

The Halliday Centre Series in Applicable Linguistics
General Editor: Jonathan J Webster

DEPLOYING FUNCTIONAL GRAMMAR

功能语法教程

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商務印書館
THE COMMERCIAL PRESS

韩礼德语言研究中心适用语言学丛书

主编:卫真道 (Jonathan J Webster)

功能语法教程

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商务印书馆

2010年·北京

图书在版编目 (CIP) 数据

功能语法教程: 英文/(澳) 马丁等著. —北京: 商务印书馆,
2010

ISBN 978-7-100-06851-2

I. 功… II. 马… III. 语法学—教材—英文 IV. H04

中国版本图书馆 CIP 数据核字 (2009) 第 207520 号

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功 能 语 法 教 程

(澳) 马丁 (瑞典) 马西森 (澳) 佩因特 著

商 务 印 书 馆 出 版

(北京王府井大街 36 号 邮政编码 100710)

商 务 印 书 馆 发 行

上海印刷集团有限公司印刷

ISBN 978-7-100-06851-2

2010 年 3 月第 1 版

开本 787×1092 1/16

2010 年 3 月上海第 1 次印刷

印张 20

印数 3 000 册

定价: 45.00 元

《功能语法教程》

内容简介

《功能语法教程》旨在讲授及实践国际知名语言学家韩礼德所设计的多种语法分析方法，是一部适用于教学和应用方面的工具书。本书与韩礼德所著的《功能语法入门》(Introduction to Functional Grammar)第二版和第三版相互参照。

本书总结介绍了韩礼德关于小句复合体、分句、语义组和短句语法的主要观点，阐明了普遍被视为艰深的课题，并附有一系列分级练习，供学生演练学习语法分析技巧用。此外，本书另有一章将上述语法分析同韩礼德富有创意的话语分析、语域及文体方面的研究工作相结合。

任何对功能语言学篇章分析有兴趣的人士以及希望把韩礼德对语法的真知灼见加以实践的人士，都会发现《功能语法教程》是一本理想读物。本书可单独用作教科书讲授功能语法的课程，亦可配合韩礼德所著的《功能语法入门》(Introduction to Functional Grammar)或其他相关入门书籍使用。阅读本书无需先熟悉功能语法方面的知识，其读者对象不仅是初学者，也包括对语言学专门知识及对韩礼德的著作熟悉程度各异的其他读者。

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Preface

This workbook is the culmination of a project initiated in the early 1980s by Jim Martin and Clare Painter, who were joined in the endeavour by Christian Matthiessen in 1988. We three were all concerned to provide support materials for students and colleagues who were learning the analyses proposed in Halliday's *Introduction to Functional Grammar*. In particular we shared the experience of guiding students through familiar kinds of difficulties year after year – and wanted to prepare materials which would help learners through and around these experiences. We also wanted to provide some support for people learning the grammar on their own, or without the dialogue provided by a critical mass of systemic linguists such as we enjoy in the Sydney metropolitan region.

Since the publication of the first workbook titled *Working with Functional Grammar* in 1997, we have had the opportunity to use it with students, and to receive feedback from many colleagues around the world. It became clear to us that we needed to make a number of corrections and in some cases provide less confusing examples. We were also keen to include a chapter on group and phrase analysis, which for reasons of space was excluded from the first edition; and we also wanted to interface the grammar analyses considered here with discourse semantic systems, so that their complementary roles in text analysis could be exemplified.

When negotiations with the original publisher along these lines broke down, we secured the rights for the volume, and began exploring publication elsewhere. The Commercial Press has generously allowed us the additional scope we needed to amend the first edition with two additional chapters. We are delighted to be publishing this second edition in China, where so much interest in functional grammar has grown. Since IFG2 is still in print in China, we have accordingly cross-referenced this edition to both the second and third editions of IFG.

We are of course much indebted to the many colleagues who have discussed aspects of these materials with us, to the many tutors who have dealt first-hand with problems, and to the now thousands of students who have committed at least a hundred hours of their lives each to learning functional grammar in our undergraduate linguistics and MA applied linguistics programs at the University of Sydney, Macquarie University, the University of Technology Sydney and the University of New South Wales.

Halliday's presentation of the grammar in IFG was designed for use in text analysis, and this is the main context in which we have taught the material. Our experience of this context is that nothing is more challenging to one's understanding of grammar and the theory from which it derives than helping students apply it to texts of their choosing. So much happens that intuitions don't intuit, that argumentation doesn't argue about, that explicitness in computer generation elides! It's certainly driven us crazy over the years and has been just wonderful too. We hope this workbook will help keep you and your students somewhat sane as you explore the wonders of the language people really use.

The authors are grateful to David Caldwell, Shooshi Dreyfus, Sue Hood, Sally Humphrey and Michele Zappavigna for help with some final proofing. In addition we are indebted to Joey Wong and Housheng Qian for their tremendous support in editing.

Finally, to disengage the 'we' of this preface, Christian and Jim would like to thank Clare, who alongside her fair share of writing and editing had to take a set of more rough than ready notes, and a pair of more distracted than reliable colleagues, and re/organise them so that this project could be completed. Scaffolding this joint construction above and beyond the call of duty – as ever. Bravo Clare!

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Chapter 1

Introduction

1. What is functional grammar?

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

Functional grammar is a theory intended for deployment; it is used for a wide variety of tasks. First and foremost, it is used for describing languages in functional terms. Many of the principles of functional grammar you are studying in Halliday's *Introduction to Functional Grammar* (2nd and 3rd editions, henceforward *IFG2* and *IFG3*) were initially worked out for Chinese, which was the first language Halliday investigated in detail. Subsequently he developed these principles in his work on the grammar of English. The IFG editions are a brief synopsis of Halliday's ground-breaking research in this field, and have informed a substantial body of work on English (for references, see Matthiessen, 2007). Halliday's work has inspired work on a wide range of languages, including French, German, Danish, Spanish, Portuguese, Arabic, Akan, Ojibwa, Telugu, Bajjika, Tagalog, Indonesian, Thai, Vietnamese, Chinese, Korean, Japanese and Pitjantjatjara to name some of the better known; references to work of this kind is provided in the *Further Reading* section near the end of the IFG and exemplified in Caffarel et al. 2004 and a number of other publications, e.g. Teruya et al. (2007). There are a number of recent books on various languages comparable to IFG, including Caffarel (2006) on French, Li (2007) on Chinese, and Teruya (2007) on Japanese; and there is now a growing body of work on different languages written in these languages – e.g. many accounts of different aspects of Chinese have appeared in Chinese. Functional interpretations of languages have inspired work on other semiotic systems as well – in particular, on visual images (Bateman 2008, Kress & van Leeuwen 2006, O'Toole 1994, Royce & Bowcher 2006, Ventola & Guijarro in press).

Functional grammarians seldom stop at simply describing the grammar of a particular language. They typically go on and do something with what they have found out. The functional grammar you are studying in IFG has been used to develop literacy programs for primary, secondary and adult students (e.g. Cope & Kalantzis 1993, Feez 1998), in the analysis and teaching of academic discourse (e.g. Hood in press, Ravelli & Ellis 2004), as the basis for automatic text analysis and generation in computational contexts (e.g. Matthiessen & Bateman 1991, O'Donnell & Bateman 2005), and as the basis for critical discourse analysis (e.g. Fairclough 1992, 2003, Gee¹ 2005) including

¹ Gee includes an appendix comprising a very concise 11-page synopsis of Halliday's functional grammar.

analysis of culturally significant texts (e.g. Thibault 1991). It has been used in institutions of healthcare for purposes of diagnosis and therapy in speech pathology (Armstrong et al. 2005) and other language disorders (Fine 2006) and for the role language plays in other healthcare practices such as nursing (Kealley 2007), counselling (Butt et al. 2003, Muntigl 2004) and emergency care (Slade et al. in press). It has also been used for text analysis in forensic settings (Martin et al. in press), for interpretation of classroom discourse (Christie 2002), and in translation studies (Steiner & Yallop 2001, Steiner 2005). The range of applications is growing all the time, as illustrated in Hasan et al. 2005, 2007; see also Matthiessen (in press). One way to get in touch with people using functional grammar in your area of interest would be to make use of e-mail, and join one of the SFL discussion lists. For information on these go to www.isfla.org/systemics.

2. Why this functional grammar?

There are many possible purposes for writing functional grammars, and different contexts will have somewhat different requirements. For example, a grammar for teachers and school students would not assume the same shared technical understandings as a grammar for the professional linguist, a grammar for computational contexts would need to be particularly explicit about the relation between system and structure to facilitate automatic text generation and parsing, while a grammar for critical discourse analysis would need to include considerable social contextual information to facilitate informed text deconstruction. Halliday's main purpose in writing the IFG grammars, however, was not to orient the grammar to any single defined area of application, but to provide a general grammar for purposes of text analysis and interpretation. It is therefore a grammar which provides a basic 'lingua franca' for text analysts working in a wide range of differing contexts; and it is very effectively organised as a tool of this kind.

You will find the IFG grammar much richer semantically than either formal grammar or traditional school grammar. This makes the analyses you undertake more insightful when it comes to interpreting a text. It will tell you more about a student's writing abilities, and more about what is semantically at stake in text generation, and more about discourse and subjectivity than any other grammar available today. The grammar has also been designed to be relatively easy to apply to texts. We have found that between 26 and 39 hours of lectures², plus tutorial support, are enough to give most students in undergraduate or MA programs a working knowledge of the grammar. This workbook is designed to support introductory programs of this kind, and to provide some scope for users to work more deeply into the grammar and its application to texts.

Like traditional school grammar and formal grammar, you will find that the IFG grammar makes use of class labels like *noun*, *verb* or *adjective*, with which you will have some familiarity. Beyond this, the IFG grammar makes extensive use of function labels like Actor, Process, Goal, Theme, Rheme, Deictic, Numerative, Classifier, Thing and so on, many of which will be new to you. The function labels are there to make the grammatical analysis semantically revealing – to show how the clauses, groups and phrases constituting a text map its meanings. Without the function labels, the

² We have found it possible to compress these lectures into a single week of full-time intensive study, or to spread them out over one semester or two semester's work.

grammar would be too shallow to be of much use in text interpretation. In addition, IFG 3 also includes system networks such as those of THEME, MOOD and TRANSITIVITY in the description of the grammar of the clause. These system networks represent the grammar as a resource for making meaning; they show the potential available to speakers – the options in meaning that are open to them, and among which they will choose. You can also use system networks in text analysis, as in Section 5.8 of IFG 3. This systemic analysis adds an important dimension to text analysis: it shows what a speaker chooses to mean in a given text against the background of what speakers can mean. We will introduce system networks step by step later in this chapter.

For readers with a background in traditional school grammar we should also say that a functional grammar is a descriptive grammar based on empirical research, not a prescriptive one which tells you what you can and cannot say, including rules for correcting what are often referred to as grammatical errors. A functional grammar, in other words, is not a grammar of etiquette or linguistic table manners. Rather, a functional grammar provides you with tools for understanding why a text is the way it is – for understanding precisely in grammatical terms the difference between *I don't have none* and *I don't have any* and thinking about who would say which of these clauses in what kind of situation to whom; or the difference between *to whom did you speak* and *who did you speak to*; or the difference between *it was I* and *it was me*. It presents the difference between these variants as a choice about what is functional in a particular context (not as a question of mistakes, and right or wrong) and shows you why the grammar of English sometimes pulls you in different directions. In this sense, a functional grammar is a grammar that respects speakers' right to make up their own mind about how they choose to talk; at the same time it makes speakers explicitly aware of the choices they have available, so they can make an informed decision about the options they choose.

3. Using the workbook

This workbook has largely been organised to reflect the organisation of Halliday's IFG, both the second and third editions (it can also be used with more basic introductions such as Thompson 2004). Chapters in *Deploying Functional Grammar* support IFG chapters as follows:

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

We have, however, written the workbook in such a way that the chapters need not necessarily be used in this order. Moreover the final chapter indicates some of the limits to a text analysis based simply on grammar and explores the role of discourse semantics in text analysis and interpretation. This chapter is intended to serve only as an introduction and more detailed discussion and explanation can be found in Martin and Rose (2003/2007).

Each of Chapters 2-6 contains the following sections: Orientation, Survey of Options, Troubleshooting, Exercises, Texts for Analysis, Review & Contextualisation and Further Reading. Below we outline very briefly the nature of each of these sections.

Orientation: We begin each Chapter by referencing the relevant sections of the most recent editions of IFG and providing a brief characterisation of the aspect of grammar to be covered.

Survey of Options: This section provides an outline summary of the principal grammatical options described in detail in IFG. No knowledge of the metalanguage built up in other chapters is assumed in this opening description.

Troubleshooting: In this part we aim to sort out misunderstandings, queries and issues that may arise when you apply the particular analysis being learned. We intend it to be used as a reference that you can access when you have difficulty with any of the exercises or analysis tasks, rather as than preliminary material to read straight through before you start.

Exercises: Exercises provide practice in working with individual clauses before complete texts are attempted, and at various points, you are referred to the relevant part of the Troubleshooting section for help. The exercises, like the texts for analysis, are organised into three phases in increasing order of difficulty. Phase 1 is for getting started; Phase 2 is designed to get you to the point where you can have a go at analysing a text on your own; Phase 3 takes you further into some more problematic issues, points that arise less frequently, or tend to occur in more difficult texts.

Texts for Analysis: Like the exercises, these are presented in three phases. The Phase 1 texts can be attempted after Phase 1 exercises and are quite simple, having been edited where necessary to remove problems. By Phase 3 the texts are more difficult and have not been adapted in any way.

Review & Contextualisation: This section provides a summary of the relevant aspect of the grammar, drawing on the metalanguage learned in previous chapters and showing where that part of the grammar fits into the overall picture. This section puts the various aspects of the grammar into relation with one another and is partly designed for those who have some knowledge or experience of the IFG grammar. It can therefore be used as the principal summary for those revising their understanding of IFG or as an extension for those moving through the Workbook, taking the chapters in order.

Further Reading: At the end of Chapters 2-6, we provide a short bibliography of further reading related to the relevant aspect of the grammar.

Key: Users can download the keys to the exercises in this book from:

<http://www.hallidaycentre.cityu.edu.hk/Collection/DFG/KeysToExercises.zip>

In designing the workbook we have aimed for enough flexibility to serve the needs of a range of readers, whether working alone or as part of a formal program of study. For example, if you are not a linguist and you are currently undertaking only a brief introductory study in functional grammar, you may go through the workbook doing only Phase 1 Exercises and Texts. On the other hand, if you have some experience with grammatical analysis or are involved in a course of study that aims at independent text

analysis, you may focus your attention on Phase 2 Exercises and Texts. The book also aims to cater for those who are extending or revising their understandings of IFG and who may prefer to begin with the Review & Contextualisation section of each chapter and concentrate on analysing Phase 2 and Phase 3 texts. At whatever level you are working, you will find some parts of the Troubleshooting section helpful.

4. *Getting started with text analysis*

The first problem you will face when using functional grammar for text analysis is the problem of what to analyse. How do you divide the text into pieces that the IFG analyses can be applied to? Thankfully, most texts offer some help.

If you are dealing with a written text (like this one you are reading), then it will probably have been divided into orthographic sentences for you. These units (sentences) are orthographic or graphological – units of the writing system of English. They begin with a capital letter and end with a major punctuation mark (a full stop, a question mark or an exclamation mark). Even though they are graphological units rather than grammatical ones, they are a good starting point since there is a reasonable correspondence between the orthographic sentence in the graphology and the clause complex in the grammar (see IFG 3, p. 16). There is a useful description of punctuation in relation to functional grammar in Halliday 1985/1989: 34-39. If you are dealing with a spoken text, then you will need to transcribe it before you start analysing it (unless you already have a transcription of it). Transcribing a spoken text is time-consuming but quite fascinating and instructive; the transcription itself involves analytical decisions, including decisions about how to punctuate the text. While there are a number of technical transcription systems that have been designed for particular tasks, you will often find that the best starting point is to transcribe a spoken text in the way speech is represented by novelists in dramatic dialogue. If the spoken text is a dialogue, then it will involve a number of interactants, who take turns at speaking. These units (turns), beginning where one speaker starts talking and ending where they stop, are another good starting point. Of course, neither of these strategies will work for spoken monologue – in which case you could try punctuating the text on your own, dividing it into sentences as you go.

The most important unit for a functional grammar analysis is the clause rather than the sentence, however, and to identify clauses, you have to start using what you know about grammar to divide up the text. Basically, there are three ways in.

One way is what Halliday would call **ideational**. This involves looking for the processes in a text – processes name events taking place ('go', 'cook', 'think', 'sleep' and so on) or relationships among things ('is', 'seems', 'has' and so on). Then you divide the text up into processes and whatever 'goes with' them (who did what to whom, where, when, how, why etc.). If you have some idea what a verb is, you can think of looking for processes as looking for verbs. Some of you may remember from traditional school grammar the notion that verbs are 'action' words. This can be helpful, as long as you keep in mind that lots of verbs (e.g. *be* and *have*) refer to relationships, not actions.

For example, here's part of a report on whales³, with processes highlighted in bold face:

³ As with many of the texts in this volume, we have simplified the text slightly so that things we don't want to get in the way yet are avoided.

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

We can divide the text into clauses by grouping each process with its dramatis personae (who's who) and scenery (where, when, how, why etc.):

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

You can see that the punctuation helps – 4 of the 7 clauses end with a full stop and two with a comma, and 4 of the clauses begin with a capital letter.

Another way in is what Halliday would call **interpersonal**. This involves treating the text as a dialogue (even if it has a silent partner, as with monologue). Basically this means dividing the text into things you can argue with. Here's the whales report again, but with arguing added:

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

This approach also works to divide the text into clauses, but this time round with the clause defined as something you can interact with:

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

A third way in is what Halliday would call **textual**. We'll use another small text to illustrate this – part of a recount about whaling:

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

This approach takes advantage of the fact that texts may tend to return to closely related starting points at the beginning of successive clauses. In the whaling recount, for example, the text keeps coming back to setting in time, in order to move the history of whaling along:

For one thousand years, whales have been of commercial interest for meat, oil, meal and whalebone. **About 1000 A.D.**, whaling started with the Basques using sailing vessels and row boats. **Over the next few centuries**, whaling shifted to Humpbacks, Grays, Sperms

and Bowheads. **By 1500**, they were whaling off Greenland; **by the 1700s**, off Atlantic America; and **by the 1800s**, in the south Pacific, Antarctic and Bering Sea. **Early in this century**, whaling shifted to the larger and faster baleen whales.

These temporal expressions organise the text into units as follows:

For one thousand years, whales have been of commercial interest for meat, oil...

About 1000 A.D., whaling started with the Basques using sailing vessels and row boats.

Over the next few centuries, whaling shifted to Humpbacks, Grays, Sperms and ...

By 1500, they were whaling off Greenland;

by the 1700s, off Atlantic America;

and **by the 1800s**, in the south Pacific, Antarctic and Bering Sea.

Early in this century, whaling shifted to the larger and faster baleen whales.

This way into dividing up a text into clauses is less reliable than the other two, since few texts have such a consistent pattern of starting points. But it can be helpful when a text leaves out processes, as in two of the clauses above – since a text which leaves some processes implicit makes the first two ways in harder to apply.

Ideally, in the best of possible worlds, the results of all three approaches coincide. So, the units you get by looking for processes are the same as the ones you get by arguing and looking for similar beginnings. Procedural (instructional) texts are about as near to this ideal as you can find. Try out the three approaches outlined above on the following instructions from a secondary school science classroom:

Collect 2 petri dishes. Place a thin layer of soil in one dish and some cotton wool in the other dish. Label the dish with soil 'soil' and the other dish 'no soil'. Next, place about 20 seeds in each 7 petri dish. Spray each dish with water. Finally, put the dishes in a warm sunny spot in the classroom.

5. Constituency: functional and class units

Once you have divided your text into clauses, you can begin to analyse each clause as outlined in Chapters 3, 4 and 5 of the IFG. This will involve identifying the functional parts of the clause from each of the three perspectives just outlined: ideational, interpersonal and textual. For example, if we take an ideational approach (clause as representation) to the clause *Quite recently the Norwegians were whaling off Greenland*, we can identify four functional parts:

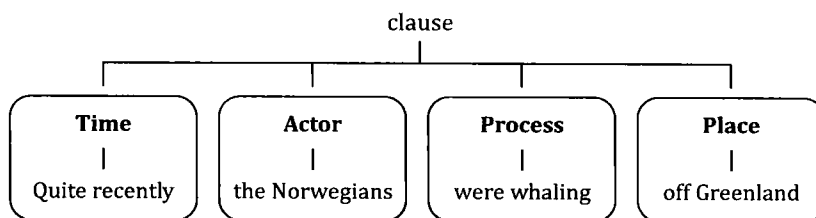


Figure 1.1 Breaking a clause into functional parts

In Figure 1.1, the labels in bold print provide functional names for the parts of the clause when viewed as an ideational structure. As you can see, this kind of labelling is semantically oriented, which will prove helpful when you are using grammar to interpret a text.