

## **Essay Cover Sheet**

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### **Essay contents**

<b>Section</b>	<b>Title</b>	<b>Page</b>
<b>1</b>	Introduction.....	<b>1</b>
<b>2</b>	Functional grammar and text analysis.....	<b>1</b>
<b>3</b>	Choice of texts for analysis.....	<b>2</b>
<b>4</b>	Experiential comparison of texts.....	<b>2</b>
	4.1 Similarities between the two texts in construal of experience.....	<b>2</b>
	4.2 Differences between the two texts in construal of experience.....	<b>4</b>
<b>5</b>	Interpersonal comparison of texts.....	<b>6</b>
	5.1 Use of bare assertion.....	<b>7</b>
	5.2 appraisal resources and the interpersonal relationship.....	<b>8</b>
	5.3 Interpersonal negotiation of key points.....	<b>9</b>
<b>6</b>	Comparison of textual components.....	<b>11</b>
	6.1 Textual organisation of television programme introduction.....	<b>11</b>
	6.2 Textual organisation of book preface.....	<b>13</b>
<b>7</b>	Conclusion.....	<b>17</b>
	<b>Appendices</b> .....	<b>18</b>
	<b>References</b> .....	<b>31</b>

**FG/06/01**

Apply the principles of systemic linguistic analysis explored in the course to the comparison of the style and communicative functionality of two short texts or text extracts of your own choice. Texts typically shouldn't be longer than 500 words. The texts should have a similar subject matter, be drawn from a similar institutional or discourse domain (science, economics, health care provision, tourism, politics, the arts etc.) or have some other obvious point of similarity. They need, however, to differ significantly in some important aspect of their style, structure, approach, tone etc.

You should indicate how the texts are similar and how they are different in terms of their general stylistic properties and their communicative functionality. Your claims should be backed up by means of an analysis of the types of lexical and grammatical features explored in the course. That is to say you should say how the texts are similar or different in terms of the types of textual, interpersonal and experiential (ideational) meanings explored in the materials.

You will need to supply copies of the two texts (photocopies of the original or transcripts). Please ensure that you supply complete details as to the origin of the text (author, date, publication, section/page numbers etc.)

**1. Introduction**

Functional grammar is a powerful tool for analyzing texts to reveal their underlying ideologies, the power relationships between writer/speaker and audience and the information structure (Thompson, 1996). This paper attempts to apply the principles of functional grammar to the comparison of two texts taken from a similar domain but operating in different modes – one being an extract from a book, the other being a transcript of a television programme based on the book. Section 2 provides a brief overview of the purposes of using functional grammar to analyze texts. Section 3 gives the reasons for the choice of texts analyzed. Section 4 focuses on experiential meanings construed by the two texts. Analysis from the interpersonal perspective is the focus of section 5. Section 6 focuses on how the two texts create 'texture' (Halliday & Hasan, 1976). Finally, section 7 offers an overview of the differences and similarities between the texts.

**2. Functional grammar and text analysis**

In its attempt to explain the relationships between form and meaning, functional grammar focuses on three parameters of the 'context of situation' which represent 'extralinguistic' variables that influence a communicative event and thereby the form which a text takes (Butt et al., 2000). 'Field' refers to the subject or topic of a particular communicative event, 'Tenor' to 'the relationship between the speaker and hearer' (ibid; 5) and 'Mode' to the 'kind of text which is being made' (ibid.). These three extralinguistic variables are then reflected in the particular wordings used in a

text. This means that a detailed analysis of the text can reveal much about the context of situation if it focuses on the three components of Halliday's systemic functional grammar (Halliday & Matthiessen, 2004): the experiential metafunction, which relates how people use language to 'describe events and states and the entities involved in them' (Thompson, 1996; 28); the interpersonal metafunction, which is concerned with how language is used to create relations with others, often in order to influence them in some way; and the textual metafunction, which is used to 'turn the output of the previous two functions into a coherent whole' (Butt et al., 2000; 5). An effective analysis should therefore show how the use of language in a text reflects certain views of the world, relationships between interactants and ways of organizing propositions.

### **3. Choice of texts for analysis**

The two texts chosen for this analysis (see Appendix 1) are the first two pages of the preface of the book 'Guns, Germs and Steel' (Diamond, 1998; 9-10) and the introduction to the television programme based on the book (National Geographic, 2005). The choice of subject matter was influenced by the teaching-learning context. Extracts from the book are used as compulsory readings on a required course for students at the English-medium university where I work in Turkey; analysis of the particular features of this type of writing and how it differs from a documentary-style television 'register' (Halliday & Hasan, 1976) may provide pedagogically useful insights.

### **4. Experiential comparison of texts**

This section discusses how the participants, processes and circumstances construed in the two texts reflect the particular ideology of the domain of which they are a part, focusing first on similarities and then on differences and what they reveal.

#### **4.1 Similarities between the two texts in construal of experience**

Since the two texts analyzed here are from the same general domain, that of popularised science/history, it is not surprising that they share similarities in terms of the participants, the processes, and the circumstances construed. The most obvious similarities are the participants; both texts mention European and other societies frequently and refer to 'history' as an entity which can do things and have things done to it. They also both portray 'native' or 'local' societies and peoples

around the world as being passive and unable to act for themselves. Local societies are the victims of the conquistadors in the television programme, as indicated in Extract 1.

**Extract 1:** National Geographic (2005)

Line #	Actor	Process: material	Goal
2	a few hundred men who ...	Decimated	the local population

In the book ‘local societies’ are portrayed passively by being represented as a historical topic to be written about by the historians of the conquering nations, as can be seen in Extract 2.

**Extract 2:** Diamond (1998)

Line #	Actor	Process: material	Range
7	Native societies of other parts of the world	Receive	only brief treatment

It should be noted for this example that, although ‘native societies’ are Actor here, this is a metaphorical construal, an instance of the employment of grammatical metaphor allowing the author more easily to qualify the ‘treatment’ (Halliday & Matthiessen, 2004; 193). A more congruent version is suggested in the rewording of Extract 2 below.

**Rewording of Extract 2**

Sayer	Process: verbal	Circumstance: matter
History writers	do not write	much about native societies of other parts of the world.

One clear example of the similar way the two texts construe history as an entity as well as the means by which this entity can be explored can be seen in the use of the metaphor which forms the title of the preface in the book: ‘Why is world history like an onion?’ (Diamond, 1998; line 1). This conception of history as consisting of onion-like layers is reflected in a metaphor used in the television programme, where Diamond’s task is ‘to peel back the layers of history’ (National Geographic, 2005; line 9). In common with many types of metaphor (Simon-Vandenberg, 2003), this lexical metaphor works at several levels; it also carries out an interpersonal function in that the television programme is alluding to the book, presumably to build solidarity with viewers who have also read the book and remember the comparison.

## 4.2 Differences between the two texts in construal of experience

The most obvious difference between the two texts is in terms of the range and balance of processes that are construed within them. Even taking account for the fact that it is considerably shorter, with 196 words compared to the preface extract's 500 words, the spoken text has a narrower range of processes, with a large majority of verbs construing material processes. Almost all of these verbs construe 'doings' rather than 'happenings' (Halliday & Matthiessen, 2004; 196), which makes the text seem more congruent; it is a portrayal of the world in which Actors do things to Goals using tools, as indicated by Extract 3.

**Extract 3** National Geographic, 2005

Line #	Actor	Process: material	Goal	Circumstance: manner
4	people of European origin	have dominated	the globe	with the same combination of military power, lethal microbes and advanced technology

In contrast, the book preface has a wider range and different balance of processes. An examination of the material processes construed in the preface extract (see Appendix 2) reveals that, while there are a few 'doing' verbs such as 'subjugate' and 'push back', many of them describe 'happenings' in which the line between Actor and Goal is blurred (ibid.), presenting a view of reality in which entities, often abstract, 'emerge', 'unfold' and 'happen'.

A further significant difference between the two texts is that the book preface has a far higher proportion of verbs construing Relational processes. This is a clear indication of the influence that the mode has on the language used and the relationships construed between participants. Since this is a written text with a scientist as author it is not surprising to find many examples of clause structures of the type Halliday terms the 'favourite clause type' of scientific writing (1998; 207). This structure consists of two complex noun groups, generally with nominalised Heads, linked by a 'relator' (ibid.). Several examples of this type of construction can be found just in the first paragraph, as shown in Table 1.

Line #	Complex noun group	Relator	Complex noun group / rank-shifted clause standing in for noun group
3	The question motivating the book	is	Why did history unfold differently on different continents?
4	the answers to the question	don't involve	human racial differences
5	The book's emphasis	is on	the search for ultimate explanations,
			pushing back the chain of historical causation as far as possible.

**Table 1: examples of 'favourite clause type' (Halliday, 1998) in Diamond, 1998**

As Halliday notes, this type of clause construction is favoured by science writers because it allows for a high degree of lexical, and therefore informational, density, compared to more congruent versions, which may consist of several clauses (Halliday, 1998). The influence of mode can be seen here; such dense clause structures are generally to be avoided in television scripts, since they have to be understood in real time, which would present a challenge for the audience.

Through their use of grammatical metaphor, structures of the type exemplified in Table 1 also allow experiences that are congruently realised as processes to be reified and given permanence (Halliday, 1998). Perhaps the most important function of this type of clause is to present the impersonal, rational, unemotional face that science shows to the world; the true participants are hidden from view (Thompson, 1996).

This helps to explain why there is no explicit mention of the author Jared Diamond in the book, whereas in the television programme, Diamond is a prominent participant, as in Extract 4.

**Extract 4** National Geographic, 2005

Line #	Actor	Process: material	Range
8	Diamond	has travelled	the world

The book preface does not mention Diamond by name at all. This is expected in the register of popular science; Diamond the writer prefers to use 'the book' to represent him, resulting in metaphorical construals such as those in Extracts 5 and 6:

### Extract 5 Diamond, 1998

Line #	Phenomenon	Process: mental	Senser
3	The question	motivating	the book

### Extract 6 Diamond, 1998

Line #	Carrier	Process: relational	Attribute
5	The book's emphasis	is	on the search for ultimate explanations

This leads to a situation where the functional labels attributed to the various participants in Extracts 5 and 6 do not 'make sense' in the real world; more congruent realizations are attempted below.

### Rewording of Extract 5

Phenomenon	Process: mental	Senser
The question	motivating	me

### Rewording of Extract 6

Sayer	Process: verbal	Verbiage
I	want to emphasise	the search for ultimate explanations

To sum up, the experiential world construed in the introduction to the television programme is one which most of the audience would find congruent with their own view of how things happen. In contrast, the book preface, in its effort to present a more scientific, impersonal view of events and entities, frequently obscures the agents of events, either by using verbs which construe 'happenings', construing an unconscious entity as Senser or by construing events as participants in relational processes, giving them a permanence that is not congruent with experience.

## 5. Comparison of texts in terms of interpersonal metafunction

In investigating the interpersonal components of the two texts, this section seeks to establish what relationship is construed between writer/narrator and audience, how the texts attempt to establish and maintain this relationship, and how, once established, the relationship is used to influence the audience.

## 5.1 Use of bare assertion in the construal of interpersonal relationship

The most obvious way that the writer/speaker – audience relationship is construed in both texts is through consistent choices of mood and modality. Both texts have a high proportion of declarative clauses and a noticeable lack of modality, with hardly any use of modal verbs. This means that most of the propositions are bare assertions, as indicated by Extracts 7 and 8 below, which are taken from the book and the television programme respectively.

**Extract 7:** Diamond (1998)

Line #	Mood		Residue		
	Subject	Finite: present –	Predicator	Complement	Adjunct
4	The answers to the question	don't	involve	human racial differences	at all.

**Extract 8** National Geographic (2005)

Line #	Mood		Residue	
	Subject	Finite: past +	Predicator	Adjunct
1	Modern history	Has	been shaped	by conquest

The declarative clauses analysed in Extracts 7 and 8 are typical of the texts they occur in. The use of bare assertion in this way means that the propositions are presented as not being open to debate; in White's terms they are 'monoglossic' (White, 2003). As White (2003) points out, in the genre of journalistic writing this interpersonal choice means that the propositions and evaluations presented are construed as being uncontroversial to the audience addressed; it indicates a relationship of writer-audience solidarity. This contrasts with the view of bare assertion as used in academic textbooks (Kuhn, 1996; Johns, 1997), where such a choice is associated to a view of an audience of initiates who are not in a position to disagree; this seems more a distancing strategy, construing an expert-novice relationship.

The choice of bare assertion in the two texts analysed in this paper seems to construe a relationship that is a mixture of the two cases outlined above. Both Diamond and television programme makers are aware that the audience for their work is one with which they share many characteristics and viewpoints and hence a high level of solidarity; they are likely to be educated, middle-class, literate members of Western cultures. At the same time this is a non-specialist audience which can be treated as largely ignorant of the information that Diamond has drawn upon to make his main thesis.



The relationship between writer/speaker and audience might therefore be characterised as one of condescending familiarity.

## 5.2 Use of appraisal resources to consolidate interpersonal relationship

Both texts seek to consolidate the writer/speaker-audience relationship in which the audience is prepared to accept propositions almost without question, although they do this in different ways. The television programme has the most direct approach to establishing the relationship in a way that is very hard to challenge:

**Extract 9** National Geographic (2005), Line 8

One of the most original thinkers of our age, Diamond has travelled the world looking for clues.

By putting the evaluation of Diamond as an ‘original thinker’ as part of a nominal group in apposition, it is presented as a given and is hence hard for the audience to argue with (Hoey, 2000). Further reasons for believing what Diamond says is presented through indirect appraisal of his ‘tenacity’ (Martin, 1999) as shown in Table 2 below. Diamond is thereby established with the audience as an in-depth researcher and his ideas are given greater credibility. The ‘t’ denotes that the evaluation is ‘evoked’ as opposed to ‘inscribed’ (Martin, 1999); the appraisal is not inherently part of the meaning of the instantiation, but is implied in this particular context.

Line #	Instantiation	Appraiser	JUDGEMENT	Appraised
7	has spent more than 30 years trying to answer	Narrator	t+ tenacity	Jared Diamond
8	has travelled the world looking for clues	Narrator	t+ tenacity	Jared Diamond
9	he has set himself a daunting task	Narrator	t+ tenacity	Jared Diamond

**Table 2: evoked JUDGEMENT: tenacity (Martin, 1999) in National Geographic (2005)**

In the case of the book, the constraints of the genre prevent Diamond from referring to himself as an ‘original thinker’. He has therefore to resort to other, indirect, means of establishing himself as a credible scientific expert. This largely seems to be achieved through his use of appraisal language

(see Appendix 3), most obviously through the negative evaluation of other works of world history, as shown in Table 3. The intended effect of this is to reveal Diamond as offering answers to questions that other historians have not considered in depth, encouraging readers to view him as a particularly perceptive historian.

Line #	Instantiation	Appraiser	APPRECIATION	Appraised
7	brief treatment	Diamond	t– composition: complexity	Most (other) history books
8	much more space gets devoted to the history of western Eurasia than of China, India, Japan, tropical Southeast Asia, and other eastern Eurasian societies	Diamond	t– composition: balance	Most (other) history books
9	brief treatment	Diamond	t– composition: complexity	Most (other) history books
10	narrowly focused	Diamond	t– composition: complexity	Most (other) history books
10	suffer from three disadvantages	Diamond	– composition	Most (other) history books
14	limited	Diamond / people interested in history	– composition: complexity	Most (other) history books
14	cannot provide deep understanding	Diamond / people interested in history	– composition: complexity	Most (other) history books

**Table 3: negative appraisal, using APPRECIATION: composition in Diamond (1998)**

### 5.3 Interpersonal negotiation of key issues

Both texts make use of strategies to attempt to stall disagreement at potentially controversial points. Perhaps the most powerful strategies used in both texts involve direct addressing of the audience by Jared Diamond himself; this is consistent with the amount of effort both texts put into establishing Diamond as a figure of authority, as noted in section 5.2.

In the case of the television programme, Diamond's brief monologue, shown in Extract 10, contains several examples of use of interpersonal grammatical resources which make it particularly hard for the audience to disagree.

**Extract 10** National Geographic (2005), line 10

Whatever I work on for the rest of my life, I can never work on questions as fascinating as the questions of guns, germs and steel because they're the biggest questions of human history.

The first indication that this is an important statement is that the words are specifically presented as Diamond's own. Furthermore, Diamond clearly signals that his engagement with other possible viewpoints is that of 'dialogic contraction' (White, 2003) by proclaiming his own viewpoint in the strongest terms through the use of 'whatever', 'I can never' and 'the biggest questions'. The choice of 'fascinating' instead of a more neutral term such as 'interesting' is also significant, since it further increases the force of his statement. The combination of all these features serves to increase Diamond's commitment to his proposition and thereby to 'increase the interpersonal cost' (White, 2003) of anyone who would dare to disagree.

The book preface also opts to address the reader directly at key points. One of these is shown in Extract 11. Diamond is using several strategies here. Firstly by addressing his audience he is making it explicit that he is considering them. Secondly, he seeks to build solidarity with them through an implicit judgement of what Martin (1999) calls their propriety by an assumption that they are not racists. There is also a promise to his audience that he will support this claim in the use of 'as you will see'. It is surely not coincidental that this is, moreover, the only part of this text to employ contractions in 'aren't' and 'don't'. Finally, Diamond explicitly signals his commitment to the proposition by the use of 'not... at all', making it more difficult to challenge. It is also significant that this extract in its use of the word 'shudder' contains one of the only instances of AFFECT type appraisal.

**Extract 11** Diamond (1998), line 4

In case this question immediately makes you shudder at the thought that you are about to read a racist treatise, you aren't; as you will see, the answers to the question don't involve human racial differences at all.

## 6 Comparison of textual components

In comparing the textual realizations of the two texts, this section seeks to reveal how the text creators provide context for their propositions and help them to ‘fit smoothly into the unfolding language event’ (Thompson, 1996; 117). The method chosen here is first to establish the overall textual organisation of each text and then investigate how knowledge of this organisation can provide insights into the resources used to create ‘texture’ (Halliday and Hasan, 1976).

### 6.1 Textual organisation of television programme introduction

Segment number	Line numbers	Function/Aim
1	1-4	To establish topic: how the Europeans conquered the rest of the world
2	5-6	To raise questions it is assumed audience will have about ‘facts’ presented in segment 1
3	7-9	To introduce Jared Diamond, establish him as a credible figure and point out that these are his questions too
4	10	To establish importance (through Diamond’s testimonial) of the questions of guns, germs and steel
5	11-12	To present the questions which the rest of the programme will focus on

**Table 4: Textual segments and functions in National Geographic (2005)**

The clearest evidence for dividing the television introduction up in the way indicated in Table 4 derives from the analysis of selected lexical and identity chains (see Appendix 4). This analysis shows clearly that the first four lines of this text have strong internal lexical cohesion with repetitions of terms around the theme of Europeans conquering the world; similarly lines 7 to 9, a segment that could arguably by this analysis include line 10, are cohesive thanks to the identity chain referring to Jared Diamond, the theme of questions and answers, and the repeated reference to effort. The analysis also indicates that the two sets of questions in lines 5 and 6 and lines 11 and 12 are not strongly lexically linked either internally or to other parts of the text; they serve in fact to break the text up.

The analysis of the lexical and identity chains above indicates that there are relatively few chains that cross over segment boundaries to make longer-range bonds and create overall ‘texture’ (Halliday & Hasan, 1976). There are, however exceptions to this. The repeated references to ‘guns, germs and steel’ and ‘history’ presented in Table 5 provide some continuity of reference in the text, as do the more tenuous links amongst the words referring to military conquest towards the end of the text: ‘power’ in line 9 and ‘guns’ in lines 10 and 12. Other, more local, ties can be distinguished: firstly, the words ‘they’ and ‘advantages’ in line 5 which effectively form parts of the ‘Europeans’ and ‘guns, germs and steel’ identity chains respectively; and secondly the use of the word ‘questions’ in line 7 to encapsulate lines 5 and 6. Perhaps the strongest evidence that this text is in fact a text can be found by comparing the first and final lines, which, in repeating several key elements – ‘shape’, ‘modern’, ‘history’ and ‘world’ – create strong bonds linking them together.

Line #	Reference to history	Guns, germs and steel
1	modern history	
2		
3		guns, germs and steel
4		military power, lethal microbes, and advanced technology
5		these advantages
6		
7		
8	of our age	
9	the layers of the past the modern world	
10	human history	guns, germs and steel
11		
12	the history of the modern world	guns, germs and steel

**Table 5: Lexical / Identity chains for ‘history’ and ‘guns, germs and steel’ in National Geographic (2005)**

## 6.2 Textual organisation of book preface

Segment number	Line numbers	Function/Aim
1	1	To establish the question that the preface aims to answer
2	2-5	To establish the main aims of the book and to point out that they are not racist; to set up the book as looking deeply into history
3	6-9	To point out where most history books go wrong (and contrast them with this book)
4	10	To establish the structure of the rest of the preface (i.e. that it will explain the three disadvantages of narrowly focused accounts of history)
5	11-13	To describe the first disadvantage of rival history books: people are rightly interested in other societies besides Europe
6	14-19	To describe the second disadvantage of rival history books: histories focusing merely on history since writing was invented are incomplete

**Table 6: textual segments and functions in Diamond (1998)**

As might be expected for a text intended to be read rather than listened to, the cohesive ties employed in the book preface are more sophisticated than those in the television programme, including not just the cohesive devices mentioned in section 6.1 but also features such as matching relations (Hoey, 1983; Winter, 1994). This sophistication can be demonstrated by analysing the links between the lines identified in Table 6 as marking the boundaries of the segments of the text. One of these key transition points is the transition between lines 5 and 6, as shown in Extract 12.

**Extract 12** Diamond (1998)

Line #	Theme	Rheme
5	The book's emphasis	is on the search for ultimate explanations, and on pushing back the chain of historical causation as far as possible.
6	Most books that set out to recount world history	concentrate on histories of literate Eurasia and North African societies.

The embedded clause which forms part of the Theme of line 6 is linked to the Rheme of the preceding clause, which mentions 'historical causation', and hence could be seen as exemplifying what Thompson refers to as 'progression' (1996; 141), a technique generally used to change the focus of attention. The rest of the clause does not have other immediately apparent links with what precedes it in the text, apart perhaps from the repetition of 'histories'. However, merely focussing on the Theme can obscure other links. If one considers line 6 from the point of view of Winter's clause relations (Hoey, 1983; Winter, 1994), it is clear that it is linked not only to line 5, but also to line 2 of the preface by means of matching relations, as indicated in Tables 8 and 9.

Line #	Matching elements of respective clauses		
5	The book's	emphasis is on	the search for ultimate explanations,
		and on	pushing back the chain of historical causation as far as possible.
6	Most books that set out to recount world history	concentrate on	histories of literate Eurasia and North African societies.
<b>Constant</b>			
	Book/books	focus on	aspect of history
<b>Variable</b>			
	which book		breadth of perspective

**Table 7: matching relations in lines 5 and 6 of Diamond (1998)**

Line #	Matching elements of clauses			
2	This book	attempts to provide a short history		of everybody for the last 13,000 years.
6	Most books	that set out to recount world history	concentrate on histories	of literate Eurasia and North African societies.
<b>Constant</b>				
	Book/books	try to explain history		of group of people
<b>Variable</b>				
	which book			whose history

**Table 8: matching relations in lines 2 and 6 of Diamond (1998)**

The formatting of the Tables 7 and 8 is intended to draw attention to the similarities between the clauses in terms of construction by pointing out what remains constant as well as what is variable and hence contrasted. The tables are based on examples found in Hoey (1983). This means of using similar sentence construction to draw a reader's attention to comparisons between propositions and hence to create texture is very common (Hoey, 1983; Winter, 1994). This book preface makes use of this technique several times, mainly to contrast favourably the approach to history taken in this book with the inferior, narrower approach taken by most other books on world history. Other pairs or groups of clauses which make use of matching relations to draw comparisons are: lines 7 and 9; clauses 15 and 16; and the three clauses in line 17 (see Appendix 5). In the case of lines 7 and 9 the comparison is made more obvious by the use of the conjunctive adjunct 'also', while the link between lines 15 and 16 is made explicit by the formula 'It is not the case that...', which here acts not only as a sort of 'thematised comment' (Thompson, 1996; 129) but also to lead the reader to expect a statement of the 'true' state of affairs, which is then introduced by the conjunctive adjunct 'Instead'; this is an example of the Hypothetical-Real pattern (Winter, 1994).

Analysis of the next segment boundary in the book preface, line 10, which is shown in Extract 13, also reveals interesting use of cohesive devices.

**Extract 13** Diamond (1998)

Line #	Theme	Rheme
10	Such narrowly focused accounts of world history	suffer from three disadvantages.

The Theme of this clause offers a clear example of what Thompson (1996) calls 'encapsulation', the use of grammatical metaphor in the service of cohesion. The complex noun group with a



nominalisation, ‘accounts’, as Head summarises the content of the previous paragraph, allowing the writer in so doing to add his comment and move his argument forward. The Rheme completes the bridging process between the preceding paragraph and those to come by promising ‘three disadvantages’, which the reader can expect to be elaborated on below. This makes the identification of the following two segment-boundary lines, lines 11 and 14, a straightforward process, since they are labelled ‘First’ and ‘Second’. There are even elements of these two clauses that suggest the writer has attempted to construct them along similar lines for purposes of comparison, this can be seen in Extract 14.

**Extract 14** Diamond (1998)

Line #	Theme	Rheme
11	First, increasing numbers of people today	are, quite understandably, interested in other societies besides those of western Eurasia.
14	Second, even for people specifically interested in the shaping of the modern world,	a history limited to developments since the emergence of writing cannot provide deep understanding.

The main motivation for including the concessive circumstantial adjunct in the Theme of line 14 seems to be to ‘match’ it in some way to the Theme of line 11 through the mention of which people the idea is relevant to – the repetition of ‘interesting’ appears to confirm this. The extra information provided does not seem to be vital to the development of the argument at this stage.

A final indication that the book preface is a more cohesive text and builds its argument more carefully is found when the lines identified as starting each segment in Tables 5 and 7 are combined to produce a ‘summary’ of the overall text (see Appendix 6) . This is an idea derived from Hoey (1991) although it does not employ the same criteria for choosing ‘key’ sentences. In the case of the television programme, the resulting text has a number of cohesive problems, not to mention problems in the area of coherence resulting from the final question. In contrast, the summary composed of the key clauses from the book preface can be read as a cohesive, coherent text in its own right.

## **7. Conclusion**

As sections 4 to 6 indicate, even when two texts are very close in terms of field and tenor, a variation in mode, in this case the difference between a text that is written to be read and one that has been written to be listened to, can have implications at all levels of lexico-grammatical realisation. In this case, the mode shift from spoken scripted to written is accompanied at the experiential level by a movement away from congruency to more ‘scientific’, less common sense realisations; this is mirrored by a more sophisticated use of textual resources. Interestingly, it is at the level of interpersonal realizations that the two texts seem to share the most characteristics, both in terms of the writer/speaker-audience relationship that they construe and the means by which they try to build on and exploit this relationship. It is important to note, however, that this analysis is limited in scope; more could be revealed particularly about how the television programme through a multimodal analysis studying the various images used and their meanings.

## Appendices

		<b>page</b>
<b>Contents:</b>	<b>Appendix 1 – Source texts with numbered lines</b>	<b>17</b>
	<b>Appendix 2 – Overviews of participants, processes and circumstances in both texts</b>	<b>19</b>
	<b>Appendix 3 – Analysis of Appraisal resources employed in texts</b>	<b>23</b>
	<b>Appendix 4 – Lexical and identity chain analysis of texts</b>	<b>26</b>
	<b>Appendix 5 – Further matching clauses from Diamond (1998)</b>	<b>28</b>
	<b>Appendix 6 – ‘Summaries’ of texts</b>	<b>29</b>

### Appendix 1: Source texts with numbered lines

For ease of reference, the source texts have been divided into their constituent lines which have been numbered.

#### **National Geographic ‘Guns, Germs and Steel: Based on the book by Jared Diamond’ (2005) Introduction**

Line #	
1	Modern history has been shaped by conquest, the conquest of the world by Europeans.
2	The conquistadors led the way, a few hundred men who came to the New World and decimated the local population.
3	The secret of their success: guns, germs and steel.
4	Ever since, people of European origin have dominated the globe, with the same combination of military power, lethal microbes, and advanced technology.
5	But how did they develop these advantages in the first place?
6	Why did the world ever become so unequal?
7	These are questions that Professor Jared Diamond has spent more than 30 years trying to answer.
8	One of the most original thinkers of our age, Diamond has travelled the world looking for clues.
9	He set himself a daunting task: to peel back the layers of the past and explore the very roots of power in the modern world.
10	[Jared Diamond speaks:] ‘Whatever I work on for the rest of my life, I can never work on questions as fascinating as the questions of guns, germs and steel because they’re the biggest questions of human history.’
11	What separates the haves from the have-nots?
12	How have guns, germs and steel shaped the history of the modern world?

**Guns, Germs and Steel (Diamond, 1998; 9-10), Preface**

Line #	
1	WHY IS WORLD HISTORY LIKE AN ONION?
2	This book attempts to provide a short history of everybody for the last 13,000 years.
3	The question motivating the book is: Why did history unfold differently on different continents?
4	In case this question immediately makes you shudder at the thought that you are about to read a racist treatise, you aren't; as you will see, the answers to the question don't involve human racial differences at all.
5	The book's emphasis is on the search for ultimate explanations, and on pushing back the chain of historical causation as far as possible.
6	Most books that set out to recount world history concentrate on histories of literate Eurasia and North African societies.
7	Native societies of other parts of the world – sub-Saharan Africa, the Americas, Island Southeast Asia, Australia, New Guinea, the Pacific Islands – receive only brief treatment, mainly as concerns what happened to them very late in their history, after they were discovered and subjugated by western Europeans.
8	Even within Eurasia, much more space gets devoted to the history of western Eurasia than of China, India, Japan, tropical Southeast Asia, and other eastern Eurasian societies.
9	History before the emergence of writing around 3,000 B.C. also receives brief treatment, although it constitutes 99.9% of the five-million-year history of the human species.
10	Such narrowly focused accounts of world history suffer from three disadvantages.
11	First, increasing numbers of people today are, quite understandably, interested in other societies besides those of western Eurasia.
12	After all, those "other" societies encompass most of the world's population and the vast majority of the world's ethnic, cultural and linguistic groups.
13	Some of them already are, and others are becoming, among the world's most powerful economies and political forces.
14	Second, even for people specifically interested in the shaping of the modern world, a history limited to developments since the emergence of writing cannot provide deep understanding.
15	It is not the case that societies on the different continents were comparable to each other until 3,000 B.C., whereupon western Eurasian societies suddenly developed writing and began for the first time to pull ahead in other respects as well.
16	Instead, already by 3,000 B.C., there were Eurasian and North African societies not only with incipient writing but also with centralized state governments, cities, widespread use of metal tools and weapons, use of domesticated animals for transport and traction and mechanical power, and reliance on agriculture and domestic animals for food.
17	Throughout most of all parts of other continents, none of those things existed at that time; some but not all of them emerged later in parts of the Native Americas and sub-Saharan Africa, but only over the course of the next five millennia; and none of them emerged in Aboriginal Australia.
18	That should already warn us that the roots of western Eurasian dominance in the modern world lie in the preliterate past before 3,000 B.C.
19	(By western Eurasian dominance, I mean the dominance of western Eurasian societies themselves and of the societies that they spawned on other continents.)

## Appendix 2: Overviews of participants, processes and circumstances in source texts

### Overview of participants, processes and circumstances in National Geographic (2005)

Participants		Processes	Circumstances
<u>Actors / Agents</u> Conquest of the world by Europeans Guns, germs and steel <i>what</i> Conquistadors x 3            Europeans/people of European origin x2 Prof J.D. x3?+ (one of the most original thinkers of our age)		<u>Material</u> shape x 2 separate work (on) x2 explore peel back set travel develop dominate decimate Come lead	<u>Manner</u> how x2 from the have nots with the same combination of military power, lethal microbes and advanced technology
<u>Goals</u> the history of the world                    Modern history the haves <i>Whatever (life's work?)</i> questions of guns, germs and steel Questions (other than guns, germs and steel) The roots of power                            The layers of the past Advantages                                    The globe The native population                        the way The task of peeling back the layers of the past & exploring the roots of power in the modern world			<u>Extent</u> for the rest of (Jared Diamond's) life ever since the conquest of the New World more than 30 years
<u>Beneficiaries</u> Prof J.D. / himself	<u>Ranges</u> The world		<u>Cause</u> why
<u>Sensors</u> Jared Diamond	<u>Phenomena</u> Clues		<u>Location</u> to the New World
<u>Speakers</u> Jared Diamond	<u>Verbiage</u> Questions	<u>Verbal</u> Answer	
<u>Tokens</u> questions of guns, germs, and steel how did they develop these advantages in the first place? Why did the world ever become so unequal? guns, germs and steel.		<u>Relational</u> 're Are become	
<u>Values</u> Questions J.D. has spent 30 years trying to answer The biggest questions of human history The secret of their success			
<u>Carriers</u> The world			
<u>Attributes</u> Unequal			

## **Overview of participants, processes and circumstances in the preface of *Guns, Germs and Steel* (Diamond, 1998)**

These have been divided up for ease of reference

### **1. Material processes**

<b>Participants</b>	<b>Verbs construing material processes</b>
<u>Actors / Agents</u> European societies western Eurasian societies x2 western Europeans history writing, centralized states, cities etc. x 3 History before the emergence of writing around 3,000 B.C. Native societies of other parts of the world – sub-Saharan Africa, the Americas, Island Southeast Asia, Australia, New Guinea, the Pacific Islands This question (why did history unfold differently on different continents?)	<u>Material</u> a) 'happening' (intransitive clauses) emerge exist happen unfold pull ahead  b) 'doing' (transitive clauses) spawn develop receive x2 (get) devote(d) to discover subjugate push back  c) causative make (someone) shudder
<u>Goals</u> Societies Writing Native societies of other parts of the world – sub-Saharan Africa, the Americas, Island Southeast Asia, Australia, New Guinea, the Pacific Islands x2 the chain of historical causation	
<u>Beneficiaries</u> to the history of western Eurasia than of China, India, Japan, tropical Southeast Asia, and other eastern Eurasian societies	
<u>Ranges</u> brief treatment x2 much more space	

### **2. Behavioural, Mental, Verbal processes**

<b>Participants</b>	<b>Verbs construing processes</b>
<u>Behaver</u> You (the reader)	<u>Behavioural</u> Shudder
<u>Sensors</u> us (writer + audience)  increasing numbers of people today world history books  you (the reader) x2 the book	<u>Phenomena</u> The fact that writing, centralized states, cities ... emerged in some places later than in others other societies besides those of western Eurasia histories of literate Eurasia and North African societies a racist treatise x2 the question (why did history unfold differently on different continents?)
<u>Speakers</u> (World history) books	<u>Mental</u> warn  be interested in  concentrate on  read x2 motivate  <u>Verbal</u> Recount

### 3. Relational processes

Participants		Verbs construing relational processes
<u>Tokens</u> Western Eurasian dominance  'other' societies besides those of western Eurasia.  History before the emergence of writing around 3,000 B.C. Why did history unfold differently on different continents?	<u>Values</u> the dominance of western Eurasian societies themselves and of the societies [[that they spawned on other continents.]] most of the world's population and the vast majority of the world's ethnic, cultural and linguistic groups. 99.9% of the five-million-year history of the human species the question motivating the book	<u>Relational</u> mean  encompass  constitute  is
<u>Carriers</u>  the roots of western Eurasian dominance in the modern world societies outside Europe  societies on the different continents world history  The book's emphasis  accounts of world history that do not focus on prehistory or on parts of the world outside Eurasia/N. Africa the answers to the question a history limited to developments since the emergence of writing This book	<u>Attributes</u> <u>Circumstantial:</u> in the preliterate past before 3,000 B.C.  among the world's most powerful economies and political forces. x2 comparable to each other like an onion <u>Possessive:</u> the search for ultimate explanations pushing back the chain of historical causation as far as possible three disadvantages  human racial differences deep understanding a short history of everybody for the last 13,000 years	lie  are are becoming were is  is on  is on suffer from  involve provide provide
<u>Existents</u> Eurasian and North African societies		were

#### 4. Circumstance types

Circumstance type	Instantiation
Manner	In other respects Suddenly Differently
Extent: spatial	Throughout most of all parts of other continents
Extent: temporal	until 3,000 B.C. over the course of the next five millennia as far as possible
Cause: reason	at the thought [[that you are about to read a racist treatise]] why x2
Location: place	on other continents on different continents in Aboriginal Australia. in parts of the Native Americas, and sub-Saharan Africa within Eurasia
Location: time	Later Immediately at that time (in 3000 BC) already by 3,000 B.C. for the first time
Matter	As concerns what happened to them very late in their history, after they were discovered and subjugated by western Europeans.
Accompaniment	with incipient writing with centralized state governments, cities, widespread use of metal tools and weapons, use of domesticated animals for transport and traction and mechanical power, and reliance on agriculture and domestic animals for food
Contingency	in case
Angle	for people specifically interested in the shaping of the modern world



### **Appendix 3: Analysis of Appraisal resources employed in two texts**

#### **Analysis of Appraisal in National Geographic (2005)**

##### **1. Instances of appraisal: APPRECIATION**

<b>Line #</b>	<b>Instantiation</b>	<b>Appraiser</b>	<b>APPRECIATION</b>	<b>Appraised</b>
10	fascinating	Diamond	+ reaction: quality	The questions of guns, germs and steel
10	the biggest questions	Diamond	+ valuation / reaction: impact	The questions of guns, germs and steel

##### **2. Instances of appraisal: JUDGEMENT**

<b>Line #</b>	<b>Instantiation</b>	<b>Appraiser</b>	<b>JUDGEMENT</b>	<b>Appraised</b>
1	the conquest of the world	Narrator: National Geographic viewpoint endorsed by Jared Diamond	t+ capacity	Europeans
2	led the way	Narrator	t+ capacity	the conquistadors
2	decimated	Narrator	– propriety	the conquistadors
3	success	Narrator	+ capacity	the conquistadors
4	dominate the globe	Narrator	t+ capacity	Europeans
4	military power	Narrator	t+ capacity	Europeans
4	advanced technology	Narrator	t+ capacity	Europeans
5	advantages	Narrator	+ capacity	Europeans
6	unequal	Narrator	– propriety	The world(‘s political situation)
7	has spent more than 30 years trying to answer	Narrator	t+ tenacity	Jared Diamond
8	original thinker	Narrator	+ capacity	Jared Diamond
8	has travelled the world looking for clues	Narrator	t+ tenacity	Jared Diamond
9	He set himself a daunting task: to peel back the layers of the past and explore the very roots of power	Narrator	t+ tenacity	Jared Diamond
11	the haves	Narrator	+ normality	Not specified: probably Europeans
11	the have-nots	Narrator	– normality	Not specified: probably non-Europeans

### 3. Instances of appraisal: AFFECT

Line #	Instantiation	Appraiser	AFFECT	Appraised
4	lethal	Narrator	– insecurity: disquiet	Germs (carried by Europeans)

### Analysis of Appraisal in Diamond (1998)

#### 1. Instances of appraisal: APPRECIATION

Line #	Instantiation	Appraiser	APPRECIATION	Appraised
7	brief treatment	Diamond	t– composition: complexity	Most history books
8	much more space gets devoted to the history of western Eurasia than of China, India, Japan, tropical Southeast Asia, and other eastern Eurasian societies	Diamond	t– composition: balance	Most history books
9	brief treatment	Diamond	t– composition: complexity	Most history books
10	narrowly focused	Diamond	t– composition: complexity	Most history books
10	suffer from three disadvantages	Diamond	– composition	Most history books
13	(the world's most) powerful (economies and political forces)	Diamond	+ valuation	(some) societies outside western Eurasia
14	limited	Diamond / people interested in history	– composition: complexity	Most history books
14	cannot provide deep understanding	Diamond / people interested in history	– composition: complexity	Most history books
15	pull ahead	Diamond	+ valuation?	Western Eurasian societies

## 2. Instances of appraisal: JUDGEMENT

Line #	Instantiation	Appraiser	JUDGEMENT	Appraised
4	racist	reader	– propriety	the book
4	don't involve human racial differences	Jared Diamond (book author)	t+ propriety	the book
5	the search for ultimate explanations	Diamond	t+ tenacity	the book
5	pushing back the chain of historical causation as far as possible	Diamond	t+ tenacity	the book
7	subjugated	Diamond	– propriety	Western Europeans
16	societies with incipient writing, centralized state governments, cities, widespread use of metal tools and weapons, use of domesticated animals for transport and traction and mechanical power, and reliance on agriculture and domestic animals for food	Diamond	t+ capacity	Eurasian & North African societies in 3000 B.C.
18, 19	Western European dominance	Diamond	t+ capacity	

## 3. Instances of appraisal: AFFECT

Line #	Instantiation	Appraiser	AFFECT	Appraised
4	shudder	reader	– inclination	the book
11	are interested	increasing numbers of people	+ satisfaction: interest	Societies outside western Eurasia

## **Appendix 4: Lexical and identity chain analysis**

### **1. Selected lexical sets + identity chains in National Geographic (2005)**

<b>Line #</b>	<b>Europeans &amp; others</b>	<b>Military conquest</b>	<b>Professor Diamond</b>	<b>Questions &amp; Answers</b>	<b>Making an effort</b>
1	Europeans	the conquest			
2	the local population	The conquistadors Decimated			
3		Guns			
4	people of European origin	Dominated military power			
5	(they)				
6					
7			Professor Jared Diamond	questions answer	spent more than 30 years trying
8			Diamond	looking for clues	Travel the world looking for clues
9		Power	He, himself		a daunting task explore/peel back
10		guns	I, my, I	questions the questions the biggest questions	work on
11	the haves the have-nots				
12		guns			

## 2. Selected lexical sets + identity chains in Diamond (1998)

Line #	(Retelling) history	Geographical Locations	Europeans & other societies	Time reference	Writing / literacy
2	provide a short history			the last 13,000 years	
3	history	Continents			
4					
5	The chain of historical causation				
6	Recount world history Histories		Eurasian & N. African societies		Literate
7	brief treatment history	Sub-Saharan Africa, the Americas...	Native societies Western Europeans	Very late in their history	
8	The history of	within Eurasia	Western Eurasia / India, China, etc. societies		
9	history brief treatment			around 3000 BC	emergence of writing
10	accounts of world history				
11			Other societies besides those of western Eurasia		
12			Other societies the world's ethnic, linguistic, and cultural groups		
13			(some of them)		
14	History (cannot provide deep understanding)				the emergence of writing
15		(different continents)	Societies on different continents western Eurasian societies	until 3,000 B.C.	developed writing
16			Eurasian & North African societies	by 3,000 B.C.	incipient writing
17		parts of other continents Native Americas and sub-Saharan Africa in Aboriginal Australia		at that time later over ... the next five millennia	
18		modern world	(western Eurasian)	before 3,000 B.C	preliterate
19		(western Eurasian) On other continents	western Eurasian societies		

## **Appendix 5: Further instances of matching relations in Diamond (1998)**

### **1. Matching relations in lines 7 and 9, Diamond (1998)**

<b>Line #</b>	<b>Matching elements of respective clauses</b>		
7	Native societies of other parts of the world – sub-Saharan Africa, the Americas, Island Southeast Asia, Australia, New Guinea, the Pacific Islands –		receive only brief treatment
9	History before the emergence of writing around 3,000 B.C.	also	receives brief treatment
<b>Constant</b>			
	Subjects that history books discuss		[repetition]
<b>Variable</b>			
	What the subject is		

### **2. Matching relations in lines 15 and 16, Diamond (1998); some licence has been taken with the word order to make the matching relation more obvious**

<b>Line #</b>	<b>Matching elements of respective clauses</b>				
15	It is not the case that	until 3,000 B.C.	Societies on the different continents were comparable to each other	whereupon western Eurasian societies suddenly developed writing	and began for the first time to pull ahead in other respects as well.
16	Instead,	already by 3,000 B.C.,	there were Eurasian and North African societies	not only with incipient writing	but also with centralized state governments, cities, widespread use of metal tools and weapons, use of domesticated animals for transport and traction and mechanical power, and reliance on agriculture and domestic animals for food.
<b>Constant</b>					
		Time period	Societies	Writing developed	Other developments related to 'civilization'
<b>Variable</b>					
			Which societies		

**3. Matching relations in line 17, Diamond (1998); some word order changes have been made to make the relations more obvious**

17 a	Throughout most of all parts of other continents	none of those things existed	at that time
17 b	in parts of the Native Americas and sub-Saharan Africa	some but not all of them emerged	later, but only over the course of the next five millennia
17 c	in Aboriginal Australia	none of them emerged	
<b>Constant</b>			
	Geographical location	Emergence of trappings of 'civilization'	Time reference
<b>Variable</b>			
	Which location	Extent to which they emerged	When

**Appendix 6: 'Summaries' of two texts made by combining segment initial lines**

**1. 'Summary' of preface extract of 'Guns, germs and steel' (Diamond, 1998)**

This book attempts to provide a short history of everybody for the last 13,000 years. Most books that set out to recount world history concentrate on histories of literate Eurasia and North African societies. Such narrowly focused accounts of world history suffer from three disadvantages. First, increasing numbers of people today are, quite understandably, interested in other societies besides those of western Eurasia. Second, even for people specifically interested in the shaping of the modern world, a history limited to developments since the emergence of writing cannot provide deep understanding.

**2. 'Summary' of introduction to National Geographic television programme, 'Guns, germs and steel'**

Modern history has been shaped by conquest, the conquest of the world by Europeans. But how did they develop these advantages in the first place? These are questions that Professor Jared Diamond has spent more than 30 years trying to answer.

'Whatever I work on for the rest of my life, I can never work on questions as fascinating as the questions of guns, germs and steel because they're the biggest questions of human history.'

What separates the haves from the have-nots?

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