comment on a topic that is common knowledge to both the speaker and the listener, or else the speaker has to introduce the topic first. Once the topic is introduced, it becomes given information. This is what we expect at the beginning of a fairly tale such as *Once upon a time, there was a beautiful princess in the forest. The princess* … To continue the story, the speaker has to provide some new information – information upon which the listener is invited to attend to. As a matter of fact, this is also the typical beginning of a narrative. Let's examine a short excerpt from Agatha Christie's *Murder on the Orient Express.*

Text 10.2

[2.1] *It was five o'clock on a winter's morning in <u>Syria</u>.* [2.2] *Alongside <u>the platform at Aleppo</u> stood the train grandly designated in railway guides as <u>the Taurus Express</u>.* [2.3] *<u>It</u> consisted of a kitchen and dining-car, a <u>sleeping-car</u> and two local coaches.*

[2.4] *By <u>the step leading up into the sleeping-car</u> stood <u>a young French lieutenant</u>, resplendent in uniform, conversing with a small lean man, muffled up to the cars, of whom nothing was visible but a pink-tipped nose and the two points of an upward curled moustache.*

[2.5] *It was freezingly cold, and this job of seeing off a distinguished stranger was not one to be envied, but <u>Lieutenant Dubosc</u> performed his part <u>manfully</u>.* [2.6] *<u>Graceful phrases</u> fell from his lips in polished French…*

The above text is excerpted from the first three paragraphs of Agatha Christie's *Murder on the Orient Express*. It sets the introductory scene of the novel – *five o'clock on a winter's morning in Syria* in [2.1]. This is presented as new information. Then once *Syria* is mentioned, *the platform at Aleppo* in [2.2] is no longer new information if one has enough geographical knowledge of Syria, but the train – *the Taurus Express* – is new information. Then in [2.3], the train expressed by the third person pronoun *it* becomes given information, whereas *a sleeping-car* is treated as new information. Again, *the sleeping-car* is presented as given information in [2.4] while *a young French lieutenant* is new information, who in turns is treated as given information in [2.5] whereas the description of his performance as *manfully* is new information. A *manful* performance of seeing somebody off includes *graceful phrases*, which is taken as given information in [2.6] and so on.

This unmarked structure, i.e. Given ^ New, is most obvious in a dialogue with questions and answers. Let's illustrate with the following examples of exchange extracted from Paulo Coelho's *The Alchemist*:

[3.1]: *"What is an alchemist?"*

[3.2]: *"It's a man who understands nature and the world."*

[4.1]: *"What is love?"*

[4.2]: *"Love is the falcon's fight over your sands."*

In each question, the information being sought is being placed at the end of each question: '*an alchemist*' in [3.1] and '*love*' in [4.1]. Both of them are not only new information, but also the information being sought. In the answers, however, both 'an alchemist' and 'love' are no longer new but given information. Both are fronted to the beginning of the clause and become the topical Theme of it. They are thematized because they become the topic upon which the speaker is going to comment. The new information, i.e. '*a man who understands nature and the world*' in [3.2] and '*the falcon's fight over your sands*' in [4.2], are placed after the given information.

Among the new information of a message, there is an information focus. In spoken English, the information focus is indicated by the pitch. In written English, the unmarked position of information focus is towards the end of the clause. For example:

[5.1]: *"What is a foreigner doing here?"*

[5.2]: *"He has brought money to give to your tribe."*

In [5.1], the new information, i.e. '*a foreigner doing here*', comprises more than one component. Among these components, the information focus is '*doing here*'. In the answer, '*a foreigner*' becomes the given information of the message and also the topical Theme of the clause, whereas the information being sought '*doing here*' is provided as '*brought money to give to your tribe*'.

In this section, we examined the thematic and information structures of a message. In the following section, we will look at Theme in more detail.

Types of Theme

Earlier in this chapter, we mentioned that the textual metafunction concerns how we create and organise our messages as text in order to guide our readers/hearers to interpret what we intend to mean. We achieve this through the selection of Theme. In English, Theme is identified by position, i.e. at the beginning of a clause. The Theme of a clause includes all the elements from the beginning of a clause to the first element that has a function in ideational metafunction, i.e. a Participant, the Process or a Circumstance. Let us illustrate with the following examples.

[6] *Last year,*	*Stephen worked for the Department of Transport.*
Theme	Rheme

[7] *Perhaps,*	*Peter*	*is*	*late*	*again.*
Theme		Rheme		

[8] *Meanwhile,*	*bake*	*the*	*apple*	*till*	*soft.*
Theme		Rheme			

In [6], '*Last year*' functions as the Circumstance in ideational metafunction. It is thus the Theme of the clause. In [7], '*Perhaps*' is an interpersonal Adjunct and does not carry any ideational function; whereas, '*Peter*' is the first element that has an ideational function – the Participant. The Theme of the clause thus includes both '*Perhaps*' and '*Peter*'. In [8], '*Meanwhile*' is a textual conjunctive, whereas '*bake*' functions as the Process in ideational metafunction. The Theme of the clause thus includes both '*Meanwhile*' and '*bake*'.

From these three examples, we notice that each of the three modes of meaning may contribute thematic elements; for example, '*Last year*', '*Peter*' and '*bake*' from the ideational, '*Perhaps*' *from the interpersonal, and* '*Meanwhile*' from the textual mode of meaning. When there are more than one thematic element, the typical sequence is textual thematic element ^ interpersonal thematic element ^ ideational thematic element in English. These three types of themes are known as textual Theme, interpersonal Theme and ideational (also known as topical) Theme respectively. We will examine these three types of themes in more detail below.

Textual Theme

Textual Themes provide a linking function, usually with the preceding clause but sometimes with the following one. These can be further classified as continuative, wh- (relative), (structural) conjunction and conjunctive. We will discuss each subtype separately in the following paragraphs. All examples in this section are extracted from Agatha's *Murder on the Orient Express* and the element under discussion is bold while the Theme in the clause is underlined.

Continuatives indicate the continuity with previous discourse typically in dialogue, showing the speaker is ready to make their contribution or intends to continue their contribution in the dialogue, e.g., **_Well, you know_**_, breakfast_ *isn't always a chatty meal.* In this example, '*Well*' and '*you know*' are textual Themes. Both of them do not embody any content meaning but they indicate that the speaker will start to take up the floor in the conversation.

Wh- (relatives) elements indicate the structural relationship between the connected clauses, and they have a dual function as being Subject, Adjunct, or Complement and marking some form of dependence such as *I go as far as Lausanne,* **_where_** _I_ *have affairs.* In this example, '*I go as far as Lausanne*' is the main clause in which '*I*' is the topical Theme. We will discuss topical Theme in detail later. Here, we focus on the dependent clause in which '*where*' is the textual Theme. It serves to indicate the relation between the

main clause 'I go as far as Lausanne' and the relative clause 'where I have affairs', in which 'where' is a structurally essential element. Interpersonally, 'where' functions as an Adjunct while 'I' and 'affairs' function as Subject and Complement respectively.

Structural conjunctions indicate the logico-semantic relationship between the consecutive clauses in a clause complex, e.g., "**When** _he passed me in the restaurant,"_ he _said at last, "I had a curious impression"._ In this example, 'When' is the textual Theme of the dependent clause which qualifies the main clause with some circumstantial feature of time. It is noted that 'when' is a structurally essential element, and it marks the dependent clause. Structural conjunction, on the other hand, can also link two clauses in a coordinating relation, e.g., _She turned away from him **and** went down the corridor to join colonel Arbuthnot_. In this example, 'and' is the textual Theme of the second clause in which the ideational Theme 'she' is omitted. The textual Theme 'and' here indicates that the following coordinating clause expands the previous one by adding new information.

Conjunctives, like structural conjunctions, also provide a cohesive link to the previous clause. Conjunctives, however, are not essential elements in the clause and they do not mark the clause as a dependent one, e.g., _He shot a slightly annoyed glance in Poirot's direction. **Then** he went on: 'But I don't like the idea of your being a governess – at the beck and call of tyrannical mothers and their tiresome brats.'_ In the example, 'Then' is a textual Theme. It links the clause with the previous one by indicating the temporal relationship between the two clauses. However, unlike a structural conjunction, 'Then' here is not an essential element in the clause, meaning that the clause is grammatically acceptable without it.

Before we discuss the interpersonal Theme, we want to point out that 'yes' and 'no' are considered textual Themes when they serve a continuative function, and interpersonal Themes when they initiate responses to a yes/no question as shown in the following examples:

A: 'Will there still be sugar after the Rebellion?'

B: '**No**, we have no means of making sugar on this farm.' (interpersonal Theme)

The animals rushed to the top of it and gazed round them in the clear morning light. **Yes**, it was theirs – everything that they could see was theirs! (textual Theme)

In the first example, '*No*' is analyzed as an interpersonal Theme because it initiates a response to the previous yes/no question; whereas in the second example, '*Yes*' is considered a textual Theme because it serves a continuative function.

Activity 10.1

Identify the textual theme(s) and its subtypes of all the main clauses, dependent clauses and coordinate clauses in the following text.

(1) Predictably, the jeeps carrying the wood up to Korphe were halted by another landslide that cut the track, eighteen miles shy of their destination. (2) "The next morning, while Parvi and I were discussion what to do, we saw this great big dust cloud coming down the valley," Mortenson says. (3) "Haji Ali somehow heard about our problem, and the men of Korphe had walked all night. (4) They arrived clapping and singing and in incredible spirits for people who hadn't slept. (5) And then the most amazing thing of all happened. (6) Sher Takhi had come with them and he insisted on carrying the first load.

(Extracted from Greg Mortenson and David Oliver Relin, 2006. *Three Cups of Tea*, New York: Penguin Books. p. 151)

Interpersonal Theme

Interpersonal Themes include vocative, modal adjunct, interrogative, polarity and exclamatory. Vocatives identify the addressee in an exchange, e.g., **_Dr Constantine_** – _I forgot, I have not introduced you – Dr Constantine, M. Poirot_. In this example, '_Dr. Constantine_' is the interpersonal Theme of the clause. It serves to identify the addressee in the conversation.

Modal Adjuncts specify the speaker's attitude, i.e. comment and assessment towards the proposition expressed in the clause as shown in the following example. In this example, '_Certainly_' is an interpersonal Theme, and it serves to specify the degree of probability that the speaker Dr. Constantine has on his agreement.

> A: '_You agree, Doctor?_'
> B: '**_Certainly_** _I agree_', _said Dr Constantine._

Interrogatives signal that an answer is required, e.g., **_Why_** _did she do it_? In this example, '_Why_' serves as an interpersonal Theme of the clause, indicating that information is sought from the addressee. Apart from wh- elements, auxiliary verbs, which serve as the Finite in the interpersonal metafunction, also signal that an answer is sought from the addressee, e.g., **_Is_**_n't that rather a pity?_

Polarity elements, e.g., 'yes' and 'no', respond either to polar interrogatives or to contradict an interactant in an exchange as shown in the following example.

> A: '_There is a conference somewhere? It is a party?_'
> B: '**_No, Monsieur. It_** _is only chance._'

In this example, '_No_' is an interpersonal Theme in the clause. It initiates a response to the previous yes/no interrogative.

Exclamatory indicates the speaker's emotion as shown in the following example.

A: '*Ah! And you return home — when?*'

B: '*Tonight.*'

A: '***Splendid*** *!* *Me* *too.*'

In this example, the exclamatory '*Splendid!*' is an interpersonal Theme of the clause and it indicates the speaker's emotion.

Before we discuss the ideational topical Theme, we want to point out that while adverbs of frequency are considered interpersonal themes because they are considered modal Adjuncts of usuality, adverbs of time are considered topical themes because they are elements with a function of transitivity. For example:

(1) ***Usually*** *my dad drives me to school.* (interpersonal Theme)

(2) ***This morning*** *my dad drove me to school.* (marked topical Theme)

In these examples, '*Usually*' is an adverb of frequency, and is considered a modal Adjunct of usuality. It is thus analyzed as an interpersonal Theme. In contrast, '*This morning*' is an adverb of time, and is considered a Circumstance in the ideational metafunction. It is thus analyzed as a topical Theme. We will further come back to this in the following section.

Topical Theme

Topical Theme is the element in the Theme that has a transitivity role. A topical Theme can conflate with any Participant, Circumstance, or Process in the ideational metafunction. This forms the primary contrast between 'unmarked' and 'marked' topical Theme. Unmarked Theme is the default case in English – a speaker will choose this element as the point of department of a clause unless s/he has any specific reason not to do so. Generally speaking, the unmarked topical Theme is determined by the choice of mood in English, i.e. conflated with the Subject in declarative, wh- or finite element plus the Subject in interrogative and [zero] in imperative. For example:

Mood types	Examples
declarative	_**His voice**_ _was slightly husky in tone._
interrogative	**What** _is it?_
Imperative	_'**Pay** the bill, Hector,' he said._

Table 10.2: Mood Types and Topical Themes

In the examples above, the _wh-_ word '_What_' in wh- interrogative '**What** is it?' is considered the unmarked topical Theme of the clause because it indicates the information being sought. This can apply to all wh- interrogatives. However, for a yes/no interrogative, which begins with an auxiliary verb, the auxiliary verb is considered the interpersonal Theme of the clause as shown in the following examples.

(1) _**Can** you oblige me with a light_? (interpersonal Theme)

(2) _**Will** twenty thousand dollars tempt you_? (marked topical Theme)

(3) _**Is** it a party?_

Note also that while the anticipatory _it_ is not considered topical Theme, the word _there_ in existential clauses are as shown in the following examples:

(1) _It is **my dad** who drove me to school this morning._ (marked topical Theme – Theme predication)

(2) _**There** was a snake in my front yard._ (unmarked topical Theme)

In the first example, '_It_' is not analyzed as topical Theme, it functions as a linguistic pointer, pointing to the topical Theme '_my dad_'. In the unmarked case, the clause can be rewritten as 'My dad drove me to school this morning', in which '_My dad_' is analyzed as an unmarked topical Theme. In contrast, '_There_' in the second example is considered the unmarked topical Theme of the clause. It is the unmarked point of departure of an existential clause in English.

Marked Themes include circumstance, non-subject participant, process, and absolute Theme. In addition, there are Theme predication and Theme identification. Theme identification is realized by the nominalization of the Theme while Theme predication by the cleft-structure.

The Circumstance of a clause can be fronted to the beginning of a declarative clause, e.g., **_At the next table_**, _a small one, sat Colonel Arbuthnot – alone_. In this example, the Circumstance is said to be thematized because it is the marked topical Theme of the clause.

Similarly, non-subject participants can also be thematized, e.g., **_Peter_**, _I do respect but_ **_David_**, _his brother, I despise_. In this example, '_Peter_' and '_David_' are the Complements of the two clauses. But both of them are fronted to take up the thematic position and become marked topical Themes.

The Process of a clause, though very rarely, can also be thematized, e.g., **_Murmured Poirot, 'Husband and wife — eh?'_** In this example, '_Murmured_' is the marked topical Theme of the clause.

Apart from these three ideational elements, there are other strategies in English that serve as a pointer to highlight the topical Theme of a clause. These strategies include absolute Theme, Theme predication, and Theme identification.

Absolute Theme serves no role in the ideational and interpersonal metafunctions. It is specified as the textual 'subject matter' and is related to the rest of the clause by lexical cohesion. For example, **_La Sainte Sophic_**, _it is very fine,' said Lieutenant Dubose, who had never seen it_. In this example, '_La Sainte Sophie_' is the Theme of the clause '**_La Sainte Sophic_**, _it is very fine_'. However, it does not serve any role in the clause as shown in the following analysis. Furthermore, '_La Sainte Sophie_' in fact refers to the Participant '_it_' in the clause.

La Sainte Sophie	it	is	very fine
	Participant	Process	Participant
	Subject	Predicator	Complement
Theme	Rheme		

Theme predication is a structural resource to identify the topical Theme of a clause, e.g., _It is **Stainboul** I have never visited_. This is known as a 'cleft sentence' in formal grammar. In this example, '_Stainboul_' has a ideational function. It is marked off by predication to be the topical Theme.

Theme identification (also known as identified Theme or thematic bracketing) sets off a particular portion of the clause as thematic, e.g., _Enemy or enemies — it doesn't matter._ _**What does matter** is my safety_. In this example, '_What does matter_' is the Theme of the clause. An identified Theme, unlike other topical Theme, is realized by a clause instead of a nominal phrase or a noun.

Note that while temporal conjunctions are considered textual themes, temporal circumstance are considered marked topical theme. For example:

(1) **At last**, she agreed to sing the new anthem. (textual Theme)
(2) **Tomorrow** she will sing the new anthem for us. (marked topical Theme)

Activity 10.2

Identify the topical theme and its subtypes of all the main clauses, dependent clauses and coordinate clauses in the following text.

(1) A strong leader with a good grasp of domestic and foreign policy issues is the ideal. (2) The vice-president should be similarly equipped to deal with such

matters as an adviser and when required, to step into the president's shoes. Unfortunately, (3) <u>this</u> is not necessarily the case; (4) as <u>the present campaign</u> shows, (5) <u>electability</u> can take precedence. (6) <u>This</u> was why the ruling Republican Party's presidential nominee, John McCain, chose Alaska's governor for the past two years, Sarah Palin, as his running mate. (7) <u>Through her</u>, he seeks to attract voters (8) <u>he</u> would not ordinarily appeal to: women, those in more youthful age brackets and people on the conservative side of his party. (10) <u>For those qualities</u> he has foregone high-level experience in government and a firm understanding of foreign policy.

(Extracted from *The South China Morning Post*, 15 September 2008)

Activity 10.3

Identify and name the theme(s) and its subtypes of the main clauses and coordinate clauses in the following text. Do not analyze the dependent clauses.

[1] Liberal imperialists have resisted explicitly racist arguments for domination, instead justifying empire as a humane venture delivering progress. [2] Even so, implicit in such a stance was the belief that other peoples were inferior. [3] Just as John Stuart Mill contended that despotism was a 'legitimate mode of government in dealing with the barbarians' provided 'the end be their improvement', so the Fabians contended that self-government for 'native races' was 'as useless to them as a dynamo to a Caribbean'. [4] Intellectuals of the Second International such as Eduard Bernstein regarded the colonized as incapable of self-government. [5] For many liberals and socialists of this era, the only disagreement was over whether the natives could attain the disciplined state necessary to run their own affairs. [6] Indigenous resistance, moreover, was interpreted as 'native fanaticism', to be overcome with European tuition.

(Extracted from *The Guardian*, 27 January 2009)

Thematic Progression

The choice of theme in the clauses of a text is by no means random. It usually, but not always, conflates with given information. Furthermore, it is an important choice because the selection of theme affects the information flow of a text, which in turns is closely related to its social purpose. Let's illustrate this point with Text 8.2 again. In this analysis, we focus on where the content of the theme of each clause derives from. Note that Theme 5 and Theme 6 are missing in the text but the information can be recovered in the text. The thematic selection in the text can be depicted in Figure 10.2.

> *It* (T1) *was five o'clock on a winter's morning in Syria* (R1). *Alongside the platform at Aleppo* (T2) *stood the train grandly designated in railway guides as the Taurus Express* (R2). *It* (T3) *consisted of a kitchen and dining-car, a sleeping-car and two local coaches* (R3).
>
> *By the step leading up into the sleeping-car* (T4) *stood a young French lieutenant, resplendent in uniform* (R4), (T5) *conversing with a small lean man* (R5), (T6) *muffled up to the cars* (R6), *of whom* (T7) *nothing was visible but a pink-tipped nose and the two points of an upward curled moustache* (R7).
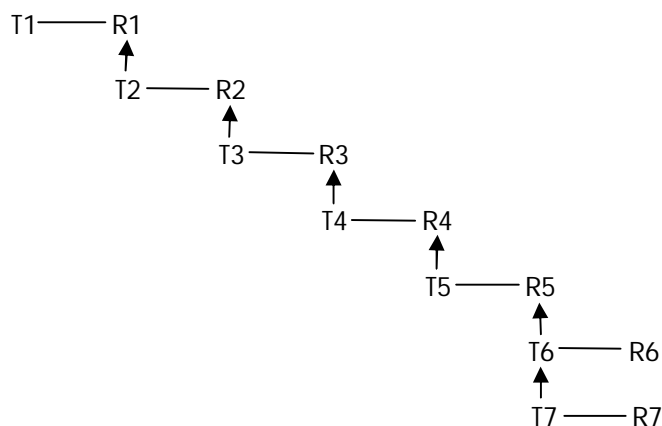
Figure 10.2: Thematic selection of Text 8.2

The selection of theme clause by clause in a text forms a particular pattern, which serves a specific social function. Thematic progression is a notion that is concerned with where themes in a text come from, i.e. how the theme of a clause relates to the previous theme(s) or rheme(s) in the text. In this way, thematic progression reflects how the information flows in a text. Fries (1983) identifies three major patterns of thematic progression: linear thematic progression, theme iteration, and progression with derived themes.

Linear thematic progression occurs when the information presented in the theme of a second clause comes from the rheme of the previous clause, i.e. Rheme 1 ➜ Theme 2. For example: *I* (T1) *like Peter* (R1). *He* (T2) *is a diligent student* (R2).

```
T1————— R1
            ↑
            ┊
         T2 (=R1)————— R2
```
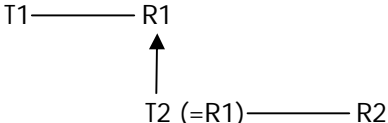
Figure 10.3: Linear thematic progression

Theme iteration, on the other hand, exists when the same theme enters into a relation with the Theme of the following clause, i.e. Theme 1 ➜ Theme 2. For example, *Susan* (T1) *is a little girl* (R1). *She* (T2) *lives next to my house* (R2), *and she* (T3) *climbs into my room through the window every morning* (R3).

```
T1————— R1
            ↑
            ┊
         T2————— R2
            ↑
            ┊
         T3 (=T2)————— R3
```
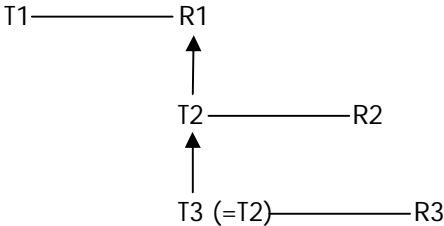
Figure 10.4: Theme iteration

Finally, progression with derived themes refers to a pattern in which the themes of more than one clause are derived from a general notion though they are not identical with each other. For example, *Shatin* (T1) *is a place worth visiting* (R1). *The Hong Kong Cultural museum near its centre* (T2) *exhibits the history of Hong Kong from different perspectives* (R2). *The Snoopy World above the train station* (T3) *is the largest of its kind in Asia* (R3).

[T]

T1 ——— R1

T2 ——— R2

T3 ——— R3
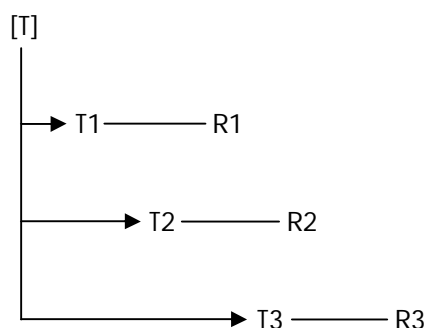
Figure 10.5: Progression with derived themes

In this section, we agreed that the theme in the clauses of a text is not chosen at random. We discussed the three major patterns of thematic progression: linear thematic progression, theme iteration, and progression with derived themes. It should be noted that apart from these three major patterns, there are some minor patterns of thematic progression at work. For example, Li (2007) identified two minor patterns known as progression from combined themes and progression from an entire T-R structure. However, these minor patterns do not dominate the choice of theme in a text as the three major patterns examined in this section.

Application

In the previous sections, we examined the textual metafunction. In this section, we will examine an academic paper to illustrate how the knowledge of textual metafunction is applied in the analysis of world Englishes. The paper that we examine here is written by Li

(2010), entitled '*Hong Kong English! China English! or Chinese English as One of the World Englishes!*'. The paper reports the findings of a research into the characteristics of language used in the English literary works written by Chinese.

In the introductory section, Li spelt out the background of his research: first, a large number of English literary works written by Chinese had reached a new level of full acceptability in the last three decades, supported by the evidence that an increasing number of published English literary works written by Chinese writers in Mainland China, Hong Kong and overseas. Second, with the rising of China both economically and politically on the world platform, it was a matter of time before Chinese English would become one of the World Englishes, with its own particular language features. On the other hand, Li pointed out that the previous studies of Chinese English were predominantly interested in the 'non-standard' pronunciation, the adoptions of vocabulary in Chinese sources, and the 'ungrammatical' or 'pidgin-like quality' of syntactic structure. Li (2010) thus investigates the language features revealed in the English literary publications written by Chinese authors. Adopting the Systemic Functional Linguistics as its theoretical framework, Li's paper compares the choices of theme and modality in English literary works written by two Chinese authors from Hong Kong and Mainland, and a British author, in order to highlight the particular features in the Chinese English. Here we will only discuss the findings concerning the textual metafunction.

Li (2010) pointed out that while the two Chinese authors preferred to indicate the logico-semantic relation between the clauses within the sentence, the British author preferred to make the linking function explicit in terms of continuative, wh-word in relative clauses, and conjunctive between sentences. This was shown by the data that first, in general the British author employed more textual themes than the Chinese authors; and second, the British author employed more continuatives, wh-relative and conjunctive themes but fewer structural conjunction themes than the Chinese authors.

Li also mentioned that in comparison with the English author, the Chinese authors were less likely to thematize their personal assessment in the text. Furthermore, they preferred less dialogic texts than English authors did. As a result, the Chinese authors employed less interpersonal themes, especially vocative, modal adjunct, interrogative, and polarity.

With reference to the selection of topical themes, Li focuses on the marked theme because unmarked theme is the default case in English. In general, the two Chinese authors preferred significantly less marked themes than the English author did. Li further found that the two Chinese authors preferred more circumstantial theme, complement theme and theme identification but less absolute theme, process theme and theme predication than that of the English author. Based on the findings, Li discussed the possibility of 'hypercorrection' and 'L1 preference' as feature of 'Chinese English'. Li's work, unlike the previous studies of 'Chinese English' which identified and described 'errors' in the English produced by Chinese English learners, intended to describe the language features of the English produced by educated Chinese authors from the systemic functional perspective.

Conclusion

In this chapter, we examined the textual metafunction in some detail. The textual metafunction relates to how speakers/writers arrange the ideational and interpersonal meanings and structure these meanings into messages. In general, a message comprises of two structures: thematic structure, i.e. Theme and Rheme, and information structure, i.e. Given and New. The Theme of a clause may comprise of more than one element, and these elements can be categorized into textual Theme, interpersonal Theme and topical Theme. Topical Theme can be further classified into unmarked and marked. Unmarked Theme is element that a speaker will choose as the point of department of a clause unless s/he has any specific reason not to do so. We pointed out that thematic selection is a very important strategy for the development of discourse or text. There are three major types of

thematic progression: linear thematic progression, theme iteration, and progression with derived themes. We mentioned that from the formal (or traditional) perspective, the ultimate boundary of the description of grammar is sentence or complex sentence. From the functional perspective, the selection of Theme and the thematic progression push the description of grammar beyond the sentential level into the level of discourse and text. In Chapter 11, we will discuss another language resource that concerns textual continuity in discourse and text.

11

Textual Continuity

Introduction

In Chapters 8, 9, and 10, we laid out some of the fundamentals of functional grammar. In doing so, we focused on the grammar of English in terms of three metafunctions – ideational, interpersonal, and textual. We mentioned that while both ideational metafunction and interpersonal metafunction concern phenomena that are non-linguistic in nature, the textual metafunction is intrinsic to language. This third metafunction concerns how speakers arrange the ideational and interpersonal meanings and structure these meanings into messages. We discussed the thematic structure and information structure of a message in Chapter 10. We then focused on Theme because it is an important strategy for the development of discourse or text. We also examined three major types of thematic progression of a text: By doing this, the description of grammar has been pushed beyond the level of sentence (Chapter 4) into the level of discourse and text. In this chapter, we will continue building our understanding of a text-based grammar. We will focus on grammatical resources in English which link the information in the different clauses of a text, and as a result, build the textual continuity of a text. In order to do this, we will first discuss the notions of 'cohesion', 'coherence', and 'text'. We will then examine the grammatical resource, known as cohesive devices, which contributes to the textual continuity of a text. These cohesive devices include reference, substitution and ellipsis, conjunction, and lexical cohesion.

Text, coherence, and cohesion

In Chapter 8, we learnt that language is a tristratal construct – i.e., it can be understood at three levels: meaning, wording and sound/writing. The relation between any two adjacent strata is one of realization; meaning is realised as wording which, in turn, is realised as sounding/writing. In this way language is perceived as a multiple coding system. Above the semantics stratum, there is the stratum of context. This refers to the context of culture and the context of situation. This stratum is beyond the domain of language. From a systemic functional perspective, a text is a unit of meaning at the semantics stratum. Being a semantic unit, a text usually, but not necessarily, comprises a number of messages; and it is defined as 'any message, spoken or written of whatever length, that does form a unified whole' (Halliday & Hasan, 1976:1). In other words, a text consists of a single phrase, one or more than one clause and forms a unified whole. To achieve this sense of unity, a text must be coherent. In understanding the notion of 'coherence', we adopt Halliday & Hasan's point of view that there are two types of coherence: first, a text can be coherent with respect to itself, and therefore cohesive; and second, a text can be coherent with respect to the context of situation, and therefore consistent in register/text type. In this chapter, we will examine the first type of coherence, i.e. cohesion, and leave the discussion of the second type of coherence, i.e. context of situation to Chapter 12.

According to Bell (1991), cohesion is a standard feature of textuality, which holds the clauses together by creating sequences of meanings and projects a sense of unity. It 'consists of the mutual connection of components of surface text within a sequence of clauses/sentences; the process being signaled by lexico-syntactic means' (165). Cohesion therefore addresses the question: 'How do the clauses hold together?' Baker (1992: 218) also takes a similar stance by defining cohesion as 'the network of surface relations which link words and expressions to other words and expressions in a text'. Similarly, Blum-Kulka (1986:17) defines cohesion as 'an overt relationship which holds between parts of the text,

expressed by language specific markers.' The network of 'surface relations' or 'overt relations' are achieved through various cohesive devices in English.

Halliday and Hasan (1976) identify five different types of cohesive device: reference, substitution, ellipsis, conjunction, and lexical cohesion. These devises were later recategorised and reduced to four categories, with substitution being seen as a sub-category of ellipsis (Halliday 1985). Each category of cohesion is sub-divided into several subcategories as shown in Figure 11.1. Below we will look at each of the categories in more detail.
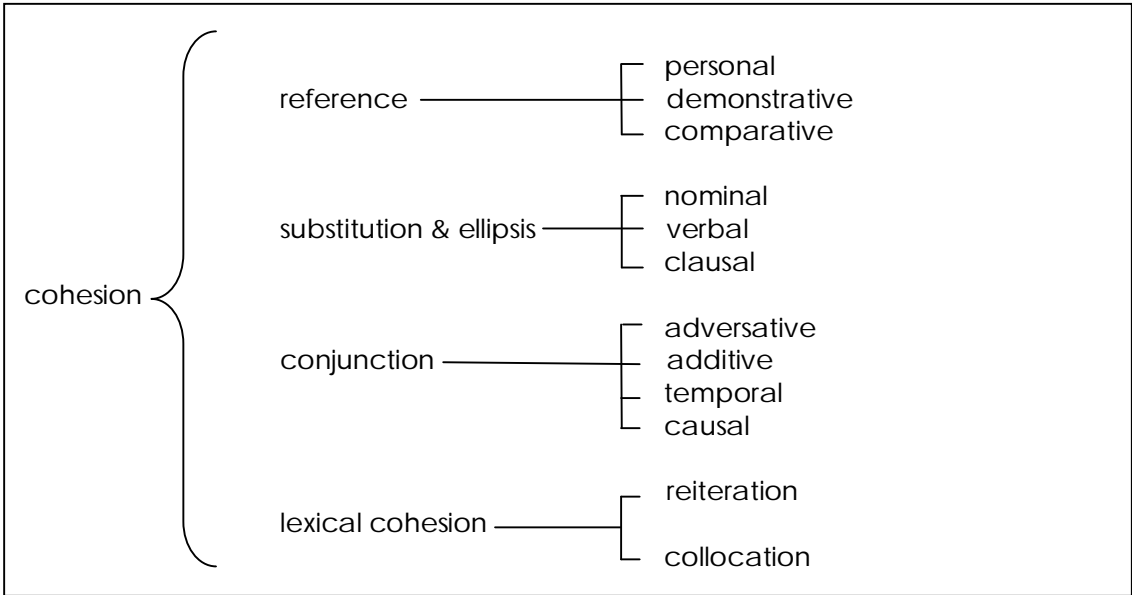
Figure 11.1: Cohesive Devices in English

Reference

The notion of 'reference' has been employed to convey different senses. According to Boxwell (1990:29), views of reference fall into two groups: the logical-semantic or philosophical view and the structuralist view. The logical-semantic tradition can be represented by Lyons who defines reference as 'the relation that holds between

expressions of a language and observable entities (objects or properties of objects) outside the language' (Lyons 1966:293). With respect to the nature of the referent, some take a broader point of view. For instance, Strawson (1950) extends the range of referent to include an event, a place, or even a process. The structuralist tradition, on the other hand, takes a broader view on the concept of reference deriving from Saussure's notion of significance and value. Saussure suggests that every sign of a language, including abstract terms such as 'loyalty' or prepositions like 'in', refers to a particular thing, event, process, stage or characteristic. This second view of reference has been adopted by linguists of the structural and functional schools.

Halliday and Hasan (1976) take the structuralist and functionalist stance that every linguistic sign can refer. But, they also adopt Firth's stance that meaning is strongly associated with the context of situation. In the heart of their notion of reference is the essential property of reference items: 'instead of being interpreted semantically in their own right they make reference to something else for their interpretation' (Halliday & Hasan 1976:31). They suggest that the source of reference can either lie outside the language (i.e. in the context of situation or culture) or be embedded inside the text (i.e. in the co-text). The identification of a reference item, therefore, can be retrieved in two ways: explicitly from within the text (known as endophoric reference or endophora) or with reference to the situation (known as exophoric reference or exophora). When an endophora is referred backward in the text to some previous item for its interpretation, it is known as anaphora. On the other hand, when it is referred forward in the text for its interpretation, it is known as cataphora. This is depicted in Figure 9.2. Halliday and Hasan (1976) point out that only endophoric reference is cohesive. This is because reference refers to the relation in which one item in a text relies on something else for its interpretation. When this 'something else' is another item in the same text, the dependence of one item on the other constitutes the cohesive relation between the two. Halliday and Hasan (1976:3) call this relation a 'tie'. In this regard, exophoric reference cannot constitute the cohesive relation since it relies on factors from the situation for its interpretation, but not from another item within the text.
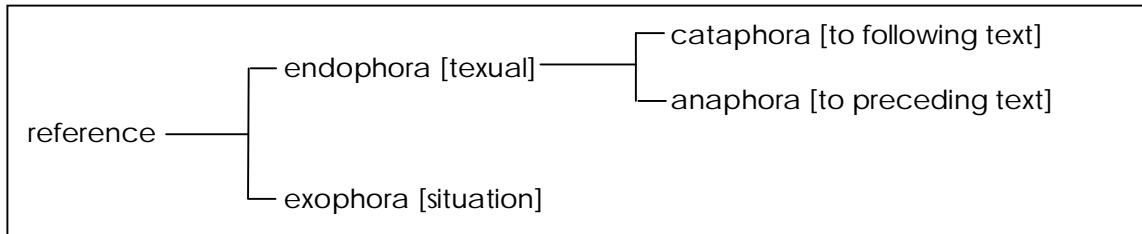
Figure 11.2: Sources of reference (Halliday and Hasan 1976:33)

Being a type of cohesive device, reference is further divided into three sub-categories: personal reference, demonstrative reference and comparative reference. We will examine them separately below.

Personal Reference

Personal references 'refer to something by specifying its function or role in the speech situation' (Halliday and Hasan 1976:44). They take the forms of personal pronoun, possessive determiner and possessive pronoun as shown (underlined) in the following dialogue.

Dialogue 11.1

[1.1] A: *Hey. Do you know that Peter will come to Sydney?*

[1.2] B: *You mean the Peter we write, Jose?*

[1.3] A: *Yes, from the States. In his letter, he said that he's arriving at 6 am. In the morning. He asked us to show him around the city.*

[1.4] B: *I've got mine too. He said he'd stay in a hotel at Hyde Park. He'll be leaving for Melbourne at 10 am on Sunday.*

In the dialogue, the personal pronouns include '*I*', '*you*', '*he*', '*him*', '*we*' and '*us*'; the possessive determiner includes '*his*'; and the possessive pronoun includes '*mine*'. Personal references function as 'head determinative', 'deictic possessive' and 'head possessive' respectively. For example, in the dialogue above, the personal pronouns '*I*', '*you*', '*he*',

'*him*', '*we*' and '*us*' function as 'head determinative'; the possessive determiner '*his*' as 'deictic possessive'; and the possessive pronoun '*mine*' as 'head possessive'.

Personal references can be categorized in terms of the roles in the communication process, i.e. the roles of the speaker and addressee (speech roles) as opposed to all relevant entities other than the speaker and addressee (other roles). Let's illustrate how this works in the dialogue presented above.

The second personal pronoun '*you*' in [1.1] refers to speaker B while the one in [1.2] refers to speaker A. It therefore does not have a fixed referent but rather refers to whoever the addressee is in the communication. In other words, the second personal pronoun refers to a particular speech role – the addressee – in a communication. Similarly, the first personal pronoun '*I*' in [1.4] refers to the speaker instead of a particular person. In contrast, the third personal pronoun '*he*' in both [1.3] and [1.4] refers to the same person, *Peter*, who is first mentioned in [1.1] and confirmed in [1.2]. The roles and functions of personal references are tabulated in Table 11.3.

Role		Function	Head Determinative	Head Possessive	Deictic Possessive
speech roles	listener(s)		*you*	*yours*	*your*
	speaker	singular	*I/me*	*mine*	*my*
		plus other(s)	*we/us*	*ours*	*our*
other roles	singular	masculine	*he/him*	*his*	*his*
		feminine	*she/her*	*hers*	*her*
		neuter	*it*	*[its]*	*its*
	plural		*they/them*	*theirs*	*their*
generalized			*one*	---	---

Table 11.3: Personal reference in English

Note that the classification of first and second personal pronouns normally refer to the speaker and listener in the speech roles instead of some mentioned body in a spoken discourse. They are, therefore, interpreted exophorically. As a result, they are not considered as cohesive (Halliday & Hasan 1976:48). However, as far as written text is concerned, they are anaphoric or cataphoric when they occur in direct speech. In other words, readers have to look in the text to find out the referents of the speaker and listener in the dialogue.

Demonstrative Reference

Demonstrative reference is 'a form of verbal pointing', with the speaker identifying the referent by locating it on the scale of proximity (Halliday and Hasan 1976:57). Demonstrative references function by means of heads (i.e. *this*, *these*, *that*, *those* and *it*), determiners (i.e. *this/that* book, *these/those* books, and *the* book), and adverbs (i.e. *here*, *there*, *now* and *then*). They are tabulated in Table 11.4.

Function Class	Head	Deictic	Adjunct
Specific Near	*this* *these*	*this* *these*	*here* *now*
Specific Remote	*that* *those*	*that* *those*	*there* *then*
Non-specific		*the*	

Table 11.4: Demonstrative reference in English (Halliday & Hasan 1994:313)

There are three types of demonstrative reference: circumstantial, selective nominal and non-specific.

Circumstantial demonstratives refer to the location of a process in space or time. It can, therefore, be subdivided into spatial demonstratives – *here* and *there* – and temporal demonstrative – *now* and *then*. In general, while '*here*' and '*now*' imply proximity to the

speaker, '*there*' and '*then*' imply a remote distance from the speaker. Let's illustrate with the following dialogue:

Dialogue 11.2

[2.1] A: *Okay Okay. I can see that we have a bit of disagreement <u>here</u>. And there is no point in arguing.*

[2.2] B: *I've got an idea, okay, the places to visit. First we get to Manly that will take a whole hour of drive. I see if I can find a car to drive up <u>there</u>.*

[2.3] A: *I don't think we can do anything <u>now</u>. Let's wait and see what Peter think about it.*

[2.4] B: *Okay. See you on Friday <u>then</u>.*

In the dialogue, there are two circumstantial references that refer to the location in space. First, the adjunct '*here*' in [2.1] refers to a specific issue which is regarded as 'near' on the scale of proximity because the issue refers to the places to visit that they are yet to agree with each other. Second, the adjunct '*there*' in [2.2] refers to '*Manly*' which is far from where they are. It is thus regarded as 'remote' on the scale. On the other hand, there are two circumstantial references that refer to the location in time. First, the adjunct '*now*' in [2.3] refers to that particular point of conversation and is thus regarded as 'near'. And second, the adjunct '*then*' refers to Friday which is considered 'remote' on the scale.

In analysis, it is necessary to distinguish: (1) spatial demonstrative '*there*' from pronoun '*there*' as in *There is a mouse in the kitchen*; (2) temporal demonstrative '*now*' from the conjunction '*now*' as in *Now what are we going to do about the presentation*; and (3) temporal demonstrative '*then*' from the conjunction '*then*' as in *He dropped on the bed and then fell asleep.*

Selective nominal demonstratives refer to the location of entities taking part in the process, including *this, that, these* and *those*. They differ from each other in three respects:

First, their functions as head or as deictic; second, their proximity from the speaker as near (*this, these*) or as remote (*that, those*); and third, their quantity as singular (*this, that*) or as plural (*these, those*).

Selective nominal demonstratives take the same forms whether they function as deictic (modifier or demonstrative adjective) or as head (demonstrative pronoun). Functioning as deictic, they may refer to any class of noun; however, functioning as head, they can refer to any non-human as in [1] but not human referent as in [2].

[1] *That is good.* (referring to a car)
[2] **That is good.* (referring to a boy)

Generally speaking, while '*this*' implies proximity to the speaker, '*that*' implies a remote distance from the speaker. This implication of proximity extends to a tendency for the speaker in a dialogue to use '*this*' to refer to something s/he has said and '*that*' to something said by his/her interlocutor (Halliday & Hasan 1976). Furthermore, '*this*' tends to be associated with a present or future-time referent and '*that*' with a past-time one. There are, of course, differences among different styles and varieties of English.

Plural selective demonstrative forms may refer anaphorically not only to a preceding plural noun as in [1] below, but also to sets that are plural in meaning as in [2].

[1] **The prize winners** *were eating jovially in a grandiose restaurant. No one could imagine that all* these *men would die one after the other in a few days.*

[2] '**What should I do? Where should I go? How can I explain it to Mary?**' *he thought. Peter heard the clock strike one, and then two, and then three. At last, he brought all* these *questions with him to a dream.*

The singular forms may refer to a whole list, irrespective of whether or not it contains items that are themselves plural. The following example is quoted from Halliday and Hasan (1976:62):

> I've ordered **two turkeys, a leg of lamb, some cooked ham and tongue, and two pounds of minced beef**. Whatever are you going to do with all <u>that</u> food.

The non-specific demonstrative '*the*' does not embody any content, but merely points out that the item in question is specific and identifiable somewhere in the text (Halliday & Hasan 1976). While '*the*' can be used exophorically or endophorically, only the endophoric ones are cohesive. When '*the*' is used endophorically, it is either cataphoric or anaphoric. Cataphoric '*the*' is limited to the structural type with it referring to a modifying element within the same nominal group, e.g., '*the*' in the nominal group '*at the top of the mountain*'. It cannot refer forward cohesively. Anaphoric '*the*' is cohesive only when the item is repeated. Let's illustrate this with the following dialogue.

Dialogue 11.3

> A: *I've got an idea, okay, the places to visit. First we **get to Manly** that will take a whole hour of drive. I see if I can find a car to drive up there.*
>
> B: *I like <u>the</u> idea of let Peter rest a while and we take him to Manly so we use that. The second one let's make some change. Instead of taking the ferry, we go to Taronga Zoo. That will add up most of a day. We'll then head toward **the Opera House**. <u>It</u> looks more beautiful at night anyway. And to finish the day, we'll dinner at Circular Quay, yea?*

In the example above, the demonstrative '*the*' in '*the idea*' refers to the one suggested by speaker A, i.e. *to get to Manly*. In this dialogue, the non-specific demonstrative '*it*' is also used anaphorically because '*it*' refers to '*the Opera House*' in the previous sentence. The anaphoric '*the*' in both instances are cohesive.

Comparative reference

Comparatives are referential because there must be a standard of reference by which one item is said to be identical to, similar with or different from another item; or is said to

be superior, equal, or inferior to another item. Halliday and Hasan (1976:76) divide comparative reference into two subtypes: general comparison and particular comparison.

General comparison is concerned with likeness and unlikeness between things, without respect to any particular property. It can be expressed by adjectives and adverbs. While adjectives function in nominal groups as pre-modifier, either deictic or epithet, (known as adjectives of comparison), the adverbs function as adjunct in the clause (known as adverbs of comparison). Just like the other two types of reference, the referents of comparison can be either exophoric or endophoric. If they are endophoric, they can be either anaphoric or cataphoric. Furthermore, comparative references may be either structural or non-structural. Only non-structural comparative references are cohesive because they are able 'to make explicit the external relationship between one clause or clause complex and another in a way which is not dependent on grammatical constraints' (Halliday and Hasan 1994:309). In contrast, structural comparative references are under certain grammatical constraints, and they are thus not cohesive.

General comparison is divided into three subcategories: identity, similarity, and difference. Let's illustrate these with the following examples.

[1] *I think the _same_ as you do about the matter.* (identity)

[2] *Gold is _similar_ color to brass.* (similarity)

[3] *His taste is _different_ from mine.* (difference)

In [1], the comparative reference '*same*' indicates that what the speaker thought about the matter is identical to what the hearer thought about it. In [2], the comparative reference '*similar*' signals that the color of gold looks more or less the same but not identical to that of brass. In contrast, the reference '*different*' in [3] tells us that the taste of a third party is not identical nor similar but different from the speaker's taste.

Particular comparison, on the other hand, deals with comparability between things in respect of their quantity and quality. It can be expressed by adjectives as in [4.1] and [4.2] and adverbs as in [4.3] in Text 11.4.

Text 11.4

(4.1) *My current apartment is <u>smaller than</u> the last one.* (4.2) *But it provides a <u>more expensive</u> view.* (4.3) *And I like the view <u>so much</u> that I spend several minutes by the window every evening.*

The two types of comparative reference – general and particular comparisons – are summarized in Table 11.5.

Function Class	Deictic/Numerative	Epithet	Adjunct/Submodifier
General identity	*same, equal, identical* etc.		*identically, (just) as* etc.
similarity	*similar, additional* etc.	*such*	*so, likewise, similarly* etc.
difference	*other, different* etc.		*otherwise, else, differently* etc.
Particular	*more, fewer, less, further* etc.; *so, as* etc. + numeral	*bigger* etc.; *so, as, more, less* etc. + adjective	*better* etc.; *so, as, more, less* etc. + adverb

Table 11.5: Comparative reference in English (Halliday & Hasan 1994:313)

Activity 11.1

Identify the referential cohesive devices in the following text.

One night, more than a year ago, I took a taxi along the Island Expressway and fell into conversation with the driver. It would be more accurate to say he fell into conversation with me because he told me he was Hong Kong's first disabled taxi driver. We chatted for a while and he said the Chinese papers had written about him and I should do a story on him one day. As he didn't have a name card, he wrote his name (Jonathan Lam) on a scrap of paper, which I filed under "T" for taxi when I got home and then forgot about.

A couple of months ago, and within the space of week, two people working on this magazine independently found themselves in Lam's taxi. Both of them suggested I interview him. I dug out the scrap of paper, rang him up and we arranged to meet.

I had wanted to take him out for *yum cha* but he said he preferred to stay in the taxi; later, I discovered he had been in his car for the previous 33 hours, either working or sleeping on the back seat.

Ellipsis and Substitution

Ellipsis and substitution set up a grammatical relationship in the wording of a text by leaving out parts of a structure or by replacing with another word respectively when they can be presumed from the co-text. As a result, they allow the speaker to focus on what is new and/or contrastive, and therefore indicates the continuity of the text. Let's illustrate the point with the following dialogue:

Dialogue 11.5

[5.1] A: *Hi. Guess what?* ***I got a letter from Peter yesterday***.

[5.2] B: *Hey.* <u>*So did I*</u>.

[5.3] A: *Isn't it great that we can finally get meeting each other.*

[5.4] B: *Oh.* ***Have you got any idea where to take him?***

[5.5] A: <u>To Taronga Zoo, Manly, Opera House, Homby Lighthouse or</u> ...

In this dialogue, when speaker B replies, '*So did I*' in [5.2], speaker A has no problem in understanding that what B meant was '*I <u>got a letter from Peter</u> too*'. On the one hand, the underlined wording is replaced with the word '*did*', which can be presumed from [5.1]. This replacement, on the other hand, allows speaker B to focus on the new information, i.e. s/he ALSO got a letter from Peter. A textual tie is thus created between [5.1] and [5.2]. Similarly, when speaker A answers speaker B's question in [5.5], it is obvious that speaker A leaves out a large part of the sentence, i.e. <u>*I have got an idea where to take him*</u>, which can be presumed in [5.4], and as a result, speaker A is able to focus on the new information, i.e. the places that s/he wants to take Peter to. Here, another textual tie is created. These textual ties contribute to the continuity of a text.

There are three types of substitution and ellipsis: (a) nominal, (b) verbal, and (c) clausal. All of them can be partially or totally ellipsed.

Nominal substitution and ellipsis

Nominal substitution involves the replacement of one lexical nominal item with another. In the following example, the nominal phrase '*soft drink*' is substituted by a pronoun '*some*' to avoid repetition.

There is no more ***soft drink*** *in the fridge. Go and buy* <u>*some*</u>.

Nominal ellipsis, on the other hand, occurs when some essential structural element in the noun phrase is omitted in a sentence or clause. In the following example, the

demonstrative pronoun '*those*' clearly carries the meaning '*those examination papers*', making repetition of '*examination papers*' unnecessary.

> **These examination papers** get a pass and <u>those</u> get a fail.

It is noted that the speaker may insert his personal assessment on the original referent through substitution. In the following example, the speaker not only replaced the original word '*loan-sharks*' by the word '*parasites*', but his personal judgment is clearly expressed in the word '*parasites*' as well.

> There are always **loan-sharks** in a society. These <u>parasites</u> are non-productive to the economy here.

Verbal substitution and ellipsis

Verbal substitution involves the replacement of one verbal item with another. In the following example, the phrase '*work too hard*' is substituted by '*do*'.

> A: You **work too hard**.
> B: So <u>do</u> you.

Verbal ellipsis involves omission of parts of the verb phrase. In the following example, the main verb '*write*', together with its object '*him*', is omitted in speaker B's response, which may be '*We can't <u>write to him</u> because he's coming this Saturday*' in full form.

> A: Why don't we **write to him**?
> B: We can't because he's coming this Saturday.

Clausal substitution and ellipsis

Clausal substitution involves the replacement of one or more clauses with short forms. For example, in the following dialogue below, the clause '*Me too*' stands for '*I've got a letter from Peter too*'.

A: **I've got a letter from Peter.**

B: <u>Me too</u>. He says he's going to come down.

Clausal ellipsis, on the other hand, involves omission of parts of the clause. Let's illustrate this with the following dialogue.

Dialogue 11.6

[6.1] A: *So what should we do?*

[6.2] B: *I think **we should take him to three places only**.*

[6.3] A: *Okay. <u>Which three then</u>?*

[6.4] B: *Let's have a look. I want to take him to the Opera House since it is a cultural symbol of Australia. And then have a walk along the beach in Manly. Then go to Darling Harbor for a buy. Maybe join a harbor cruise.*

   .....

[6.5] A: *Okay, then Darling Harbor it is. So far we've decided the Opera House and Darling Harbor. **What about the third place?***

[6.6] B: <u>North Head and Manly Beach.</u>

[6.7] A: *No, <u>Taronga Zoo</u>.*

In this dialogue, the question '*Which three then?*' in [6.3] stands for '*Then which three places <u>should we take him to</u>?*' Similarly, the answers in [6.6] '*North Head and Manly Beach*' stands for '<u>The third place can be</u> North Head and Manly Beach'; and in [6.7] '*No, Taronga Zoo*' may stand for '*No, <u>the third place can be</u> Taronga Zoo.*' In all these instances, the underlined wordings are omitted in the clauses.

Activity 11.2

Identify the cohesive devices in terms of ellipsis and substitution in the following dialogue.

A: Paul and Mary are having a happy event next month.
B: Congratulations to them. That's their third, isn't it?
A: No, it'll only be the second.
B: But I thought they already had one boy and one girl.
A: Yes, they do but what's that got to do with it?
B: Mary isn't pregnant again then.
A: No, of course not. They're having a party to celebrate Paul's promotion.

Conjunction

Unlike reference (which serves as a deixis by pointing to a referent mentioned in the same text or beyond the text) or ellipsis and substitution (which allow a speaker to focus on what is new and/or contrastive by leaving out parts of a structure that can be found in the same text), conjunction is a device which signals the relation between the contents and ideas between adjacent clauses in the same text. Conjunction is thus considered a cohesive device, which helps explicate the textual continuity and build the unity of a text. There are four types of conjunctions: adversative, additive, temporal and causal.

Adversative conjunction

Adversative conjunction is a cohesive device that signals that the content in a clause is contrary to the expectation derived 'from the content of what is being said, from the communication process, (and) from the speaker-hearer situation' (Halliday and Hasan 1976:250). Let's illustrate with Text 11.7.

Text 11.7

[7.1] Throughout the Board Meeting, she remained defensive and refused to acknowledge any wrongdoing. [7.2] *But* it was her expensive medical plan that she obtained for herself that first caught the auditor's attention and later was brought under scrutiny.

In Text 9.7, the information expressed in [7.2] is contrary to the expectation derived from the content of [7.1]. This is what 'adversative' means, and this adversative relation is explicated by the conjunction '*but*' at the beginning of [7.2].

Adversative conjunctions can be further sub-categorized into simple, contrastive, corrective, or dismissive in terms of function. The general meaning of a simple adversative relation is 'in spite of' as shown in [1] below; a contrastive adversative relation is 'as against' as in [2]; a corrective adversative relation is 'not … but' as in [3]; and a dismissive adversative relation is 'no matter …, still' as in [4].

[1] *Common sense alone should have suggested this is by no means insignificant and has legal implications. <u>Nevertheless</u>, the government has had the good sense to decide not to appeal against the March ruling.*

[2] *For decades, harbor reclamation has been used to provide new space for transport and property development. This has been a formula for economic success and has determined the mindset of many government officials. <u>But</u> since the handover, a sea change in public opinion has occurred as people realize the harbor is our city's most precious natural asset and that reclamation, in most cases, is irreversible.*

[3] *It doesn't seem ugly to me; <u>on the contrary</u>, I rather like it.*

[4] *<u>Whichever</u> way you look at it, solar energy is the energy of the future.*

Some typical adversative conjunctions in English are presented in Table 11.6.

simple	contrastive	corrective	dismissive

yet, though, only, but, however, nevertheless, despite this, all the same	but, and, however, on the other hand, at the same time, as against that, in fact, as a matter of fact, actually, in point of fact,	instead, rather, on the contrary, at least, rather	in any/either case/event, any/either way, whichever, anyhow, at any rate, in any case,

Table 11.6: Adversative conjunctions (adapted from Halliday & Hasan 1976)

Additive conjunction

Generally speaking, additive conjunctions signal the presentation of additional information; however, in terms of function, additive conjunctions can be further sub-categorized into simple, emphatic, appositive, or comparative additive relations. A simple additive relation implies that there is something more to be said as in [1] below; emphatic additive relation implies that there is yet another point to be taken in conjunction with the previous one as in [2]; appositive additive relation that 'there is another (alternative) way to say it' as in [3]; and finally comparative additive relation implies 'in comparison to' as in [4].

[1] *Common sense alone should have suggested this is by no means insignificant and has legal implications.*

[2] *The house was out of our price range and too big anyway. Besides, I'd grown fond of our little rented house.*

[3] *The rail link is one of 10 major infrastructure projects the chief executive announced in his last policy address. In other words, someone in the government developed two showcase infrastructure projects on the mistaken assumption that temporary reclamation did not amount to full reclamation in law.*

[4] *She was late and I similarly was late.*

Some typical additive conjunctions in English are presented in Table 11.7.

simple	emphatic	appositive	comparative
and, and also, nor, or, or else	furthermore, in addition, moreover, besides	that is, in other words, I mean, for example, for instance	likewise, similarly, in the same way, on the other hand, by contrast

Table 11.7: Additive conjunctions (Green, Han, and Li 2009)

Causal conjunction

As the name suggests, causal conjunctions express a causal relation between adjacent clauses. Causal conjunctions can be further classified as causal (general), causal (reversed), conditional and respective. The causal (general) types are those in which cause is followed by effect, meaning 'a, therefore b' as in [1] below; the causal (reversed) types have effect following cause, meaning 'b, because a' as in [2]; the conditional types express either 'under these circumstances' or 'under other circumstance', meaning 'possibly a; if so, then b' as in [3]; and finally, respective conjunctions are used to introduce a new topic or reintroduce one considered earlier in the text, meaning 'with respect to' as in [4].

[1] *At the same time, however, shipping fleets have expanded dramatically to service booming global trade. As a result, there is a dire shortage of trained men and women to man ships carrying everything from oil to toys.*

[2] Since last year's ministerial and bureau reshuffle, it has found itself under the Environment Bureau.

[3] Given that policy bureaus can be overprotective of their own turf and objectives in policy debates, the chief secretary is arguably better placed to resolve inter-bureau differences.

[4] *In recent disasters, the PLA has been at the forefront of disaster relief. As much as it is a defence force, part of its mission has evolved into a rapid aid force for*

> *civilians in distress. <u>In this regard</u>, new, advanced training and equipment should be provided to enhance its relief capabilities.*

Some typical causal conjunctions in English are presented in Table 11.8.

causal (general)	causal (reversed)	conditional	respective
so, then, hence, therefore, thus, consequently, because of, for this reason, on account of this, as a result, in consequence for this purpose, with this in mind	since, because, it follows, on this basis, arising out of this, to this end	then, in that case, in such an event, that being so, under the circumstances, otherwise, under other circumstances	in this respect, in this regard, regarding, with regard to, in other respects, aside/apart from this

Table 11.8: Causal conjunctions (Green, Han, and Li 2009)

Temporal conjunction

Temporal conjunctions express the temporal relationships between two successive clauses. Temporal conjunctions can be further divided into four sub-categories, i.e. simple, external, internal, and here and now. Let's illustrate this with the examples below. Simple temporal conjunctions as in [1] and external conjunctions as in [2] concern the events in a text in terms of the timing of their occurrence. In contrast, internal temporal conjunctions as in [3] and those in the 'here and now' category as in [4] concern the events involved in communication processes, i.e. they relate not to actual events but to the points a speaker or writer is making at a particular stage or time.

> [1] *This month, two catastrophes have hit Asia. Myanmar was devastated more than a week ago by a severe cyclone, leaving tens of thousands dead or missing, and many more without food, medical care, and shelter. <u>Then</u>, on Monday, the*

> worst earthquake in a generation rocked China, laying waste to major cities and villages in Sichuan and killing at least 12,000 people.
>
> [2] *At the moment, the best that can be hoped for in the current phase of the conflict when the dust has settled and enough blood has been shed - is that Israel will ease or end the Gaza blockade and that an exhausted Hamas will give up its missile harassment. <u>Meanwhile</u>, a lasting peace in this tragic land is as remote as ever.*
>
> [3] *I don't think the plan works. <u>Firstly</u>, we don't have enough manpower; and secondly, we don't have the time.*
>
> [4] *Their parents were killed in the disaster. <u>From now on</u>, the brother and sister have to rely on themselves.*

Some typical temporal conjunctions in English are presented in Table 11.9.

simple	external	internal	here and now
at first, then, next, after that, finally, just then, at the same time, previously, before that, in the end, at last	at once, soon, after a time, next time, an hour later, meanwhile, until then, at this moment	firstly, secondly, thirdly, finally	up to now, at this point, from now on, in short, to return to the point

Table 11.9: Temporal conjunctions (Green, Han, and Li 2009)

Temporal conjunctions can extend their semantic coverage to express conclusive relation as in [1] and summary relation as in [2].

> [1] *We may try our best to take care of our child in every aspect of his daily lives. But we have to understand that <u>eventually</u> our child will leave home to lead his own lives as a fully independent adult.*

> [2] *Send her an email, buy her some flowers, and call her every evening. <u>In short</u>, show her that you care for her.*

In addition, some conjunctions such as '*however*' and '*but*' may convey more than one sense, depending on the context. According to Green, Han and Li (2009: 160), '*and*' is the most frequently used conjunction because it can be used to signal a range of relationships between ideas in a text, including addition as in [1], adversative (negative) as in [2], causal as in [3], and temporal as in [4].

> [1] *Our new product is innovative <u>and</u> cheap.*
> [2] *Our new product has been on the market for three years <u>and</u> we haven't made a dollar in profit so far.*
> [3] *Our new product failed <u>and</u> was withdrawn.*
> [4] *We withdrew the new product <u>and</u> later destroyed all stocks of it.*

It should also be noted that there can be more than one conjunction in a sentence. In the following example, the causal conjunction '*as a consequence*' is combined with the simple additive '*and*' to make the message more explicit and formal.

> *Peter failed to work hard <u>and as a consequence</u> found himself a very poor academic result this year.*

Similarly, the use of the conditional conjunction '*if*' alone in the following example would be acceptable, but the combination of the adversative conjunction '*but*' lends the quality of explicitness.

> *The most cost-effective and acceptable option is to come up with alternative building plans that will not involve reclamation. <u>But if</u> this is not possible, the government should revise plans to minimize the extent of the temporary reclamation.*

Activity 11.3

Identify the cohesive devices in terms of conjunction in the following text.

The OUHK's Jockey Club Multimedia Laboratory, which took two years to complete, was officially opened on 4 July, marking a new phase in the University's application of IT in distance education.

'In a networked multimedia environment with keen global competition, effectively integrating technology and pedagogy for learning has become a major challenge to educational institutions around the world,' said Prof. Leung Chun-ming, Director of Technology Development at the OUHK.

Council Chairman the Hon. Charles Lee said the University was going ahead with its $98-million three-year Information Technology Development Plan. The plan was mapped out after a series of consultations and will serve as a blueprint for enhancing the IT strengths and services at the OUHK. It focuses on four areas of development: enriching the student learning environment; enhancing student support services; strengthening staff support, communication, and IT training; and improving external relations.

Lexical cohesion

Lexical cohesion refers to the 'cohesion effect achieved by the selection of vocabulary' (Halliday and Hasan 1976: 274). It occurs when two or more words in a text are related in terms of their meaning, and therefore sets up a lexical relationship between them. There are two major kinds of lexical cohesion: reiteration and collocation.

Reiteration

Reiteration involves either directly repeating an item in a text or restating it in a different form. There are four major types of reiteration: repetition, synonym or near-synonym, superordinate, and general word.

Repetition occurs when a word or phrase is directly repeated in a text. For example, in Text 11.8, the phrase '*Hong Kong*' first occurs in [8.1] and then in [8.2].

Text 11.8

[8.1] Since <u>Hong Kong</u> has returned to China, there have been many events to mark the city's national identity, such as National Day, anniversaries of the handover, flag-raisings and fireworks celebrations. [8.2] None, however, has proclaimed the city's proud sense of patriotism as spontaneously as yesterday's <u>Hong Kong</u> section of the Olympic torch relay.

Synonym refers to a word that means the same thing. In other words, being a lexical cohesive device, synonym occurs when an alternative word is used to refer to a mentioned item in a text. For example, in the following text, '*the Games*' in [9.2] refer to '*the 2008 Olympics*' mentioned in [9.1].

Text 11.9

[9.1] *<u>The 2008 Olympics</u> is a source of immense pride to Chinese everywhere as a showcase of modern China's achievements.* [9.2] *The patriotic fervour on display yesterday leaves no doubt that the overwhelming majority of Chinese in Hong Kong support <u>the Games</u>.*

But few words really have identical meaning, i.e. covering the same semantic scope. A near synonym also creates a cohesive effect in a text. In fact, just like a synonym or near synonym, an antonym – a word presenting an opposite meaning – can also create a

cohesive effect. Let's illustrate with the following examples. The pair of words 'scorching' and 'freezing' in [1], 'pessimism' and 'optimism' in [2] and 'fast' and 'slow' in [3] are antonyms. Each pair creates a cohesive effect in each example.

[1] *Sahara is a place which is <u>scorching</u> in the day but <u>freezing</u> at night.*

[2] *After I heard the news, the feeling of <u>pessimism</u> was replaced by an <u>optimistic</u> one.*

[3] *China's economy is growing <u>fast</u> but political change is relatively <u>slow</u>.*

Superordinate refers to 'any item whose meaning includes that of the earlier one; in technical terms, any item that dominates the earlier one in the lexical taxonomy' (Halliday and Hasan 1976: 280). A cohesive effect is achieved through a hierarchical (also known as hyponomy) relationship between a superordinate and a subordinate items in a text. In Text 9.10, '*warships*' in [10.4] is the superordinate element while '*carriers*' in [10.3] and '*aircraft carrier*' in [10.2] are the subordinates. They form a hyponomy relation and create a cohesive effect in the text.

Text 11.10

[10.1] *George H.W. Bush is the America's newest <u>aircraft carrier</u>.* [10.2] *It is a potent symbol of America's global power and presence.* [10.3] *It is also the last of 10 nuclear-powered Nimitz-class <u>carriers</u> to enter service with the US Navy.* [10.4] *They are the world's largest <u>warships</u>.*

Just like the hyponomy relation, a cohesive effect can also be achieved through a metonymy relationship. It refers to the relationship between the whole and the parts of an object as '*hospital*' and '*wards*' in [1] and '*hotel*' and '*entry*' and '*lobby*' in [2] below.

(1) *This <u>hospital</u> is new and its <u>wards</u> are furnished with state-of-art equipment.*

(2) *The new <u>hotel</u> has a grand <u>entry</u>, which leads to an attractive <u>lobby</u> area.*

General words, as Halliday and Hasan (1976:280) point out, are 'on the borderline between lexical items and substitutes'. When a general word is used to refer back to a lexical item in a text, a cohesive effect is created. For example, '*things*' is a general word which includes '*seafood*'.

> A: *Have you tried the <u>seafood</u>?*
> B: *No, I don't like the <u>things</u> much.*

Collocation

In English, certain words usually collocate with other words, meaning that certain lexical items are frequently found in each others' company. Being a cohesive device, collocation is the most 'problematical part' of lexical cohesion because it tends to include almost all items in a text which are semantically connected, and it is sometimes difficult to decide whether or not a relation of collocation occurs (Halliday and Hasan 1976; Nunan 1993). On the other hand, as Martin (1981: 1) points out, 'its contribution to coherence in text is so significant that it cannot be ignored.' In fact, this type of cohesive effect is overwhelming in a text. The following text is extracted from Mitch Alboum's (2009: 26) *Have a Little Faith*.

Text 11.11

[11.1] *The <u>parking lot</u> was mostly empty.* [11.2] *I approached the <u>temple</u>, with its tall <u>glass archway</u>, but I felt no nostalgia.* [11.3] *This was not the <u>prayer house</u> of my youth.* [11.4] *As with many suburban <u>churches</u> and <u>synagogues</u>, our <u>congregation</u>, <u>Temple Beth Sholom</u> (which translates to: "House of Peace"), had followed a migratory pattern.* [11.5] *It began in one place and moved to another, growing larger as it chased after its <u>members</u> who, over the years, picked more affluent suburbs.* [11.6] *I once thought <u>churches</u> and <u>temples</u> were like hills, permanent in location and singular in shape.* [11.7] *The truth is, many go where the <u>customers</u> go. They build and rebuild. ...*

In the text, the items '*temple*' in [11.2], '*prayer house*' in [11.3], '*synagogues*' in [11.4] and '*churches*' in [11.4] and [11.6] are examples of collocation because they all belong to the field of religious architecture. However, the collocation of '*temple*' obviously extends to the items '*Temple Beth Sholom*' and '*House of Peace*' in [11.4], and also '*congregation*' in [11.4], '*members*' in [11.5], and maybe '*customers*' in [11.7]. In fact, we may also argue that the item '*temple*' *may* further associate with the other items such as '*parking lot*' in [11.1] and '*glass archway*' in [11.2] with a whole-part relationship. In fact, there are other lines of collocation such as '*place*' and '*suburbs*' in [11.5] and '*location*' in [11.6]. But what we have just discussed is the noun-noun collocation. Apart from the noun-noun collocation, there are adjective-noun collocations such as *empty – parking lot*, *tall – glass archway*, *affluent – suburbs*, and also verb-noun collocation such as *approach – the temple*, *follow – migratory pattern*, *began – in one place* and *moved – to another* etc. Hoey (1991) claims that lexical cohesion can be considered as the most important type of cohesion in terms of the number of cohesive ties in any text.

Now that we have examined all the cohesive devices in English, including reference, substitution and ellipsis, conjunction, and lexical cohesion, let's analyze the cohesive devices in the following short text extracted from Mitch Alboum's (2009: 27) *Have a Little Faith*.

Text 11.12

[12.1] *We walked down the hallway toward his office.* [12.2] *At this point, in semiretirement, his hours were strictly of his own choosing.*

[12.3] *But religion is built on ritual, and the Reb loved the ritual of going in to work.* [12.4] *He had nurtured this congregation from a few dozen families in 1948 to more than a thousand families today.* [12.5] *I got the feeling the place had actually grown too big for his liking.* [12.6] *There were too many members he*

didn't know personally. [12.7] *There were also other rabbis now – one senior, one assistant – who handled the day-to-day duties.* [12.8] *The idea of assistants when the Reb first arrived would have been laughable.* [12.9] *He used to carry the keys and lock the place up himself.*

With respect to reference, we find the personal references '*he*' in sentences [12.4], [12.6] and [12.9]; '*his*' in [12.1], [12.2] and [12.5] and '*himself*' in [12.9], all of them refer to the same referent – '*the Reb*' in [12.3]. In addition, '*I*' in [12.5] refers to the writer while '*we*' in [12.1] refers to both the writer and the Reb. Both items – the writer and the Reb – have been mentioned in the previous chapter. We also find the demonstrative reference '*this*' in [12.4], which refers to the specific congregation at the time when the book is written; the deictic '*the*' in [12.5] refers to the place of the present church, and the ones in [12.9] refers to the keys and the place of the previous church. Similarly, both the current and the previous church have been mentioned in the previous chapters. Furthermore, we also find two comparative references: '*more than*' in [12.4] is making comparison of the number of congregations in 1948 and the present; and '*too*' in [12.5] and [12.6] is making comparison of the size of the church and the number of church member with the Reb's liking.

While the writer employs many references to bind the text together, he employs very few ellipses. In fact, the only type of ellipsis at work is the omission of the post-modifier *of* '*the temple*' in [12.1], *of* '*the church*' in [12.4], [12.5], [12.7] and [12.9], and *in* '*the church*' in [12.6].

Regarding conjunction, we find adversative relation expressed by '*but*' in [12.3], which is in contrast with the expectation of what mentioned in the previous sentence that the Reb's hours were strictly of his own choosing as he is semiretired. We also find additive relation expressed by '*and*' in [12.3], which introduces additional information to the statement that '*religion is built on ritual*', and the one in [12.9] introduces further action that the Reb did by himself in the past. Finally, we also find temporal relations expressed by

the adverbial '*At this point*' in [12.2] and also '*now*' in [12.7], indicating the 'here and now' in the process of writing than the sequence of events happened in the narration.

Lexical cohesion is at work throughout the text. There are instances of repetition such as '*ritual*' in [12.2], '*families*' in [12.4], '*the Reb*' in [12.3] and [12.8], and '*assistant*' in [12.7] and [12.8]. There is also a pair of antonym '*senior*' and '*assistant*' in [12.7]. Furthermore, a hyponomy relationship between a superordinate and a subordinate is also found as '*the place*' in [10.5] is the superordinate element while '*the hallway*' and '*his office*' in [12.2] are the subordinate items. With respect to collocation, we find noun-noun collocation in the text such as '*hallway*', '*office*' in [12.1], '*place*' in [12.5] and [12.9]; '*congregation*' and '*families*' in [12.4], '*member*' in [12.7]; '*keys*' and '*lock*' in [12.9]; '*religion*' and '*ritual*' in [12.3]. Lastly, we find some structures of parallelism such as '*too big*' in [12.5] follows by '*too many*' in [12.6]; '*There were too many members …*' in [12.6] and '*There were also other rabbies …*' in [12.7]. In short, within such a short passage, we find that all sorts of cohesive devices are at work. They bind the text closely together to form a cohesive and coherent text, which form a unity by itself.

Activity 11.4

Identify the use of lexical cohesion in the following text.

Etymologists research how a word enters a language and how it changes meanings and use after it has been introduced. Etymologists also look at various processes of word formation and describe ways in which the meanings of words evolve and change over time within and across languages. For example, etymologists suggest that the word 'smooch' (kiss) is derived from the word 'smouch' and is onomatopoeic, i.e., the word represents the sound of a kiss. They also note that the word was first recorded in the late 1500s and is related to the German word 'schmutzen'. Students who are interested in etymology will note that a number of dictionaries include this information (e.g., the Oxford English Dictionary). There are also specialized

etymological dictionaries and reference books (e.g., the John Ayto's Dictionary of Word Origins: Histories of More Than 8,000 English-Language Words). Today, there are a number of online etymology dictionaries (e.g., http://www.etymonline.com/) as well.

Conclusion

In this chapter, we discussed the relation of the three notions: text, coherence and cohesion. A text is a semantic unit, consisting of one or more than one clause and forming a unified whole. To achieve this textual unity, a text must be: (1) coherent with respect to itself, and therefore cohesive; and (2) coherent with respect to the context of situation, and therefore consistent in register. In this chapter, we explored the first type of coherence, i.e. cohesion. In English, there are grammatical resources known as cohesive devices, which help maintain textual continuity and therefore contribute to the unity of a text. These cohesive devices include reference, substitution and ellipsis, conjunction, and lexical cohesion. We examined these devices and discussed how they bind a text closely together to form a cohesive one. In Chapter 10, we will explore the context of situation, in relation to the second type of coherence, as well as the context of culture.

12

Language in Context

Introduction

In the previous chapter, we explored the cohesive devices in English, including reference, substitution and ellipsis, conjunction, and lexical cohesion. These devices signal the textual continuity of a text and partly contribute to the coherence of it. In this chapter, we will explore another issue that also concerns the coherence of a text – language in context. In daily life, language is produced and comprehended in a particular social context, which in turn affects how language is used and meaning is interpreted. In the following sections, we will first discuss the three dimensions of context of situation, i.e., field, tenor and mode, and then various genres of context of culture.

Language in Context

We are 'social beings' – being socialized into who we are in the society through language, and becoming language users in the social environment that we live in. We make language choices, consciously or unconsciously, in our daily conversation, observing the social norms in order to perform the social functions that we intend. The social context in which a conversation takes place, to a very large extent, affects the ways in which language is used and meanings conveyed. From the perspective of language analysis, as Martin (2001: 151) puts it, 'you cannot understand the meaning of what someone says or writes unless you know something about the context in which it is embedded.' Let's illustrate the point with an example extracted from Thomas (1995: 5). This is a conversation between two young Englishmen, and speaker A was reading a newspaper.

Text 12.1

> A: *What's this lump they're always on about?*
>
> B: *Read it out.*
>
> A: [Reads aloud from paper] *Inland Revenue cracks down on lump.*
>
> B: *Oh, isn't it something to do with casual labor on building sites? The way they're paid – tax evasion and that?*

In the above example, speaker B could answer speaker A's question only after the context of situation – Inland Revenue – was provided. In general, without the knowledge of the context of situation in which a discourse or a text occurs, we may not make sense to it. Furthermore, not only the knowledge of the situation, but the knowledge of culture also affects our understanding of a text. Let's illustrate the point by the text extracted from Margaret Atwood's *The Sin Eater.*

Text 12.2

> [2.1] *I think of them as women,' he says, 'though there's no reason why they shouldn't have been men, I suppose.* [2.2] *They could be anything as long as they were willing to eat the sins.* [2.3] *Destitute old creatures who had no other way of keeping body and soul together, wouldn't you think?*[2.4] *A sort of geriatric spiritual whoring.*

Unless we have the knowledge of the culture and/or custom, there is no way for us to fully comprehend the statement in [2.2] '*They could be anything as long as they were willing to eat the sins*'. How '*sins*' can be eaten? Why only those '*destitute*' old people '*who had no other way of keeping body and soul together*' were willing to eat the sins? Or why are they referred to as '*a sort of geriatric spiritual whoring*' in [2.4]?

In other words, every discourse or every text occurs within two layers of social context, one within the other. In order to capture the effect of social context in language analysis, we

thus need a stratum of context, which is beyond the domain of language, immediately above the stratum of meaning. This stratum is further divided into the context of situation and the context of culture. This is depicted in Figure 12.1:
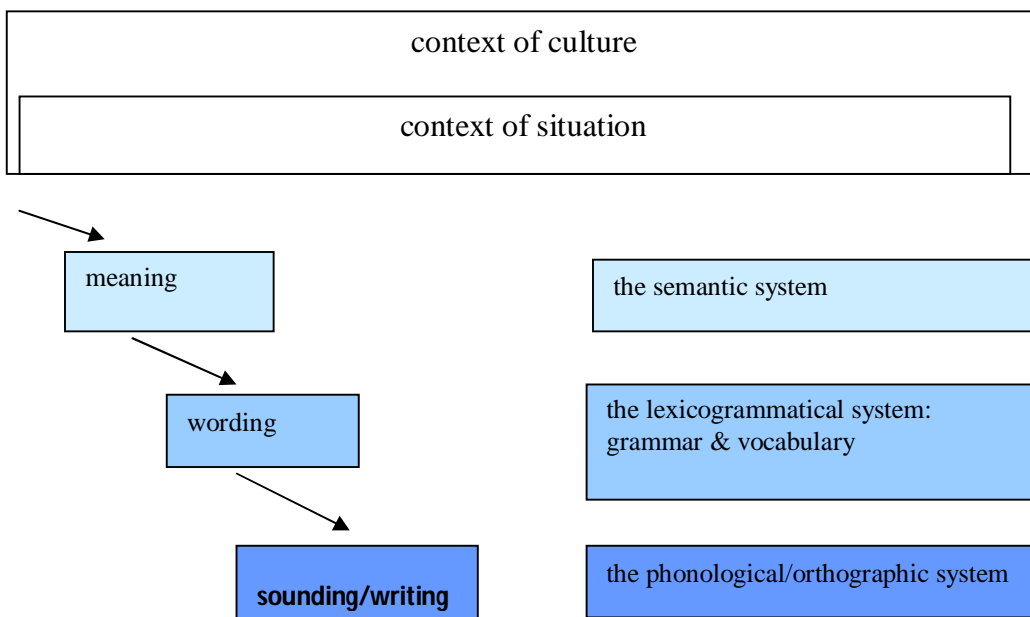
Figure 12.1: Social context and stratification of language

Context of situation: Register

Context of situation refers to the things going on in the world in which the text is created. They are social factors beyond the domain of language, affecting the use of language in the text and thus creating the extralinguistic features of it. In SFL, these social factors are grouped into three dimensions, namely *field*, *tenor* and *mode* (Halliday 1964, 1975, 1976). They are patterned into situation type (known as register). A situation type is characterized by a complex of features of *field*, *tenor* and *mode*, which sets it apart from other situation types. Martin (1999) and Coffin, Donohue & North (2009) have further explanation of these notions.

The dimension of *field* refers to 'what is going on in the text', i.e. what is to be talked or written about. It concerns the socio-semiotic process and experiential domain, and addresses the following questions:

- What is the social activity taking place through the use of language?
- What is the topic being negotiated in the text?
- How does the issue construed in the text being deal with? (i.e. whether the matter is discussed or handled from a professional or layman perspective)
- From what angle is the matter presented?

Let's illustrate with the following dialogue.

Text 12.3

[3.1] A: *Wilmington tower, this is helicopter two-one-nine Sierra Bravo.*

[3.2] B: *Go ahead, helicopter two-one-nine, Wilmington tower.*

[3.3] A: *Requesting clearance from university athletic field, direct to your location from ISO Aero. Over.*

[3.4] B: *Contact tower when entering pattern. Cleared from present position, on course, stay with me and report down and secure at ISO.*

[3.5] A: *Two Sierra Bravo, wilco.*

The dialogue represents a social activity – a request for approval – between the pilot of a helicopter and the control tower of an airport, and the topic concerns the departure and landing of a helicopter. This is construed through the meaning of lexicons in the dialogue. The request and approval are made from the professional perspective with a high degree of specialization, reflecting in the use of technical terminology in that particular field such as '*requesting clearance*' in [3.3], '*entering pattern*' and '*report down and secure at ISO*' in [3.4]. In addition, imperative is used as command such as '*Go ahead, helicopter two-*

one-nine, Wilmington tower' in [3.2] and '*Contact tower when entering pattern'* in [3.4]. The pilot presented him/herself as the helicopter ('*this is helicopter two-one-nine Sierra Bravo'* in [3.1]), which was the subject to request the approval of departure and flight route ('*Requesting clearance from university athletic field, direct to your location from ISO Aero.'* In [3.3]). The controller, on the other hand, identified him/herself as the control tower ('*Go ahead, helicopter two-one-nine, <u>Wilmington tower</u>.'* In [3.2]) and the one which issues various orders to the helicopter ('*Go ahead …Contact tower …stay with me and report …'*). This can be summarized in the following table.

Field	Analysis	Linguistic features
Social activity	A request for approval	Participants, processes and circumstances
Topic	The departure and flight route of a helicopter	Participants, processes and circumstances
Perspective	The request is made and approved from the professional perspective with a high degree of specialization.	Lexis/terminology, clause structure
Angle of presentation	The pilot presented him/herself as the helicopter, which was the subject to request the approval of departure and flight route. The controller, on the other hand, identified him/herself as the control tower and the subject to issue various orders to the helicopter.	Role of the participants

Table 12.2: Linguistic features relating to the dimension of field

Activity 12.1

Analyze the 'field' of the following text. Indicate the linguistic features as evidence of your deductions.

At the age of three my grand aunt proclaimed her independence by categorically refusing to have her feet bound, resolutely tearing off the bandages as fast as they were applied. She was born in Shanghai (city by the sea) in 1886 during the Qing dynasty when China was ruled by the child emperor Kuang Hsu, who lived far away up north in the Forbidden City. The pampered baby of the family, 8 years younger than my grandfather, Ye Ye, Grand Aunt finally triumphed by rejecting all food and drink until her feet were, in her words, 'rescued and set free'.

Shanghai in the late nineteenth century was unlike any other city in China. It was one of five treaty ports opened up to Britain after the First Opium War in 1842. Gradually it burgeoned into a giant intermediary between China and the rest of the world. Strategically situated on the Huangpu River seventeen miles upstream from the mighty Yangtse, the city was linked by boat to the inner western provinces. At the other end to the east, the Pacific Ocean was only fifty miles away.

Britain, France and the United States of America staked out foreign settlements within the city. To this day, amidst the new high-rise buildings, Shanghai's architecture reflects the influence of the foreign traders. Some of the great mansions, formerly homes of diplomats and business magnates, possess the stately Edwardian grandeur of any fine house by the River Thames at Henley in England or the Gallic splendour of a villa in the Loire valley in France.

The dimension of *tenor* concerns 'who is/are taking part in the activity'. It concerns the social relationship between the participants involved in the social activity – speaker and hearer (or the writer and the readers), and sometimes a third party – and responds to the following questions:

- What is the institutional role of the participants involved in the social activity, including their social responsibility in performing the task and their authority?
- What is their social status and relative power, including their level of expertise, and possession of knowledge of the topic?
- What is their social distance, i.e. the level of familiarity between the participants?
- What are their persona technically known as socio-metric roles), i.e. their general stance towards, alignment with, agreement with, and valuation of each other?

Let's examine the dimension of tenor of the following dialogue between two friends.

Text 12.4

[4.1] A: Hey. Do you know Peter will come to Sydney?

[4.2] B: You mean the Peter we write?

[4.3] A: Yes, from the States. In his letter, he said he's arriving at 6 in the morning. He asked us to show him around the city.

[4.4] B: I've got a letter too. He said he's staying in a hotel at Hyde Park … would be leaving for Melbourne at 10 on Sunday.

[4.5] A: So, have you got any idea where to take him?

[4.6] B: Well. First, I think I'll take him to the Opera House.

[4.7] A: Sure. That'll be great. Then?

[4.8] B: Then we'll head down to North Head and Manly Beach and then visit Darling Harbour.

[4.9] A: Well. I'm actually thinking of South Head and the Homby Lighthouse and Taronga Zoo. How about we take him to all the places? I'm sure he'll have an exciting time.

The two participants in the above dialogue are friends studying at the same high school in Sydney. They write to the same pan-friend, Peter, who lives in the United States. Peter is going to Australia for vacation. He plans to stay in Sydney for one day to meet A and B,

and then travel to Melbourne. Speakers A and B are therefore planning to show Peter around.

Since speakers A and B are friends studying at the same high school; they are thus supposed to have similar status. They are talking about the same friend they know and they are going to show their friend in Sydney, a place they both live in. None of them has any advantage in terms of knowledge and expertise. This is linguistically reflected on their equally contribution in the dialogue. On the other hand, as A is the one who initiates the conversation and the one who asks B the places to show their friend, A issues more questions, realized by interrogatives, and B more statement, realized by declarative. In addition, the lengths of their turn are similar as well. They are closed friend, and they meet each other regularly at school. This closeness reflects on how they address each other (e.g., '*Hey*' in [4.1]), their directness in the questions (e.g., '*You mean the Peter we write*?' in [4.2] '*So, have you got any idea where to take him*?' in [4.5]) and also B's counter-suggestion ('*Well. I'm actually thinking of South Head and the Homby Lighthouse and Taronga Zoo.*' in [4.9]). The participants' desire to align with each other is obvious. This is shown in their use of modality (e.g., '*I think*', '*will*'), as well as the evaluative language (e.g., '*Sure. That'll be great.*' in [4.7]). It is particularly obvious when B makes the counter-suggestion. He tries to align himself with A with another suggestion in an interrogative '*How about we take him to all the places*?' in [4.9]. The analysis above can be summarized in Table 12.3.

Tenor	Analysis	Linguistic features
Institutional roles, social statuses and relative power	Friends with equal status, in terms of knowledge, knowledge and authority	Amount of contribution in terms of the number and length of turns; distribution of speech functions
Social distance	Close to each other as they meet regularly at school	Formality, politeness and directness of language used, terms of address, and lexis

Socio-metric roles	Both try to align themselves with the other.	Modality, evaluative language, distribution of speech functions

Table 12.3: Linguistic features relating to the dimension of tenor

Activity 12.2

Analyze the 'tenor' of the following text. Indicate the linguistic features as evidence of your deductions.

At the age of three my grand aunt proclaimed her independence by categorically refusing to have her feet bound, resolutely tearing off the bandages as fast as they were applied. She was born in Shanghai (city by the sea) in 1886 during the Qing dynasty when China was ruled by the child emperor Kuang Hsu, who lived far away up north in the Forbidden City. The pampered baby of the family, eight years younger than my grandfather, Ye Ye, Grand Aunt finally triumphed by rejecting all food and drink until her feet were, in her words, 'rescued and set free'.

Shanghai in the late nineteenth century was unlike any other city in China. It was one of five treaty ports opened up to Britain after the First Opium War in 1842. Gradually it burgeoned into a giant intermediary between China and the rest of the world. Strategically situated on the Huangpu River seventeen miles upstream from the mighty Yangtse, the city was linked by boat to the inner western provinces. At the other end to the east, the Pacific Ocean was only fifty miles away.

Britain, France and the United States of America staked out foreign settlements within the city. To this day, amidst the new high-rise buildings, Shanghai's architecture reflects the influence of the foreign traders. Some of the great mansions, formerly homes of diplomats and business magnates, possess the stately Edwardian grandeur of any fine house by the River Thames at Henley in England or the Gallic splendour of a villa in the Loire valley in France.

The dimension of *mode* identifies 'the kinds of text that are being made', referring to the rhetorical functions and channels assigned to language in the situation. Language used in different channels varies from each other. Let's illustrate this point with the following texts.

Text 12.5

channel	example
email	*Sorry it's a little bit late!* *Thanks!* *Richard* *That's fine Richard – an impressive presentation! Well done! So you see, you always had it in you! Never ever give up when there IS time to spare – time stretches to suit your need!* *Best* *Ms. K*

| online chat | X: *lalalalalalala*
Y: *lol*
   let's play
X: *in a bit*
   i'll tell u when
Y: *==,===*
X: *new drafts today?*
Y: *yep*
X: *ohhhh*
   lets play |

	(Call to X, no answer.)
	X: *cannot*
	listening to cantopop
	with the wise man
	Y: *..*
	X: *lol*
	just play with me
	Y: *kk*

We can see that though all the above texts are written ones, email possesses a number of written language features while online chat a number of spoken language features.

The dimension of mode addresses the following questions:

- What is the mode, i.e. spoken or written?
- What are the channel and medium?
- How interactive and spontaneous is the language used?
- What is the communicative distance between the text and the events discussed in terms of time and space?
- What is the role of language (technically known as division of semiotic labor), i.e. whether the language in the text is the sole meaning-making resource or whether it interacts with other meaning-making resources such as visual images, gesture etc. as the text unfolds?

Let's examine the following dialogue:

Text 12.6

[6.1] A: I think I think many .... people are are strange as to hear that there are many classes in my country. Actually (laughter) I

[6.2] B: In your country, it is not class. It should be caste, right? ……... No?

[6.3] A: No, No

[6.4] C: Oh. That's in India.

[6.5] A: That's in India. In my country, there are. Because there are some Hindu people in my country. They have actually you are born in a particular caste in Hindu society

[6.6] B: nhn You can't change, right?

[6.7] A: Yeah, you can't change. You can't change. You will be married be married with a guy in the same caste.

[6.8] B: You can't ...

[6.9] A: No, you may have a lot of wealth, a lot of money that doesn't matter at all. You can't change. You can't change your caste.

The above text is a typical dialogue (or multilogue in this case). It lies as the spoken end of the spoken-written cline of language. There are a number of spoken language features such as minor clauses (e.g., 'No, No' in [6.3]), tag questions (e.g., 'It should be caste, right?' in [6.2]), backchannelling (e.g., 'oh' in [6.4], 'nhn' in [6.6], 'yeah' in [6.7]). The dialogue is highly interactive. There are a number of exophoric references which can be located in the context but not in the text. In the above text, these exophoric references indicate the speech roles such as 'I' and 'you'. Apart from exophoric references, there are interruptions in turns [6.1], [6.5], [6.8] and [6.9], and overlapping in turns [6.2] and [6.3]. The sentence structure, in general, is simple. The dialogue also shows a high degree of spontaneity, with a number of repetitions such as 'I think I think many .... people are are strange' in [6.1]; 'Yeah, you can't change. You can't change' in [6.7]. There are also instances of false starts such as 'In my country, there are. Because there are some Hindu

people in my country.' In [6.5]. The lexical density is comparatively low. The communicative distance is long; they are talking about a socio-cultural system fully institutionalized at speaker A's country, which is far away from the location of this dialogue. The system has been there for centuries and it does not change much. The three participants are talking about it as a separate social phenomenon. This is reflected in the use of remote determiner '*that*' in '*That's in India.'* In [6.4] or possessive adjective '*my*' instead of '*this*', as well as the exophoric reference '*they*' as in '*In my country, there are. Because there are some Hindu people in my country. They have actually … '* in [6.5]. As this is a face-to-face conversation, there are other semiotic modes that may affect the use of the language, such as facial appearance, body language, gesture and also the laughter as indicated in the transcription. This can be summarized in the following table.

Mode	Analysis	Linguistic features
Mode, channel, medium	Spoken language; face-to-face; highly interactive and spontaneous	Interruptions, overlapping, minor clauses, nominal groups, back-channelling, exophoric references (indicating the speech roles) as theme, clause structure (indicating theme and information focus); repetitions, mid-utterance corrections/false starts, clause structure (indicating theme and information focus), cohesive devices, lexical density
Communicative distance	Long communicative distance – about a social system far back at A's country	Exophoric/anaphoric reference
Role of language	Face-to-face conversation: other semiotic modes which may affect the use of the language, such as	Exophoric/anaphoric reference

	facial appearance, body language, gesture and also the laughter as indicated in the transcription.	

Table 12.4: Linguistic features relating to the dimension of mode

Activity 12.3

Analyze the 'mode' of the following text. Indicate the linguistic features as evidence of your deductions.

At the age of three my grand aunt proclaimed her independence by categorically refusing to have her feet bound, resolutely tearing off the bandages as fast as they were applied. She was born in Shanghai (city by the sea) in 1886 during the Qing dynasty when China was ruled by the child emperor Kuang Hsu, who lived far away up north in the Forbidden City. The pampered baby of the family, eight years younger than my grandfather, Ye Ye, Grand Aunt finally triumphed by rejecting all food and drink until her feet were, in her words, 'rescued and set free'.

Shanghai in the late nineteenth century was unlike any other city in China. It was one of five treaty ports opened up to Britain after the First Opium War in 1842. Gradually it burgeoned into a giant intermediary between China and the rest of the world. Strategically situated on the Huangpu River seventeen miles upstream from the mighty Yangtse, the city was linked by boat to the inner western provinces. At the other end to the east, the Pacific Ocean was only fifty miles away.

Britain, France and the United States of America staked out foreign settlements within the city. To this day, amidst the new high-rise buildings, Shanghai's architecture reflects the influence of the foreign traders. Some of the great mansions, formerly homes of diplomats and business magnates, possess the stately Edwardian grandeur of any fine house by the River Thames at Henley in England or

the Gallic splendour of a villa in the Loire valley in France.

Analyze the 'register' of the following text. Indicate the linguistic features as evidence of your deductions.

A: And those soldiers had younger wives. So now it is a social problem. So what they will do? They will remarry err..err..err

B: That you mean the women?

D: That means the windows.

C: Are they allowed to marry? Are they allowed to marry? You know in that sort of country.

A: Ah ….. It depends on the social class. If they belong to the lower class … in Iraq … they are not allow to but … in another way, they can be married for three months

C: After three months?

A: That will be decided by the leader of the community.

B: Oh so what happen after three months?

A: After three months, someone can marry her again.

D: Oh yes, it is allow to for women to marry again.

As indicated in the above analysis, the social factors in these three dimensions of context of situation, on the one hand, are reflected in patterns of linguistic features, which are closely associated to the three modes of meaning that we explored in Chapters 8, 9 and 10. *Field* relates to the representational meanings of a situation, *tenor* to the interpersonal

meanings and *mode* to the textual meanings. To put it in another way, these three dimensions affect our choices of language corresponding to the three basic functions:

- to talk about our experience in the world
- to interact and/or to express our point of view
- to organize these two modes of meaning into a text

In this way, the notion of register in SFL can be considered as an attempt to examine the general principles that govern the variation in the use of language in different context, that is, the association between situational factors and linguistic features. Given a certain configuration of these situational factors, a corresponding set of linguistic features will be anticipated and these constitute a text's register. This anticipation in turn facilitates and constrains the interpretation of the text (for details, see Coffin, Donohue & North 2009; Hasan 1983; Halliday & Hasan 1985; Martin 1985, 1990; Matthiessen 1993). Furthermore, when the linguistic features of a text are congruent with the situational factors, i.e. consistent in register, the text is coherent with respect to the context of situation and provides a sense of unity. The relationship between the context of situation and different modes of meaning are summarized in Table 12.5.

situation: feature of the context	realized by	text: functional component of semantic system
field of discourse (what is going on)		experiential meanings (transitivity etc.)
tenor of discourse (who are taking part)		interpersonal meanings (mood, modality, person etc.)
mode of discourse (role assigned to language)		textual meanings (theme, information, cohesive relation)

Table 12.5: Relation of the context of situation to the modes of meaning (Halliday 1985b: 26)

Context of culture: Genre

Every conversation or every text occurs in two contexts – context of culture and context of situation – and the latter is within the former. In other words, within the context of culture, the speakers of a conversation or the writer(s) of a text use language in a specific context of situation. Within the context of situation, the notion of register is designed to interface the analysis of social context with the diversified organization of language resources realizing the three metafunctions, i.e. representational, interpersonal, and textual. Similarly, within the context of culture, another notion – genre – is set up above and beyond metafunctions (at a higher level of abstraction) to account for relations among social processes in more holistic terms, with a special focus on the stages through which most texts unfold. Their relationship is depicted in Figure 12.2.
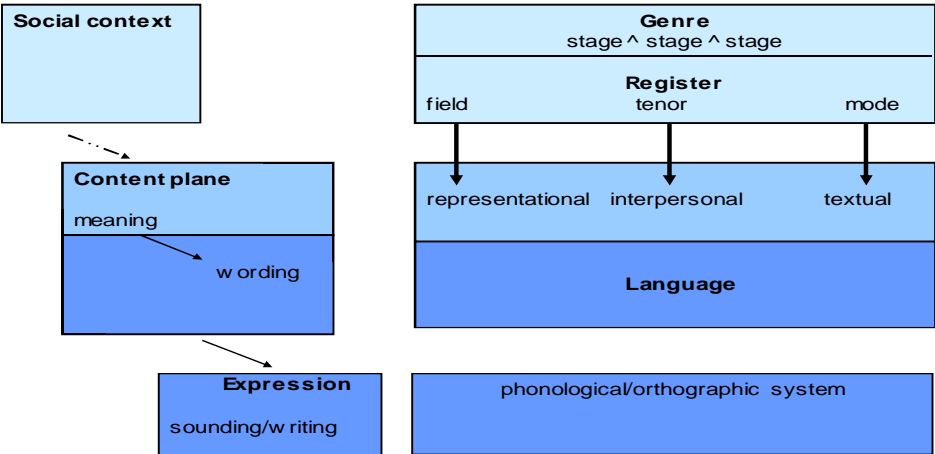
Figure 12.2: The stratification and metafunction of language

Genre is a French word, meaning kind, type, class, variety etc. In the field of literature, the notion means a conventional literary form or format, such as novel, drama, or letter; whereas in the field of linguistics, it means a form of discourse with a distinctive goal, such as exposition or narrative. When texts share the same general purpose in a culture, they often share the same obligatory and optional structural elements and so they belong to the same genre. In simple terms, genres can be defined as staged, goal-oriented social processes. According to Martin (1985), genres have the following characteristics:

- It is staged;
- It is goal-oriented;
- It is a purposeful social activity;
- It is engaged in a specific culture; and
- It reaches its goal through language (language in use).

Texts of most genres in a culture consist of an expected sequence of stages to unfold. In other words, lack of a certain stage in a text will bring the sense of frustration or incompletion unless there are obvious reasons for the derail. Let take the following text as an example.

Text 12.7

ALMOND AND APRICOT STUFFING

First, you should melt 1 oz. of butter. Second, you should fry 2 large chopped onions until they were slightly brown. Now, you can add 4 oz. coarsely grated or chopped almonds and continue cooking for 3-5 minutes. Then, you must remove the pan from the heat and add 6 fresh or about 12 soaked apricots (which were diced finely), 1 tablespoon chopped fresh herbs, grated zest and the juice of ½ lemon, and finally sea salt and brown sugar to taste into it.

This makes a very good stuffing for cucumber. If you want a more substantial stuffing, you can add a little mashed potato and use for stuffing marrows.

While we can understand this text, it appears a bit odd. This is not because of any grammatical mistaken, but because of the fact that it does not follow the expected stages of a text of recipe.

So in writing a text, we have to think about the readers and their context of culture – the social goal that the text intended to achieve as well as the expected sequence of stages. In the following section, we will explore the social purposes and the schematic structure of seven genre types: procedure, recount, narrative, (information) report, explanation, exposition, and discussion.

Procedural Text

According to the differences in purpose, each genre type often has its own sequence of stages. The following text is a recipe. Let's examine the sequence of stages it embodies:

Text 12.8

PRAWN AND GRAPE SALAD

- 1 kg cooked prawns, shelled and deveined
- 1 cup sour cream
- 1 cup mayonnaise
- 2 cups grapes, washed and patted dry
- ½ cup fresh dill, chopped
- ½ cup fresh chives, chopped
- Juice of 1 small lemon
- Freshly ground black pepper to taste

Whisk the sour cream, mayonnaise and lemon juice together.

Put prawns into serving bowl. Pour over dressing and toss gently. Add the grapes and toss again.

Sprinkle on chopped dill and chives and pepper. Toss once more and refrigerate covered, for at least 4 hours.

The social purpose of a recipe is to give instruction, telling the readers how to prepare a dish. The title of the recipe 'PRAWN AND GRAPE SALAD' indicates the dish to be prepared; it is the final product if the instructions are followed – the **goal** of this social activity. The text moves on to the listing of ingredients (i.e. the **materials** to be used to prepare the dish), and then the procedures that the readers should follow **step** by step to get the work done. In terms of genre, a recipe is a procedural text, which embodies some structural elements:

- Goal
- Materials
- Steps (in sequence)

These structural elements in the above text follow a certain order: Goal ^ Materials ^ Steps.

Let's examine another procedural text, a section on broadcasting in a facsimile operation manual.

Text 12.9

BROADCASTING (sending a fax to multiple destinations)

This function allows you to send the same fax to as many as 20 different locations in just one operation.

- When sending to multiple locations, only auto-dial numbers can be used to dial the numbers of the receiving machines.

1. Load the document(s)
   - If desired, press 'resolution/reception/mode' to set the resolution and/or contrast.
2. Press 'start/memory'.
3. Press '>' (or '<') until the name of the number appears in the display (if no name was stored, the number will appear).
4. Press 'v' to select the number.
5. Repeat Steps 3 and 4 for each of the other locations to which you wish to send the fax (maximum of 20).
   - To check your selected locations, press '^' to scroll through them. To delete a location, scroll to the location and then press 'stop'.
6. When you are ready to begin transmission, press 'start/memory'.
   - A Transaction Report is automatically printed out after Broadcasting is completed. Check the 'Note' Column of the report to see if any of the locations are marked 'Busy' or have a communication error code. If so, send the document to those locations again.

A user manual, just like a recipe, has the same social purpose, i.e. to tell the readers how to do something. It thus shares similar stages in the text. The title 'BROADCASTING' indicate the **goal** – 'sending a fax to multiple destinations'. Unlike the recipe text, there is a short explanation of the goal. In addition, the **materials** the facsimile machine and the document(s) to be uploaded are assumed to be there, though not explicitly stated. It is followed by the sequence of steps. In other words, among the structural elements in a

procedure text, Goal (including explanatory note) and Steps (in sequence) are essential elements while Materials is optional. However, the order of these elements is the same.

Similar to recipe and user manual, travelling guide also shares the same social purpose. The following text is extracted from Macau Guide Book. Read the text and identify the structural elements in it.

Text 12.10

To explore some of the most historic areas of Macau, go up the Calçada do Tronco Velho from the Senado Square. If you go right you'll find Rua da Felicidade (Happiness Street), which was in the past the centre of Macau's nightlife. Today the facades of the traditional china coast buildings have been restored, while small shops and restaurants continue to flourish behind them. Or you can proceed to St Augustine's Square to look at its collection of buildings. On one side is the Sir Robert Ho Tung Library (a colonial house donated by a Hong Kong benefactor), next door are the St. Joseph's Seminary and chapel, which were built by the Jesuits around 1758 and were recently restored to their original splendor. (The cruciform church provides an ideal auditorium for concerts.) On another side of the square is St. Augustine's Church. Built in 1591, it is famous for its altarpiece statue of Christ carrying the cross, which is parade through the streets of Macau before Easter. Opposite the church is the Dom Pedro V Theatre, the first Western-style theatre on the Asian mainland. Built in the 1860, it was for many years on the international circuit for European opera companies, and is still used for concerts and plays, following extensive renovations.

(Excerpted from Macau Guide Book, Macau Government Tourist Office p. 61)

Recount

The social purpose of recount is to use language to tell what happened, to document a sequence of events and to evaluate their significant in some way, while the social purpose of narrative is to construct a pattern of events with a problematic and/or

unexpected outcome that entertains and instructs the reader or listener. Let us look at the following text and its analysis.

Text 12.11

One day the postman delivered a package to my door which I hadn't ordered. I was very curious to see what it was. I opened the box to find a dozen red roses and a card that read "Happy Anniversary, I love you Abby!" and burst out laughing. I looked closely at the label on the box to see it was addressed to my married neighbor who lived across the hallway, a crucial detail that the postman forgot to mention when asking me to sign for the package.

In the above text, the first sentence '*One day the postman delivered a package to my door which I hadn't ordered*' provides information about the topic and the scene: who, when and where. The following two sentences '*I was very curious… and burst out laughing*' record the events in the order in which they occurred. The next sentence '*I looked closely at the label …to sign for the package*' rounds off the events while the last one '*I felt extremely embarrassing when I brought it to my neighbor*' provides the author's personal evaluation of the event.

There are four structural elements in a text of recount, and they follow a particular order:

- Orientation
  - Information about who, when and/or where
- Record of events
  - In the order in which they occurred
- Reorientation
  - Rounding off the sequence of events
- Coda

– Personal evaluation

These structural elements in the above text follow a certain order: Orientation ^ Records of events ^ Reorientation ^ Coda. Now we can analyze the text as below:

Structural elements	Text
Orientation	One day the postman delivered a package to my door which I hadn't ordered.
Record of events	I was very curious to see what it was. I opened the box to find a dozen red roses and a card that read "Happy Anniversary, I love you Abby!" and burst out laughing.
Reorientation	I looked closely at the label on the box to see it was addressed to my married neighbour who lived across the hallway, a crucial detail that the postman forgot to mention when asking me to sign for the package.
Coda	I felt extremely embarrassing when I brought it to my neighour.

Table 12.7: Analysis of Text 12.11

Narrative

The social purpose of narrative is to construct a pattern of events with a problematic and/or unexpected outcome that entertains and instructs the reader or listener. A narrative text has similar but somewhat different structural elements than a text of recount:

- Orientation
    - Information about who, when and where
- Complication
    - Events that constitute a problem or crisis
    - Evaluation of the problem
- Resolution
    - Information about how problem was resolved and normal events resumed
- Coda
    - Personal evaluation

The following is a narrative text. Let's identify its structural elements and find out their order in the text.

Text 12.12

When I was at university there were two students accused of plagiarism in my tutorial. They had both handed in an essay on "The ethical treatment of participants in psychological experiments" which the professor felt had the same content. When questioned, they admitted to have brainstormed together but since it hadn't been explicitly said that students couldn't work together, they felt it wasn't really a case of plagiarism. I thought it was a terrible excuse.

Structural elements	Text
Orientation	When I was at university there were two students accused of plagiarism in my tutorial.
Complication	They had both handed in an essay on "The ethical treatment of participants in psychological experiments" which the professor felt had the same content. When questioned, they admitted to have brainstormed together
Resolution	but since it hadn't been explicitly said that students couldn't work together, they felt it wasn't really a case of plagiarism.
Coda	I thought it was a terrible excuse.

Table 12.8: Analysis of Text 12.12

These structural elements in the above text follow a certain order: Orientation ^ Complication ^ Resolution ^ Coda

Let's analyze the following narrative text to identify its structural elements and their order:

Text 12.13

A Fresh Start: A persistent stray finds home

In August 2008 I noticed a stray ginger cat coming into my garden. He had discovered that I sometimes threw scraps out for the birds. I started to put food out for him, but he was really wild and I couldn't get near him. Nevertheless, he kept coming most evenings for food.

Then, in late November, I discovered that back in February, he had escaped from a vet clinic 2 kilometres away. After trapping and returning him to the clinic to be reunited with his owners, I assumed I'd seen the last of him. But 12 days later, he was back in the garden – I couldn't believe my eyes.

It transpired that the cat had become so wild that the owners could not cope with him, and had let him go. He had voted with his paws, and made the 2-kilometre journey back to where he wanted to be. After all that effort, what could I do but succumb, and keep him?

After neutering and giving him many months of encouragement, he finally conquered his fears and allowed me to touch him. From that point we never looked back; he is now a much loved and extremely affectionate member of the family.

(Excerpted from Marilyn Pullen, *Reader's Digest* January 2011)

Structural elements	Text
Orientation	In August 2008 I noticed a stray ginger cat coming into my garden.
Complication	He had discovered that I sometimes threw scraps out for the birds. I started to put food out for him, but he was really wild and I couldn't get near him. Nevertheless, he kept coming most evenings for food.
Resolution	Then, in late November, I discovered that back in February, he had escaped from a vet clinic 2 kilometres away. After trapping and returning him to the clinic to be reunited with his owners, I assumed I'd seen the last of him.
Complication	But 12 days later, he was back in the garden – I couldn't believe my eyes. It transpired that the cat had become so wild that the owners could not cope with him, and had let him go. He had voted with his paws, and made the 2-kilometre journey back to where he wanted to be. After all that effort, what could I do but succumb, and keep him?
Resolution	After neutering and giving him many months of encouragement, he finally conquered his fears and allowed

	me to touch him.
Coda	From that point we never looked back; he is now a much loved and extremely affectionate member of the family..

Table 12.9: Analysis of Text 12.13

In the analysis, we find that there are two stages of complication and resolution in the text, but the overall order of the structural elements in the text remains the same: Orientation ^ (Complication ^ Resolution) x 2 ^ Coda

Activity 12.5

Analyze the structural element of the following text.

When I went to work as a veterinarian's assistant for Dr. Sam Holt and Dr. Jack Gunn last summer, I was under the false impression that the hardest part of veterinary surgery would be the actual performance of an operation. What might transpire before or after this feat didn't occur to me as being of any importance. As it happened, I had been in the veterinary clinic only a total of four hours before I met a little animal who convinced me that the operation itself was probably the easiest part of treatment. This animal, to whom I owe thanks for so enlightening me, was a chocolate-colored Chihuahua of tiny size and immense perversity named Smokey.

Now Smokey could have very easily passed for some creature from another planet. It wasn't so much his gaunt little frame and overly large head, or his bony paws with nearly saber like claws, as sit was his grossly infected eyes. Those once-shinning eyes were now distorted and swollen into grotesque balls of septic, sightless flesh. The only vague similarity they had to what we'd normally think of as the organs of vision was a slightly upraised dot, all that was left of the pupil, in the center of a pink and purply marble. As if that were not enough, Smokey had a temper to match his ugly sight. He also had surprisingly good aim, considering his large diminished vision, toward any moving object that happened to place itself unwisely before his ever-inquisitive nose, and with sudden and wholly vicious intent he would snap and snarl at whatever blocked the little light that could filter through his swollen and ruptured blood vessels.

Truly, in many respects, Smokey was a fearful dog to behold.

Such an appearance and personality did nothing to encourage my already flagging confidence in my capabilities as a vet's assistant. How was I supposed to get that little demon out of his cage? Jack had casually requested that I bring Smokey to the surgery room, but did he really expect me to put my hands into the mouth of the cage of that devil dog? I suppose it must have been my anxious expression that saved me, for as I turned uncertainly toward the kennel, Jack chuckled nonchalantly and accompanied me to demonstrate how professionals in his line of business dealt with professionals in Smokey's. He took a small rope about four feet long with a slipnoose at one end and began to unlatch Smokey's cage. Then cautiously he reached in and dangled the noose before the dog's snarling jaws.

Once in the surgery, however, the question that hung before our eyes like a vertical presence was how to get the dog from the floor to table. Simply picking him up and plopping him down was out of the question. One glance at the quivering little figure emitting ominous and throaty warnings was enough to assure us of that. Realizing that the game was over, Jack grimly handed me the rope and reached for a muzzle. It was a doomed attempt from the start; the closer Jack dangled the tiny leather cup to the dog's nose the more violent did Smokey's contortions and rage-filled cries become and the more frantic our efforts became to try to keep our feet and fingers clear of the angry jaws. Deciding that a firmer method had to be used, Jack instructed me to raise the rope up high enough so that Smokey'd have to stand on his hind legs. This greatly reduced his maneuverability but served to increase his tenacity, for at this the little dog nearly went into paroxysms of frustration and rage. In his struggles, however, Smokey caught his forepaw on his swollen eye, and the blood that had been building up pressure behind the fragile cornea burst out and dripped to the floor. In the midst of our surprised and the twinge of panic startling the three of us, Jack saw his chance and swiftly muzzled the animal and lifted him to the operating table.

Even at that point it wasn't easy to put the now terrified dog to sleep. He fought even the local anesthesia and caused Jack to curse as he was forced to give Smokey

far more of the drug than should have been necessary for such a small beast.**[resolution]** After what seemed an eternity, Smokey lay prone on the table, breathing deeply and emitting soft snores and gentle whines. We also breathed deeply in relief, and I relaxed to watch fascinated, while Jack performed a very delicate operation quite smoothly and without mishap.

Such was my harrowing introduction into the life of a veterinary surgeon. But Smokey did teach me a valuable lesson that has proven its importance to me many times since, and that is that wherever animals are concerned, even the smallest detail should never be taken for granted.

Information Report

The social purpose of language use is to present information about something. The schematic structure of text is very simple – a general statement following by a description. The general statement identifies and/or classifies the topic to be reported. In the text below, the first sentence identifies 'blueberries' to be the topic and classifies them as 'flowering plants of the same family as cranberries and bilberries'. The rest of the text provides information about them: their appearance 'dark-purple berries', their origin 'mainly native in North America', the size of 'the blueberry shrub', the description of 'the blueberry flowers', their fruit from raw to ripe.

Text 12.14

Blueberries are flowering plants of the same family as cranberries and bilberries. They have dark-purple berries and are mainly native in North America. The blueberry shrub varies in size from 10 cm to 4 m tall. The blueberry flowers are usually bell-shaped, white, pale pink or red in color. The fruit is a berry which is pale greenish at first, turns indigo when ripe. When mature, blueberries have a sweet but somewhat acidic taste.

Structural elements	Text
General statement	Blueberries are flowering plants of the same family as

	cranberries and bilberries.
Description - their appearance - their origin	They have dark-purple berries and are mainly native in North America.
- their shrub	The blueberry shrub varies in size from 10 cm to 4 m tall.
- their flower	The blueberry flowers are usually bell-shaped, white, pale pink or red in colour.
- their fruit	The fruit is a berry which is pale greenish at first, turns indigo when ripe. When mature, blueberries have a sweet but somewhat acidic taste.

Table 12.10: Analysis of Text 12.14

In short, we can sum up the schematic structure of an information report as below:

Structural elements: General statement ^ Description

- General statement
    - Identification and classification
- Description
    - Information organized in bundles (appearance, habitat, behavior etc)

Explanation

A text of explanation looks similar but in fact is different from an information report because an explanatory text serves a social purpose different from that of an information report. While the purpose of an information report is to present information about something, an explanatory text is to tell how and why something occurs. There are two structural elements in an explanatory text: identifying statement, which identifies the phenomenon or problem to be explained, and an explanation sequence, typically following the causal sequence or the temporal sequence in the order in which the phenomenon occurs. Let's illustrate with the following text.

Text 12.15

Clouds of all shapes and sizes are made from the same thing: condensed water. They are formed when rising air, through expansion, cools down to the point where water vapor molecules stick together faster than they are torn apart by thermal energy. This forms cloud droplets. Cloud droplets either collide together to form a big cloud mass that eventually falls to the ground as rain or snow or they evaporate and change back to water vapor molecules.

Structural elements	Text
Identifying statement	Clouds of all shapes and sizes are made from the same thing: condensed water.
Explanation sequence: - formation of cloud droplets	They are formed when rising air, through expansion, cools down to the point where water vapor molecules stick together faster than they are torn apart by thermal energy. This forms cloud droplets.
- formation of cloud mass	Cloud droplets either collide together to form a big cloud mass that eventually falls to the ground as rain or snow or they evaporate and change back to water vapor molecules.
- formation of rain or snow	that eventually falls to the ground as rain or snow or they evaporate and change back to water vapor molecules.

Table 12.11: Analysis of Text 12.15

The schematic structure of an explanation can be sum up as below:

Structural elements: Identifying statement ^ Explanation Sequence

- Identifying statement
    - identifying the phenomenon or problem
- Explanation sequence
    - following the casual sequence
    - or temporal sequence in the order in which they occur

Exposition

The social purpose of exposition is to argue a case. The typical schematic structure of this text type is more complicate than an information report and an explanatory text. Let us examine the expository text provided below.

Text 12.16

Big companies should pay for the carbon pollution they release into the environment. Greenhouse gases such as carbon dioxide happen naturally in our environment. However, excess levels or "carbon pollution" in the atmosphere causes global warming. Big companies are the biggest producers of carbon pollution and at the moment, they do not have any incentive to switch to greener technology, products or services. Therefore, the government should intervene and require big companies pay for each tone of pollution that they emit.

Structural elements	Text
Statement of position	Big companies should pay for the carbon pollution they release into the environment.
Arguments	Greenhouse gases such as carbon dioxide happen naturally in our environment. However, excess levels or "carbon pollution" in the atmosphere causes global warming. Big companies are the biggest producers of carbon pollution and at the moment, they do not have any incentive to switch to greener technology, products or services.
Reiteration/reposition of statement of position	Therefore, the government should intervene and require big companies pay for each tone of pollution that they emit.

Table 12.12: Analysis of Text 12.16

The first sentence '*Big companies should pay for the carbon pollution they release into the environment*' is somewhat different from a general statement in an information report, which identifies and/or classifies the topic to be reported. It is also different from an identifying statement in an explanatory text, which identifies the phenomenon or problem. In the first sentence here, the modal auxiliary 'should' indicates the position of the writer

towards the case being examined – whether or not big companies should pay for the carbon pollution they release into the environment. This statement of position is followed by points of argument to support the position: excessive greenhouse gases cause global warning, but big companies are major producers of greenhouse gases because they do not switch to greener technology, products or services. Then a concluding statement wraps up the whole text.

The schematic structure of an exposition can be sum up as below:

Structural elements: Statement of position ^ Arguments ^ Reiteration/reposition of statement of position

- Statement of position (thesis)
    - Statement of position
    - (Preview of argument)
- Arguments
    - points
    - supported by evidence
- Reiteration/reposition of statement of position
    - Summary
    - Conclusion
    - Reiteration/reposition of statement of position

Discussion

Unlike an exposition, the social purpose of a text of discussion is to look at more than one side of an issue, e.g., the merits and the drawback of a certain action. The writer usually explores various perspectives before coming to an informed decision. It is reflected on the first statement of the following text. Unlike the first statement of the above text, which clearly indicated the position of the writer, the first statement here, though expresses the writer belief – 'Facebook is an issue that is worth to look into', does not indicate his/her

position of pros or cons towards the issue. The text that follows examines both the merits and the drawbacks on the issue before reaching an implicit conclusion.

Text 12.17

I think that Facebook is an issue that is worth for us to look into. It is undoubtedly the most useful social medium of the 21st century. It has revolutionized the way in which people socialize; you can search for friends who you've lost contact with, you can share photos of your life and you can keep in touch with overseas relatives easily. However, many hours can be wasted looking through friend's profiles, you can also replace real life socializing with chatting on Facebook and last of all, there are many privacy issues to consider when using Facebook. Despite this, Facebook is gaining millions of new members every year.

Structural elements	Text
Issue	I think that Facebook is an issue that is worth for us to look into.
Arguments for	It is undoubtedly the most useful social medium of the 21st century. It has revolutionized the way in which people socialize; you can search for friends who you've lost contact with, you can share photos of your life and you can keep in touch with overseas relatives easily.
Arguments against	However, many hours can be wasted looking through friend's profiles, you can also replace real life socializing with chatting on Facebook and last of all, there are many privacy issues to consider when using Facebook.
Conclusion	Despite this, Facebook is gaining millions of new members every year.

Table 12.13: Analysis of Text 12.17

The schematic structure of an exposition can be stated as:

Structural elements: Issue ^ Arguments for ^ Argument against ^ Recommendation

- Issue

- State the issue
- Preview
- Arguments for
  - points (supported by evidence)
- Arguments against
  - points (supported by evidence)
- Recommendation
  - Summary
  - Judgment
  - Conclusion

The social purposes for using language in these seven genres and their schematic structures can be summarized in the following table.

Activity 12.6

Analyze the structural element of the following text. Discuss what is missing in the text.

Robots – Our servants of the future?

What will our future look like? No one knows for certain, but most people are sure that robots will exist in our future. Will they be friendly, like C3-PO in the Star Wars films, or will they be the frightening machines which will destroy humans in films like the Terminator series?

In fact, rarely have robots created problems for humans. The word 'robot' is one that actually comes from Europe and originally meant 'slave labor'. In other words, robots are meant to be our slaves, working for us and helping us all the time. Already, there are robots in laboratories all over the world which are capable of helping humans. For

example, there are already 'Robodocs' in some hospitals which help carry out operations on humans. Not only are the robot doctors extremely accurate, but they are also fast, and unlike human doctors, they don't have hands that shake when they are nervous!

Robots are also especially useful for working in environments which humans would find difficult or impossible to survive in – for example, in environments where there is high radiation, freezing temperature, fire, or great pressure, such as at the bottom of the ocean. Soon, robots will be created that will know how to swim, and other robots will walk like lobsters on the ocean floor. Before long, we may not see any construction workers in Hong Kong. Robots will eventually take over their role and do our building for us.

Even science fiction writers are becoming amazed at just how quickly robots are developing. Do you remember the character of 'Robocop'? Well, a warehouse security guard called Veronica has already been created. It doesn't look very human – it has a met6al skeleton, and there is no flesh on its body. Instead of eyes, it has two TV cameras. It also has lasers and a radar. If any criminals are nearby, Veronica will 'see' them and record their appearance on the TV cameras. At the same time, 'she' will contact the police.

Veronica will only do what she is programmed to do, but in Britain, a set of robots known as 'the seven dwarfs' has been developed. These robots are very different from most robots that exist today. Although they move around on three wheels, they have the ability to learn through trial and error, unlike computers and other robots that can only be programmed to behave in a certain way. As a result, they display many types of behavior normally only seen in animals or humans such as following a leader or grouping together in times of confusion. In a few years, robots may appear which learn just as easily as humans do and can think and act for themselves.

However, once robots have been developed which can think for themselves, the problems may begin. One scientist warns that if robots continue to be developed at such a quick pace, and the robots start to think for themselves, they will no longer want to be our servants. Because they will be as intelligent as we are, and they will be able to do things that humans could not, such as survive radiation, and work with great accuracy and speed, they may decide that they are much better than we are and want to become our masters. The scientist warns that if we are lucky, they might treat us the way we treat domestic animals now, such as dogs or cats. If we are not lucky, who knows? Perhaps a terrifying future similar to the one shown in the Terminator films may become a reality after all.

(Extracted from Christie & Thomas, 1998. *Progressive English 5*. Teacher's Book. P. 82-83. Hong Kong: Aristo Educational Press Ltd.)

Genres/text types	Social purposes for using language	Generic/schematic structure
recount	to tell what happened, to document a sequence of events and evaluate their significant in some way	orientation ^ record of events ^ reorientation ^ coda
narrative	to construct a pattern of events with a problematic and/or unexpected outcome that entertains and instructs the reader or listener	orientation ^ complication ^ resolution ^ coda
information report	to present information about something	goal ^ material ^ steps (in sequence)
procedure	to tell how to do something	general statement ^ description
explanation	to tell how and why things occur	identifying statement ^ explanation sequence
exposition	to argue a case	statement of position ^ preview of argument ^ argument ^ reinforcement of statement of position
discussion	to look at more than one side of an issue; to explore various perspectives before coming to an informed decision	issue ^ argument for ^ argument against ^ conclusion or recommendation

Table 12.14: Social purposes and schematic structures of various genres

It is noted that the social purposes achieved by these seven genre types are very general and not exhaustive. There are other social purposes, which will produce texts with different generic structures. Furthermore, some texts may intend to achieve a combination of the above social purposes and as a result, will produce a combination of generic structures.

Conclusion

Language is always used in a particular social context, which in turn affects the language in use. In this chapter, we have explored the two strata of social context: context of situation and context of culture. Each context affects language in use in some specific ways. Context of situation concerns social factors that affect the use of language in a text. These social factors are grouped into three dimensions: field, tenor, and mode. The combination of these three dimensions creates the extralinguistic features of a text, which is characterized with particular linguistic patterns. Context of culture, on the other hand, affects the schematic structure of the whole text. Texts that shared similar social purpose in a culture often share similar obligatory and optional structural components. These structural components usually follow similar order in a text.

Language and Translation 13

Introduction

This chapter is built on what we have learnt in the previous chapters, applying in the discipline of translation (as a language phenomenon). This chapter will begin with a brief historical account of the development of translation studies.

The study of translation saw a long history in the West and in the East. In the West, the tradition of 'word-to-word' translation (or literal translation) dated back to the Roman times – individual words of Greek text were translated to their closest grammatical equivalent in Latin. Cirero of the first century BCE and St Jerome of the late fourth century CE started the great debate on 'word-to-word' translation vs. 'sense-to-sense' translation (or free translation), and that debate dominated the study of translation in the West in the 'pre-linguistics period of translation' (Newmark 1981). In China, the development of translation also took a similar path, starting with the word-to-word rendering in the Han Dynasty and the Three Kingdoms Period. Not until the early twentieth century did Yan Fu (1973: 4) advocated the three requirements for translation: faithfulness (*xin*), comprehensibility (*da*), and elegance (*ya*). These three requirements closely correspond to Tytler's (1790: 8) three principles of translation.

Following the centuries of debate on literal translation vs. free translation, the study of translation turned a new page – characterizing with the systematic description of translation phenomenon under the theoretical framework of certain linguistic traditions. During this new phase, the conception of 'equivalence' drew much attention and came to a climax in the 50s and 60s, and the discussion is still lingering on; for instance, Roman

Jakobson's (1959; 2000) linguistic meaning and equivalence, Nida's (1964) formal equivalence vs. dynamic equivalence, Koller's (1979) five types of equivalence, namely denotative, connotative, text-normative, pragmatic and formal equivalence, Baker's (1989) equivalence at the levels of the word, phrase, grammar, text and pragmatics, to name just a few. Coming hand in hand with the conception of translation equivalence is the categorization of the translation process, including Vinay and Darbelnet's (1958) direct translation and obligue translation, Catford's distinction between formal correspondent and textual equivalence (1965) and the notion of translation shift (2000), and van Leuven-Zwart (1989) comparative model and descriptive model of translation shifts.

In the 70s onwards, the study of translation in the West saw a new twist – the conceptualization of translation theory from various linguistic approaches. These include the emergence of a functionalist and communicative approach in the 1970s and 1980s, and the adoption of systemic functional approach in the 1990s. Hallidayan systemic functional linguistics is, in fact, one of the most influential linguistic approaches adopted in translation theory.

In the following sections, we will further develop our understanding of the theory of Systemic Functional Linguistics in general, discuss its conceptions in discourse analysis in particular, and apply them onto the study of translation.

At the outset, it is noted that the notion of translation embraces a very broad meaning. Jakoson (1959: 233) classified translation into three divisions: intersemiotic translation, intralingual translation and interlingual translation. Intersemiotic translation refers to the transforming of a message in one semiotic system, such as music or painting, into a message in another semiotic system, such as language. Intralingual translation refers to the transforming of meaning from expression *x* into expression *y* in the same language, i.e. rewording. Interlingual translation, on the other hand, refers to the transforming of meaning from expression *x* into expression *y* in another language, which is the most

common understanding of 'translation'. Though the three kinds of translation bear a great deal of similarities, the present chapter will focus on the discussion of the interlingual translation.

In this chapter, we will first briefly explore the concept of translatability in terms of relativism and universalism because it is the most common topic in the discussion of language and translation. Then we will examine the relation between linguistics and translation study. Finally, we build on our understanding of the concept of Systemic Functional Grammar to explore the overall environment of translation (Matthiessen 2001) and end up with the discussion of some important concepts in the study of translation from this perspective.

Linguistic Relativitism and Linguistic Universalism

Thought and language are inseparable. Knowledge of the world, including culture and society, is labeled and also categorized for the language users in their language. As a matter of fact, people are being socialized into their family, their community, their industry, their society in the course they learn their language first at home and then in school. Furthermore, their social identity is closely related with the language that they speak. Scholars in the tradition of linguistic relativity point out the differences among different languages in terms of the categorization of things and events with respect to noun, and of process types with respect of verb, as well as of grammatical categories. In terms of translation, they may sound extremely pessimistic as they point out the impossibility of a one-hundred-percent perfect translation equivalence.

On the other hand, some scholars are less pessimistic. Jakobson, for instance, pointed out that:

> All cognitive experiences and their classifications are conveyable in any existing language. Whenever there is a deficiency, terminology can be qualified and

amplified by loanwords or loan translations, by neologisms or semantic shifts, and, finally, by circumlocutions. … No lack of grammatical devices in the language translated into makes impossible a literal translation of the entire conceptual information contained in the original. (Jakobson 1959/1987: 431-2)

From the Systemic Functional point of view, Halliday (1970: 141) noted:

The nature of language is closely related to … the functions it has to serve. In the most concrete terms, these functions are specific to a culture: the use of language to organize fishing expeditions in the Trobriand Islands, described half a century ago by Malinowski, has no parallel in our society. But underlying such specific instances of language use, are more general functions that are common to all cultures. We do not all go on fishing expeditions; however, we all use language as a means of organizing other people, and directing their behaviors.

However, it is also noted that while it is possible to express the same meaning in different dialects and presumably, in different languages, it is impossible to express the same meaning in different register (Halliday 1978: 185). We will come back to this later.

Linguistics and translation

According to Malmkjær (2005: 58), there are three kinds of interaction that may take place between linguistic theory and translation study:

(1) Using a linguistic theory as the theory of translation;
(2) Using translation studies as a source of data for linguistics;
(3) Using linguistics as a source of data for translation studies.

In this chapter, our discussion will concentrate in the first kind of interaction, i.e., using a linguistic theory as the theory of translation. For instance, Nida's (1964) took Chomsky's

generative view of language as the starting point of building his theory of translation. As mentioned, the linguistic theory that is in central focus of this chapter is Hallidayan Systemic Functional Linguistics (SFL), which has long been adopted as the theoretical framework in the study of translation in the West. For instances, the notions of scale and category in SFL have been employed to differentiate the concept of literal translation from that of free translation (Catford 1965); the notions of context – genre and register – have been developed to assess the quality of a translation (House 1997) and to analyse the translation process (Hatim & Mason 1997); the theoretical framework of SFL has been adopted to predict the potential problems arisen in the translation process and to establish the criteria to solve the problems (Bell 1991); and also to compare the linguistic structure of the original text and the translated text (Baker 1992). Other linguists who models translation in systemic functional approach include Erich Steiner, Elke Teich and Colin Yallop, to name just a few.

In the rest of this chapter, we will look into the nature, the process, the features, and some important notions of translation from the perspective of Systemic Functional Linguistics.

Nature of translation from a Systemic Functional Perspective

In this section, we will locate the context of translation from a systemic functional perspective. To do so, we need to introduce some basic concepts in SFL that are relevant to the study of translation. Once we have explained some of these key concepts, we will look at how they relate to our study translation.

Stratification and realisation

In Chapter 6, we learnt that language is a tristratal construct – i.e., it can be understood at three levels: meaning, wording, and sound/writing. The relation between any two adjacent strata is one of realization; meaning is realized as wording which, in turn, is realized as sounding/writing. In this way, language is perceived as a multiple coding system. Above the semantics stratum, there is the stratum of context. This refers to the

context of culture and the context of situation. This stratum is beyond the domain of language. Halliday (1964, 1975, 1976) proposes three aspects of the context of situation, namely *field*, *tenor*, and *mode*. The *field* of discourse refers to 'what is going on', concerning the nature of the social process, as institutionalized in the culture. The *tenor* of discourse concerns 'who are taking part', specifying the role and status relationships of the interactants. The *mode* of discourse identifies 'what the text is doing', referring to the rhetorical functions and channels assigned to language in the situation. *Field* thus relates to the ideational meanings of a situation, *tenor* to its interpersonal meanings and *mode* to its textual meanings.

Potential and instance

Apart from the notions of stratification and realization, another important notion which is vital to the understanding of the nature of translation is the cline of potential and instance. From the systemic functional perspective, a particular language such as English and Chinese is seen as a 'potential' for creating meaning, whereas a particular text written in the language is an 'actual' act of meaning, i.e. what language users can mean and what they mean in a given instance respectively. The relationship between language and text is one of instantiation (or actualisation); a text in a particular context of situation instantiates (or actualizes) the linguistic system in its context of culture. The relation between them, as Halliday (1991) has pointed out, is analogous to the relation between the climate and the weather in that language is an accumulation of instances of text, just as climate is an accumulation of instances of weather. We can observe the weather of a particular area over a period of time and generalise our observations in terms of a weather pattern. In the same way we can identify text patterns by analysing a number of texts. In this way we can arrange the language (as a potential), an observed pattern (as subpotential/instance types, depending from which end we approach it) and the text (as an instance) on a cline, namely the cline of instantiation.

We can approach the cline from either end. If we come from the end of potential and move towards the instance, we find in-between clusters of "subpotential". If we start from

the other end, we find patterns of "instance types". This notion of instantiation can be represented diagrammatically as in Figure 13.1.
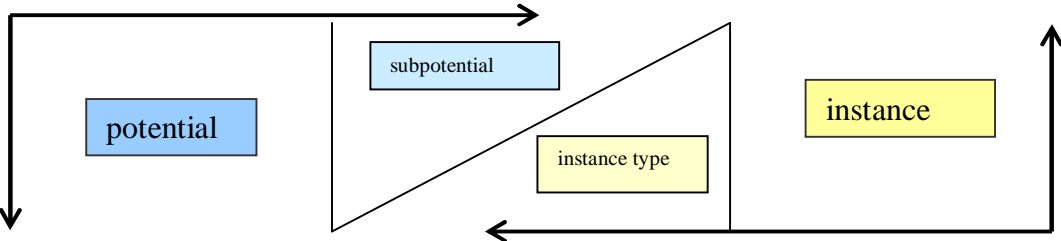
Figure 13.1: Cline of instantiation (Halliday 1997)

Language as a potential, including social semiotic potential, meaning potential and wording potential, is represented systemically in the form of a network of choices (or options), i.e. alternative possibilities. In this way a text as an instance is meaningful because it represents certain choices in contrast with alternative possibilities. As a result, each instance keeps alive the potential, reinforcing it, challenging it and/or changing it.

At this point we can integrate the notion of stratification with the notion of instantiation to produce an instantiation/stratification matrix as shown in Table 13.2. This matrix shows the total systems of language in context distributed along the hierarchy of stratification and extended along the cline of instantiation.

STRATIFI-CATION	INSTANTIATION potential (system)	→ subpotential (subsystem)	← instance type	instance

	context of culture:	subculture/ institution:	situation type:	situation:
context	"the culture" as social semiotic system: networks of social semiotic features constituting the systems-&-processes of the culture; defined as potential clusters of values of field, tenor, mode	networks of regions of social semiotic space	set of like situations forming a situation type	instantial values of field, tenor & modes; particular social semiotic situation events, with their organization
semantics	**semantic system:** meaning as potential; networks of different modes of meaning * to be elaborated	**register:** networks of typological regions of semantic space	**text type:** a set of like texts (meanings) forming a text type	**[text as] meaning:** semantic selection expressions (features from passes through semantic networks), and their representation as meanings particular texts, with their organization
lexicogrammar	**lexicogrammatical system:** wording potential; networks of wording realizing different modes of meaning	**[register]:** networks of typological regions of semantic space	**[text type]:** a set of like texts (meanings) forming a text type	**[text as] wording:** lexicogrammatical selection expressions (features from passes through grammatical networks), and their manifestation as wordings particular texts, spoken or written, with their organization
phonology/ graphology/ sign				

Table 13.2: Instantiation/stratification matrix (adapted from Halliday 1997: 48 and Matthiessen 2001: 48)

Translation as a semiotic process

At this point, we are ready to locate the issue of translation into the picture. In a very broad sense, translation is a process occurring between two semiotic systems. It is a process in which '(experience construed as) meaning in one system is (re)construed as meaning in another' (Matthiessen 1999: 9). In other words, translation is 'a semantic mapping (transformation)' (Matthiessen 2001: 73). It is noted that such a conception of translation still leaves open the possibility that "translation may occur between semiotic systems of kinds (what Roman Jakobson called intersemiotic translation) as well as between systems of the same kind, e.g., between languages (Jakobson's interlingual translation). However, our discussion focuses only on the interlingual translation, i.e. the translation between two languages; or to be more exact, the translation of a written text of the SL into another written text of TL. All the examples are extracted from an Chinese novel entitled *Tai Bei People* and its English translation.

In interlingual translation, translation is located at the instance pole of the cline of instantiation, i.e. we translate texts in source language (SL) into texts in target language (TL); but we do not translate source language into target language. On the other hand, while translation takes place at the instance pole of the cline, texts are translated as instances of the overall linguistic system they instantiate because translation of the instance always take places in the wider environment of potential that lies behind the instance. As Matthiessen (2001: 74) put it, 'any act of translation is *multiply contextualized* and that we have to identify these contexts or environments… to make translation maximally effective, we should make it *maximally contextualized*…the wider the context, the more information is available to guide the translation.' In short, translation is a semantic mapping (transformation) of a written text of the SL into another written text of TL in the contexts as shown in Figure 13.2. There are relevant environments intermediately between the two poles of the cline of instantiation. One such environment is that of registers – a region on the cline of instantiation halfway between instance and potential. Another such environment is that of culture.

The environment of translation

	potential (system)	subpotential/ instance type	instance
TL *SL*	*potential (system)* potential (system)	*subpotential/ instance type* subpotential/ instance type	*instance* instance
context context	*context of culture* context of culture	*subculture/ situation type* subculture/ situation type	*situation* situation
semantics semantics	*semantic system* semantic system	*register / text type* register / text type	*[text as] meaning* [text as] meaning:
lexicogrammar lexicogrammar	*lexicogrammatical system* lexicogrammatical system	*[register] / [text type]* [register] / [text type]	*[text as] wording* [text as] wording:

mapping

with linguistic system/culture as frame of reference

with register/ subculture as frame of reference

Translation process

with semantics and context as frame of reference

Figure 13.2: The environment of translation (adapted from Matthiessen 2001)

Some basic translation notions from a Systemic Functional Perspective

System and choice

System and choice are important concepts in the theory of Systemic Function Linguistics. According to Halliday (1985: 30, stress added), SFL is

> … an analysis-synthesis grammar based on the paradigmatic notion of choice…. It is a tristratal construct of semantics (meaning), lexicogrammar (wording), and phonology (sound). The organizing

> concept at each stratum is the paradigmatic '**system**'... **Options** are realized as syntagmatic constructs or structures; a structure is a configuration of functional elements.... A text in systemic-functional grammar is an instantiation of the system.

In fact, whatever we analyze of anyone's speech or writing, we can always be asking 'what were the alternative ways? Or what was the meaning potential within which these choices were being made? Without that, we cannot in fact understand the meaning.' (Halliday, 2004 seminar). For instance, the word 'possible' means what it is supposed to mean because the speaker has the choice to use other options in the same system such as 'probable' or 'perhaps'.

With respect to the notion of register, we mentioned in Chapter 7 that *field* relates to the ideational meanings of a situation, *tenor* to its interpersonal meanings and *mode* to its textual meanings. In terms of choice, it is most probable that the *field* affects our choices among the use of nouns, verbs, adjectives and adverbs of the open word classes, and also the preposition of the closed word classes. It also affects our choices of tenses and aspects. The *tenor*, on the other hand, affects our choices among personal pronouns, the mood types, and modality. Finally, the *mode* affects our choices on thematic selection and information focus, as well as the textuality through the choices of cohesive devices.

Translation, as in creative writing, is basically a process of choice; the basic decision a translator has to make is to choose among various options available in the language systems, and the basic problem a translator has to face is also the problem of choice such as to choose either the translation equivalence at the word level or at the meaning level. We may usually make the choice unconsciously in daily informal conversation; however, we normally make the choice consciously in formal context. In the process of translation, the choosing is supposed to be a conscious one. A 'good' translator is the one who is always aware the availability of the options provided in the potential of the source language and the target language to fully comprehend the 'meaning' of the original text

and to make meaningful choice with respect to the co-text and context to produce the translated text in the target language. This leads our discussion to some important concepts in translation: literal translation vs. free translation, and translation equivalence and translation shift.

Free translation vs. literal translation

Language is stratified into several strata; the number of strata is fixed for all languages. Each stratum is organised internally through a series of contextualisations, resulting in a hierarchy of units. These units are related through the relation of constituency, i.e. through a part-whole relation. In other words, the highest-ranking unit consists of units of the rank immediately below, which in turn consist of units at the next rank below, and so on. Though the number of ranks within a given stratum may not be the same in different languages, the rank scale at the lexicogrammatical stratum of both Chinese and English is clause – group/phrase – word – morpheme, in which a clause consists of groups/phrases, and a group/phrase consists of words.

In this understanding of rank and stratification, we can re-examine the concept of free translation and literal translation. We can consider free translation and literal translation lying onto the two ends of a cline. In terms of rank, a word-to-word translation is comparatively literal while a clause-to-clause translation is comparatively free. In terms of strata, taking into consideration the lexicogrammar in the process of translation is comparatively literal while taking into consideration the context or culture is comparatively free. This is shown in Figure 13.5.
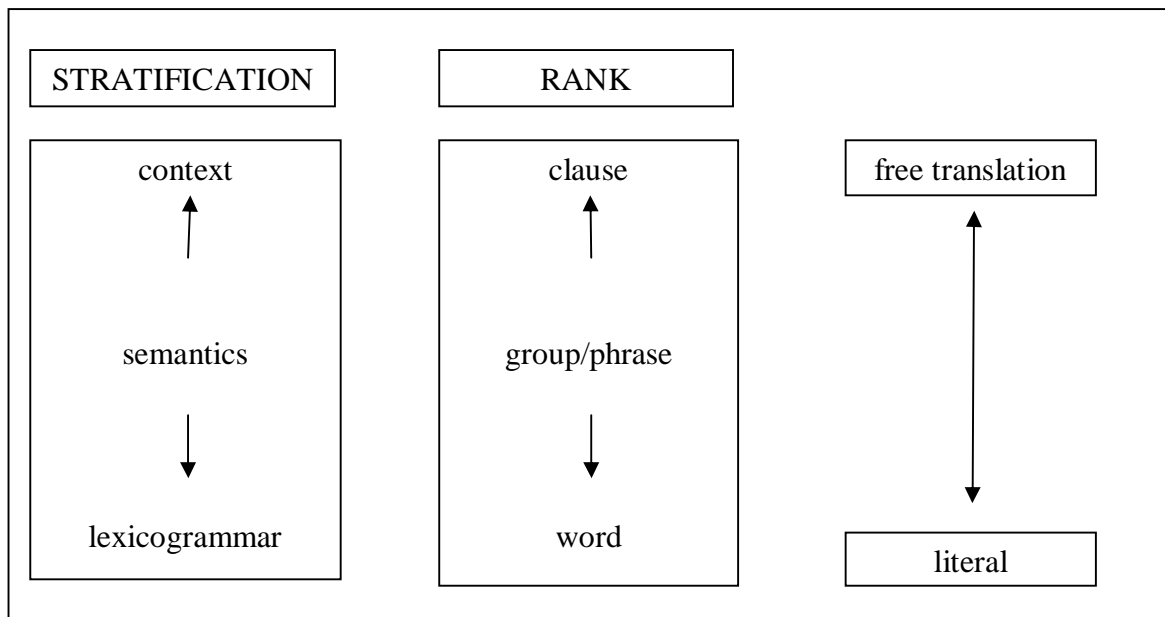
Figure 13.3: Free translation vs. literal translation and environment of translation (adapted from Matthiessen 2001)

Types of translation equivalence

Translation and equivalence are closed collocation in the study of translation in the western cultures. As a matter of fact, translation is often defined in terms of equivalence. For instance, Bell (1992) defined translation as the replacement of a representation of a text in one language by a representation of an equivalent text in a second language. However, as Meethan and Hudson (1972: 713) suggest, texts in different languages can be equivalent in different degrees – fully or partially equivalent – in respect of different levels of presentation equivalent, such as context, semantics, grammar, lexis, etc., and at different ranks, such as word-for-word, phrase-for-phrase, sentence-for-sentence. In this section, we examine some notions of equivalence and discuss what SFL can offer in this aspect.

(A) Catford's translation equivalence and translation shift

Catford's model on translation is built on Hallidayan linguistic model on category, which was later developed into the SFL. In this model, a formal correspondent is distinguished from a textual equivalence. In Catford's (1965: 27) own words, a formal correspondent is 'any TL category (unit, class, element of structure, etc.) which can be said to occupy, as nearly as possible, the "same" place in the "economy" of the TL as the given SL category occupies in the SL'; whereas a textual equivalence is 'any TL text or portion of text which is observed on a particular occasion … to be the equivalent of a given SL text or portion of text'. When there are occurrences of translation equivalence, there are possibilities of translation shift. Translation shifts, according to Catford, refer to 'departures from formal correspondence in the process of going from the SL to the TL' (Catford 2000: 141-7). There are two kinds of translation shift: level shift and category shift. A level shift occurs when the meaning is expressed by grammar in the SL but lexis in the TL or vice versa.

There are four kinds of category shift – structural shift, class shift, unit shift or rank shift, and intra-system shift.

● A structural shift occurs when there is a shift in grammatical structure from the SL to the TL in the translation process. For example, in [11.2], the orders of the subject and the modal auxiliary in the ST and in the TT are different. In [11.3], the circumstance *jīnwǎn* (tonight) is thematized to the beginning of the clause in the ST; however, it is placed at the end of the clause in the TT.

[11.2] *Suàn le   wǒ kànzhe   yǒudiǎn bù   guòyi máng zhǐzhu*
「算了，」 我 看著   有 點 不 過意，忙   止住

Guō Zhěn dào Zhū xiǎojie tóu yī cì lái zìrán yǒudiǎn
郭 軫   道，「朱 小姐 頭 一 次 來，自然 有 點

jū ni   nǐ bùyào qù chuō tā

拘 泥，你 <u>不要</u> 去 戳 她。

("That's all right." I felt rather sorry for the girl and stopped Kuo Chen. "This is Miss Chu's first visit; of course she's a little shy. Now <u>don't</u> you pick on her.")

[11.3] *Wǒ děng zhū Qīng kūguo le cái pāipāi tā de jiānbǎng shuōdao*
　　 我 等 朱 青 哭過 了，才 拍拍 她的 肩膀 說道：

tóu yī cì zhàrán fēnlí zǒng shì zhèyàng de jīnwǎn bùyào
「頭 一次，乍然 分離， 總 是 這樣 的 ——今晚 <u>不要</u>

kāi huǒ dào wǒ nàr chī yèfàn gěi wǒ zuò gè bànr
開 伙， 到 我 那兒 吃 夜飯，給 我 做 個 伴兒。」

(I waited until Verdancy had cried herself out. Then I patted her shoulder. "Well, these sudden partings – the first time around, it always hits you like this. <u>Don't</u> cook tonight. Come have dinner with me and keep me company.")

● A class shift occurs when there is a shift from one part of speech to another. For example, in [11.4], the modal auxiliary *zǒng yào* (總要) in the ST is translated into an adverb *always* in the English TT.

[11.4] *Wǒ yě bùguǎn tāmen yǎnhóng Lú xiānsheng de càilai wǒ*
　　 我 也 不管 他們 眼紅， 盧 先 生 的 菜裏，我

zǒng yào jiāxiē liào niú ròu shì jiànzi ròu zhū ròu dōu shì hòu de
<u>總要</u> 加些 料：牛 肉 是 腱子 肉， 豬 肉 都 是 瘦 的。

(I didn't care what they thought or how envious they were, I always put

something extra in Mr. Lu's order – beef, I'd give him the shank cut; pork, all lean meat.)

- A unit shift or rank shift is said to occur when the meaning(s) is realized at particular rank in the SL is expressed at a different rank in the TL. For example, in [11.5] the main clause in the SL, *tā de yījīng pèiguà shì yàojǐn de*, in the SL is a simple emphatic attributive *shì … de* construction; whereas in the TL, the original noun phrase *tā de yījīng pèiguà* is construed as a clause '*his full military regalia be displayed*', which realised the extraposed subject of the sentence.

> [11.5] *rìhòu yílíng tā de yījīng pèiguà shì yàojǐn de*
>
> 日後　移靈，他 的 衣衾　佩掛　是　要緊 的。」
>
> (When the time comes to move his body, it is important that his full military regalia be displayed.)

- An intra-system shift is said to take place when there are approximately corresponding systems in both the SL and the TL but the meaning is realized in a non-corresponding option in the TL. For example, to express assessment of probability, the modal auxiliary *yao* in Chinese carries a medium level of force, and its translation equivalence in English should be either *will* or *would*. However, in [11.6], *yao* has been translated into a modal auxiliary *has got to* with different degree of force.

> [11.6] *Wǒ kànguo de Táiběi zhèqǐ fūren tàitai men fūren de pífū yào shǔ dì-yī*
>
> 「我　看過 的」臺北　這起 夫人　太太們，夫人 的 皮膚 要 數 第一！
>
> (Of all the ladies I've seen in Taipei Madame's complexion has got to be the finest!)

(B) Baker's translation equivalence

Mona Baker also adopted the theoretical framework of SFL to discuss the notion of translation equivalence. In her book *In other Words: A Coursebook on Translation* (1992), Baker examines the various common problems of non-equivalence at word level:

- The source language concept is a culture-specific one, or is not lexicalized in the target language;
- Words in the source language are semantically complex and do not have formal correspondences in the target language;
- General words (superordinate) and specific words (hyponyms) in the source-language do not have formal correspondences in the target language;
- The source and target languages have differences in physical or interpersonal perspective, in expressive meaning, in form, and in frequency and purpose of using specific forms, and make different distinctions in meaning; and
- The use of loan words in the source text.

Baker then moves on to discuss the strategies used by professional translators, including translation by a more general word (superordinate) or a more neutral/less expressive word, by paraphrase using a related word, unrelated words, a loan word or loan word plus explanation, and by cultural substitution, omission or illustration.

Apart from the equivalence at the word level, Baker (1992) also discusses the equivalence equivalence above word level, including collocation, idioms, and fixed expressions, as well as grammatical equivalence. Unlike Catford, Baker's (1992) notion on equivalence is not confined to formal category. Baker also examines the textual equivalence, including thematic and information structures, and cohesion, and also pragmatic equivalence. For instance, there is a mismatch of theme in example [11.7] because *Wǔbǎo* (Baby Five) is an unmarked topical Theme in the original Chinese sentence while '*over and over*' is a marked Theme of circumstance in the target English translation.

> [11.7] *Wǔbǎo kǒu.kou shēngshēng dōu duì wǒ shuō Wǒ yào biàn guǐ*
>
> 五寶　　口口聲聲　　　都　對　我　說：我　要　變　鬼
>
> *qù zhǎoxún tā*
>
> 去　找尋　他！
>
> (Over and over Baby Five had sworn: I'll turn into a ghost and hunt him down!)

(C) Bell's translation equivalence

According to Bell (1992), it is desirable for the study of translation to follow a descriptive tradition than a prescriptive one, and for translated products to be deal with within the conventions of text-linguistics. Such a stance can be reflected on Bell's discussion on the debate about whether translation should be taken as an art or a science:

> '[t]he linguist inevitably approaches translation from a 'scientific' point of view, seeking to create some kind of 'objective' description of the phenomenon … It could, however, be argued that translation is an 'art' or a 'craft' and therefore not amenable to objective, 'scientific' description and explanation and so, a fortiori, the search for a theory of translation is doomed from the start." (Bell1992: 4)

Bell defined translation as the replacement of a representation of a text in one language by a representation of an equivalent text in a second language. Bell (1992) examines three types of meaning in a communication, namely the cognitive meaning (concerning the propositional context of the text), the interpersonal meaning (concerning the orientation of the sender-speaker or receiver-writer – to the exchange in which they are engaged) and the discourse meaning (concerning the organization of the information, extending to the standards of textuality and discourse parameters). It is obvious that these three types of meaning are in fact corresponding to the three metafunctions and

cohesive devices in SFL. As a result, apart from Baker's textual equivalence, Bell (1992) also discusses the equivalence in cognitive meaning and the equivalence in interactional meaning. This naturally leads our discussion to the three metafunctional equivalences.

(D) Metafunction and the concept of equivalence

As mentioned previously, language is a higher-order semiotic system, which is able to create more than one mode of meaning simultaneously. Halliday (1985/1994, 1997, 2004) identifies three modes of meaning, i.e. ideational, interpersonal and textual, are referred to in SFL as metafunctions. The ideational metafunction concerns our experience of the world around us and inside us, whereas the interpersonal metafunction concerns the interaction between speaker and listener(s) or between writer and reader(s). These two metafunctions orient themselves towards the material world and the social world, respectively, and both concern phenomena that are non-linguistic in nature (Matthiessen & Halliday 1997). They call the third metafunction – textual metafunciton – into being. The textual metafunction enables the presentation of ideational and interpersonal meanings as information that can be interpreted by speaker and addressee(s). It concerns the creation of text/discourse, the flow of meaning and the phenomena that are linguistic in nature. All these three modes of meaning are simultaneously realized in any major clause as text unfolds (see Halliday 1985). In the process of translation, a translator has to consider the equivalence of these three modes of meaning as shown in Table 6.

Ideational equivalence	whether a certain process in the ST is translated into the same type of process in the TT (with the same participant(s) and under the same circumstance(s)). For instance:
	
	 [11.8] *nǐ bùyào qù <u>chuō</u> tā* (process: *material; transitive*)
	     你　不要　去　戳　她。
	     (Now don't you <u>pick on</u> her.) (process: *material; transitive*)
	
	 whether the same logico-semantic relationship between the two clause simplexes in the ST is translated into the same type of relationship in the TT.

Interpersonal equivalence	whether a certain mood type in the ST is translated to the same mood type in the TT (with the same choice of modality and with the same level

| | of force). For instance:

[11.10] *yīdìng yào bǎoliú yī tào Mèng Yǎng cháng chuān de jūn lǐfú.*
一定 <u>要</u> 保留 一套 孟 養 常 穿 的 軍禮服
(mood type: *command;* modality: *obligation – high degree of force*)
(They absolutely <u>must</u> have one of his full-dress uniforms put aside for this purpose.) (mood type: *command;* modality: *obligation – high degree of force*)

| **Textual equivalence** | whether the ST and the TT are having the same thematic prominence and the same information focus as in [11.7].

whether the ST and the TT are having the same textuality in terms of cohesive devices. For instance:

[11.11] 舅舅留下了一筆很可觀的產業，<u>因此</u>舅媽和表妹一向都過著十分富裕的生活。(conjunction: *result*)
   He (my uncle) left a considerable estate, <u>so</u> my aunt and my cousin had always lived a life of luxury. (conjunction: *result*)

<u>from clause into discourse</u>
whether the ST and the TT are developed in the same way in terms of thematic development. For instance:

[11.12] 舅媽叫我去認屍的時候，<u>王雄的屍體</u>已經讓海水泡了好幾天了。<u>王雄全身</u>都是烏青的，<u>肚子</u>腫起，把衣衫都撐裂了；<u>他的頭臉</u>給魚群叮得稀爛，紅的紅、黑的黑，儘是一個一個的小洞，<u>眉毛眼睛</u>都吃掉了。

(<u>When</u> my aunt, my mother's brother's wife, sent me to identify the body, <u>Wang Hsiung</u> had been in the water for days. <u>His whole body</u> had turned black and blue; <u>his belly</u> was so swollen it had burst through his shirt; the fish had been eating at <u>his head</u> and it had turned into rotten pulp with little holes all over, some dark red, some inky black; even <u>the eyes and eyebrows</u> were gone.)

Table 13. 6: Ideational, interpersonal, and textual equivalence at the clausal rank

House's model of translation quality assessment

A theory of translation decides the point of view of translation, which in turns decides the assessment of a translation quality. In this section, we will specifically focus on House's assessment model.

After reviewing various approaches toward translation assessment, House (1997) proposes an assessment model which incorporated the notions of register and genre in SFL. House's model basically involves a systematic comparison of the textual profile of the ST and the TT. Each textual profile, in fact, consists of a profile of register and a profile of genre. The profile of register is a detailed analysis of the three dimensions of the register of the text, including the examination of the lexical means, syntactic means and textual means on the field, tenor and mode. The profile of genre, on the other hand, is a description of the social goal and textual features in the culture of the text. Through the comparison of the profiles of register of the ST and TT, lexical mismatches, syntactic mismatches, and textual mismatches in the register are identified. Similarly, through the comparison of the profiles of genre of the two texts, 'overt errors' in the genre are stated. Based on these two comparisons, the assessment of the translation is presented in a 'statement of quality'. Finally, the translation is categorised into an 'overt translation' or 'covert translation'. The assessment process is depicted in Figure 7.

A translation being categorised as 'overt' is one in which 'the addressees of the translation text are quite "overtly" not being directly addressed'. In other words, an overt translation is one that does not purport to be a "second original" but overtly a translation. According to House (1997), texts which call for an overt translation include those "overt historically-linked" texts and "overt timeless" texts. On the other hand, a covert translation is 'a translation which enjoys the status of an original source text in the target culture'. It is usually a translation of the ST which is not specifically addressed to the particular source language and culture, and as a result, the translator can have equal concern for the source and target language communities (House 1997: 66-70).

```
┌─────────────────────────────────────────────────────────────────┐
│                    ┌─────────────────────┐                        │
│                    │  Individual textual │                        │
│                    └─────────────────────┘                        │
│                              ↑                                    │
│         ┌────────────────────┴────────────────────┐              │
│         ↑                                          ↑              │
│   ┌───────────┐                          ┌──────────────┐        │
│   │  Register │                          │    Genre     │        │
│   └───────────┘                          │  (generic    │        │
│         ↑                                │   purpose)   │        │
│   ┌─────┴──────────┐                     └──────────────┘        │
│   ↑       ↑        ↑                                              │
└───────────────────────────────────────────────────────────────────┘
```

Field
subject
matter and
social action

Tenor
participant
relationship
- author's
  provenance and
  stance
- social role
  relationship
- social attitude

Mode
- medium
  (simple/comple
  x)
- participation
  (simple/comple
  x)
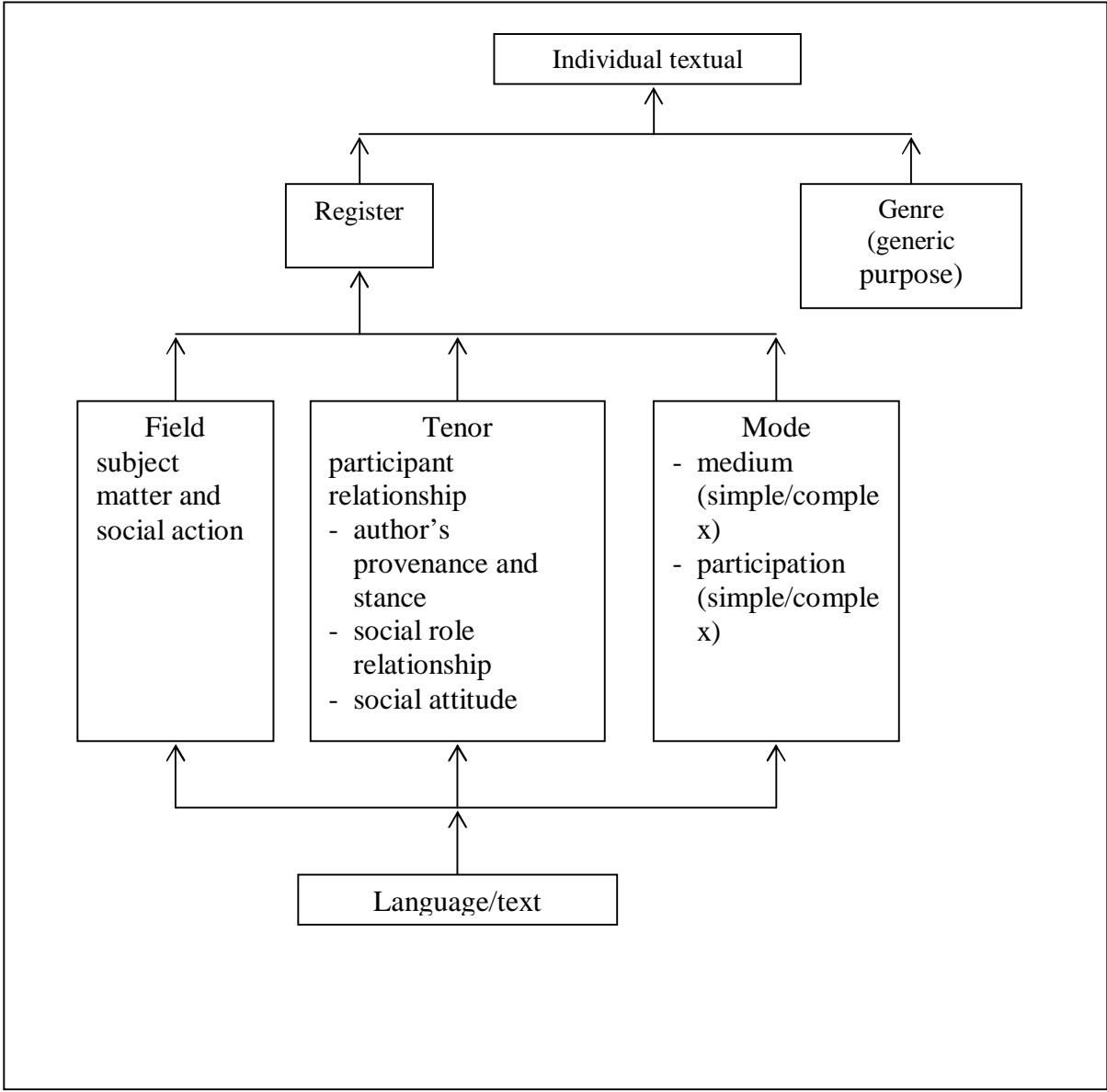
Language/text

Figure 13.4: Scheme for analyzing and comparing original text and target text (House 1997: 108)

Conclusion

Translation is basically a language phenomenon, and is therefore able to be studied from a linguistic approach. This chapter is built on what we have learnt about systemic functional grammar in the previous chapters. From this perspective, we explored the nature of translation, basic notions in translation, types of translation equivalence and translation shift, and a model of translation quality assessment. This linguistic approach, in general, provides us a comprehensive understanding of the study of translation.

Key to activities

Introduction

Activity 1

(1) C   (2) A   (3) B   (4) A   (5) C   (6) C   (7) B   (8) A   (9) A   (10) C

Activity 2

(1) E   (2) F   (3) H   (4) F   (5) V/I   (6) F/E   (7) I   (8) E   (9) D   (10) P

Chapter 1: Phonetics and Phonology

Activity 1.1

11)   a labio-dental fricative: phrase, vest

12)   a dental fricative: themselves, thesis

13)   a velar plosive: chrysanthemum, quadruple

14)   an alveolar fricative: czar, psychiatric

15)   a bilabial plosive: biography, panorama

16)   a palato-alveolar fricative: chauvinism, schwa

17)   an alveolar plosive: dwindle, tortoise

18)   a semi-vowel: union, whenever

19)   a velar plosive: choral, gearwheel

20)   a glottal fricative: humor, whose

Activity 1.2

1)   A velar consonant: plaque, Prague

2) A bilabial consonant: scallop, tube

3) A labio-dental fricative: adhesive, triumph

4) An alveolar plosive: mopped, stipulated

5) A palato-alveolar affricate: hostage, scratch

6) An alveolar nasal: cortisone, deign

7) A palato-alveolar fricative: beige, douche

8) A voiced alveolar fricative: appease, mouths

9) A voiceless dental fricative: beneath, hearth

10) A voiced velar plosive: pedagogue, vague

Activity 1.3

1) A schwa: Malaysia, recollection

2) A palatal semi-vowel: tuberculosis, yawn

3) A diphthong: thrive, share

4) A voiced palato-alveolar fricative: treasure, precision

5) A voiced velar nasal: Bangkok, banquet

6) A central vowel: abrupt, pursue

7) A labio-velar semi-vowel: squirrel, oneness

8) A palato-alveolar frictionless continuant: progress, parish

9) A diphthong: poster, climbing

10) A lateral consonant: helm, solemn

Activity 1.4

'China is America's banker' is a phrase one often hears, along with 'China has massive foreign exchange reserves'. Hold on, though. No US stimulus package will need a cent from China. At the risk of grossly oversimplifying, here is how America finances a stimulus package like the one it needs now.

Using only entries on its balance sheet, the Federal Reserve System creates cash and uses it to buy bills from the Treasury Department. The Treasury spends the money, based on Congressional appropriations. Congress also has to raise the debt ceiling. That's it. It has nothing to do with China.

Activity 1.5

11) The Immigration Bureau refused to grant him a work ⬜permit to work in Hong Kong.

12) She has ex⬜tracted a description of the murderer from the newspaper.

13) ⬜Manchester is one of the industrial cities in Britain.

14) He was a famous en⬜viron⬜mentalist before he took up the position of CEO in our company.

15) The police conducted a thorough search for an escaped ⬜convict in the forest.

16) The author ⬜reca⬜pitulated the main points of the paper in the conclusion.

17) There are strict limits on ⬜immi⬜gration into the United States.

18) The perfume contains ⬜extracts from several flowers.

19) The ⬜proceeds of today's concert will go to several schools for students with learning disabilities.

20) This report ⬜rein⬜forces the findings of the pilot study.

Chapter 2: Morphology

Activity 2.1

	Derivational affixes
e.g., The farmer's cows returned home.	–er, re–
(s) This is an historic occasion.	-ic
(t) And I am particularly pleased to see that Chairman Deng Xiaoping is able to be present.	-ly
(u) The Joint Declaration on the future of Hong Kong,	-ation
(v) which we have just signed on behalf of our two Governments,	-ment

(w) is a landmark in the life of the territory;	
(x) in the course of Anglo-Chinese relations	-ese, -ion
(y) and in the history of international diplomacy.	inter-, -al, -cy
(z) The Agreement establishes a firm basis for confidence in Hong Kong up to 1997 and beyond,	-ment, -ence
(aa) and for its continued stability, prosperity and growth.	-s, -(e)d, -ity, ity, -th

Activity 2.2

	Inflectional affixes
e.g., The farmer's cows returned home.	–'s, –s, –ed
(bb) This is an historic occasion.	
(cc) And I am particularly pleased to see that Chairman Deng Xiaoping is able to be present.	-ed
(dd) The Joint Declaration on the future of Hong Kong,	
(ee) which we have just signed on behalf of our two Governments,	-ed, -s
(ff) is a landmark in the life of the territory;	
(gg) in the course of Anglo-Chinese relations	-s
(hh) and in the history of international diplomacy.	
(ii) The Agreement establishes a firm basis for confidence in Hong Kong up to 1997 and beyond,	-es
(jj) and for its continued stability, prosperity and growth.	

Activity 2.3

	Derivational affixes	Inflectional affixes
e.g., The farmer's cows returned home.	–er, re–	–'s, –s, –ed
(e) Those socks are inexpensive.	in–, –ive	–s

(f)	The strongest rower won.	–er	–est
(g)	The dramatization went well.	–tic, –ize, –ation	
(h)	The dispute was eventually resolved after protracted negotiations.	–(u)al, –ly, re– , pro–, –ation	–ed, –s

Activity 2.4

		Acronyms	Abbreviations	Blendings	Back-formations
16.	interpol			International + police	
17.	to juggle				Juggler
18.	FBI	Federal Bureau of Investigation			
19.	deli		delicatessen		
20.	telecom			telephone + conference	
21.	biz		business		
22.	cardy		cardigan		
23.	TOEFL	Test(ing) of English as a Foreign Language			
24.	hi-tech			high + technology	
25.	Oxbridge			Oxford + Cambridge	
26.	to escalate				escalator
27.	BBC	British			

				helicopter + airport	
		Broadcasting Corporation			
28.	heliport			helicopter + airport	
29.	UFO	unidentified flying object			
30.	limo		limousine		

Activity 2.5

		The conversed word	Type of conversion
e.g.,	Mr. Lam's fingering the piano.	finger	1
(f)	Listen to the exciting contest!	contest	2
(g)	He's gonna open the door.	open	3
(h)	My mum's buttoning my shirt.	button(ing)	1
(i)	The boutique has upped the price.	up(ped)	5
(j)	Jesus asked us to love the poor.	poor	4

Activity 2.6

(a) unhappiness	[[un [happy]]ness]
(b) incomprehensible	[in [[comprehen(d)] sible]]
(c) redisposal	[[re [dis [$_v$ pos(e)]]] al]
(d) disestablishment	[[dis [establish]] ment]
(e) impossibly	[[im [possibl(e)]] ly]

Activity 2.7

		Original words	Morphological processes

(f)	loveseat	love, seat	compounding
(g)	comfy	comfortable + (derviational) -y	clipping
(h)	aerobathon	aerobics, marathon	blending
(i)	automate	automation	backformation
(j)	autocide	Automobile, suicide	blending

Activity 2.7

Example	bookshelf	It is created by compounding by which two separate words (i.e. 'book' and 'shelf') are combined to produce a single form 'bookshelf'.
8.	hurdy gurdy	It is created by reduplication. There is a repetition of two words with an initial consonant change.
9.	popfest	It is created by blending, in which the first part of the first word 'popular (music)' is joined to the first part of the second word 'festival'.
10.	moneywise	It is created by derivation (or suffixation). The word 'moneywise' is produced by adding a denominal adverb suffix -wise to the root 'money'.
11.	to ape	It is created by conversion, by which the word 'ape (verb)' is created from the corresponding noun 'ape' without the addition of an affix.
12.	hoover	It is created by proper name. The word was originally created as a (British) trade name for a product, but has become an ordinary English word (without initial capital letters) for any version of that product.
13.	eighty	It is formed by derivation by which the ending –ty [do not accept –y] meaning 'ten' is added to a simple number.
14.	to better	It is created by conversion, by which the word 'better (verb)' is created from the corresponding adjective

		'better' without the addition of an affix.
8.	walkie-talkie	It is created by reduplication. There is a repetition of two words with a consonant change.
9.	centimeter	It is created by derivation (or prefixation). The word 'centimeter' is produced by adding a number prefix 'centi' to the root 'meter'.
10.	WWW	It is an acronym formed from the initial letters of the term 'World Wide Web'.
11.	footprint	It is created by compounding by which two separate words (i.e. 'foot' and 'print') are combined to produce a single form 'footprint'.
12.	to better	It is created by conversion, by which the word 'better (verb)' is created from the corresponding adjective 'better' without the addition of an affix.
13.	limo	It is created by clipping, which denotes the subtraction of the last syllable from the word 'limousine'.
14.	nitty-gritty	It is created by reduplication. There is a repetition of two words with an initial consonant change.
15.	medicare	It is created by blending, in which the first part (or the first two syllables) of the first word 'medical' is joined to the whole form of the second word 'care'.

Chapter 3: Syntax I

Activity 3.1

1) *spell*: count, abstract; *China*: proper, concrete; *trading*: non-count/mass, abstract; *firm*: count, concrete

2) *group*: count, abstract; *boys*: count, concrete; *cliff*: count, concrete; *caution*: non-count/mass, abstract

3) *Nature*: proper, abstract; *force*: count, abstract; *strength*: non-count/mass, abstract;

beauty: non-count/mass, abstract; *poem*: count, concrete;

4) *novel*: count, concrete; *poverty*: non-count/mass, abstract; *violence*: non-count/mass, abstract; *streets*: count, concrete; *town*: count, concrete

5) *David*: proper, concrete; *dictionary*: count, concrete; *taxation*: non-count/mass, abstract; *Routledge*: proper, concrete, * collective

6) *Evening*: count, abstract; *high-school*: count, concrete; *friend*: count, concrete; *love*: non-count/mass, abstract; *dancing*: non-count/mass, abstract; *instructor*: count, concrete

7) *story*: count, concrete; *scenes*: count, abstract; *childhood*: non-count/mass, abstract; *London*: proper; concrete; *Second World War*: non-count/mass, abstract

8) *Management board*: proper, concrete, * collective; *meeting*: count, abstract; *level*: count, abstract; *workers'*: count, concrete; *remuneration*: non-count/mass, abstract

Activity 3.2

1) *Have*: aspectual auxiliary - perfect; *felt*: linking – sense; *starts*: transitive; *blowing*: intransitive

2) *are*: aspectual auxiliary- continuous; *impeaching*: transitive; *does*: do-auxiliary; *seem*: linking – copulative; *care*: intransitive

3) *Did*: do-auxiliary; *invite*: transitive; *must*: modal auxiliary; *have*: aspectual auxiliary - perfect; *made*: ditransitive – factitive

4) *Were*: passive auxiliary; *given*: ditransitive – dative; *come*: intransitive; *attend*: transitive

5) *Hurry up*: phrasal verb; *get on with*: phrasal-prepositional verb

6) *thinking about*: prepositional verb; *Come on*: phrasal verb

7) *must*: modal auxiliary; *be*: continuing; *feeling*: linking – sense; *was*: passive; *promoted*: transitive

8) *heard*: transitive; *have*: perfective; *awarded*: dative; *performing*: intransitive

9) *was*: passive; *crowned*: factitive; *abdicated*: intransitive; *left*: transitive

10) *didn't*: do-auxiliary; *ask*: dative; *had*: perfective; *been*: passive; *told off*: transitive; *wasting*: transitive

Activity 3.3

(1) copulative (2) intransitive/transitive (3) monotransitive

(4) monotransitive (5) past participle

(6) were: passive ; made: monotransitive (7) monotransitive

(8) to-infinitive (9) phrasal verb (10) monotransitive

Activity 3.4

1) *Why*: interrrogative; *seldom*: time; *nowadays*: time; *extremely*: degree

2) *Anyway*: conjunctive; *henceforth*: time; *constantly*: manner; *rather*: degree

3) *Probably*: sentence; *late*: time; *nowhere*: indefinite; *Where*: interrogative

4) *definitely*: degree; *not*: negative; *again*: time; *extremely*: degree; *today*: time

5) *perhaps*: modality; *somewhere*: indefinite / place; *else*: manner; *still*: time; *urgently*: manner

6) *When*: interrogative; *back*: place; *rather*: degree; *where*: relative; *refreshingly*: manner

Activity 3.5

1) Strings (N) of electric (adj) lights (N) were (V) now (adv) alight (adj) in the trees (N) and along the alley (N).

2) A block (N) of frozen (adj) ice (N) was soon (adv) brought (V) in* and placed (V) in a tin (N) tub (N).

3) His host (N) seemed (V) pleased (adj) at that too (adv), as though it were (V) a special (adj) act (N) of politeness (N).

4) It was (V) like the China (N) Resources (N) building (N), glowing (V) hotly (adv) in reflected (adj) sunlight (N) that dazzled (V) the eyes (N).

5) Going (V) indoors (adv) to remove (V) his shoes (N) he felt (V) his feet (N) bare (adj) on the cool (adj) marble (N).

6) Harriet (N) is (V) a self-employed (adj) vendor (N) aimlessly (adv) roaming (V) the

neighborhood (N).

7) The movie (N) portrays (V) a depressed (adj) actor (N) who has lost (V) his (adj) job (N).

8) They take (V) part (N) in a dance (N) contest (N) to raise (V) money (N) for two (adj) friends (N).

9) The demands (N) of friendship (N) get (V) more (adv) complex (adj) as these (adj) relationships (N) move (V) along (adv).

10) He then (adv) decided (V) to engage (V) a butler (N) to take (V) better (adj) care (N) of him for a while (N).

Activity 3.6

1) *Anyone*: indef; *who*: rel; *which*: interrog: *one*: indef

2) *These*: demon; *ones*: indef; *herself*: reflex; *hers*: poss

3) *What*: interrog; *you*: pers; *yourself*: emphat; *you*: pers; *nothing*: indef

4) *Somebody*: indef; *me*: pers; *I*: pers; *what*: indef rel; *mine*: poss

5) *That*: dem; *it*: pers; *who*: rel; *himself*: reflex

6) *Themselves*: emphat; *ones*: indef; *ours*: poss

Activity 3.7

1) *In regard to*: complex, phrasal; *of*: simple; *concerning*: derived; *to*: simple

2) *Because of*: complex, phrasal; *into*: complex, compound; *for*: simple; *underneath*: simple

3) *Concerning*: derived; *because of*: complex: *phrasal*; to: simple

4) *For*: simple; *of*: simple; *in spite of*: complex: phrasal; *towards*: simple

5) *As regards*: complex: phrasal; *out of*: complex: compound; *into*: complex: compound

Activity 3.8

1) *If*: subord, cond; *or*: coord, disjunct; *so that*: subord, purpose; *as soon as*: subord, time

2) *Even though*: subord, concess; *and*: coord, cop; *but*: coord, advers; *as*: subord, cause/reason

3) *as if*: subord, manner; *while*: subord, time; *yet*: coord, advers; *so*: subord, result

4) *Though*: subord: concession; *before*: subord: time; *as*: subord: reason; *both … and*: co-ord: copulative [correlative]

5) *Once*: subord: time; *so that*: subord: purpose; *and*: co-ord: copulative; *until*: subord: time; *than*: subord: comparison

6) *As far as*: subord: manner; *that*: subord: reason; *either … or*: co-ord: disjunct; *so*: co-ord: result

Activity 3.9

1) These (dem) private (desc) agencies investigate any (indef) matter from cheating (desc) spouses to pirated (desc) foreign (desc) goods.

2) Many (indef) people in the (art) police and judiciary oppose their (poss) unorthodox (desc) style, the (art) use of which (rel) techniques contravene all (indef) normal (desc) standards.

3) With business so brisk (desc), his (poss) firm turned away nine of the (art) ten (card) cheating cases that were offered last (ord) month.

4) What (interr) success I have had in this (dem) business is due (desc) to my (poss) dogged (desc) determination to solve every (indef) case.

Activity 3.10

1.

Pre-modifier		Head	Post-modifier	
Kissinger's	secret	visit	to	Beijing
adjectival noun	attributive adjective		preposition	noun

2.

Pre-modifier	Head	Post-modifier		
the	level	of	mutual	understanding
determiner		preposition	adjective	noun

3.

Pre-modifier	Head	Post-modifier	
real	conflict	of	interest
attributive adjective		preposition	noun

4.

Pre-modifier	Head	Post-modifier	
the	lack	of	trust
determiner		preposition	noun

5.

Pre-modifier	Head
Neither	side
determiner	

6.

Pre-modifier			Head
a	long-term	strategic	vision
determiner	attributive adjective	attributive adjective	

7.

Head	Conjunction	Head
Germany	and	Britain

8.

Pre-modifier		Head	Post-modifier		
common	global	interest	at	the	time
attributive adjective	attributive adjective		preposition	determiner	noun

9.

Pre-modifier	Head	Post-modifier			
opposing	sides	in	a	major	war
adjective (present participle)		preposition	determiner	attributive adjective	noun

10.

Pre-modifier		Head	Post-modifier			
a	precarious	moment	for	the	Sino-US	relationship
determiner	attributive adjective		simple preposition	determiner	adjectival noun	noun

Activity 3.11

1) *thinks*: present; *may*: modal; *know*: infinitive; *has just   revised*: present perfect

2) *had been pinned*: past perfect, passive; *saying*: present participle; *called*: past

3) *didn't own*: past; *would*: modal; *have*: infinitive; *to take*: infinitive

4) *couldn't*: modal; *dance*: infinitive; *watched*: past; *perform*: infinitive

5) *kept*: past; *talking*: present participle; *had*: past; *was staring*: past progressive/past continuous

6) *started*: past; *would*: modal; *have liked*: perfect infinitive/infinitive perfect; *to leave*: infinitive

7) *Don't confuse*: imperative; *'ve always hated*: present perfect; (*'ve always*) *avoided*: present perfect

8) *might*: modal; *have tried*: infinitive perfect/perfect infinitive; *to help*: infinitive; *had been asked*: past perfect, passive

9) *weakened*: past participle; *were still valiantly saying*: past progressive/past continuous; *Fight*: imperative

10) *'s sitting*: present progressive/present continuous; *doesn't seem*: present; *to have been invited*: perfect infinitive/infinitive perfect, passive)

Activity 3.12

a) intransitive

b) monotransitive

c) transitive

d) to-infinitive

e) to-infinitive

f) bare infinitive

g) present participle

h) present participle

i) present participle

j) present participle

k) were (auxiliary passive)

alerted (monotransitive)

l) intransitive

m) to-infinitive

n) present participle

o) to-infinitive

Chapter 4: Syntax II

Activity 4.1

1. Peter murdered his wife.

Peter	murdered	his wife
S	V (vt)	DO

2. Mary watched the soccer match.

Mary	watched	the soccer match
S	V (vt)	DO

3. The dog chased the thief.

The dog	chased	the thief
S	V (vt)	DO

4. David took a taxi to school.

David	took	a taxi	to school
S	V (vt)	DO	AC

5. Rebecca presented the trophy to the winner on the stage.

Rebecca	presented	the trophy	to the winner	on the stage

S	V (vd)	DO	IO	A

6. Peter like the fact that soft drinks are being served in the party.

Peter	like	the fact that soft drinks are being served in the party.
S	V (vt)	DO

7. A piercing cold wind blew toward the platform.

A piercing cold wind	blew	toward the platform.
S	V (vi)	A

8. An officer died last night.

An officer	died	last night.
S	V (vi)	A

9. Marianne laughed wholeheartly.

Marianne	laughed	wholeheartly.
S	V (vi)	A

10. Tom bought Susan a gift yesterday.

Tom	bought	Susan	a gift	yesterday.
S	V (vd)	IO	DO	A

11. She saw the car accident.

She	saw	the car accident.
S	V (vt)	DO

12. Ronnie is the school prefect.

Ronnie	is	the school prefect.
S	V (vc)	SC

13. David climbed the mountain.

David	climbed	the mountain.
S	V (vt)	DO

14. They like serving soft drinks in the party.

They	like	serving soft drinks in the party.
S	V (vt)	DO

15. Rebecca looked at the doctor.

Rebecca	looked	at the doctor.
S	V (vi)	AC

16. The salt dissolved in the soup.

The salt	dissolved	in the soup.
S	V (vi)	A

17. She told me that it was raining heavily.

She	told	me	that it was raining heavily
S	V (vd)	IO	DO

18. There seems to be a tiger under the bridge.

There	seems to be	a tiger	under the bridge
	V (vc)	S	AC

19. Mary likes the movies very much.

Mary	likes	the movie	very much
S	V (vt)	DO	A

20. John is smart.

John	is	smart.
S	V (vc)	SC

21. She asked me a question.

She	asked	me	a question.
S	V (vd)	IO	DO

22. Both of the men shivered in the cold wind.

Both of the men	shivered	in the cold wind.
S	V (vi)	C

23. John is smart.

John	is	smart.
S	V (vc)	SC

24. The boys like the soft drinks.

The boys	like	the soft drinks.
S	V (vt)	DO

25. The one who killed Mary is John.

The one who killed Mary	is	John
S	V (vc)	SC

26. He has a million dollars in his pocket.

He	has	a million dollars	in his pocket.
S	V (vt)	DO	A

27. I forgot the answer.

I	forgot	the answer.
S	V (vt)	DO

28. I am looking at John.

I	am looking	at John
S	V (vi)	AC

29. Litter is everywhere after the festival.

Litter	is	everywhere	after the festival.
S	V (vc)	AC	A

30. There seems to be a tiger under the bridge.

There	seems to be	a tiger	under the bridge.
	V (vc)	S	AC

31. On the tree is a cat.

On the tree	is	a cat.
SC	V (vc)	S

32. Jenny played Ophelia in the drama.

Jenny	played	Ophelia	in the drama.
S	V (vt)	DO	A

33. The people voted him president.

The people	voted	him	president.
S	V (vf)	DO	OC

34. They name the baby John.

They	name	the baby	John.
S	V (vf)	DO	OC

35. Red stands for danger.

Red	stands for	danger.
S	V (prepositonal vt)	DO

36. Judy sounds like a star.

Judy	sounds	like a star.
S	V (vs)	AC / SC *

37. Winnie is a good girl.

Winnie	is	a good girl.
S	V (vc)	SC

38. The sign indicates that Gate 40-612 are to the right.

The sign	indicates	that Gate 40-612 are to the right
S	V (Vt)	DO

39. The boys like the idea of holding a party on Friday.

The boys	like	the idea of holding a party on Friday.
S	V (vt)	DO

40. Max owns the property.

Max	owns	the property.
S	V (vt)	Do

41. I saw Mary after school.

I	saw	Mary	after school.
S	V (vt)	DO	A

42. The cat smells the flower.

The cat	smells	the flower.
S	V (vt)	DO

Activity 4.2

1.

The people	were singing	on the bus.
S	Vi	A

2.

To my surprise	the driver	objected
A	S	Vi

3.

He	complained	that the bus was not a karaoke club.
S	Vt	DO

4.

On the other hand	the passengers	argued	that they had paid for their tickets.
A	S	Vt	DO

5.

He	complained	that the people on the bus were interfering with his concentration.
S	Vt	DO

6.

I	felt	a bit sorry	for him.
S	VS	SC	A

7.

As the singing was truly awful,	he	stopped	the bus	at a small shop,
A	S	Vt	DO	A

got out	and	bought	some tissues	to block	his ears.
Vi (phrasal verb)		Vt	DO	Vt	DO

			(infinitive)	

8.

From his point of view	the passengers	were	noisy and inconsiderate.
A	S	VC	SC

9.

The passengers,	however,	were	more concerned about	the driver's attitude
S	A	VC	SC	Prep DO

Activity 4.3

[1] Summer (S) /is coming (V). [2] It (S) / is (V)/ time (SC) / for a few reminders (AC) / about the effects of heat (A) / on your pets (A). [3] Do not leave (V) / your pets (DO) / shut up (OC) / in a car (A) / without adequate ventilation (A). [4] The heat of the sun (S) / can be (V) / so intense (SC) / [that (X) / a few inches of open window (S) / is (V) / not enough (SC)] (AC). [5] Give (V) / your pets (IO) / enough fresh water (DO) / to drink (V). [6] [When (X) / you (S) / are (V) / at a pool or on the beach (AC)] (A), / do not let (V) / your dog (DO) / drink chemically-treated or salt water (OC). [7] Always (A) / keep (V) / them (DO)/ clean, groomed and trimmed (OC), / especially (A) / [if (X) / it (S) / is (V) / long-haired (SC)] (A).

Activity 4.4

Dialogue	Mood type
Jane: I'm awfully sorry!	exclamative
John: It's all right.	declarative
Don't worry.	imperative
Jane: Is anything broken?	interrogative
John: No, no.	declarative
Jane: No eggs in your shopping bag, I hope.	declarative
John: No. Just potatoes and junk food.	declarative

Jane: Oh good!	exclamative
I mean, I'm glad nothing was broken.	declarative
I don't mean that I'm glad you're buying junk food!	declarative

Activity 4.5

(1) agreement: addition

(2) contrast

(3) agreement: general statement and explanation / massed details

(4) contrast

(5) consequence

Activity 4.6

(1) subject

(2) subject and auxiliary

(3) auxiliary

(4) subject complement

(5) verb/predicate and direct object

Activity 4.7

(1) Compound

(2) Compound:

(3) Complex:

(4) Simple

(5) Compound–Complex

Activity 4.8

(1) manner and comparison

(2) condition

(3) concession and contrast

(4) reason and circumstance

(5) preference

(6) manner and comparison

(7) time

(8) condition

(9) proportion

(10) time

Activity 4.9

(1) prepositional complement

(2) indirect object

(3) subject

(4) direct object

(5) prepositional complement

(6) direct object

(7) adjectival complement

(8) appositive

(9) indirect object

(10) object complement

(11) delayed subject

(12) postmodifier in noun phrase

(13) subject

(14) delayed subject

(15) object complement

Activity 4.10

(1) <u>which failed to stop at a checkpoint last night</u>. (Relative clause: restrictive)

(2) <u>what happened to Mary yesterday</u>. (Noun clause: Direct Object)

(3) <u>what I liked least</u>. (Noun clause: Subject Complement)

(4) <u>what he is today</u>. (Noun clause: Object Complement)

(5) <u>who is the suspect of sexually abused a young girl.</u> (Relative clause: restrictive)

(6) <u>that she would commit suicide.</u> (Noun Phrase: postmodifier of the adjective, "worried" or adjective complement)

(7) <u>that he would marry the princess</u> (Relative Clause: restrictive)

(8) <u>Who is the least popular politician in the coming Chief Executive election</u> (Noun Clause: Subject)

(9) <u>that he was responsible for the forgeries.</u> (Noun Clause: Direct Object)

(10) <u>who needs constant attention in the class</u> (Relative Clause: Restrictive)

Activity 4.11

1) <u>The claim</u> (that the Great Wall of China can be seen from the moon) is <u>not in fact true</u>.
   MC-　　NC　-MC　= Complex

2) <u>It's hard for very well-known sites to be selected</u> (because there's skepticism as to (whether they really need help)).
   MC　AC　NC　= Complex (Accept 'as to' included in NC) (OR bracket the SC and the NC separately) (The reduced NC 'for...selected' could be included)

3) <u>The upcoming 2008 Olympics have made cultural preservation a particularly hot issue in</u>
   <u>Beijing</u> and <u>China desperately wants to put on its best face for the occasion</u>.
   　MC & MC　= Compound

4) <u>Some sources state</u> (that the Great Wall was built 2000 years ago) but (although sections of the wall existed then), <u>the pieces weren't organised into a unified system until the Ming Dynasty</u>.
   MC　NC & AC　MC　= Compound-Complex

5) <u>Nearly two decades ago Deng Xiaoping launched a national campaign</u> (that was aimed at rebuilding the Great Wall) but <u>by that point two-thirds of the vast national symbol had been reduced to rubble by centuries of war, weather and farmers mining its bricks</u>.
   　MC　RC　& MC　= Compound-Complex (the reduced RC 'mining its bricks' could be added)

Chapter 5: Semantics and Pragmatics

Activity 5.1

(a) Higher Diploma (HD): – Degree, – Research/Thesis

The referent of the phrase *Higher Diploma* has the semantic features of not being a degree programme [– Degree], and is not research based [– Research/Thesis].

(b) Bachelor of Arts (BA): + Degree, – Research/Thesis

The referent of the phrase *Bachelor of Arts* has the semantic features of being a degree programme [+ Degree], and is not research based [– Research/Thesis].

(c) Doctor of Philosophy (PhD): + Degree, + Research/Thesis

The referent of the phrase *Doctor of Philosophy* has the semantic features of being a degree programme [+ Degree], and it is research based [+ Research/Thesis].

Activity 5.2

(a) FOOTBALL

Football: +SPORT, +TEAM (2%)

The referent of the word *football* has the semantic features of being a sport [+SPORT], and being a team activity [+TEAM].

(b) SNOOKER

Snooker: +SPORT, -TEAM (2%)

The referent of the word *snooker* has the semantic features of being a sport [+SPORT], and being a non-team activity [-TEAM].

(c) READING

Reading: -SPORT, -TEAM (2%)

The referent of the work *reading* has the semantic features of being a non-sport [-SPORT], and being a non-team activity [-TEAM].

Activity 5.3

new	-	old	(gradable opposite)
unprepared	-	prepared	(non-gradable opposite)
big	-	small	(gradable opposite)
no	-	yes	(non-gradable opposite)
in	-	out	(non-gradable opposite)
within	-	beyond	(non-gradable opposite)

Activity 5.4

Super-ordinate	Hyponym
Seafood	squid, shrimp, tuna fish
Crops	avocado, onion, corn, rice, bean, mushroom
Flesh	chicken, bull, sheep
Infrastructure	street, fountain, market

Activity 5.5

In (a), the first instance of *chair* refers to the post of professor and the second means a position to be in charge of a committee. Chair is a case of polysemy because the two meanings are closely related, and they have the same entry in the dictionary.

In (b) the first instance of *row* refers to the activity of rowing in boat and the second means a serious disagreement between people or organization. *Row* is a case of homonymy because the two meanings are unrelated, and as a result, they have separated entry in the dictionary.

Activity 5.6

(1) synonym
(2) antonym: Non-gradable
(3) antonym: converse

(4) hyponym

(5) homonym

(6) polysemy

(7) metonymy (representative-symbol)

(8) homophone

(9) antonym: gradable

(10) antonym: reversive

Activity 5.7

(1) Assertive / representative

(2) Directive

(3) Commissive

(4) Expressive

(5) Commissive

Activity 5.8

(1) Assertive (representative)

   The speaker 'he' stated his commitment to the truthfulness of the statement that there were few people traveling that time of year.

(2) Assertive (representative)

   The speaker M Poirot stated his commitment to the truthfulness of the statement through his agreement.

(3) Expressive:

   The speaker expresses her psychological state through the utterance, i.e. wishing that M. Poirot would not be snowed up in the Taurus.

(4) Directive

   The speaker attempts to elicit information from the hearer, in this case, to confirm whether the mentioned situation might happen.

(5) Expressive:

The speaker expresses his psychological state through the utterance, i.e. thinking that the weather report was very bad.

Activity 5.9

When the first speaker (A) asked the hearer his/her annual income, the speaker expected the hearer (B) to give a verbal answer. However, instead of given a definite amount, B pretended not to catch the question at first and then give a vague answer when s/he is being pressed. Such an answer obviously flouts the maxim of Manner because the contribution that B made is not expected to be obscured or ambiguous. When B blatantly fails to observe a maxim, it is taken to be that the speaker B wants to give a hint to A to look for an implicature that is not expressed explicitly at the utterance level, i.e. B does not want to answer the question.

Activity 5.10

According to Brown and Levinson (1987), when the speaker intends to carry out an act that s/he believes to be potentially threatening to the hearer's face, the speaker takes certain factors into his/her calculation which measure the amount of risk involved in performing this act. These factors are:

- Distance (D) i.e. the estimation of the closeness of the relationship between the speaker and the hearer.
- The parameter of power (P) i.e. the power that the speaker has relative to the hearer.
- The rating of imposition (R) i.e. the size of the imposition as conceived by the hearer.

The calculation of the combined values of the above determines the overall size and weight of the face-threatening act, and this in turn influences our choice of politeness strategy.

(1) Shut up!

Low degree of politeness because the speaker deprives the hearer of freedom of action without using any politeness strategy, i.e. bald on record.

D: close; and/or

P: speaker has the relative power much higher than the hearer;

R: medium as the directive cannot be considered as a very difficult one.

(2) Please can you be quiet?

Medium degree of politeness as the speaker puts the FTA in question form, addressing the ability of the hearer to close the window, together with the politeness marker 'please'.

D: distance; and/or

P: speaker has similar relative power with than the hearer;

R: medium as the directive cannot be considered as a very difficult one.

(3) Excuse me, but could you possibly stop chatting?

High degree of politeness as the speaker choose to avoid interfering with the hearer's freedom of action by long hedging and put the FTA in question form, addressing the ability of the hearer to refrain from smoking, together with a tag.

D: distance; and/or

P: speaker has the relative power lower than the hearer;

R: medium as the directive cannot be considered as a very difficult one

Chapter 8: Construing Experience

Activity 8.1

(1) behaviour (material: action: vi)
(2) material: action: transitive
(3) material: action : transitive
(4) behaviour
(5) attributive relational
(6) behaviour
(7) attributive relational
(8) material: event: intransitive

(9) mental: cognition

(10) behaviour

(11) behaviour (material: action: Vt)

(12) behaviour (material: action: Vt)

(13) behaviour

(14) verbal

(15) attributive relational

(16) behaviour

Activity 8.2

(1) possessive

(2) circumstantial

(3) behavioural

(4) behavioural

(5) material - action

(6) material - action

(7) material - event

(8) material - event

(9) relational - identifying

(10) mental - affection

(11) mental - cognition

(12) mental - cognition

(13) mental - cognition

(14) relational - identifying

(15) verbal

(16) verbal

(17) possessive

(18) material – action

(19) mental – affection

(20) verbal / behavioural

Chapter 9: Enacting Relationship

Activity 9.1

(1) statement

(2) statement

(3) command

(4) question

(5) statement

(6) statement

(7) statement

(8) statement

(9) statement

(10) statement

Activity 9.2

[1] That not being destroyed so carefully can only mean one thing. There (1) <u>must</u> (probability) be on the train someone so intimately connected with the Armstrong family that the finding of that note (2) <u>would</u> (probability) immediately direct suspicion upon that person.

[2] To begin with, you (3) <u>must</u> (obligation/probability) realize that the threatening letters were in the nature of a blind. They (4) <u>might</u> (probability) have been lifted bodily out of an indifferently written American crime novel. They are not real. They are, in fact, simply intended for the police.

[3] 'Exactly, and she (5) <u>always</u> (usuality) speak broken English, and she has a very foreign appearance which she exaggerates. But it (6) <u>should</u> (probability) not be difficult to guess who she is. Now what (7) <u>would</u> (probability) we do to her? Or what (8) <u>should</u> (obligation) we do to her?

[4] Princess Dragomiroff loved Linda Arden as great ladies do love great artists. She was godmother to one of her daughters. (9) Would (Probability) she forget so quickly the married name of the other daughter? It is not likely. No, I think we (10) can (inclination / capability) safely say that Princess dragomiroff was lying.

Activity 9.3

Line Number	Modality	Modality Type
1	may	probability
1	usually	usuality
2	would like	inclination
2	probable	probability
4	always	usuality
5	may be	probability
6	possibly	probability
6	may be	probability
7	can be	probability

Chapter 10: Enabling Discourse

Activity 10.1

Predictably, the jeeps carrying the wood up to Korphe were halted by another landslide that (textual /structural conjunction) cut the track, eighteen miles shy of their destination. (2) "The next morning, while (textual / structural conjunction) Parvi and I were discussion what to do, we saw this great big dust cloud coming down the valley," Mortenson (unmarked topical) says. (3) "Haji Ali somehow heard about our problem, / and (textual / structural conjunction) the men of Korphe had walked all night. (4) They arrived clapping and singing and in incredible spirits for people / who (textual/ structural conjunction) hadn't slep. (5) And then (textual / conjunctive) the most amazing thing of all

happened. (6) Sher Takhi had come with them / <u>and</u> *(textual / structural conjunction)* he *(unmarked topical)* insisted on carrying the first load.

Activity 10.2

(1) topical Theme
(2) topical Theme
(3) topical Theme
(4) topical Theme
(5) topical Theme
(6) topical Theme
(7) marked topical Theme
(8) topical Theme
(9) marked topical Theme

Activity 10.3

[1] <u>Liberal imperialists</u> (Topical) have resisted explicitly racist arguments for domination, instead justifying empire as a humane venture delivering progress. [2] <u>Even so</u> (Textual/(structural) conjunction), <u>implicit in such a stance</u> (Topical/marked) was the belief that other peoples were inferior. [3] <u>Just as</u> (Textual/structural conjunction) <u>John Stuart Mill</u> (Topical) contended that despotism was a 'legitimate mode of government in dealing with the barbarians' provided 'the end be their improvement', <u>so</u> (Textual/(structural) conjunction) <u>the Fabians</u> (Topical) contended that self-government for 'native races' was 'as useless to them as a dynamo to a Caribbean'. [4] <u>Intellectuals of the second International</u> (or Topical) <u>such as Eduard Bernstein</u> (Topical) regarded the colonised as incapable of self-government. [5] <u>For many liberals and socialists of this era</u> (Topical/marked), the only disagreement was over whether the natives could attain the disciplined state necessarily to run their own affairs. [6] <u>Indigenous resistance</u> (Topical), moreover, was interpreted as "native fanaticism", to be overcome with European tuition.

Chapter 11: Textual Continuity

Activity 11.1

Anaphoric references

- The subject/object pronouns *He/him* refers to the driver; *I/me* refers to the author; *We* refers to the driver and the author;
- The possessive adjective *his* refers to the driver;
- The pro-form *both of them* refers to the noun phrase *two people working on this magazine*;
- The relative pronoun *which* refers to the scrap of paper.

Cataphoric reference

- The pronoun *It* requires the readers to look ahead to the (*that*-)clause *he fell into conversation with m*e to find out what *it* refers to;

Exophoric/situation reference

- The noun phrase *the Chinese newspapers* requires the readers to look outside or beyond the text to recover the meaning. The writer assumes that this information is already known to the reader, who is part of the society.
- The determiner *this* in the noun phrase *this magazine* requires readers to look beyond the text to recover the meaning. The writer assumes that this information is already known to the reader of *Post Magazine*.

Activity 11.2

Ellipses are found in the following turns in the dialogue:

A: Paul and Mary are having a happy event next month.

B: Congratulations to them. That's their third, isn't it?

A: <u>No,</u> (it is not their second) (clausal ellipsis). It'll only be the second.

B: But I thought they already had one boy and one girl.

A: Yes, they <u>do</u> (had one boy and one girl) (verbal substitution) but what's that got to do with it?

B: Mary isn't pregnant again then.

A: <u>No, of course not</u>. (Mary isn't pregnant again then)(clausal ellipsis) They're having a party to celebrate Paul's promotion.

Activity 11.3

Only two additive conjunction "and" are found in the text: "a series of consultations **and** will serve as a blueprint…" (para. 3) and "IT training; **and** improving external relations…" (para. 3)

Activity 11.4

Repetition (e.g., etymologists, dictionaries, word, language, meanings, note): frequent

- Synonymy, near synonym (e.g., changes <-> evolve, research <-> look at): occasionally

- hyponomy (e.g., books <-> dictionaries, language <-> German, English): sometimes

- metonymy (e.g., language<-> word<->meanings): often

- No General word

- Collocation (abundance especially in the cluster of language: etymologists, dictionaries, meaning German, English, omomatopoeic etc, other clusters such as academic: research, students)

Chapter 12: Language in Context
Activity 12.1

Social activity

A narrating article concerning some past experience, probably the text being a section in a novel related to the author's grand aunt.

Topic

Mainly about the foot-binding experience of the writer's grand aunt with some supplementary background information of the social and historical background of Shanghai in the late 19th century.

Social activity and topic is realized through **the lexical terms** relating to foot-binding practice "bandages" "feet", the recurring subject of "grand aunt", the repeated **circumstances of time** and place "in 1842" ...

The degree of specialization:

The text is mainly in everyday language, only a few historical terms related to Chinese contemporary history such as "First Opium War" "treaty ports". However these terms exist in a level that does not impede the understanding of the overall content. It can be inferred that the text is for general readers with some cultural knowledge of China.

Angle of representation

Grand aunt is posited as the main actor in the first part of the text. She is also the dominate subject of all the three sentence in the first part.

In the second section, the historical and social background, there is a change of angle of representation, from a personal perspective to a historical perspective, with Shanghai as the main agent. But unlike the subject of the first section, in this section, the major participant, Shanghai is portrayed as a static entity with the related processes mainly of relational types, endowing characteristics to the subject rather than representing actions.

Activity 12.2

Social roles:

The writer acts as a story teller, giving details of her grand aunt's past experience. And thus the text is dominated with statements. The reader is the general public.

Status / relative power

The text is dominated by statements, indicating that the role of the writer as information giver. But there exists no explicit inequality in power between the writer and the reader. The writer does not impose instructions, teachings nor commands on the readers. The tone is neutral and factual with the lack of obligation and epistemic modality.

Social Distance

There is moderate social distance between the writer and the readers. The facts that the writer does not know the large audience of readers and that the text is one-way communication enlarge the social distance between the two; however, by relating personal events to readers, a more intimate relationship is established.

Writer Persona

Two different kinds of writer persona are displayed in the text. The first part, the first paragraph is of more personal perspective. Although the events of great aunt are presented in a third-person angle, because the narrator is of close relationship with the protagonist, it is not difficult to see the tone is not completely neutral. And although the writer does not explicitly pass any personal evaluation on her grand aunt, the word choices however, disclose a sense of acclamation. For example positive lexis such as "proclaimed independence", "resolutely", "triumphed", "rescued", "set free" projects a heroic young girl daring to challenge authority and ingrained tradition.

Compared with the first part, the second part might seem more impersonal as it is an introduction to the setting -- Shanghai the city in the late nineteenth century. However, just like the first section, the tone is not completely neutral when the author depicts a picture of Shanghai, although the author's personal evaluation is not an overt one. With all the factual information about Shanghai, such as the location, the strategic position of Shanghai in China then, and the western architecture there, the author still manages to create a positive image of Shanghai, impressing readers with the prosperity of Shanghai. This is done by the more direct evaluative statement of the first sentence in the second paragraph, "Shanghai … was unlike any other city in China." And though no more direct

evaluative statements are given in the rest of the text, the image of Shanghai as a metropolis is further enhanced through the positive lexis such as 'burgeoned', 'giant', 'linked', 'Pacific Ocean … only fifty miles away', 'stately', 'grandeur', and 'splendor'.

Activity 12.3

Interactivity:

The text is a one-way communication without the involvement of readers. It is non-interactive.

Spontaneity:

It is well-planned, revised piece of work, displaying no nonfluency features and is thus of low spontaneity.

Communicative Distance:

Language is not accompanying actions. There exists distant communicative distance in terms of both space and time as language is used for reflection in the text.

The Role of Language:

Language plays a constitute role. There are no other semiotic resources such as graphs or illustration for communication.

Activity 12.4

Field:

The social activity:

A discussion of a social phenomenon.

The topic being discussed:

The remarriage of the widows of Iraqi soldiers. The topic is evident because the major participants are "women" "wives" all referring to the widows of Iraqi soldiers. Furthermore, "marry" is the most frequently used process.

Perspective:

The degree of specialization is low. Or only everyday language is used.

The angle of representation:

In the beginning of the discussion, the widows are presented as actors – "what they will do" "They will remarry." However, as the conversion progresses, the widows are presented as passive entities. They become the ones that are manipulated and controlled by others. Instead of being the actors, they become the goal, "are they allow to marry," "someone can marry her again."

Tenor

Institutional Roles:

The participants may be associates.

Status and Relative Power

The participants seem to enjoy comparatively equal status as no command is being directed to any particular participants. However, A has higher relative power in terms of expertise. A is the main information provider (his conversation is dominantly statements with only one rhetorical question). He is also the initiator of the conversation who introduces the topic into the discussion.

Social Distance

The social distance between the participants is relatively close as the language is not a very formal one. Colloquial expression such as 'you know in that sort of' is used and there is an interruption between speaker A and B, which, suggests a rather relaxed relationship.

Persona

A is an information provider who provides factual information in an impersonal way. This is realized by the dominant statements in his speech and the third person pronouns. B is an information seeker. All his speech is questions. C is also an information seeker with most of his speech presented in questions. However, compared with B, C is more opinionative. The repetition of the questions 'Are they allow to marry' displays a sense of suspicion toward the information. Furthermore, by using 'that sort of country', C connotes a negative

judgment towards Iraq. D is the one who clarifies the information. In both cases, his statements are to repeat and confirm A's messages.

Mode

The channel is phonic and the medium is spoken.

Interactivity:

It is a highly interactive discourse. There are interruptions, questions, and turn taking. Corrections such as "B: that you mean the women?" "D: that means the widows."

Spontaneity

It is a spontaneous text featuring fillers "..err..err…err", incomplete sentences / ellipsis 'After three months?', mistakes, 'they can be married for three months', nonstandard grammar "so what happen after three months?"

Communicative Distance:

The communicative distance between the participants is short as they have aural contact. And the communication allows immediate feedback. There is some distance between the social process and the language as the language is to carry out actions; however, the issue being discussed is a current one.

Role of Language

Language is used to explain a social phenomenon. Language plays a constitutive role. There are other semiotic resources such as tone, intonation, facial expression, body language.

Activity 12.5

Structural elements	Text
Orientation	When I went to work as a veterinarian's assistant for Dr. Sam Holt and Dr. Jack Gunn last summer, I was under the false impression that the hardest part of veterinary surgery would be the actual performance of an operation. What might transpire before or after this feat didn't occur to me as being of any importance. As it

	happened, I had been in the veterinary clinic only a total of four hours before I met a little animal who convinced me that the operation itself was probably the easiest part of treatment. This animal, to whom I owe thanks for so enlightening me, was a chocolate-colored Chihuahua of tiny size and immense perversity named Smokey.
Complication	Now Smokey could have very easily passed for some creature from another planet. It wasn't so much his gaunt little frame and overly large head, or his bony paws with nearly saber like claws, as sit was his grossly infected eyes. Those once-shinning eyes were now distorted and swollen into grotesque balls of septic, sightless flesh. The only vague similarity they had to what we'd normally think of as the organs of vision was a slightly upraised dot, all that was left of the pupil, in the center of a pink and purply marble. As if that were not enough, Smokey had a temper to match his ugly sight. He also had surprisingly good aim, considering his large diminished vision, toward any moving object that happened to place itself unwisely before his ever-inquisitive nose, and with sudden and wholly vicious intent he would snap and snarl at whatever blocked the little light that could filter through his swollen and ruptured blood vessels. Truly, in many respects, Smokey was a fearful dog to behold. Such an appearance and personality did nothing to encourage my already flagging confidence in my capabilities as a vet's assistant. How was I supposed to get that little demon out of his cage?
Resolution	Jack had casually requested that I bring Smokey to the surgery room, but did he really expect me to put my hands into the mouth of the cage of that devil dog? I suppose it must have been my

	anxious expression that saved me, for as I turned uncertainly toward the kennel, Jack chuckled nonchalantly and accompanied me to demonstrate how professionals in his line of business dealt with professionals in Smokey's. He took a small rope about four feet long with a slipnoose at one end and began to unlatch Smokey's cage. Then cautiously he reached in and dangled the noose before the dog's snarling jaws….
Complication	Once in the surgery, however, the question that hung before our eyes like a vertical presence was how to get the dog from the floor to table. Simply picking him up and plopping him down was out of the question. One glance at the quivering little figure emitting ominous and throaty warnings was enough to assure us of that. Realizing that the game was over, Jack grimly handed me the rope and reached for a muzzle. It was a doomed attempt from the start; the closer Jack dangled the tiny leather cup to the dog's nose the more violent did Smokey's contortions and rage-filled cries become and the more frantic our efforts became to try to keep our feet and fingers clear of the angry jaws. Deciding that a firmer method had to be used, Jack instructed me to raise the rope up high enough so that Smokey'd have to stand on his hind legs. This greatly reduced his maneuverability but served to increase his tenacity, for at this the little dog nearly went into paroxysms of frustration and rage.
Resolution	In his struggles, however, Smokey caught his forepaw on his swollen eye, and the blood that had been building up pressure behind the fragile cornea burst out and dripped to the floor. In the midst of our surprised and the twinge of panic startling the three of us, Jack saw his chance and swiftly muzzled the animal and lifted him to the operating table.
Complication	Even at that point, it wasn't easy to put the now terrified dog to

	sleep.
Resolution	He fought even the local anesthesia and caused Jack to curse as he was forced to give Smokey far more of the drug than should have been necessary for such a small beast
Coda	After what seemed an eternity, Smokey lay prone on the table, breathing deeply and emitting soft snores and gentle whines. We also breathed deeply in relief, and I relaxed to watch fascinated, while Jack performed a very delicate operation quite smoothly and without mishap. Such was my harrowing introduction into the life of a veterinary surgeon. But Smokey did teach me a valuable lesson that has proven its importance to me many times since, and that is that wherever animals are concerned, even the smallest detail should never be taken for granted.

Activity 12.6

Structural elements	Text
Issue	What will our future look like? No one knows for certain, but most people are sure that robots will exist in our future. Will they be friendly, like C3-PO in the Star Wars films, or will they be the frightening machines which will destroy humans in films like the Terminator series?
Arguments for	In fact, rarely have robots created problems for humans. The word 'robot' is one that actually comes from Europe and originally meant 'slave labor'. In other words, robots are meant to be our slaves, working for us and helping us all the time. Already, there are robots in laboratories all over the world which are capable of helping humans. For example, there are already 'Robodocs' in

some hospitals which help carry out operations on humans. Not only are the robot doctors extremely accurate, but they are also fast, and unlike human doctors, they don't have hands that shake when they are nervous!

Robots are also especially useful for working in environments which humans would find difficult or impossible to survive in – for example, in environments where there is high radiation, freezing temperature, fire, or great pressure, such as at the bottom of the ocean. Soon, robots will be created that will know how to swim, and other robots will walk like lobsters on the ocean floor. Before long, we may not see any construction workers in Hong Kong. Robots will eventually take over their role and do our building for us.

Even science fiction writers are becoming amazed at just how quickly robots are developing. Do you remember the character of 'Robocop'? Well, a warehouse security guard called Veronica has already been created. It doesn't look very human – it has a met6al skeleton, and there is no flesh on its body. Instead of eyes, it has two TV cameras. It also has lasers and a radar. If any criminals are nearby, Veronica will 'see' them and record their appearance on the TV cameras. At the same time, 'she' will contact the police.

Veronica will only do what she is programmed to do, but in Britain, a set of robots known as 'the seven dwarfs' has been developed. These robots are very different from most robots which exist today. Although they move around on three wheels, they have the ability to learn through trial and error, unlike computers and other robots

	which can only be programmed to behave in a certain way. As a result, they display many types of behavior normally only seen in animals or humans such as following a leader or grouping together in times of confusion. In a few years, robots may appear which learn just as easily as humans do and can think and act for themselves.
Arguments against	However, once robots have been developed which can think for themselves, the problems may begin. One scientist warns that if robots continue to be developed at such a quick pace, and the robots start to think for themselves, they will no longer want to be our servants. Because they will be as intelligent as we are, and they will be able to do things which humans could not, such as survive radiation and work with great accuracy and speed, they may decide that they are much better than we are and want to become our masters. The scientist warns that if we are lucky, they might treat us the way we treat domestic animals now, such as dogs or cats. If we are not lucky, who knows? Perhaps a terrifying future similar to the one shown in the Terminator films may become a reality after all.

In this text, what is missing is the section on conclusion.

Glossary of terms

acoustic phonetics	The study of the physical properties of the sound.
acronym	A word formed by taking the first letters of (some or all) the words in a title or a phrase to form a new word.
actor	A participant who/which does something.
additive conjunction	It signals the presentation of additional information.
adversative conjunction	A cohesive device which signals that the content in a clause is contrary to the expectation derived from the content of what is being said, from the communication process, (and) from the speaker-hearer situation.
affixation	The process to create new words by altering or extending the meaning of the words and/or changing their word class.
agreement	The relationship of agreement refers to two or more statements agreeing with each others being put together to form a compound sentence.
allomorphs	The same morphemes that have different phonological realization.
alternation	The relationship of alternation refers to the choice among two or more statements being put together to form a compound sentence.
antonym	A word presenting an opposite meaning.
appositional compound	A compound in which the referents of them embody the meanings of both components but one of them is the focal element.
arbitrariness	No intrinsic connection between the word and the referent.
article	A word which indicates whether a noun is 'definite' (i.e., has deictic/anaphoric aspect) or 'indefinite' (i.e., has a general aspect).
articulatory phonetics	The study of the way listeners perceive the sounds is called auditory phonetics.
attribute	The quality which is assigned to the Carrier.
attributive process	The process in which the speaker assigns a quality (the Attribute) to a participant (the Carrier).
auditory phonetics	The study of the way listeners perceive the sounds.
auxiliary verb	A verb which carries no referential (or content) meaning but grammatical function and has to accompany a principal (main) verb.
base	A word to which we add another morpheme.
backformation	A process of word formation where a real or supposed affix is removed from a word to form a new word.
behaver	An animate whose behaviour is described in the clause.

behavioral process	It construes (human) behavior, including mental and verbal behaviors, as an active version of verbal and mental processes.
blending	A process of word formation in which we join non-morphemic parts of two words together to form a new word.
borrowing	A process of using words in one language in another.
bound morpheme	Morpheme that needs to be attached to another free morpheme or morphemes.
bound roots	Root words that must be attached to an affix to exist.
carrier	The participant upon which a quality is assigned.
circumstance	When, where, why and how the event is taking place.
circumstantial demonstrative	The location of a process in space or time.
circumstantial process	It expresses the circumstance in which a participant (the Carrier) is in.
clause	A group of words which has a subject and a predicate of its own.
clausal ellipsis	It involves the omission of parts of the clause.
clausal substitution	It involves the replacement of one or more clauses with short forms.
causal conjunction	It expresses a causal relation between adjacent clauses.
clipping	A process of word formation in which a polysyllabic word is shortened.
closed word classes	A fixed inventory of words whose major function is grammatical – joining, modifying, or relating major class words.
cohesion	A standard feature of textuality which holds the clauses together by creating sequences of meanings and projects a sense of unity.
coinage	A process in which a totally new word is invented.
collocation	The relationship that certain lexical items are frequently found in each others company.
commissives	Speech acts that commit the speaker to performing something in the future, including promises, threats, and refusals.
complex sentence	A sentence that contains one independent clause and one or more dependent clauses.
complex word	A word that is made up of a free morpheme and one or more bound morphemes.
compound sentence	A sentence that contains two or more coordinate clauses.
compound word	A word that is made up of two or more free morphemes (with or without some bound morphemes).
compound-complex sentence	A compound-complex sentence is a combination of compound and complex sentences.
conjunction	A word which joins two structures of the same kind; a cohesive device, which signals the relation between the contents and ideas between adjacent clauses in the same text.
consonants	Speech sounds where the air stream from the lung is completely or partially blocked.
context of situation	The things going on in the world in which the text is created.

contrast	The relationship of contrast occurs when two or more statements disagree with each others being put together to form a compound sentence.
conversion	A process in which an existing word, which belongs to one word class, is used as a word from a different word class.
coordinating conjunction	A conjunction that expresses several basic logical connections of structures of the same kind: copulative, disjunctive and adversative.
contradiction	A semantic situation when two or more sentences in a language can contradict each other.
copulative compound	A compound which shows a coordinating relationship and they are often difficult to decide which of the components is the focal element.
critical discourse analysis	The study of language use in relation to the relative power and status of the participants in the discourse.
cultural transmission	A language is culturally transmitted; it is passed on from one generation to the next by teaching and learning.
declarative sentence	A sentence that asserts and declares something.
declaritives	Speech acts that by uttering bring about a change in the existing situation.
demonstrative reference	A form of verbal pointing, with the speaker identifying the referent by locating it on the scale of proximity.
descriptive grammar	Grammar that is concerned with observation and neutral description of how language is actually used.
derivational morphology	The study of morphemes, which derives new words (lexemes), either by changing the meaning, or the category, or both.
derivational morpheme	A morpheme that influences the meaning or the word class of the base.
determiner	A word placed before a noun to specify its range of reference.
dialect	Variation in a language based on their geographical location.
disyllabic word	A word with two syllables.
diphthong	A vowel that could be described as a movement from one vowel position to another.
directive	The use of language to make the hearer to take some action.
directives	Speech acts that direct hearers to do something that the speaker wants.
discourse analysis	The study of language use beyond the boundary of clause and sentence.
discourse semantics	A subdiscipline of semantics that examines how meanings are constructed through a text.
discreteness	The sounds used in a language are close but discrete so that the distinctiveness of sounds leads to a distinction in meaning.
displacement	A language does not confine its user to here and now. It can talk about the past and future, and even impossible thing.

duality of patterning	Sounds in a language can be combined in different ways to form meaningful words.
endocentric compounds	A compound in which one component is the centre and the other is the modifier.
entailment	A semantic situation in which the truth of one sentence implies a number of related truths.
ethnolect	A language variation based on ethnicity.
etymology	The linguistic study of how a word enters a language and how it changes meanings and use after it has been introduced.
exclamatory sentence	A sentence expressing strong or sudden feelings.
existent	The participant who is introduced into the scene.
existential process	The process in which the speaker introduces a participant (the Existent) into the scene.
exocentric compound	A compound in which there is no focal component and therefore the whole compound refers to something else rather than either one of the components denotes.
Expanding Circle Englishes	The Englishes being used in countries as a foreign language (e.g., Brazil, China, Japan, Spain, etc.).
expressive	The use of language to express our emotions and attitudes to a situation.
expressives	Speech acts that express a speaker's feelings, attitudes, and emotional reactions about something.
evocative	The use of language to produce a reaction from the hearer such as jokes and advertisements.
felicity conditions	A set of conditions that need to be fulfilled for a speech act to succeed.
field	A dimension of social factors which is concerned with the nature of social action.
free morpheme	A morpheme that can exist independently.
functional morpheme	A morpheme that consists largely of the functional words in the language.
gender-exclusive language	A language that discriminates based on the basis of gender.
general comparison	It is concerned with likeness and unlikeness between things, without respect to any particular property.
general word	A word on the borderline between lexical items and substitutes.
genre	A staged social process with particular social roles and functions in society that are goal-oriented, institutionalized forms of discourse.
given	The information that is (presented as) known or information which is obvious in the given situation.
goal	A participant upon which the process has created an impact.
grammatics	The theory of grammar
heuristic	The use of language to find out about things and the environment
historical linguistics	The branch of linguistics that studies how language changes over

	time.
hypotaxis	The modifying relation between a dominant clause and a dependent one.
ideational metafunction	It concerns with how we construe the events that we experience and how we interpret the logical relationship between these events.
identified	The participant who is identified as another participant – the 'Identifier'.
identifying process	A process in which the speaker identified a participant (the Identified/Token) as another participant (the Identifier/Value).
imaginative	The use of language to tell stories and jokes
imperative sentence	A sentence which is used to express commands, requests, desires, etc.
inclination	An option of modulation in which the speaker expresses how inclined is s/he to act.
infix	A morpheme that can be inserted in the middle of another word.
inflectional morphology	The study of morphemes only give extra grammatical information about the already existing meaning of a word, it particularizes a simple idea.
inflectional morpheme	A morpheme that does not change the meaning of the base and do not change the word class.
informative	The use of language to provide factual information or tell us what the speaker believes.
Inner Circle Englishes	The Englishes being used as a mother tongue by a large proportion of the population in 'Inner Circles' countries, e.g., Australia, Canada, New Zealand, the United Kingdom and the United States of America.
instance	A particular text written in a language, i.e. what text means in a given instance.
instantiation	The relationship between language and text; a text in a particular context of situation instantiates (or actualizes) the linguistic system in its context of culture.
instrumental	The use of language to express needs.
interactional	The use of language to make contacts with others and form relationships
interpersonal metafucntion	It concerns how we use English to interact with other people.
interpersonal themes	It indicates interpersonal notions, including vocative, modal adjunct, interrogative, polarity and exclamatory.
interrogative	The use of language to address to the hearer and ask for an expression of belief, opinion, judgment, feeling, and attitude.
interrogative Sentence	A sentence used to ask question.
intonation	The variation of pitch to create specific semantic effects in connected speech.

intransitive verb	A verb expressing a state, process, or action that is completed in itself, and does not permit a noun to follow it.
language	A system of arbitrary vocal symbols used for human communication.
lexical cohesion	The cohesion effect achieved by the selection of vocabulary.
lexical morpheme	Morpheme that carries the 'content' of messages we convey.
lexical semantics	A sub-discipline of semantics that examines the meaning of individual lexical items.
linking verb	A verb that has the logical relation of inclusion by or sameness.
logical metafunction	It concerns how we interpret the logical relationship between events of our experience.
logico-semantic type	Logical relationship in terms of meaning between clauses.
material process	It expresses our experiences in the world of material reality.
mental process	It expresses our conceptions in the world of consciousness.
metafunction	Intrinsic basic mode of meaning in human language
metonymy	The relationship between the whole and the parts of an object.
modality	It is the language resources speakers of a language use to indicate their modal assessment of the proposition or proposal expressed in the clause.
modalization	The speakers' assessment on how probable or how usual it is for something to happen in their belief.
mode	A dimension of social factors which refers to the role of language to realize meanings.
modulation	The speakers' signal on how inclined they are to do something or to what degree they believe it is their responsibility to do something.
monophthong	Pure vowel.
monosyllabic word	A word with only one syllable.
mood	It contains the Mood elements, which differentiates the mood types.
mora-timing	The stress pattern in which syllable duration depends on vowel length.
morpheme	The smallest meaningful element of a language, the smallest unit, which is grammatically relevant, and the smallest part into which a word can be divided.
morphology	The study of the internal structure of words and rules by which words are formed.
negative face	The want of every 'competent adult member' that his [*sic*.] actions be unimpeded by others.
new	The information which is (presented as) unknown or the information which is not obvious in the given situation.
nominal ellipsis	It occurs when some essential structural element in the noun phrase is omitted in a sentence or clause.
nominal substitution	It involves the replacement of one lexical nominal item with

	another.
obligation	An option of modulation in which the speaker expresses how certain s/he believed to be the obligation of the subject to act.
Outer Circle Englishes	The Englishes that were formed as a result of colonization (as in Bangladesh, Hong Kong, India, Kenya, Pakistan, and Singapore).
paraphrase	A semantic situation when we have two or more sentences that have similar meaning.
parataxis	The developing relation between an initiating clause and a continuing one, in which neither of them is grammatically dependent on the other.
participant	Who/what is taking part in n event.
particular comparison	It deals with comparability between things in respect of their Quantity and quality.
performative	The use of language to do thing.
personal	The use of language to express feelings, opinions, and individual identity
personal reference	Something by specifying its function or role in the speech situation.
phatic	The use of language to for establishing or maintaining rapport between people.
phenomenon	The thing that is sensed by the Senser.
phonetics	The study of the sounds that are employed across all human languages.
phonology	The study of sound system in particular languages or cross-linguistically.
phoneme	A distinctive sound that can distinguish words in a language.
polarity	'positive' or 'negative' (i.e. 'is' or 'is not') of a proposition, and 'yes' or 'no' (i.e. 'do' or 'do not') of a proposal expressed in a clause.
polysyllabic word	A word with more than three syllables.
positive face	The want of every member that his [*sic.*] wants be desirable to at least some others.
possessive process	It expresses a participant (the Possessor) who owns something (the Possession).
possessor	The participant who owns something.
potential	A particular language as a source of meaning creation, i.e. what users of such language can mean.
pragmatics	The study of language use in particular social context.
prefix	A morpheme that is attached to the front of a free morpheme.
prescriptive grammar	Grammar that establishes a set of grammatical rules that govern how the language should be used.
preposition	A word that is placed before a noun or pronoun to connect the noun/ pronoun with another major class word.
prepositional verb	A verb that is made up of a verb + preposition.
probability	An option of modalization in which the speaker expresses how likely the proposition expressed in the statement is true.
process	What is going on in an event.

productivity	Language users can understand and produce sentences that are totally new to him.
pronoun	A word that stands in place of a noun.
proper adjective	An adjective which formed from proper noun.
proper noun	A noun that refers to the name of individual entities — places, persons, months, seasons, religions, customs, and festivals.
range	It specifies the scope of the happening expressed in the process, instead of being impacted by it.
reference	The relation that holds between expressions of a language and observable entities (objects or properties of objects) outside the language.
regulatory	The use of language to tell others what to do.
relational process	It expresses our understanding of the world of abstract relations.
representational	The use of language to convey facts and information
representational metafunction	It concerns how we use language to construe our experience in the world around us and inside us.
representatives	Speech acts that describe states and events.
residue	The rest of the clause that does not contain the Mood elements.
reiteration	It involves either directly repeating an item in a text or restating it in a different form.
rheme	The rest of the clause that does not contain the thematic elements.
root	A free morpheme which cannot be further divided into meaning carrying units.
sayer	The participant who addresses another participant – the 'Receiver' – a message.
selective nominal demonstrative	The location of entities taking part in the process, including *this*, *that*, *these* and *those*.
semantics	The study of meaning in a language.
senser	The participant who senses something.
shortening	A cover term referring to any process of word formation to create words by shortening the original shorter in various ways.
simple sentence	A sentence that comprises of only one clause.
simple word	A word that is made up of a single free morpheme.
sociolect	A variation in a language based on socio-cultural factors.
stress-timing	The stress pattern in which the average amount of time between consecutive stressed syllables is approximately the same, regardless of the number of unstressed syllables in between.
stylistics	The study of language features of written texts and offers methods for assessing the literary value of them.
subjunctive sentence	A fixed expression which uses only the base form of the verb.
suffix	A morpheme that is attached at the end of a word.
superordinate	Any item whose meaning includes that of the earlier one.
syllable-timing	The stress pattern in which every syllable takes up approximately the same amount of time.

synonym	A word that means the same thing.
syntax	The study of how we organize words in sentences and the rules which govern the formation of sentences.
taxis	The interdependency between the clauses in a complex.
temporal conjunction	It expresses the temporal relationships between two successive clauses.
tenor	A semantic unit; a dimension of social factors that refers to the relationship among participants, their roles and status.
text	Any message, spoken or written of whatever length, that does form a unified whole
textual metafunction	It concerns how we turn the ideational and interpersonal modes of meaning into message and discourse.
textual themes	It provides a linking function, usually with the preceding clause but sometimes with the following one.
theme	The departure point from which the speaker begins a message, and it is the topic upon which the speaker wants to comment.
topical theme	The element in the theme that has a transitivity role.
transitive verb	A verb which expresses an action that goes across from one noun to the other.
usuality	An option of modalization in which the speaker expresses how often would the expressed action or event occur.
verbal process	The process of 'saying', including different modes of saying such as *saying, telling, informing, stating, commanding, asking* and so on.
verbal ellipsis	It involves omission of parts of the verb phrase.
verbal substitution	It involves the replacement of one verbal item with another.
verbiage	A participant which refers to the message.
vowels	Sounds that are made by changing the shape of the oral cavity, but without obstructing air flow.

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