POST-GRADUATE COURSE ON FUNCTIONAL DISCOURSE GRAMMAR

INTRODUCTION

IPC-FDG-2018, Salvador, Brazil

Preliminaries

- Introductions
- Set-up of the course:
  - programme
  - exercises
- Abbreviations:
  - H&M = Hengeveld & Mackenzie (2008)

Contents

- The functional paradigm
- FDG: general characterization
- The architecture of FDG
- Levels of analysis

The Functional Paradigm

4

Functionalism

Generally speaking, functional theories:

- regard language as a means of communication in social and psychological contexts;

- do not believe that the language system ('grammar') is arbitrary and self-contained, but instead look for a functional explanation in terms of cognitive, socio-cultural, physiological and diachronic factors;

- take a function-to-form approach, in which semantics and pragmatics is regarded as central, and syntax and phonology as a means of expression;

- accept the non-discreteness in linguistic classification;

- are interested in the analysis of texts and the contexts of use;

- have a strong interest in typological matters;

- take a constructionist rather than an adaptationist view of L1 acquisition

(Butler 2003: 29)

Some functional schools

- Prague School (introducing functionalism and features to distinguish both functional and formal categories)

- Systemic Functional Grammar (Halliday)

- American West-coast (e.g. Hopper and Thompson, as well as Columbia School)

- Functional (Discourse) Grammar (Dik; Hengeveld and Mackenzie)

- Role and Reference Grammar (Van Valin)

- ?Construction Grammar (Goldberg, Croft, Hilpert)

- ?Usage-based grammar (Cruse, Bybee)

See Butler, Christopher S. & Francisco Gonzálvez-García. 2014. *Exploring Functional-Cognitive Space*. Amsterdam: Benjamins
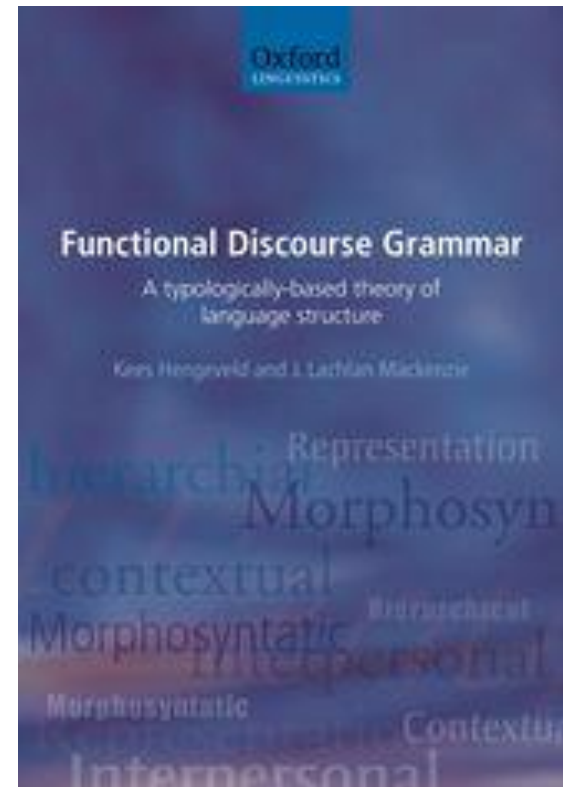
7 FDG: general characterization
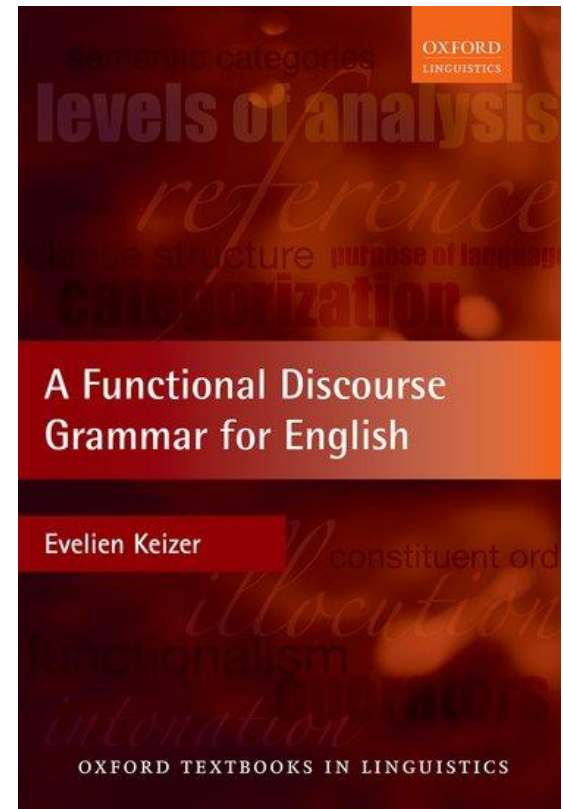
Hengeveld & Mackenzie (2008)

Hengeveld, Kees & Lachlan Mackenzie (2008). *Functional Discourse Grammar*. Oxford: Oxford University Press.

Hengeveld & Mackenzie (2008)

Keizer, Evelien (2015). *A Functional Discourse Grammar for English*. Oxford: Oxford University Press.

General characterization (1)

- A "form-oriented function-to-form approach"
- It is **form-oriented** in that:

[FDG] is form-oriented in providing … an account of only those interpersonal and representational phenomena which are reflected in morphosyntactic or phonological form. (H&M: 39)

- It is **functional** in that:

… FDG takes the position that this knowledge of units and their combination is instrumental in interpersonal communication and has arisen as a result of historical processes. ... (H&M: 27)

General characterization (2)

- FDG takes a position in between the radical functionalism and radical formalism

- It is what Butler (2003) refers to as a structural-functional grammar:

While accepting that grammar is shaped by use, FDG holds "that in synchronic terms the grammar of a language is indeed a system, which must be described and correlated with function in discourse" (Butler 2003: 30)

General characterization (3)

Functional
- emphasis on pragmatics
- form reflects communicative function

Discourse
takes into consideration aspects of discourse organization that are grammatically expressed

Grammar
- account of linguistic facts
- encoded intentions and conceptualizations

Goals of FDG: functional (1)

Functional
- emphasis on pragmatics
- form reflects communicative function

Goals of FDG: functional (2)

Two operations, four levels:

1. Formulation:
   - Interpersonal Level: rhetoric and pragmatics
   - Representational Level: semantics
2. Encoding:
   - Morphosyntactic Level
   - Phonological Level

Top-down approach:
   - from pragmatics to semantics ("function") to morphosyntacs and phonology ("form")

Goals of FDG: functional (3)

Four components:

- Grammatical
- Conceptual
- Contextual
- Output

Goals of FDG: discourse (1)

Functional
- emphasis on pragmatics
- form reflects communicative function

Discourse
takes into consideration aspects of discourse organization that are grammatically expressed

Goals of FDG: discourse (2)

- FDG accepts that units smaller than the clause can make up complete Discourse Acts (e.g. vocatives, conventionalized phrases, answers to questions).

- FDG also acknowledges the fact that some grammatical phenomena can only be explained by taking into consideration units higher than the individual clause or sentence (e.g. anaphoricity, given-new distinctions)

- Neverthless, FDG is not a "text grammar"; instead it is concerned with impact of textuality on morphosyntactic and phonological form:

> FDG, despite its name, is not a functionally oriented Discourse Grammar (in the sense of an account of discourse relations). Rather, it is an account of the inner structure of Discourse Acts that is sensitive to the impact of their use in discourse upon their form (H&M: 42)

Goals of FDG: grammar (1)

Functional
- emphasis on pragmatics
- form reflects communicative function

Discourse
takes into consideration aspects of discourse organization that are grammatically expressed

Grammar
- account of linguistic facts
- encoded intentions and conceptualizations

Goals of FDG: grammar (2)

☐ Form-oriented function-to-form:

although FDG is functional in that it takes a 'function-form' approach, it is … at the same time 'form-oriented': it only provides an account of those pragmatic and semantic, as well as conceptual and contextual phenomena which are reflected in the morphosyntactic and phonological form of an utterance. We will refer to this as the **Principle of Formal Encoding** (Keizer 2015: 15; see H&M (2008: 38-39).

Typology

- FDG is typologically-based theory: linguistic typology is a source of inspiration
- Language users have knowledge of functional and formal units and the relations between them
  - stability > systematicity
  - limited variety across the systems > typology
- FDG is oriented to "laying bare limitations on variation, otherwise known as linguistic 'universals', by formulating statements that purport to be true of all languages" (H&M: 31)
- Implication hierarchies rather than true universals
  - Hierarchies can be found at all levels: phonological, syntactic, semantic, pragmatic
  - e.g. declarative < interrogative

Language modelling (1)

- FDG: emphasizes the parallels between the architecture of the theory and language production – it is a "quasi-productive model of the natural language user" (H&M: 37, quoting Dik 1997: 1)

- Language production is triggered by a Speaker's intention to communicate. This intention is not part of the grammar, but of the Conceptual Component with which it interacts.

- Crucially, the grammar only reflects those aspects of Speaker intention that are reflected (coded) linguistically.

Language modelling (2)

- FDG is not, however, a model of language processing: it does not reflect the processes that go on in the mind while producing a linguistic utterance:

... our model is a pattern model that is inspired by process without seeking to model the latter (H&M: 24)

... we may observe a general analogy between production processes and the sequence of steps involved in a pass through the model of FDG (H&M: 25)

The architecture of FDG

Features of FDG

- FDG has a top-down organization.

Features of FDG

- FDG has a top-down organization.
- FDG takes the Discourse Act as its basic unit of analysis.

Features of FDG

- FDG has a top-down organization.

- FDG takes the Discourse Act as its basic unit of analysis.

- FDG analyses Discourse Acts in terms of four independent, interactive modules, yielding four levels of analysis:
    - Interpersonal Level: pragmatics (use)
    - Representational Level: semantics (meaning)
    - Morphosyntactic Level: morphosyntax (inflection, word order)
    - Phonological Level: phonology (stress and prosody)

Features of FDG

- FDG has a top-down organization.

- FDG takes the Discourse Act as its basic unit of analysis.

- FDG analyses Discourse Acts in terms of four independent, interactive modules, yielding four levels of analysis:
  - Interpersonal Level: pragmatics (use)
  - Representational Level: semantics (meaning)
  - Morphosyntactic Level: morphosyntax (inflection, word order)
  - Phonological Level: phonology (stress and prosody)

- FDG systematically interacts with three non-linguistic components:
  - a conceptual component
  - an output component
  - a contextual component

```
┌─────────────────────────────────────────────────────────────────┐
│                    Conceptual Component                          │
└─────────────────────────────────────────────────────────────────┘
                              │
                              ▼
┌──────────────────────────────────────────────────────┐ ┌────────┐
│ G   ┌──────────────┐         ╭────────────────────╮   │ │ C      │
│ r   │ Frames       │──────▶  │   Formulation       │  │ │ o      │
│ a   │              │         ╰────────────────────╯   │ │ n      │
│ m   │ Lexemes      │                    │             │ │ t      │
│ m   │              │         ┌──────────▼──────────┐  │ │ e      │
│ a   │ Operators    │         │ Pragmatics, Semantics│──┼─┼▶x      │
│ r   └──────────────┘         └──────────┬──────────┘  │ │ t      │
│                                         │             │ │ u      │
│     ┌──────────────┐         ╭──────────▼─────────╮   │ │ a      │
│     │ Templates    │──────▶  │    Encoding         │  │ │ l      │
│     │              │         ╰────────────────────╯   │ │        │
│     │ Grammatical  │                    │             │ │ C      │
│     │ elements     │         ┌──────────▼──────────┐  │ │ o      │
│     └──────────────┘         │Morphosyntax,Phonology│─┼─┼▶m      │
│                              └──────────┬──────────┘  │ │ p      │
└──────────────────────────────────────────────────────┘ │ o      │
                                         │               │ n      │
┌──────────────────────────────────────────────────────┐ │ e      │
│ O                            ╭──────────▼─────────╮   │ │ n      │
│ u                            │    Articulation     │  │ │ t      │
│ t                            ╰────────────────────╯   │ │        │
│ p                                       │             │ │        │
│ u                            ┌──────────▼──────────┐  │ │        │
│ t                            │       Output        │  │ │        │
│                              └─────────────────────┘  │ │        │
└──────────────────────────────────────────────────────┘ └────────┘
```
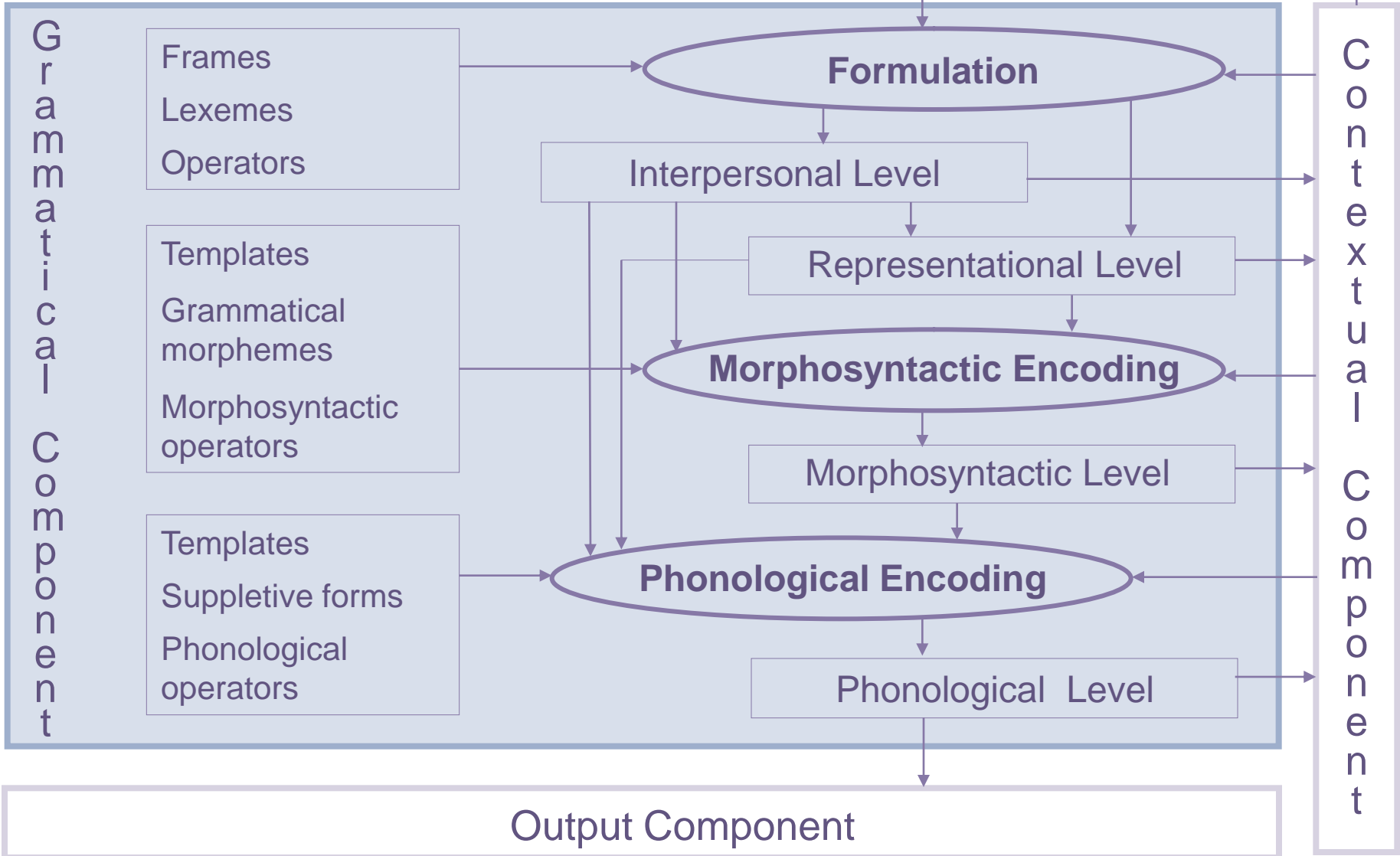
Top-down architecture

- Various top-down pathways through the grammar
  - All communicative utterances involve the interpersonal and phonological levels

- Not modular, but depth first

- Three degrees of complexity
  - From interpersonal level to phonological encoding
  - From interpersonal level to morphosyntactic and then phonological encoding
  - From interpersonal and representational levels to morphosyntactic and phonological encoding

Layered architecture

- All levels involve internal layering
  - Moves consist of Discourse Acts
  - Discourse Acts consist of smaller units
  - These smaller units may themselves have layers
  - Similarly for other levels, in both formulation and encoding
  - There are default relations between layers across levels
    - Referential Subact (IL) ≈ Individual (RL) ≈ Noun Phrase (ML) ≈ Phonological Phrase(PL)

Structure of all layers

$(\pi\ v_1: [head]\ (v_1): \sigma\ (v_1))_\Phi$

where :

- v_1 = variable of relevant layer
- this variable is restricted by a head
- Φ = pragmatic (IL), semantic (RL) or syntactic function (ML)
- v_1 may be specified by an operator π (IL, RL)
- v_1 may be further restricted by a modifier σ (IL, RL)

Levels of analysis

The Interpersonal Level (IL)

- ☐ Deals with all the formal aspects of a linguistic unit that reflect its role in the interaction between speaker and addressee
- ☐ Relevant units:
  - ▪ Move (M)
  - ▪ Discourse Act (A)
  - ▪ Illocution (F), e.g. Declarative, Interrogative
  - ▪ Speech Participants (P_1, P_2)
  - ▪ Communicated Content (C):
    - ▪ Subact of AscripTion (T): Speaker's evocation of a property, e.g. 'tall', 'eat', 'car'
    - ▪ Subact of Reference (R): Speaker's evocation of an entity (a concrete or abstract referent)

Interpersonal frames

$$(\pi\ A_1: [(\pi\ F_1: ILL\ (F_1))\ (\pi\ P_1)_S\ (\pi\ P_2)_A\ (\pi\ C_1: [\ ..\ (\pi\ T_1)_\Phi\ (\pi\ R_1)_\Phi\ ..\ ]\ (C_1))]^A)$$

where:

ILL   =   illocution (declarative, interrogative, etc.)

π =   operators applying at the different layers, providing grammatically expressed information

        e.g.:   Ascription operator: approximation ('*sort-of*')

                Reference operator: identifiability (*the* vs. *a*)

Φ =   pragmatic function, e.g. Topic, Focus, Contrast

(1)   a. (Who chased the wasp?) The dog chased the wasp.

     b. $(A_1: [(F_1: DECL\ (F_1))\ (P_1)_S\ (P_2)_A\ (C_1: [(T)\ (+\ id\ R_1)_{FOC}\ (+\ id\ R_2)_{TOP}\ ]\ (C_1))]\ (A_1))$

The Representational Level (RL)

- Deals with the semantic aspects of a linguistic unit; i.e. with descriptions of entities as they occur in some non-linguistic world

- Basic units:
  - Propositional Content (p), e.g. *idea*
  - State-of-affairs (e), e.g. *meeting*
  - Individual (x), e.g. *chair*
  - Property (f), e.g. *colour*

  (cf. Lyons 1977)

Representational Frames

$(\pi\ p_1\!: (ep_1\!: (e_1\!: (f_1\!: [(\pi\ f_1\!: lex_V)\ (\pi\ x_1)_\Phi\ (\pi\ x_2)_\Phi\,]\ (f_1))\ (e_1))\ (ep_1))\ (p_1))$

where:

lex_V = a lexeme of the category verb

π = operators applying at the different layers, providing grammatically expressed information

   e.g.   State-of-Affairs operator: tense

      Individual operator: singular/plural

Φ = semantic function, e.g. Actor, Undergoer, Location

(2)   a. The dog chased the wasp.

  b. $(\pi\ p_1\!: (past\ ep_1\!: (e_1\!: (f^c_1\!: [(f_1\!: chase_V\ (f_1))\ (1x_1)_A\ (1x_2)_U]\ (f^c_1))\ (e_1))\ (ep_1))\ (p_1))$

The Morphosyntactic Level (ML)

- Deals with matters of formal (more specifically: morphosyntactic) encoding

- Tries to show how expression formats are determined by pragmatic and semantic patterns of organization.

- The units of analysis at the Morphosyntactic Level are
  - Linguistic Expressions (Le)
  - Clauses (Cl)
  - Phrases (Xp)
  - Words (Xw)
  - Morphemes (Stems (Xs), Roots (Xr), Affix (Aff))

Morphosyntactic templates

(Le$_1$: [(Cl$_1$: [(Xp$_1$: [(Xw$_2$) (Xp$_2$) (Cl$_2$)] (Xp$_1$)) (Gw$_1$) (Cl$_3$)] (Cl$_1$)) (Le$_1$))

where:

Le   =   Linguistic Expression

Cl   =   Clause

Xp   =   Phrase (of the type x)

Xw   =   Word (of the type x)

Gw   =   Grammatical word

(3) a.   After class I invited him for a coffee.

    b.   (Cl$_1$: [(Adpp$_1$) (Np$_1$) (Vp$_1$) (Np$_2$) (Adpp$_2$)] (Cl$_1$))

The Phonological Level (PL)

- Deals with matters of formal (more specifically: phonological) encoding and tries to show how expression formats are determined by pragmatic and semantic patterns of organization.

- The units of analysis at the Phonological Level are
  - Utterance (U)
  - Intonational Phrase (IP)
  - Phonological Phrase (PP)
  - Phonological Word (PW)
  - Feet (F)
  - Syllables (S)

Phonological templates

(U_1: (IP_1: (PP_1: [(PW_1) (PW_2)] (PP_1)) (PP_2: [(PW_3) (PW_4)] (PP_2)) (IP_1)) (U_1))

where

U   =   Utterance

IP   =   Intonational Phrase

IP   =   Phonological Phrase

PW   =   Phonological Word

(4) a.   The students complained.

b.   (f IP_1: [(PP_1: / ðəˈstjudnts / (PP_1)) (PP_2: / kəmˈpleɪnd / (PP_2))] (IP_1))

Anaphoric reference

IL: A: Get out of here!

         B: Don't talk to me *like that*!

RL: A: There are lots of traffic lights in this town.

         B: I didn't notice *that*.

ML: A: Jack and me got married very quietly yesterday afternoon (BNC-BYU, written, fiction prose)

         B: Shouldn't *that* be 'Jack and I'?

PL: A: Peter had /tʃuˈletasdekorˈdero/ yesterday.

         B: Shouldn't *that* be '/tʃuˈletasdeθorˈdero /'?

A simple example

(5) The children laughed.

IL: $(A_1: [(F_1: \text{DECL} (F_1)) (P_1)_S (P_2)_A (C_1: [(T_1)_{FOC} (+ id R_1)_{TOP}] (C_1))] (A_1))$

RL: $(p_1: (\text{past } ep_1: (e_1: (f^c_1 : [(\pi f_1: \text{laugh}_V (f_1)) (m x_1: (f_2: \text{child}) (f_2))_A] (f^c_1)) (e_1))$ $(ep_1)) (p_1))$

ML: $(Cl_1: [(Np_1: [(Gw_1: \text{the } (Gw_1)) (Nw_1: \text{ch1ld.pl}) (Nw_1))] (Np_1)) (Vp_1: (Vw_1: \text{laugh.past } (Vw_1)) (Vp_1)) (Cl_1))$

PL: $(U_1: (1P_1: (PP_1: / ðə \text{ tʃɪldrən } / (PP_1)) (PP_2: [(PW_j: /lɑːft /)] (PP_2)) (U_1))$

Exercise 1

The Interpersonal Level is described as a strategic level, representing the interpersonal aspects of the Speaker's communicative intention. Try to describe, in your own words, the communicative intention of the italicized elements in the following examples and explain why these elements could be argued to have an interpersonal function.

1. I thought if people would feel sorry for me, then I wouldn't be able to cope with this thing, *like*. (BYU-BNC, academic)

2. But with a *sort of* lovely *sort of* shortbready *kind of* taste to it. (ICE-GB, conversation)

3. His life was a series of secret missions, full of risks and rewards. *Or so he said*. (COCA, spoken)

4. He is also a disturbed person, and *frankly*, you don't want to agitate him. (COCA, spoken)

5. *Perhaps* you would get in touch with us on or after 12 September about undertaking the investigations. (ICE-GB, business letters)

Exercise 2

Anaphoric pronouns can refer to units at different levels of representation. In the following examples, the pronoun *that* is used to refer to different types of entity. Try to establish to which level of representation (interpersonal, representational, morphosyntactic or phonological) the entity referred to belongs.

1. No, *that* was wrong. It's supposed to be stressed on the second syllable if it's a verb.

2. I've never heard it said like *that*, almost Scottish.

3. "*That* was really delicious," said Melissa, laying down her knife and fork. (BYU BNC, fiction)

4. Is *that* how they taught you to start a presentation?

5. Is *that* really true?

6. Is *that* a dangling participle?

7. Is *that* how you address your mother?!