THE UNIVERSITY OF DANANG
UNIVERSITY OF FOREIGN LANGUAGE STUDIES

ĐANEL THỊ THỦY TRÂM

AN INVESTIGATION INTO RELATIONAL
PROCESS MANIFESTED IN “TO KILL A
MOCKINGBIRD” BY HARPER LEE
IN LIGHT OF FUNCTIONAL GRAMMAR

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CHAPTER 1
INTRODUCTION

1.1. RATIONALE

1.2. AIMS AND OBJECTIVES

1.2.1 Aims

The research aims to:

- investigate the features of the relationships between elements of the R. P. in the novel “To Kill a Mockingbird” by Harper Lee (1960).

- make a minuscule contribution to learner and teacher in identifying as well as analyzing the R.P in light of F. G.

- support translator to have an appropriate choice of comprehension the R. P..

1.2.2 Objectives

To obtain these aims, the study is expected to

- to analyze the clauses manifesting relational processes into elements including carrier, attribute, identifier, identified, process and circumstance.

- to classify them into subtypes and construe the relationships between elements.

- to discuss and find out the relationships and configurations to discover the analyzing methods to realize and comprehend all R. P subtypes.

1.3. RESEARCH QUESTIONS
1. How are relational processes manifested in “To Kill a Mockingbird” novel?
2. What are the elements of the relational processes in the novel “To Kill A Mockingbird”?
3. What are the relationships between elements in the R. P.?

1.4. SCOPE OF THE STUDY

Syntactically, the study concentrates on the R.P analysis in the novel “To Kill A Mockingbird” to discover the relationships between elements and their roles in the process. All relational clauses satisfying the criteria of R. P are collected and analyzed.

1.5. SIGNIFICANCE OF THE STUDY

The research is expected to have a minor contribution to the linguistic community about F.G., especially, the R.P. Moreover, my research is expected to provide learning and teaching the transitivity system, especially the R.P, with the way to interpret and analyze relational clauses in practical context.

1.6. ORGANIZATION OF STUDY

Chapter 1: Introduction
Chapter 2: Literature Review and Theoretical Background
Chapter 3: Research Design and Methodology
Chapter 4: Finding and discussion
Chapter 5: Conclusions and implications
CHAPTER 2
LITERATURE REVIEW AND THEORETICAL BACKGROUND

2.1. LITERATURE REVIEW

In “An Introduction to Functional Grammar” Halliday (2014) presented various optional structures to make sense of the meaning of clause or speech.


2.2. THEORETICAL BACKGROUND

2.2.1. Introduction to the novel “To Kill a Mockingbird”
2.2.2. Introduction to Systemic Functional Grammar
2.2.3. Three Metafunctional Lines of Meaning
   - The Ideational Metafunction
   - The Textual Metafunction
   - Definitions of Some Elements in Functional Grammar
2.2.4. The Experiential Line of Organization: Transitivity
According to Halliday (2014), the transitivity system includes three main processes:
- Material processes are processes of “doing”.
- Mental processes are processes of “experiencing” or “sensing”.
- Relational processes are processes of “being” and “having”.

In addition, three boundaries among the main processes are identified as three further processes.
- Behavioural processes which are on the borderline of material and mental processes represent the outer manifestation of inner workings like “laughing” or “sleeping”.
- Verbal processes which are on the borderline of mental and relational processes, constructed in human consciousness and enacted in the form of language like “saying” or “meaning”.
- Existential processes which are on the borderline of relational and material processes, by which phenomena of all kinds are recognized to “be”- to exist or to happen.

2.2.5. Classifications of the Relational Process

Roles of Elements in the Process
+ Participants: are those elements denoting who or what is directly involved in the process.
+ Circumstances: contribute additional and frequently optional, information regarding the who, where, when, how and etc, of the process.
+ Carrier: is an entity having some class ascribed or attributed to it
+ Attribute: is the one that is ascribed to some entity, either as a quality, circumstance or a possession.
+ Identified and identifier: Halliday (2014) labels the element that is identified, as the Identified, and the element that serves as identity, as Identifier.

### 2.2.5.1. Intensive Clauses

#### a. Attributive

Two participants in ‘attribute’ clause are carrier and attribute. The nominal group functioning as attribute construes a class of thing and is typically indefinite: it has either adjective or a common noun as Head but pronoun or proper noun. Besides, the interrogative probe for such clauses is like “*What is Paula?*”, “*How did the minister seem?*”, “*What will today’s weather be like?*”....(Halliday, 2014: 22). This pattern is not able to be reversible as ‘identifying’ clause. Below is the functional analysis of an intensive clause as attribute pattern.

The Intensive Attributive clauses are explained in three classifications relying on the form of Attribute, verbal group and clause structure.

- Membership specification: entity/ quality
- Phase of Attribute: neutral/ phased
- Domain of Attribute: material/ semiotic

#### b. Identifying

Intensive Identifying clauses can be reversed by exchange the position of two identified and identifier with “*being*” process.
However, if the process is a transitive verbs, passive voice is used to reverse the clauses.

One of the significant features of Identifying mode is Token and Value. Halliday (2014) states that Token is labeled as lower “expression” and Value is seen as higher “content” in the grammar. When construing clauses, people simultaneously analyze Identified/Identifier and Token/Value.

2.2.5.2. Possessive Clauses

According to Halliday (2014), in the possessive type, the relationship between the two terms is one of the ownership and one entity possesses another. Furthermore, possessive clauses are construed in both the attribute and identifying mode. In these clauses, possession stands in the position of process or participants.

a. Attributive

In the attribute mode, the possessive relationship may be construed either as attribute or process. Specifically, in the clauses having possession as the process, the thing possessed is carrier and the possessor is Attribute.

Identifying

In the identifying mode, the possession takes the form of a relationship between two entities as a feature of the participants or a feature of the process.

2.2.5.3. Circumstantial Clauses

Attributive
In the attributive mode, the circumstantial element is an attribute that is being ascribed to some entity. The attribute in these clauses is realized by a prepositional phrase, in which the circumstantial relation is expressed by the preposition. In addition, the attribute is also employed by a nominal group and the circumstantial relation is expressed by the lexical verb in the verbal group serving as the process.

a. Identifying

In the identifying mode, the circumstance takes the form of a relationship between two entities; one entity is being related to another by a feature of time, place or manner. The relationship is expressed either as a feature of participants or as a feature of process
CHAPTER 3
RESEARCH DESIGN AND METHODOLOGY

3.1. RESEARCH DESIGN
This study uses the descriptive method to analyze and display all elements and their relationships adopted by categories in relational clauses. Besides, the quantitative and qualitative researches are associated to draw the frequency and characteristics of relational process subtypes.

3.2. SAMPLING
- “To Kill A Mockingbird” by Harper Lee (1960) is the source of data.
- There will be 737 samples in “To Kill A Mockingbird” novel.
- All clauses satisfying the criteria of R.P were collected. A sample of relational clause has a general structure as:
  (+)(-)circumstance+participant1+relational process+participant 2
  (+)(-)circumstance

3.3. DATA COLLECTION
- All data was picked up from the e-version of the novel “To Kill a Mockingbird”.
- The data were divided in to the subtypes of R.P.
- Instruments for data collection

3.4. DATA ANALYSIS
The expressions of R.P was analysis in the following process:
- Investigating the meaning of verbs in relational clauses in dictionaries to choose the meaning appropriate for the characteristic of the R.P.

- Identifying the R.P in data source as well as its components.

- Analyzing carefully the relationships between these components.

- Choosing the particular cases with high frequency to illustrate for the typical features.

- Discussing and finding the results to answer the research questions.

**3.5. RESEARCH PROCEDURES**

The research is put into the following procedures:

- Reviewing literatures to find out the relation of this study to previous ones, especially, the most appreciate theory.

- Setting up research questions and identifying the key words of the study.

- Building up the framework for the study.

- Collecting and analyzing the data following to the category.

- Finding and discussing the relationships between elements in relational processes.

**3.6. RELIABILITY AND VALIDITY**

In terms of reliability, the PDF file of the e-book novel “To Kill A Mockingbird” including 285 pages was downloaded from . the website informing that “the PDF Drive is operated by Asaha Inc.”
located at 6888 Friars rd. unit 307, San Diego, CA 92108, United States”. It is well-known and trusted by a large number of readers in the world. All samples were taken from this e-version. Therefore, the data are reliable and everyone can feel like easy to look for it in the original resource. In terms of validity, all relational clauses collected and analyzed from this novel are satisfied with the content in the theoretical background from Chapter 2.
CHAPTER 4
FINDINGS AND DISCUSSIONS

After elaborately collecting and calculating all relational clauses in the novel “To Kill a Mockingbird”, the statistic displays totally 737 samples related to the R. P

4.1. INTENSIVE CLAUSES: ATTRIBUTIVE

According to Halliday (8), Intensive Attributive clauses selection are relied on the features of components in the form

*Carrier* + *Process* + *Attribute*

(i) The nominal group functioning as Attribute construes a class of thing and typically indefinite.
(ii) The lexical verb in the verbal group realizing the process is: be, feel, become, seem, grow and etc.
(iii) The interrogative pronouns such as what?, how? or what…like?.
(iv) The clauses are not reversible

Thus, there are 417 samples satisfying these criteria and they are classified due to the functions and meaning of attribute in relational clauses.

4.1.1. Membership Specification

4.1.1.1. Entity

When a reference of an entity as the attribute specifies the carrier, it is realized by a nominal group with *Thing* as *Head*.

4.1.1.2. Quality

Besides Entity Attribute, there is a kind of attribute referring the quality of the carrier called Qualitative Attribute. It has
an *Epithet* as *Head* that is realized by an adjective or a participle verb form. From statistic Table 4.1, it can be seen that Intensive Attributive Clauses made up the highest percentage. Specifically, the Qualitative Attribute has 206 samples in total of 417 samples of Intensive Attributive clause. In some cases, when an Attribute with *Thing* as *Head* indicates qualitative characterizations, it seems not to be an Entity Attribute but rather than a Qualitative Attribute. Thus, it is usually a nominal group having an adjective to modify a noun.

Similarly, if the Attribute is an indefinite pronoun like thing, something, anything, someone, somebody, anyone, anybody …, or a general noun, it is necessary to be followed by an adjective clause.

In comparative structures, the Attribute is expanded by the adverb like *as, more, most, less, least* with the modifying assistance of *as, than, for, like*.

The relationship between an Attribute and a *Qualifier* is closer than that between an Attribute and a *Circumstance*. A *Qualifier* cannot be separated from Attribute and it is also a compulsory part in the nominal group as Epithet. Nevertheless, a *Circumstance* is an optional component in the clause.

**4.1.2. Phase of Attribution**

**4.1.2.1. Neutral**

In term of time, the Attribute also demonstrates the temporal growth in the R. P.. In unmarked theme, the Attribute is seemed to be *neutral*, if the temporal feature is unspecified.

**4.1.2.2. Phased**
In contrast to *Neutral*, the phase unfolded in *temporal sequence, appearance and sense perception* is manifested through verbal group related to. The three following phased relations are relevant to three concepts above

4.1.2.3. Domains of Attribution

In terms of the nature of unfolding, the material process can construe the outer experience and the mental process can explicate the inner experience. Meanwhile, the R.P can either explain the inner or outer experience.

4.2. INTENSIVE CLAUSES: IDENTIFYING

4.2.1 Token and Value

In terms of semantics, all Intensive Identifying clauses probably have Token and Value indicating the “expression” and “content” to two participants. Furthermore, the clause is regarded as “decoding” one if the Token is Identified and “encoding” one if the Value is Identified.

4.2.2. Subtypes of Intensive Identifying Clauses

Semantically, it is similar to Intensive Attributive clauses in the fact that there are various subtypes of Intensive Identifying clauses in terms of experiential meanings of Token and Value.

4.2.3. Assignment

As above mentioned, Assignment is quite unusual in both identifying and attributive clauses of the intensive kind. It permits some material verbs to be able to join the R. P. with the appearance
of the third participant named “Attributor” in attributing clauses and “Assigner” in identifying clauses.

\[ \text{Verb}_{\text{Process}} + Sth/Sb_{\text{Carrier}} + \text{Adj}/Sth_{\text{Attribute}} \]

\[ \text{Verb}_{\text{Process}} + Sth/Sb_{\text{Identified}} + Sth_{\text{Identifier}} \]

4.3. CIRCUMSTANTIAL CLAUSES: ATTRIBUTIVE

4.3.1. Circumstance as Attribute

The typical verbal group of this case is “being”, so the element determining Circumstantial clauses is Attribute. The attribute can be a prepositional or an adverbial group

4.3.2. Circumstance as Process

When the Attribute is a nominal group, the Circumstantial Attributive clauses are constituted by the Process as a circumstantial verbal group.

4.4. CIRCUMSTANTIAL CLAUSES: IDENTIFYING

In Circumstantial Identifying clauses, the relationship between Identified and Identifier elements are manifested in terms of time, place or manner with the form \( \text{Identified} + \text{Process} + \text{Identifier} \). Being similar to Circumstantial Attributive clauses, this kind of the R.P is seen from two aspects that are Cir. as Participants and Cir. as Process.

4.4.1. Circumstance as Participants

Syntactically, Circumstantial Identifying clauses with Cir. as Participants share the same features with Intensive Identifying clauses.
4.4.2. Circumstance as Process

The verbal groups in this type refer to the expressions of *time, place, manner* and *other circumstantial features* so they are considered as the circumstances of the relational clauses. In terms of voices, some clauses are reversed for the passive voice, but they are not common.

4.5. POSSESSIVE CLAUSES: ATTRIBUTE

4.5.1. Possession as Attribute

The Attribute component to express the possessive relation is the possessed thing and possessor one that are determined by nominal groups. Therefore, the Attribute and Identifying mode are not explicitly different from each other. The dominant verb in this type is still “be”.

4.5.2. Possession as Process

Beside “be”, other verbal groups have function of conveying the possessive relationship between two participants like *have, lack, need, deserve, contain* and *etc*. In this case, the Process component is regarded as possession to express the relation of the Carrier as possessor and the Attribute as possessed.

4.6. POSSESSIVE CLAUSES: IDENTIFYING

4.6.1. Possession as Participants

As mentioned in 4.5.1, the possession as participants in Possessive Identifying clauses is quite similar to one in Possessive Attributive clauses. However, the reversible nature of Identifying mode can figure out the Possessive Identifying clauses.
4.6.2. Possession as Process

In this type, the Possession is expressed by possessive verbs like *possess, own* and *consist of*. Unlike the type presented in section 4.6.1 above, most of clauses here have Token as *Possessor* thing and Value as *Possessed* thing.

4.7. CLASSIFICATION OF COMPONENTS

In each subtypes of the R.P, there are some typical verbs defining what classification the clauses containing them are belonged to. Table below presented all kind of verbs, participants and circumstance appearing in relational clauses in the novel.

From the table 4.35., it can be seen that “being” is the most typical verbal group in Process position. Semantically, there is a tendency of dividing other verbal groups into two tendencies: *physiological perception* and *psychological one*. 
5.1. CONCLUSIONS

1. In Halliday’s R. P. (2014), there are 3 main types: intensive, circumstantial and possessive and 2 modes: identifying and attribute, which sets up 6 subtypes of relation. All these subtypes were explored in the novel with different frequencies.

2. The study not only applied the Halliday’s R. P. to analyze the practical work but also discover some more verbs serving it.

3. It is clear to see that “being” is the most typical verbal group in Process position. Semantically, the other verbal groups were divided into two tendencies: physiological perception and psychological one.

4. Because the R. P. has an overlap with the mental and material one, an attention should be paid to the structures of some verbs and the phrases following them when they are analyzed. To deal with this problem, the study has figured out some ways to realize relational process and also given learners some irregular cases so that they can semantically compare the completely difference between a verb in relational clauses and that in mental or material clauses.

5. In each subtype, we have found some prominent features in both relationships between participants and the structure of these components.

a) Intensive Clause: Attribute
- Quality and entity Attribute can be discriminated by some structures:

  + Entity Attribute:
    - a/an + N(singular)/N(plural)
    - a/an + N of N
    - Who+be…? What+be….?

  + Quality Attribute:
    - (adv) adj, Vpp
    - (a/an) + adj + N(singular)/N(plural)
    - indefinite pronoun/ general noun + adj clause
    - nominal clause
    - comparison
    - qualifier: adj/N +preposition phrase

- Neutral and phased Attribute can be realized by some verbal groups:

  + When the temporal feature is unspecified, neutral Attribute can come after be, feel, make, prove and ensure.

  + Phased Attribute is divided into three terms and they rely on following verbs:
    - the development of time: become, remain, turn (into), grow (into), get, go, fall, run, stay (as), keep.
    - the appearance: seem, appear, qualify as, turn out, end up (as), grow.
    - the sense perception: look, sound, smell, taste (like).
- Domains of Attribution express the boundary between relational process and mental/material one through “being”. In these clauses, the Attribute is an adjective relating to mental process and it is supported by a material clause.

b) Intensive Clause: Identifying

- To decide Token and Value, we can replace “being” with “represent”, which is also a reasonable way to construe encoding or decoding direction. If the Token is Subject, it is decoding and if the Value is Subject, it is encoding.

- Subtypes:
  + Equation
  + Role-play
  + Naming
  + Definition
  + Symbolization
  + Exemplification
  + Demonstration

- Assignment is considered an unusual in both identifying and attributive clauses of the intensive clauses. We have found out two configurations for each of them

  + Attributive clauses have assignment relationship:
    \[
    S_{\text{Attributor}} + V_{\text{process}} + Sth/Sb_{\text{Carrier}} + Adj/Sth
    \]

  + Identifying clauses have assignment relationship:
    \[
    S_{\text{Assigner}} + V_{\text{process}} + Sth/Sb_{\text{Identified}} + Adj/Sth_{\text{Identifier}}
    \]
c) Circumstantial Clause: Attribute

- In term of “Circumstance as Attribute”, the circumstantial prepositional phrases or circumstantial adverbial ones directly combined with the Process is the Attribute. Nevertheless, if these phrases are Subject, the clauses are regarded as existential ones such as “In her place was a solid mass of colored people”.

- Circumstance as process in the Attribute clause having grammatical metaphor feature because they transfer an inner meaning relating to circumstance. Following circumstantial phrase equivalents are used to explain and realize some “circumstantial” verbs.

  - pass = be + extent in time
  - last = be + extent in time
  - take = be + extent in time
  - take = be + extent in place
  - concern = be + extent in matter

d) Circumstantial Clause: Identifying

- In identifying clauses having Circumstance as participant, we have pointed out three circumstantial relationships expressed by Token and Value in the novel. Besides, the study also provides some groups manifesting these Token and Value.

  + Temporal Circumstance: nominal group relating to time.
  + Manner Circumstance: Infinite form and nominal group relating to manner.
+ Causal Circumstance: Adverbial clause and nominal group relating to cause having an embedded clause.
- Circumstance as process in the identifying mode is the transitive verbs that are metaphorical in the aspect of grammar, because they implicate the circumstance.
  
  follow = be after
  cross = be across
  enclose = be around
  support = be in support of
  face = be opposite of
  parallel = be side by side

e) Possessive Clause: Attribute
- If Possession is expressed by Attribute, it is realized by a possessive nominal group and Carrier can be an entity or a pronoun that is possessed. The Attribute may appear in the form of following classifications
  + Possessive pronouns
  + Possessive adjectives
  + Possessive case
  + Structure “Noun of Noun”
- If Possession is manifested by Process, these clauses cannot be reversed. Some dominant verbs in this case are lack, need, deserve and contain, while “having” process is the most typical verb of Possessive Attribute clauses. However, in some contexts, “having” process implicates a mental or material relationship
between participants in the clause, so we should consider the nominal groups after “having” to decide whether it is relational or mental and material clauses.

f) Possessive Clause: Identifying

- The clause in which Possession is expressed by Participants, the typically reversible nature of Identifying mode can figure out the Possessive Identifying Clauses. Furthermore, in this area, Possessive Attributive Clauses and Possessive Identifying Clauses share a characteristic that the Token is “possessed” thing and the Value is “possessor” one.

- In Identifying Clause, if Circumstance is manifested by process, it is recognized by own and provide that can be revered through passive voice.

5.2. IMPLICATIONS

The F. G singles out the relationship between grammar and discourse semantics to be analyze and comprehend the clauses. Apparently, the transitivity including six processes guides learners to construe meaning rather than a set of rules. The R.P is the process of “being” and “having” while they are always dominant and indispensible in every text. In addition, other verbs of R.P are belonged to mental and material ones, so it is a little bit confused for learner as well as translator. Therefore, the findings and discussion of data are seen as the way to give illustrations and how to analyze each subtype of R. P. Moreover, the study is also a theory application of
R.P into practical context, which supports the translation of this process being more clearly and effectively.

On the purpose of highlighting F. G. in university as previously mentioned in Introduction section, it is the ambition of the author that the study offers implications in English teaching and learning. Teacher are hoped to access an overview of the transitivity system, especially, the R. P. so that they can help students to distinguish between it and the others. The study provides them with the amount of illustrations attached analysis method of all relational process kinds, so that these samples can be used as examples in teaching transitivity system. It also draws students’ attention to the subtypes of R. P. to have a good choice of those in learning as well as in communication. If learners are able to realize and discriminate relational process from others, they can avoid being confused in comprehend or using R. P..

5.3. LIMITATIONS OF THE STUDY

Because of manually method of collecting data and the huge amount of population, there are some data ignored. Furthermore, due to limited knowledge, some aspects of semantic features of the R.P have not deeply construed in the study. The Circumstance element has not deeply construed, because the study just focused on subtypes of process and the relation between carrier, attribute and process or identified, identifier and process.
5.4. SUGGESTIONS FOR FURTHER RESEARCH

Due to the insufficiency of the study, I find it necessary to offer a further research: An investigation into semantic feature of R.P manifested in another novel or proverbs.