



摘要

圣诞节既是一个神圣的宗教节日，又是一种遍布全球的文化和商业现象。随着圣诞节的广泛传播，大量的圣诞音乐吸引着世界各地的人们。圣诞音乐成为圣诞节不可或缺的组成部分和一个重要标志。然而迄今为止有关圣诞音乐的研究论著非常少见。大多数人甚至都不知道圣诞颂歌和圣诞歌曲之间其实存在区别。圣诞颂歌的歌词是以圣诞节乃至整个冬季为主题。颂歌的歌词常改编自基督教教义或是歌颂耶稣的诞辰。典型的圣诞颂歌至少包含一节歌词和一段合唱曲。它们常有与众不同的曲调，因为这种曲调一般源自中世纪的音弧和旋律。圣诞歌曲则是电影或其他娱乐媒体推荐的专门歌颂圣诞节的歌曲，但因其内容并不完全关乎宗教主题而没有被列入颂歌的范畴。这些圣诞歌曲形式上要比圣诞颂歌更为复杂。相比之下，圣诞歌曲不是虔诚的宗教颂歌，但是更有欢乐的节日气氛。

很少有研究学者从语言学角度对歌词这一特殊语篇形式进行研究，更别提专门对圣诞颂歌和圣诞歌曲的歌词研究。基于这种情况，这篇论文将以功能语言学理论为基础对传统圣诞颂歌和当代圣诞歌曲的歌词进行对比分析。由于圣诞颂歌和圣诞歌曲为数众多，不可能考察到全部。本文从两大类别中各选取 20 篇非常流行的歌词作为本研究的语料，并对这 40 篇样本从三个方面进行分析：语气和情态的选择、过程类型的选择和主位的选择。目的是找出两组语篇中三大元功能实现形式的异同，并指出它们各自显著的语言特点。

本文由五部分组成。第一章介绍了研究背景、研究意义、研究问题、研究方法，对圣诞颂歌和圣诞歌曲作了简单介绍并指出整篇论文的构架。第二章是文献综述，回顾了国内外研究者在歌词研究、圣诞颂歌和圣诞歌曲研究和语篇分析领域已取得的相关成就，最后对现有文献作出简短评价。第三章是理论框架，简要回顾了功能语言学的基本理论，它的六大核心思想和元功能理论。在此基础上确定了本研究的具体范围。第四章分析了所选语料中元功能的实现模式，并对两组语料进行对比分析。大量的数据和表格明了地阐述了语气分析、及物性分析和主位分析中发现的异同。数据对比之后有简明的语言阐述。第五章是结论，总结了本论文的主要发现，指出本研究的局限性并对未来相关领域的研究提出建议。

关键词：系统功能语言学，歌词，圣诞颂歌，圣诞歌曲，元功能，实现模式

Abstract

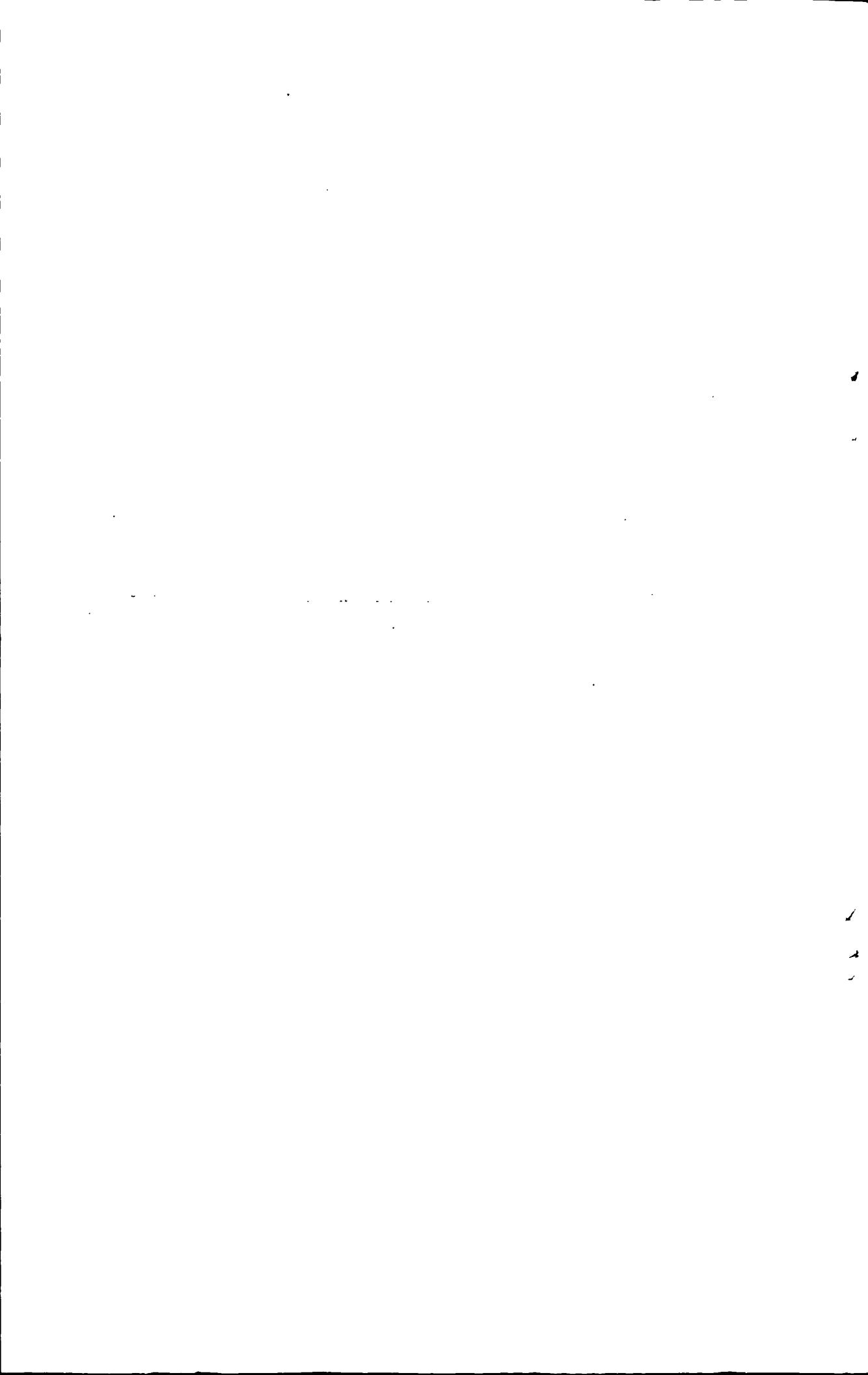
Christmas is both a sacred religious holiday and a worldwide cultural and commercial phenomenon. Along with the increasing popularity of Christmas the holiday, the flood of Christmas music is attracting people all over the world. It has become an essential part and an important symbol of Christmas. However, research findings that touch upon Christmas music have been barely available. Most people don't even know that there is actually a distinction between Christmas carols and Christmas songs. A Christmas carol is a song whose lyrics are on the theme of Christmas, or the winter season in general. Christmas carols are based on Christian lyrics and relate, in the main, to the Nativity. Christmas carols can often be sung by a choir and usually have fairly rapid, regular, simple and straightforward rhythms. A typical Christmas carol consists of at least one verse and a chorus. The carol will have a distinct tune, which is usually based on musical arrangements and chords of the Medieval period. Christmas songs, often introduced through films or other entertainment medium, are specifically about Christmas, but are typically not overtly religious and therefore do not qualify as Christmas carols. Christmas songs generally have more complex compositions than Christmas carols. A Christmas song is more festive rather than religious.

From the linguistic perspectives, very few researches have been done to study lyrics as a special text type, let alone lyrics of Christmas carols and Christmas songs. In view of this fact, this thesis, based on the theories of Systemic Functional Linguistics, attempts to make a contrastive analysis of lyrics of traditional Christmas carols and modern Christmas songs. As there are numerous Christmas carols and Christmas songs, it is impossible to examine all of them. 20 samples of great popularity have been chosen for each group as the corpus for this research. The 40 samples are investigated from three perspectives: choices of Mood and Modality, choices of process types and choices of Theme. The purpose is to find out similarities and differences in the realization patterns if the three metafunctions in texts of the two groups, pointing out striking linguistic features of each group..

This thesis consists of five parts. Chapter 1 is the introductory part, including the background of the study, the significance of the research, research questions and methodology, a brief introduction of Christmas carols and Christmas songs and the layout of the whole thesis. Chapter 2 is literature review, reviewing relevant previous

studies in lyrics, Christmas songs and Christmas carols, and Discourse Analysis. A brief evaluation is made at the end. Chapter 3 is the theoretical framework of this thesis, presenting an overview of Systemic Functional Grammar, its six core ideas, and the three metafunctions, based on which the specific scope of this research is defined. Chapter 4 analyzes the realization patterns of metafunctions in selected corpus and makes a comparison between the two groups. Statistics and figures have been given to demonstrate similarities and differences found from Mood analysis, Transitivity analysis and Theme analysis. Implications are drawn after each comparison. Chapter 5 sums up major findings of the thesis, points out the limitation and provides some suggestions for future research.

Key words: Systemic Functional Linguistics, lyrics, Christmas carols, Christmas songs, metafunctions, realization patterns



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Abstract (Chinese) I

Abstract (English) II

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Chapter 1 Introduction

1.1 Background of the research

Systemic-Functional Linguistics, or Systemic Functional Grammar, is a theory of language centered around the notion of language function. While it accounts for the syntactic structure of language, it places the function of language as central (what language does, and how it does it), in preference to more structural approaches, which place the elements of language and their combinations as central. Systemic-Functional Linguistics starts at social context, and looks at how language both acts upon, and is constrained by, this social context.

Systemic-Functional Linguistics has its origins in the main intellectual tradition of European linguistics that developed following the work of Saussure. Like other such theories, both those from the mid-20th century (e.g. Prague school, French functionalism) and more recent work in the same tradition, it is functional and semantic rather than formal and syntactic in orientation, takes the text rather than the sentence as its object, and defines its scope by reference to usage rather than grammaticality. Its primary source was the work of J.R. Firth and his colleagues in London. As well as other schools of thought in Europe, it also draws on American anthropological linguistics, and on traditional and modern linguistics as developed in China.

Its immediate source is as a development of scale-&-category grammar. The name “systemic” derives from the term SYSTEM, in its technical sense as defined by Firth (1957); system is the theoretical representation of paradigmatic relations, contrasted with STRUCTURE for syntagmatic relations. In Firth's system-structure theory, neither of these is given priority; and in scale-&-category grammar this perspective was maintained. In systemic theory the system takes priority; the most abstract representation at any level is in paradigmatic terms. Syntagmatic organization is interpreted as the REALIZATION of paradigmatic features.

Michael Halliday is a prime mover in carrying on and developing linguistic ideas stemming from Firth's theories in the London. His Systemic-Functional Grammar is a sociologically oriented functional linguistic approach and one of the most influential linguistic theories in the 20th century, exerting strong impacts on various disciplines related to language, such as language education, sociolinguistics, stylistics, artificial intelligence, speech pathology and notably, discourse analysis. The systemic functional

approach is increasingly being recognized as providing a very useful descriptive and interpretive framework for viewing language as a strategic, meaning-making resource. There is a common focus on the analysis of authentic products of social interaction (texts), considered in relation to the cultural and social context in which they are negotiated (Eggins, 2004:1). Thus the most generalizable application of systemic linguistics is “to understand the quality of texts: why a text means what it does, and why it is valued as it is” (Halliday, 1985).

According to Systemic-Functional Linguistics, language is a semiotic system: a conventionalized coding system, organized as sets of choices. Functions of language can be categorized into three major metafunctions: the **ideational**, the **interpersonal** and the **textual**. The experiential, interpersonal and textual meaning choices are realized through lexico-grammatical patterns —— systems of Mood and Modality, Transitivity patterns and Thematic choices (Eggins, 2004:1). Through the realizational relationships established between each metafunction and a grammatical system, a systemic model offers an effective tool for exploring discourse analysis to contribute to both the understanding and the evaluation of a text.

Guided by principles of Systemic-Functional Linguistics, many researchers have studied various genres of discourse, such as novels, poems, advertisements, news reports, conversations, academic discourse, thesis abstracts and etc. However, little attention has been paid to the study of song lyrics, much less concerning lyrics of Christmas songs. Few works or articles in this field are found both at home and abroad. With regard to the worldwide popularity of Christmas music, this thesis attempts to make a contrastive analysis of metafunctions in lyrics of traditional Christmas carols and modern Christmas songs.

1.2 Significance of the research

As lyrics of Christmas carols and songs have hardly been studied from the SFL perspective, this research is of great significance in the following aspects:

First, it may extend the scope of discourse studies in terms of analysis of realization patterns of metafunctions in texts of similar themes, which may broaden relevant theoretical studies through application.

Second, lyrics, as a special text type with a long history, have their independent value of discourse analysis. Through the contrastive analysis we can find lyrics have changed much along with the development of the English language.

Third, this thesis may promote a better understanding of Christmas-related culture, including its origins, major customs, development, and etc, thus providing new insights into sociolinguistic research.

Finally, in preparing and doing the research, the author has to achieve a thorough comprehension of Systemic-Functional Linguistics and a good command of lyrics of various Christmas carols and songs, which is of great value to both my self-improvement and my future studies in related fields.

1.3 Research questions and methodology

This thesis is a both qualitative and quantitative research aimed at a diachronic description of metafunctions in lyrics of traditional Christmas carols and modern Christmas songs. As there are numerous Christmas carols or songs, it is impossible to investigate all of them. With regard to the time of creation, 20 samples of great popularity are taken from each group as the corpus for this research. Statistical analyses are made to illustrate the realization patterns of the three metafunctions.

This research is intended to explore the following questions:

1. How are metafunctions realized respectively in lyrics of traditional Christmas carols and lyrics of modern Christmas songs?
2. In what ways are the realization patterns similar and in what ways are the realization patterns different?
3. What are the implications for the similarities and differences?
4. What are the striking linguistic features of lyrics of traditional Christmas carols and lyrics of modern Christmas songs?

1.4 A glimpse of Christmas carols and Christmas songs

From November onwards, it is impossible to forget that Christmas is coming. Coloured lights decorate many town centers and shops, along with shiny decorations, artificial snow painted on shop windows and Christmas music of various kinds played almost everywhere. There's no doubt about it —— Christmas just wouldn't be Christmas without carols. Even people who never go to church still enjoy them. For some, they can bring back all those memories of a childhood perhaps too long ago and far away. For others, they bring home the message and the spirit of Christmas as nothing else can. Try to hum the melody of "Jingle Bells", and most people in the

northern hemisphere will immediately imagine seeing snowflakes, angels, and Christmas bells.

Some of the songs sung around Christmas feature lyrics that are religious in nature and put Christ to the forefront of Christmas. Several “O” songs such as “O Holy Night”, “O Come All Ye Faithful” and “O Little Town of Bethlehem” feature Christmas music lyrics concerned with faith and celebrating the birth of Jesus Christ.

Then there are secular Christmas music lyrics that do not mention any religious themes, but do mention wintertime and the holiday season. Such Christmas music lyrics as “White Christmas”, “Rudolph the Red-Nosed Reindeer” and “Deck the Halls” acknowledge the season without the reason for the season, so to speak.

However, not all Christmas music lyrics are reverent and serious. Some are funny, humorous and downright silly. “The Chipmunk Song” by Alvin and the Chipmunks is a perfect example of how Christmas music lyrics can be over the top in silliness. Some other classic examples of humorous Christmas music lyrics include “Grandma Got Run Over By a Reindeer”, “I Saw Mommy Kissing Santa Claus” and “Nuttin’ for Christmas”.

Many people probably also think about modern songs like “White Christmas”, when they think of Christmas carols. However, there is actually a difference between a “Christmas carol” and a “Christmas song”. A Christmas carol is a song whose lyrics are on the theme of Christmas, or the winter season in general. Christmas carols are based on Christian lyrics and relate, in the main, to the Nativity. Christmas carols can often be sung by a choir and usually have fairly rapid, regular, simple and straightforward rhythms. A typical Christmas carol consists of at least one verse and a chorus. The carol will have a distinct tune, which is usually based on musical arrangements and chords of the Medieval period.

More recently popular Christmas songs, often introduced through films or other entertainment media, are specifically about Christmas, but are typically not overtly religious and therefore do not qualify as Christmas carols. Modern Christmas songs generally have more complex compositions than traditional Christmas carols. Many secular songs are regarded as “Christmas songs” due to the time of year they are most often heard or sung, despite never mentioning anything about the holiday. Since a Christmas song is more festive rather than religious, it enables people of other faiths to take part in group singing events without being disrespectful to their own religious beliefs.

1.5 Layout of the thesis

This thesis consists of five parts.

Chapter 1 acts as the introductory part, interpreting the background of the study, stating the significance of the research, proposing research questions and methodology, giving a brief introduction of Christmas carols and Christmas songs, and presenting the layout of the whole thesis.

Chapter 2 is literature review, reviewing relevant previous studies in lyrics, Christmas songs and Christmas carols, and Discourse Analysis.

Chapter 3 presents the concept of metafunctions and explains the theoretical framework of this thesis.

Chapter 4 analyzes the realization patterns of metafunctions in selected corpus and makes a comparison between the two groups.

Chapter 5 sums up major findings of the thesis, points out the limitation and provides some suggestions for future research.

Chapter 2 Literature Review

This chapter is a review of researches that have been done in relevant fields. As this research is aimed at discourse analyses of lyrics of traditional Christmas carols and modern Christmas songs, this chapter consists of four parts: studies on lyrics, studies on Christmas carols and Christmas songs, studies on discourse analysis and a brief evaluation of the existing literature.

2.1 Studies on lyrics

Lyrics are the words or verbiage that gives a song meaning. Without lyrics, songs would be only instrumentals and where's the fun in that? Lyrics give meaning, insight and evoke emotion in ways not possible with instrumentals alone.

Lyrics are the composition in verse which is sung to a melody to constitute a song. Lyrics often contain political, social and economic themes as well as aesthetic elements and thus can connote messages which are culturally significant. Lyrics can be regarded as a special type of spoken written for the purpose of singing.

2.1.1 Non-linguistic studies on lyrics

Generally speaking, studies on lyrics mainly focus on the areas of culture, psychology, literature, aesthetics and so on. A large portion of the works are about the introduction of certain lyrics, the background of the composition of lyrics of a certain song, and something about the writer or singer, such as "*Christmas Carols and Their Authors*" translated by Cheng (1992), "*Mozart's Lieders*" by Qian (2001) and "*Appreciation of 8 Songs of Schubert*" by Huang (2007).

Botkay (1982) published *Teaching Abnormal Psychology Concepts Using Popular Song Lyrics*. Some people analyzes lyrics from the perspective of feminism, such as *Men and Women as Portrayed in the Lyrics of Contemporary Music* written by Hyden & McCandless (1983), V. W Cooper's *Women in Popular music: A Quantitative Analysis of Feminine Images over Time* (1985) and Freudiger & Almquist's *Male and Female Roles in the Lyrics of Three Genres of Contemporary Music* (1978). Lu (2005) seeks to provide a fresh perspective by focusing on the synchronic and diachronic comparison of perceived female image (lyrical female portrayal) between woman solo performers, music groups with female vocalists or all-woman musical groups and man solo

performers, musical groups with male vocalists or all-man musical groups in *Female Images Analysis in American Popular Lyrics (1960-2003)*.

Zhou (2005) throws light on the poetic spirit in modern Chinese lyrics, focusing on the close relationship between lyrics and poetry. Chen (2008) deals with the narrative charm of lyrics, working on various narrative strategies in some Chinese pop songs. Xie (2006) discusses the lyric creations of Chinese popular music during the period of cultural transformation from the two perspectives—subject matters and expression forms. Yue (2006) makes a study on the history and developing processes of pop songs in Mainland China. Zhu (2009) takes certain songs for example, analyzing the melody and cadence of lyrics, the influences that lyrics bring to Chinese folk songs, the differences to lyrics brought by different singing methods, and the linguistic features of lyrics. Li & Qin (2007) study the aesthetic features of lyrics of some English songs.

2.1.2 Linguistic studies on lyrics

There are a few studies on lyrics from the linguistic perspectives.

Rhetorically, Wang and Liu (2003) investigate the rhetoric and artistic features of pop words in song lyrics. The rhetoric of the words of a song shows the following aspects: rhythms, phrases and sentence patterns. Lou (2006) carries out a cognitive study on metaphors in Chinese song lyrics, using CMT (Lakoff and Johnson's Conceptual Metaphor Theory) and CBT (Fauconnier and Turner's Conceptual Blending Theory) to analyze metaphors in Chinese song lyrics and describing the working mechanism of metaphor with the aim of supporting and perfecting the contemporary cognitive theory of metaphor. Zhang (2008) surveys the rhetoric strategy of present pop songs. Irvine & Kirkpatrick (1972) probes the musical form in rhetorical exchange. Xu & Ye (2004) works on defamiliarization in lyrics of pop songs.

A corpus-based contrastive analysis was made by Ye Lizhen in 2005, aiming at similarities and dissimilarities of linguistic features between lyrics of English and Chinese popular songs.

Logan, Kositsky and Moreno (2004) explore the use of song lyrics for automatic indexing of music. Using lyrics mined from the Web they apply a standard text processing technique to characterize their semantic content. They then determine artist similarity in this space. They found lyrics can be used to discover natural genre clusters. Experiments on a publicly available set of 399 artists showed that determining artist similarity using lyrics is better than random but inferior to a state-of-the-art acoustic

similarity technique. However, the approaches made different errors, suggesting the best technique would be a combination of both.

From sociolinguistic perspective, Peng (2005) studies the language features in Rap lyrics and finds slang words could be better understood combining with Rap music and more effectively used from the perspective of sociolinguistics. Zhang (2006) has done research on codeswitching in songs and studies the functions, linguistic characters, and influential factors of codeswitching.

Stylistically, Pan (2006) attempts a stylistic analysis on the lyrics of black spiritual lyrics to explore the stylistic features of such songs. Lin (2008) provides a detailed and comprehensive analysis of the stylistic features of country song lyrics from three dimensions: contextual factors analysis, linguistic description and textual analysis. Zou (2008) presents a stylistic analysis of English lyrics from the perspectives of their linguistic features and emotional functions through specific examples.

Pragmatically, Wu (2006) discusses the language used in Wang Fei's lyrics from the rhetoric, the sound and the special style, etc. Zheng (2005) makes a discussion on the confusion and uncertainty of some words of songs from a cognitive and pragmatic angle. Zhang (2005) explores in a comprehensive way the lyrics of current pop songs in terms of word choices, figures of speech, and manifestation of styles.

Functionally, Xie (2006) probes into the logical function of clause complexes of the lyric "GuoHe" and conveys the interpersonal meaning in the lyric "Did it snow there?" Fan (2008) applies the theories of interpersonal meaning in Systemic Functional Linguistics to analyze narrative country music lyrics. Zhao (2007) takes English love song lyrics as the target of text analysis from the perspective of mood and its realization of interpersonal functions.

In the field of translation, more research has been done concerning translation of song lyrics. The prime scholar dedicated to this field is Xue Fan, an eminent scholar of musicology and translation. He published a series of works including his masterpiece "*The Exploration and Practice in Translation of Songs*"(2002), which systematically introduces basic issues concerning translation of songs. Deng Yingyi, Xue Fan, Zhang Zhenfang, Lin Caibing and other translators have translated a large number of foreign songs into Chinese, making remarkable contributions to cross-cultural communication.

Recently, many journals and dissertations are written on various aspects of translation of song lyrics. Li (2002) writes a valuable article, discussing a few principles that should be observed in English-Chinese translation of song lyrics and giving special

emphasis on how translators should match their translation with the music and produce the closest equivalent for listeners of the target language. Jiang (2003) attempts to provide an insight into the domain of English-Chinese song lyrics translation in the light of functionalist translation, stressing the impact of music on the application of translation strategies in the translation process. Sun (2004) makes a comparative study on English-Chinese lyric translation through the analysis of the poetry translation and lyric writing in English and Chinese on the basis of the “equivalent” theory. Zhou (2007) makes an empirical research into the restrictive factors and the influence of translator’s subjectivity in the translation of film song lyrics. In “*Domestication of English Song Lyrics into Chinese in the Light of Nida’s Ideas about Five Cultural Elements*”, Zhang (2007) systematically reviews Nida’s translation theories, and elaborates on his views on language and culture, dynamic equivalence and the theory of reader’s response and then discusses what methods are to be applied to solving specific problems from the above five aspects. Among them the social culture is a complex one and the author Deng (2007) explores the Chinese translation of English songs from the perspective of functionalist translation. Zhang (2009) concentrates on elaboration of the aims of English-Chinese song lyrics translation, together with the principles, techniques and any other basic elements in the domain with the guidance of functionalist translation.

2.2 Studies on Christmas carols and Christmas songs

Although a limited number of researches have been done, touching upon the general features of song lyrics of all kinds, but those studies are not narrowed down to the field of lyrics of Christmas carols and songs. The very few works that can be found are mainly written from the religious or cultural perspectives, among which the following are most influential.

The International Book of Christmas Carols by Ehret & Evans (1980) is a special collection of 164 easy arrangements with chords of carols from around the world, complete with lyrics in the original language as well as English. It includes historical background information on the observance of Christmas through the years and notes about specific carols to give added understanding. Songs are included from England, Italy, Latin America, Spain, Scandinavia, Poland, Czech Republic, and more.

Spirit of Christmas: A History of Our Best-Loved Carols by Reynolds & Ehlers (2000) deals with the history and background of some best-loved carols including

“Silent Night”, “God Rest Ye Merry, Gentlemen”, “Ave Maria” and many more. It is gorgeously illustrated throughout with Renaissance art

Christmas Music Companion Fact Book by Nobbman (2000) offers the chronological history of our most well-known traditional Christmas hymns, carols, songs and the writers & composers who created them.

Stories Behind The Best-Loved Songs Of Christmas by Collins (2004) takes on more than 30 popular songs and hymns, from classics such as “O Holy Night” and “Angels We Have Heard on High” to the contemporary Christian hit “Mary, Did You Know?” Secular numbers such as “Jingle Bells” and “Rudolph the Red-Nosed Reindeer” also get their due in this attractively designed book.

Christ in the Carols: Thirty-one Devotionals for Christmas and Advent by C. A. Lane and M. Lane (1999) is a devotional inspired by 31 best-loved Christmas carols. Each section includes the lyrics to the song, a short history or explanation of the song, a brief scriptural reflection, and a prayer. It often encourages a time of reflection and prayer during the Christmas season. What is worth mentioning in this book is that the author’s emphasis is NOT on how the author got the idea the carol, or the circumstances surrounding the writing of it (though that is included in several of the chapters); the emphasis is on finding Christ in the carols and how these carols express so beautifully the glorious and mysterious incarnation of our Lord Jesus Christ. This is the only one of all the works mentioned above that has touched linguistic features of lyrics of Christmas carols.

In China, in the literature to date, scholars hardly set foot in the study of lyrics Christmas carols or songs. We have only found two articles relating to the history of the household carol “Silent Night” and some other works centered on translation of Christmas carols or songs into Chinese.

2.3 Studies on discourse analysis

Discourse analysis is a general term for a number of approaches to analyzing written, spoken, signed language use or any significant semiotic event. Discourse analysis has been taken up in a variety of social science disciplines, including linguistics, sociology, anthropology, social work, cognitive psychology, social psychology, international relations, human geography, communication studies and translation studies, each of which is subject to its own assumptions, dimensions of analysis, and methodologies.

The first modern linguist who commenced the study of relation of sentences and coined the name “discourse analysis”, which afterwards denoted a branch of applied linguistics, was Harris (Cook 1990:13). Originally, however, it was not to be treated as a separate branch of study — Harris proposed extension of grammatical examination which reminded syntactic investigations.

The emergence of this study is a result of not only linguistic research, but also of researchers engaged in other fields of inquiry, particularly sociology, psychology, anthropology and psychotherapy (Trappes-Lomax 2004:133). In 1960s and 1970s other scholars, philosophers of language or those dealing with pragmatics, enormously influenced the development of this study as well. Hymes provided a sociological perspective with the study of speech in its social setting. He published *Language in Culture & Society* in 1964, in which he gave a survey of various concepts and theories of famous linguists and then discussed communication, discourse, style, deixis, the art of speech and language variety. The linguistic philosophers such as Austin (1962), Searle (1969) and Grice (1975) were also influential in the study of language as social action, reflected in speech act theory and the formulation of conversational maxims. These attempts greatly developed pragmatic study of language, and the discourse analysis as well. Linguist van Dijk (with his influential works: *Some Aspects of Text Grammars*, 1972; *Text and Context*, 1977; *Handbook of Discourse Analysis*, 1985) divides the discourse analysis theories into three dimensions: the study of the structure of text, the study in terms of cognition and the study concentrated on cultural and social structure.

Among other contributors to this field, the Prague School of Linguists, whose focus on organization of information in communicative products indicated the connection of grammar and discourse, along with text grammarians are worth mentioning (McCarthy 1991:6). Its most important contribution is the researches on theme and rheme. Early as 1930s, Vilem Mathesius defined theme and rheme from an information perspective. Theme is the given information and rheme, which is the rest of theme in a sentence, carries new information, and this is the key to the understanding of a discourse. In 1974, Danes summarized three thematic progress models: Simple Linear TP (Thematic Progression), TP with a continuous theme and TP with derived Ts. These theories established by Prague School opened up a new field for discourse analysis. (Hu, 2005:7)

In 1980s, several great events showed us that more attention has been addressed to discourse analysis and more people involved in this field. The periodical *Text* initiated its first volume in 1981. *Discourse Analysis* by Brown & Yule and *The Grammar of Discourse* by Longacre were published in 1983. Four volumes of *Handbook of Discourse Analysis* which was the collection of many famous experts on discourse analysis all over the world invited by Dr. van Dijk, was published in 1985. It was said to mark the establishment of discourse analysis as an independent discipline. Moreover, at the 14th International Linguistics Convention, 12% papers were about text and discourse analysis, which ranked first among all sub-fields of linguistics. Linguists showed great interest in it. Up till that time, discourse analysis primarily formed its own research structure and achieved its own status in linguistics field (Xu, 1995).

A significant contribution to the evolution of discourse analysis has been made by British and American scholars. In Britain the examination of discourse turned towards the study of the social functions of language. Research conveyed at the University of Birmingham fruited in creating a thorough account of communication in various situations such as debates, interviews, doctor-patient relations, paying close attention to the intonation of people participating in talks as well as manners particular to circumstances. Analysis of the factors essential for succession of decently made communication products on the grounds of structural-linguistic criteria was another concern of British scholars. Americans, on the other hand, focused on examining small communities of people and their discourse in genuine circumstances. Apart from that, they concentrated on conversation analysis inspecting narratives in addition to talks and the behavior of speakers as well as patterns repeating in given situations. Division and specification of types of discourse along with social limitations of politeness and thorough description of face saving acts in speech is also American scholars' contribution (McCarthy, 1991:6).

As for approaches to discourse analysis, there are still no universally acknowledged steps and approaches to discourse analysis (Huang, 2001:28). Many scholars have pointed out that the theories and methods mentioned in their works are not the unique approach to discourse analysis and they are just one applicable in discourse analysis. Schiffrin (1995) in his book *Approaches to Discourse* introduces six approaches which can be applied in discourse analysis: Speech Act theory, Interactional Sociolinguistics, the Ethnography of Communication, Pragmatics, Conversational Analysis and Variation Analysis. In the book *An Introduction to Discourse Analysis*:

Theory and Method, Gee (1999) presents his unique integrated approach to discourse analysis: the analysis of spoken and written language as it is used to enact social and cultural perspectives and identities. Wood & Kroger's *Doing Discourse Analysis: Methods for Studying Action in Talk and Text* identifies a set of discourse-analytic perspectives and explicates the methodological procedures from the perspective of social psychologists working within a social-constructionist, discursive framework (Wood & Kroger, 2000).

Apart from these approaches, functional grammar is also a theory applicable to discourse analysis. In his book, *Theory and Practice of Discourse Analysis: A Study in Advertising Discourse*, Huang (2001:2) explores the applicability of Halliday's functional grammar in English advertisements and his study proved that in discourse analysis functional grammar is as effective as the approaches proposed by Schiffrin. Huang Guowen has also published a series of articles analyzing translations of some Chinese poems from the functional perspective. In 2002, he thoroughly investigated different translated texts of Du Mu's poem "Qingming" from the perspectives of experiential, interpersonal, logical and textual metafunctions respectively in four articles. In the same year, he analyzed the eight translated versions of Jia Dao's "Xun Yin Zhe Bu YU" within the Hallidayan framework. Through these relevant studies he shows how functional analysis can provide insight into the study of translation and tests the applicability of Systemic Functional Linguistics in discourse analysis and translation studies.

There are many other Chinese scholars who have contributed to functional discourse analysis and its related fields. Si (2007, 2010), Fang (2005), Du (2004), Li (2004), Li (2008), Xu (2007), Wu (2007) and so on have all made publications applying functional discourse analysis in their studies, testifying that Systemic Functional Grammar is a very effective tool for discourse analysis.

2.4 Brief Evaluation

The works we have reviewed above are all outstanding ones in the field of lyric studies, Christmas carols and songs or discourse analysis. Each bears its value in its own field. However, the limited number of studies on lyrics are mainly about pop songs. With the increasing popularity of Christmas the holiday and Christmas music in China, the scarcity of studies on Christmas carols and songs seems to be an apparent deficiency

in linguistic studies. No one has so far made much analysis of the linguistic features of lyrics of Christmas carols and songs, not to mention a diachronic contrastive analysis of the two. Therefore, the author of this thesis is going to make a tentative investigation into the realization patterns of metafunctions in traditional Christmas carols and modern Christmas songs with the guidance of the theories of Systemic Functional Linguistics.

Chapter 3 Theoretical Framework

In this thesis, all the demonstrations and analyses take theories of Systemic Functional Grammar as the theoretical bases, especially theories of the three metafunctions. Thus a brief introduction to the theories is necessary and will also facilitate the following analyses. Below is a comprehensive survey of some relevant theories of Systemic Functional Grammar. This chapter is composed of four parts: an overview of Systemic Functional Grammar, core ideas of Systemic Functional Grammar, the three metafunctions and the scope of this research.

3.1 An overview of Systemic Functional Grammar

Systemic Functional Grammar is a sociologically oriented functional linguistic approach and one of the most influential linguistic theories in the 20th century, having great effect on various disciplines related to language, such as language teaching, sociolinguistics, discourse analysis, stylistics and machine translation.

Systemic Functional Grammar actually has two components: Systemic Grammar and Functional Grammar. They are two indispensable parts for an integral framework in Halliday's linguistic inquiry. Systemic grammar aims to explain the internal relations in language as a system network, or meaning potential. And this network consists of subsystems from which language users make choices. Functional grammar aims to reveal that language is a means of social interaction, based on the assumption that language system and the forms that make it up are inescapably determined by the uses of functions which they serve.

Systemic Functional Grammar is based on two facts: (1) language users are actually making choices in a system of systems and trying to realize different semantic functions in social interaction; and (2) language is inseparable from social activities of man. Thus, it takes actual uses of language as the object of study, in opposition to Chomsky's TG Grammar that takes the ideal speaker's linguistic competence as the object of study (Hu & Jiang, 2001).

Halliday holds that among the various approaches in linguistic studies, two are essential: the social versus the psycho-physiological. Both approaches aim to account for the fundamental features and the nature of language, with the only difference being on the relation between a system and the behavior. While psychological linguistic studies start from the workings of human mind by taking "language as knowledge",

sociological linguistic studies start from social interactions by taking “language as behavior”, holding that verbal behaviours are social phenomena working between individuals and individuals, and between individuals and their environment.

Halliday explores language in terms of the relations between language and social needs, social structure, and social-cultural background. He sees language as one of the cultural semiotic systems in the general social semiotic system—the social reality made up of all social and cultural aspects. Since language is a special semiotic system which manifests other socio-cultural systems of the society, the nature of language can be accounted for only in a socio-cultural environment.

Language is also a system of social functions, which lie in all human cultures and are human language-specific. The various social functions of language consist in the social use of it in various contexts, and every linguistic element in the language system can be functionally accounted for. It is just because of the functions in the system that language can have various social functions.

Halliday sees language as a three-level semiotic system, consisting of a semantic system, a lexico-grammatical system and a phonological system. This tripartite system is in line with the theories of many other linguists including those in the Prague School. What is special about Halliday’s system is that every system is a system of potentials, a range of alternatives, and every level is realized by a level below it. The semantic system is realized by the lexico-grammatical system, and the lexico-grammatical system is, in turn, realized by the phonological system. The lexico-grammatical system is the system of what the speaker can say, which realizes the semantic system. The semantic system, a system of what the speaker can mean (meaning potential), is itself the realization of something beyond, what the speaker can do (behaviour potential). On this basis, choice is meaning. The choice of meaning (on the semantic level) is realized by the choice of the “form” (on the level of lexico-grammar); the choice of “form” is realized by the choice of “substance” on the phonological level. In other words, “what can be done” is realized by “what is meant to be done”; “what is meant to be done” is realized by “what can be said”. In this view, we can regard language as a multi-level code system, in which one sub-system is embedded in another.

The system network in Systemic Grammar chiefly describes three components of function, or three metafunctions (ideational, interpersonal and textual). Each of them is a complex system consisting of other systems, and choices are simultaneously made

from the three metafunctions. While Systemic Grammar has a functional component, Functional Grammar is theoretically systemic (Liu & Feng, 2005).

3.2 Core ideas of Systemic Functional Grammar

There are six major frames of references running through Systemic Functional Grammar, which can serve as the kernel of the theory:

3.2.1 Metalinguistic perspective

The property of language is decisive of people's requirements of language. This is the function that language must complete. Although the functions may vary greatly, we can reduce it to several definite abstract functions.

Language is the reflection of processes and materials existing in the world. And language also appears in the form of a linear circulatory structure either showing coordinate or subordinate relationship. For the fact that both of the relationships are based on the experience of the speaker, this can be called ideational function.

Language is carried out through conscious activities of human beings. Therefore, one of the functions of language is to reflect the mutual relationship between people. This is interpersonal function.

The basic language unit in practical use is a text expressing comparatively complete ideology. The two functions mentioned above are realized through the organization of text by the speaker. This is the textual function.

3.2.2 Systematic perspective

Halliday thinks that language is not the collection of syntactically right sentences. Thus, language cannot be explained according to the rules which account for such a collection, but through meaning potential. Moreover, he intends to interpret the language system as a semantic network which can be chosen, and structure is engendered after every step of the system is realized.

3.2.3 Hierarchical perspective

Language is hierarchical. It consists of content, expression and entity. Thus, language is a polysystem among which each level interacts with each other.

There is a realization relationship among various levels of systems, which is different from that of the structuralism's syntagmatic relations between single systems.

According to the perspective of realization, we can regard language as a

multi-level coding system, in which one sub-system is embedded in another.

3.2.4 Functional perspective

According to the traditional grammar, the difference between lexis and syntax can sometimes be represented through that between form and function. And different forms and categories in this sense fall into lexis, while the function of words in the sentences falls under syntax. Based on this classification, the conception of function is extended to the unit relatively larger than words.

Different from the metafunctions mentioned above, the term “function” here is a part of the formalized meaning potential.

3.2.5 Contextual perspective

This perspective can be traced back to that of Malinowski's, who thinks that a certain language is basically rooted in its cultural backgrounds. That language cannot be correctly understood in the absence of these expansive contexts.

Firth (1957) developed Malinowski's idea, believing that the concepts of situational context and the types of speech functions can be abstracted as structural components, which thereby adapt to all kinds of events. Finally, Halliday believes that theoretically the concepts of social contexts, environment, interaction, and etc, are of the same type as knowledge and thought.

3.2.6 Approximative or probabilistic perspective

One definite characteristic of language is that it is probabilistic, which is most evident when people choose their lexis. Consequently, people get to know the range of its application in terms of the relative frequency.

This perspective enunciates that the accurate distinction of the relationship between semantic meaning and specific contextual meaning is needed to grasp the usage of different items. In conclusion, a certain semantic item is categorized according to the scale of delicacy—from general to special delicately.

3.3 The three metafunctions

The ways in which human beings use language are classified by Halliday into three broad categories (Bloor 1995: 9):

Language is used to organize, understand and express our perceptions of the world and of our own consciousness. This function is known as the ideational function. The

ideational function can be classified into two subfunctions: the experiential and the logical. The experiential function is largely concerned with content or ideas. The logical function is concerned with the relationship between ideas.

Language is used to enable us to participate in communicative acts with other people, to take on roles and to express and understand feelings, attitude and judgments. This function is known as the interpersonal function.

Language is used to relate what is said (or written) to the real world and to other linguistic events. This involves the use of language to organize the text itself. This is known as the textual function.

The metafunctions, which are abstract in concept, realized their functions in communication through the concrete semantic system (Zhu, 2001:27). According to Halliday(1994), the Ideational function is realized through Transitivity system; the Interpersonal function is realized through Mood system; and Textual function signifies its function in Theme system.

3.3.1 The experiential metafunction

The ideational metafunction refers to the kind of language function which expresses people's material and mental experiences in the world. A fundamental property of language is that it enables human beings to build a mental picture of reality, to make sense of their experience of what goes on around them and inside them. And this metafunction is what we call the ideational metafunction. To be more specific, it is viewed as the representation of different processes.

Originally, the ideational metafunction consists of the experiential function only and the logical function is another metafunction. In the later time, Halliday himself combines the two functions into one and calls them ideational function. However, since logical function mainly refers to the language function which represents the co-ordinate or subordinate logical relations of language, the author of this thesis will just put her emphasis on the experiential metafunction of language which deals with the content of speech.

The experiential function refers to the language function serves to talk about the world, either the external world: things, events, qualities, etc., or the internal world: thoughts, beliefs, feelings, etc. When we look at how language works from this perspective, we are focusing primarily on the “content” of a message rather than the purpose for which the speaker has uttered it.

When we look at the experiential metafunction, we are looking at the grammar of the clause as *representation*. As with the clause as exchange, we find there is one major system of grammatical choice involved in this kind of meaning. This is the system of TRANSITIVITY, or process type. Each process is associated with different functional participant roles, occurring in different configurations. In analyzing transitivity structure we are concerned with describing the selection of a process, participants and circumstances (Eggins, 1994).

3.3.1.1 Material process: process of doing

One of the most salient types of processes is the one involving physical actions: running, throwing, scratching and so on. This is called material process. In simple words, material processes refer to processes of doing. Usually a material process involves the following four elements: actor, the “doer”, goal, the “being done to”, the process (the verb) and circumstances. For example:

1) My brother	broke	the vase.
Actor	Process	Goal
2) The meeting	was cancelled	by the director.
Goal	Process	Actor

3.3.1.2 Mental process: process of sensing

Apart from the verbs describing doings in the external world, there is another type of words which describe things going on in the internal world of the mind. Such words as think, imagine, like, want, see, hear and so on are words like that. The three elements like sensor, process and phenomenon usually occur in this type of process. Sensor refers to the person who perceives and phenomenon is the something that is perceived by the sensor. It can be a person, a concrete object, and abstraction and so on. For Example:

3) John	saw	the murderer.
Senser	Process	Phenomenon
4) I	know	that she was absent
Senser	Process	Phenomenon

3.3.1.3 Relational process: process of being

Halliday says, “If material processes are those of doing and mental processes those of sensing, the other main category, relational processes, are those of being. ... The central meaning of clauses of this type is that something is.” (Halliday, 1985: 112)

In relational process, there are two minor types which are attributive process and identifying process. The attributive process describes the nature, qualities or

characteristics of the subject while the identifying process describes the identifying or recognition of the status of the subject. The structure of the first type can be abstracted as the carrier plus process plus attribute. The carrier carries certain quality and the attribute is of course the quality itself. The structure of the second type can be abstracted as the identified plus process plus identifier. In this type the identifier has the same quality as the identified. Halliday points out that in identifying any clause, there is a Token and a Value, which are always related with the identifier and the identified. For example:

5) The daughter	resembles	her mother.
Identifier	Process	Identified
Token		Value
6) Dianna	is	a talkative dinner guest.
Carrier	Process	Attribute

3.3.1.4 Verbal processes: process of saying

Verbal processes are those of exchanging information. Commonly used verbs are: say, tell, talk, praise, boast, describe, etc. In this type of processes the participants are the Sayer, Receiver and Verbiage. But the Sayer is not necessarily a human being. For example:

7) I	asked	him	a question.
Sayer	Process	Receiver	Verbiage
8) My watch	says	that it is nine-thirty.	
Sayer	Process		Verbiage

3.3.1.5 Behavioural processes: process of behaving

Behavioural processes refer to physiological and psychological activities such as breathing, coughing, sighing, dreaming, crying, and laughing, etc. Generally only one participant, the Behaver (often a human) is involved in these processes. If there is another participant which is not the restatement of the process, it is called a Phenomenon. For example:

9) She	sighed	with despair.
Behaver	Process	circumstancial
10) George	sniffed	the soup.
Behaver	Process	phenomenon

3.3.1.6 Existential processes: process of existing or happening

Existential processes represent that something exists or happens, as in “There is …”, “There seems …”, etc. Verbs used in existential processes are “be”, “exist”, “arise”, etc. In every existential process, there is an Existential. For example:

11) There	was	snow	on the ground.
	Process	Existential	Circumstantial
12) Should	there	arise	any difficulties?
	Process		Existential

Halliday(1994: 144) shows a figure, giving a summary of the type of process we have identified in the grammar of English, together with their general category meaning and the principal participant functions that are associated with each.

Process type	Category meaning	Participants
material: action event	‘doing’ ‘doing’ ‘happening’	Actor, Goal
behavioural	‘behaving’	Behaver
mental: perception affection recognition	‘sensing’ ‘seeing’ ‘feeling’ ‘thinking’	Senser, Phenomenon
verbal	‘saying’	Sayer, Target
relational: attribution identification	‘being’ ‘attributing’ ‘identifying’	Carrier, Attribute Identified, Identifier Token, Value
existential	‘existing’	Existential

Figure 3.1 Process types, their meanings, and their key participants

The six processes cover all the ideational aspects of language. All the processes are expressed by verbs. However, the processes themselves, though being the central part of the clauses, cannot realize the ideational function independently. They operate with the help of the other Participants and/or Circumstances.

Therefore, in the process of interpreting the experiential meaning of a text, these are the questions to be asked:

What is the process? It is something about doing, sensing, being or else?

Who are the participants?

What are the relation between the process and each of the participants?

In the case study, the author will follow the analytic approach mentioned above to examine the grammatical and semantic relations in the transitivity system and the experiential meaning of the selected corpus.

3.3.2 The interpersonal metafunction

Language does, of course, far more than just represent content (the experiential metafunction). Every act of communication is an interaction. Communication happens between people (whether real or imagined). At the same time as conveying the content, language also constructs some kind of interpersonal relationship: it has the interpersonal as well as the experiential meaning. Thus as one of the three metafunctions of the language, the interpersonal function plays an equally important role as the ideational function does in communication. Furthermore, in many cases it is the only prominent function the communicating activities are conveying. For example, when people exchange their greetings, they do not predominately concentrate on the experiential meaning of the discourse. On the contrary, the interpersonal function is in priority.

Even when the main purpose of a discourse is to exchange the experiential meaning, the interpersonal function is still an important aspect of communication. There is rarely such an occasion that only the experiential message is dealt with between the communicators, who will inevitably express their attitudes, feelings and intentions. Sometimes the same message can be expressed differently due to different goals of communication. For example:

1) No smoking.

Don't smoke, please.

You'd better not smoke.

2) I don't want to go out today.

Who would like to go out today?

With the same experiential meaning in each group, the expressions differ in interpersonal meanings, which express the speaker's identity, status, attitude, motivation and his inference of matters.

Speech function labels identify the semantic import of the clause: what is it contributing to the exchange? The grammatical mood identifies the relevant grammatical structure. (Ravelli 2000: 45)

Speech function	<i>Grammatical mood</i>	Example
<i>Offer</i>	Modulated interrogative	Would you like an interest-free loan?
<i>Statement</i>	Declarative	St. George is an excellent bank.
<i>Command</i>	Imperative	Vote soon.
<i>Question</i>	Interrogative	Are you eligible to vote?

Figure 3.2 Speech function and grammatical mood

(adapted from Ravelli 2000: 45)

The table demonstrates that these speech functions are closely associated with particular grammatical structures: statements are mostly expressed by declarative clauses, interrogatives show realization of questions and commands are realized by imperative clauses. However, the structures and functions are typically not parallel relationships. Speakers could carry out different speech functions by means of changes of a particular element of the clause. It is obvious that in order to keep the interaction going, only one particular component of the clause is being picked up and reused, sometimes slightly adapted to carry the argument forward, and the remainder leaves unaffected. Therefore, we can investigate these interactive functions by focusing on a particular element of the clause, which is called the Mood.

At the lexico-grammatical level, the interpersonal metafunction is realized by Mood and Modality. The systems of Mood and Modality are the keys to understanding the interpersonal relationships between interactants (Eggins, 1994).

3.3.2.1 Mood

The component that gets bandied back and forth in exchanging information is the MOOD Element of the clause. The other component is called the RESIDUE (Eggins, 1994). MOOD is composed of two essential functional constituents: the Subject and the Finite. The Subject realizes the thing by reference to which the proposition can be affirmed or denied (Halliday and Matthiessen, 2004: 117). It provides the person or thing in whom is vested the success or failure of the proposition, what is “held responsible”. The second essential constituent of the MOOD element is the Finite. Halliday and Matthiessen (2004: 115) define the Finite in terms of its function in the clause to make the proposition finite, to anchor the proposition in a way that we can argue about it. In other words, the Subject, when it first appears, may be any nominal

group. It expresses the entity that the speaker wants to make responsible for the validity of the proposition being advanced in the clause. The listener can confirm, reject, query or qualify the validity by repeating or amending the Finite, but the Subject must remain the same: if that is altered, the exchange has moved on to a new proposition. In this sense, the clause is about the Subject from the interpersonal perspective. (Thompson, 2000:45). Finite is the functional element of the verbal group. It makes it possible to negotiate about the validity of the proposition. For example:

She	' s	reading	"The Bostonians".
Subject	Finite		
MOOD		RESIDUE	

I	learnt	the English language from this guy.	
Subject	Finite		
MOOD		RESIDUE	

Do	you	watch	TV?
Finite	Subject		
MOOD		RESIDUE	

He	hasn' t	done	his homework.
Subject	Finite		
MOOD		RESIDUE	

The grammatical category that is characteristically used to exchange information is the indicative. Within the category of indicative, the characteristic expression of a statement is the declarative, that of a question is the interrogative; and within the category of interrogative, there is a further distinction between yes/no interrogative, for polar questions, and WH-interrogative, for content questions. These features are typically expressed as follows (Halliday, 2000:74):

- (1) The presence of the Mood element, consisting of Subject plus Finite, realizes the feature 'indicative'.
- (2) Within the indicative, what is significant is the order of Subject and Finite:
 - (A) The order Subject before Finite realizes 'declarative';
 - (B) The order Finite before Subject realizes 'yes/no interrogative';
 - (C) In a 'WH-interrogative' the order is:

- (i) Subject before Finite if the WH-element is the Subject;
- (ii) Finite before Subject otherwise.

The finite element has the function of making the proposition finite. "That is to say, it circumscribes it, and it brings the proposition down to earth, so that it is something that can be argued about." (Halliday, 2004) It does this through Finite Verbal Operators, of which he identifies two kinds:

- Temporal Finite Verbal Operators: these words anchor the proposition by reference to time. They give tense to the Finite--whether past (*I learnt the English language from this guy*), present (*The sentence goes on for a page and a half*) or future (*I will buy you a copy of this novel tomorrow*).
- Finite Modal Operators: these words anchor the proposition not by reference to time but by reference to Modality.

The Finite, then, carries either tense or modality to make the proposition arguable. The Finite also consists of the semantic feature of polarity, since it has to be either positive or negative in order to make something arguable.

3.3.2.2 Constituents of the RESIDUE

Eggins(2004) points out that the Residue component of the clause is that part of the clause which is somehow less essential to the arguability of the clause than is the Mood component. For example, we noted that the Residue could be omitted in the responding moves in dialogue. The Residue component contains a set of functional elements: a Predicator, one or more Complements, and any number of different types of Adjuncts. The Predicator is the lexical or content part of the verbal group. Halliday and Matthiessen(2004: 122) points out that in addition to its function to specify the kind of process of the clause, the Predicator has three other functions in the clause:

- It adds time meanings through expressing a secondary tense.
- It specifies aspects and phrases: meanings such as seeming, trying, helping, which colour the verbal process without changing its ideational meaning.
- It specifies the voice of the clause: the distinction between active voice and passive voice will be expressed through the Predicator.

The Complement is a second component of the Residue. It is defined as a non-essential participant in the clause, a participant somehow affected by the main argument of the proposition. It is identified as an element within the Residue that has the potential of being Subject but is not, that is to say, a Complement can become Subject through the process of making the clause passive:

Mary	bought		the book.
Subject	Finite	Predicator	Complement
MOOD		RESIDUE	

The book	was	bought	by Mary.
Subject	Finite	Predicator	Adjunct
MOOD		RESIDUE	

Did	Thomas	borrow	your bicycle?
Finite	Subject	Predicator	Complement
MOOD		RESIDUE	

The final constituents of the RESIDUE are Adjuncts, which are defined as clause elements which contribute some additional (but nonessential) information to the clause. An Adjunct is an element that has not got the potential of being Subject. It is typically realized by an adverbial group or a prepositional phrase (Halliday 1994: 80).

He	read		the book	for fun.
Subject	Finite	Predicator	Complement	Adjunct: circumstantial
MOOD		RESIDUE		

Frankly,	I	don't	like	the film.
Adjunct: comment	Subject	Finite	Predicator	Complement
MOOD		RESIDUE		

There are a large variety of Adjuncts types, for which Eggins (2004: 165) presents a summary table covering all the Adjunct types.

Type	Sub-type	Meanings	Class of item	Location in analysis
experiential	circumstantial	time, manner, location, etc	prepositional phrase adverb	in RESIDUE
interpersonal (modal)	mood	intensity probability usuality presumption	adverb	in MOOD
	polarity	positive	yes/no (elliptical)	in MOOD

		negative		
	comment	speaker's assessment of whole message	adverb prepositional phrase	not in MOOD or RESIDUE
	vocative	nominating next speaker	name	not in MOOD or RESIDUE
textual	conjunctive	logical linking of messages	conjunction	not in MOOD or RESIDUE
	continuity	message coming	minor clauses adverbs (yeh nah)	not in MOOD or RESIDUE

Figure 3.3 Summary of types of Adjuncts

3.3.2.3 Modality

Modality refers to “the speaker’s judgment of the probabilities, or the obligations, involved in what he is saying” (Halliday, 1994/2000:75). It specifies if the speaker is expressing his judgement or making a prediction. A proposition may become arguable by being presented as likely or unlikely, desirable or undesirable. If the commodity being exchanged is information, the modality relates to how valid the information is in terms of probability (how likely it is to be true) or usuality (how frequently it is true). Some of the basic points on the probability scale are: possible/probable/certain; on the usuality scale, they include: sometimes/often/always. If, on the other hand, the commodity is goods-&-services, the modality relates to how confident the speaker can be in the eventual success of the exchange. (Thompson, 2000: 57)

Halliday (1985) classified modality into two major types: moralization (probability/usuality) and modulation (obligation/inclination). Modalisation relates to “how valid the information is in terms of probability and usuality”. Modulation concerns “the degree of the obligation” on the receiver to carry out the command as well as “the degree of willingness or inclination” of the speaker to fulfill the offer (Halliday, 1994). Modal value, which is one of the parameters in the system of Modality (Matthiessen, 1995:497), is an important variable in modality and can be ranked as high, median or low. Thompson (2000:59) shows a figure of different modal values:

Modalization	Modulation	
HIGH	I shall never be happy again.	You must ask someone.
↓		
MEDIAN	They should be back by now.	You ought to invite her.
↓		
LOW	I may be quite wrong.	You can help yourself to a drink.

Figure 3.4 Modal values(adapted from Thompson 2000: 59)

In simple words, subject and finite make up the concept of MOOD. MOOD and RESIDUE together form a clause. The RESIDUE usually includes such elements as predators, complements and adjuncts. Choices of the functional constituents and their configurations make up different Mood types. The systems of Mood and Modality are the keys to understanding the interpersonal relationships between interactants. Mood expresses the speaker's attitude and modality expresses the speaker's judgment. Therefore, they are the most important systems in the realization of Interpersonal Metafunction.

3.3.3 The textual metafunction

According to Halliday, all languages are organized around two main kinds of meaning, the “ideational” and the “interpersonal”. These components, called “metafunctions” in the terminology of the present theory, are the manifestations in the linguistic system of the two very general purposes which underlie all uses of language: (i) to understand the environment (ideational), and (ii) to act on the others in it (interpersonal). Combined with these is the third metafunctional component, the “textual”, which breathes relevance into the other two. The textual function weaves the ideational and interpersonal meaning into an organic body.

Thompson (2000: 117) demonstrates the definition of the textual function as follows: “When we look at language from the point of view of the textual function, we are trying to see how speakers construct their messages in a way which makes them fit smoothly into the unfolding language event (which may be a conversation, or a newspaper article, for example). As well as interacting with their listeners and saying something to them about the world, speakers constantly signal to them how the present

part of their message fits in with other parts". In Hu's (2001: 420) opinion, the textual function refers to the fact that language has mechanisms to make any stretch of spoken or written discourse into a coherent and unified text and make a living passage different from a random list of sentence. Hence, in the textual function, language is used to relate what is said or written to the real world or other linguistic events. The textual function relates language to context and expresses the relations between language and context, including verbal context and situational context. The textual function is an interpretation of the clause in its function as message.

The textual metafunction is the level of organization of the clause which enables the clause to be packaged in ways which make it effective given its purpose and its context. The textual strand of meaning, while not adding new reality nor altering interpersonal dimensions of the clause, is concerned with the potential the clause offers for its constituents to be organized differently, to achieve different purposes. (Eggins, 1994)

The textual metafunction engenders resources for presenting interpersonal and ideational meanings as information organized into text that can be ongoingly exchanged between speaker and listener. This involves transitions in the development of text (conjunctive relations) and the assignment of different textual statuses (thematicity, newsworthiness, continuity and contrast, recoverability). These transitions and statuses enable the exchange of information; the speaker is guiding the listener in interpreting the unfolding text. (Matthiessen & Halliday, 1997)

Two key systems enter into the expression of textual meaning in the clause: the system of Theme and the system of Information Structure. However, since Information Structure (with its constituents of Given and New) is realized through intonation choices, it will not be covered in this thesis. The only textual system examined here is the Theme system, which is realized through thematic structure in which the clause falls into just two main constituents: a Theme and a Rheme.

THEME is a resource for organizing the interpersonal and ideational meanings of each clause in the form of a message. Each clause will occur at some particular point in the unfolding of the text; this is its textual environment. The system of THEME sets up a local environment, providing a point of departure by reference to which the listener interprets the message. With this system the speaker specifies the place in the listener's network of meanings where the message is to be incorporated as relevant. The local environment, serving as point of departure, is the Theme; what is presented in this local

environment is the Rheme. (Matthiessen & Halliday, 1997)

3.3.3.1 Theme

Theme is the element which comes in first position (Halliday, 1985) and serves as the starting-point for the message (Halliday, 1994). It is what the clause is about. It has two functions: a) it acts as a point of orientation by connecting back to previous stretches of discourse and thereby maintaining a coherent point of view and; b) it acts as a point of departure by connecting forward and contributing to the development of later stretches.

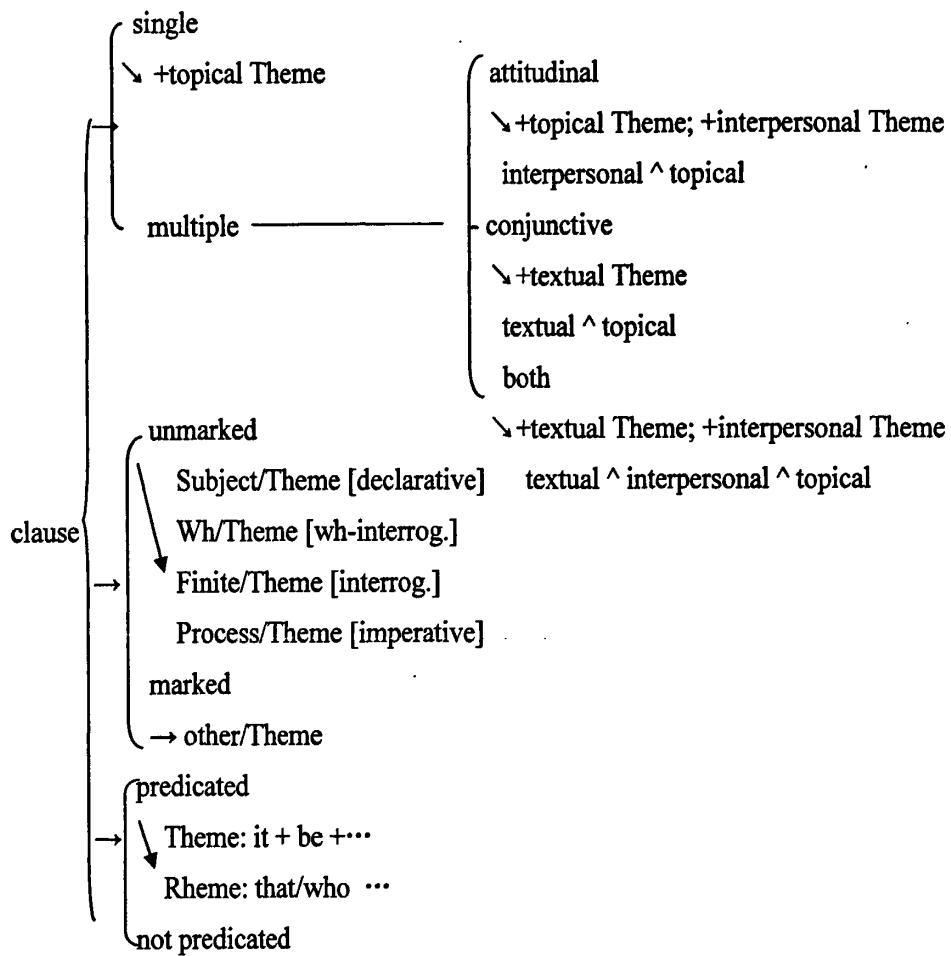
Theme is recognized in English by the first position in the clause. It is usually carried by the first Participant, Process or Circumstance of the clause. This element is labeled Theme; the remainder of the clause is labeled Rheme

Joan	invited me to her party Friday.
Participant	...
Theme	Rheme

In the park	I saw many oak trees.
Circumstance	...
Theme	Rheme

Close	the window for me.
Process	...
Theme	Rheme

There are different types of Themes and the choice of what gets to be Theme in an English clause contributes very significantly to the communicative effect of the message. In order to understand this, we need to develop the description of the clause into its textual constituents. Eggins (1994, 274) illustrates the system network of textual meaning in the clause as follows:



As this network shows, Theme involves three major systems: choice of type of Theme, choice of marked or unmarked Theme, and choice of predicated or unpredicated Theme. The realization statements indicate that the type of Theme is realized by the insertion of a particular type of constituent in Thematic position. Theme markedness depends on the conflation (mapping together) of the Theme constituent with different Mood and Transitivity constituents. Theme predication involves the use of an additional clausal element.

Halliday (2000, 47) summarizes the relationships between the choice of Mood and markedness of Theme in the following figure:

Mood of clause	Typical (unmarked) theme
declarative	nominal group functioning as Subject
interrogative: yes/no	first word (finite operator) of verbal group plus nominal group functioning as Subject
interrogative: WH-	nominal group, adverbial group or prepositional phrase functioning as interrogative (WH-) element
imperative: "you"	verbal group functioning as Predicator, plus preceding <i>don't</i> if negative
imperative: "you and me"	<i>let's</i> , plus preceding <i>don't</i> if negative
exclamative	nominal group or adverbial group functioning as exclamative (WH-) element

Figure 3.5 Typical Themes in each Mood

When an element of the clause to which a transitivity function can be assigned occurs in first position in a clause, it is a topical Theme. That is to say, topical Theme is the first constituent in the clause to which we can attach a transitivity role, such as Actor, Behaver, Sensor or Circumstance. Eggins (1994: 277) puts forward an important principle: every clause must contain one and only one topical theme. Once we have identified a topical Theme in a clause, we can consign all the remaining clause constituents to the Theme role.

Once upon a time	there were three bears.
Very carefully	she put him back on his feet again.
No one	seemed to notice the writing on the wall.
What a silly question	you have asked.
Theme	Rheme

And it is possible to have other elements occurring before the topical theme, which are also labeled as thematic. These elements may be interpersonal and/or textual. Interpersonal Theme includes Finites, Vocatives Adjuncts, Mood Adjuncts, Polarity Adjuncts, and Comments Adjuncts. And these elements only count as thematic if they occur before the topical theme.

Can	you	take	my bag	for me?
Finite	Subject	Predicator	Complement	Adj: circ
MOOD		RESIDUE		
interpersonal	topical			
THEME		RHEME		

Finite as interpersonal theme

Maybe	Stephen	could	help	you.		
Adj: mood	Subject	Finite	Predicator	Complement		
MOOD			RESIDUE			
interpersonal		topical				
THEME		RHEME				

Mood adjunct as interpersonal theme

Simon,	do	you	want	more soup?		
Adj: vocative	Finite	Subject	Predicator	Complement		
MOOD			RESIDUE			
interpersonal		topical				
THEME		RHEME				

Vocative adjunct as interpersonal theme

No/Yes.
Adjunct: Polarity
MOOD
interpersonal
THEME

Polarity adjunct as interpersonal theme

Fortunately,	the bomb	didn't	explode.
Adj: comment	Subject	Finite	Predicator
MOOD			RESIDUE
interpersonal		topical	
THEME		RHEME	

Comment adjunct as interpersonal theme

Textual Themes are elements which do not express any interpersonal or experiential meaning, but are doing important cohesive work in relating the clause to its context. The two main types of textual elements are Continuity Adjuncts and Conjunctive Adjuncts. Continuity adjuncts are words which are used in spoken dialogue to indicate that the speaker's contribution is somehow related to (continuous with) what a previous speaker has said in an earlier turn (Eggins 2004:305). The commonest

continuity items are: *oh*, *well*. *Yes* and *no* are also continuity items when these are not used as stand-ins for clause ellipsis, but as the first item in a clause.

Oh	they	give		you	a cup of tea.
Adj: contin	Subject	Finite	Predicator	Complement	Complement
	MOOD		RESIDUE		
textual	topical				
THEME		RHEME			

Continuity adjuncts as textual theme

No,	you	shouldn't	do	that.		
Adj: contin	Subject	Finite	Predicator	Complement		
	MOOD		RESIDUE			
textual	topical					
THEME		RHEME				

Continuity adjunct as textual theme

Conjunctive adjuncts are used to link clauses together with a clause complex (and, but) or connect sentences other sentences (however, therefore). These conjunctions are described as Textual Theme when they occur before the first Topical Theme in a clause.

So	they	could	actually	manage	it.
Adj: conj	Subject	Finite	Adj: mood	Predicator	Complement
	MOOD		RESIDUE		
textual	topical				
THEME		RHEME			

Conjunctive adjunct as textual theme

While it is possible for a clause to realize only one Thematic element (in which case it must be a topical Theme and it is called a 'single Theme') it is far more common for clauses to contain a sequence of Themes, with often several textual and/or interpersonal Themes occurring before the obligatory topical Theme. This is then called a 'multiple Theme'.

So,	honestly	maybe	yesterday	he	had		a bad day.		
Adjunct: conjunctive	Adjunct: mood	Adjunct: mood	Adjunct: circumstantial	Subject	Finite	Predicator	Comple- ment		
				MOOD		RESIDUE			
textual	inter- personal	inter- personal	topical						
THEME				RHEME					

Figure 3.6 Multiple Themes adapted from Eggins (2004: 307)

3.3.3.2 Rheme

Rheme is the part of the clause in which the Theme is developed. It is what the speaker says about the theme, and it is the goal of discourse. It is the most important element in the structure of the clause as a message because it represents the very information that the speaker wants to convey to the hearer. It is the rheme that fulfils the communicative purpose of the utterance.

The identification criteria for the Rheme are simple: everything that is not the Theme is the Rheme. Thus, once we have identified the Theme in a clause, we have also identified the Rheme, which is just 'everything'. The criteria have been well applied by all the analyses above.

3.4 Clause types and scope of the data analysis

A clause is a grammatical unit that includes, at minimum, a predicate and an explicit or implied subject and expresses a proposition, although in some languages and some types of clauses the subject may not appear explicitly as a noun phrase. It may instead be marked on the verb (such as Gerunds or Infinitives). The most basic kind of sentence consists of a single clause. More complicated sentences may contain multiple clauses, including clauses contained within clauses.

A sentence can be interpreted as a clause complex: a Head clause together with other clauses that modify it. A combination of clauses related paratactically or hypotactically but not through embedding; the mode of combination is the mode of organization of the logical subtype of the ideational metafunction. For example, clauses combined through coordination form a clause complex. The notion of 'clause complex' thus enables us to account in full for the functional organization of sentences (Halliday 1994: 216).

In functional grammar, a clause is the same unit whether it is functioning alone (as a simple sentence) or as part of a clause complex (a compound/complex sentence). (Halliday, 1994: F47) Clause is also the highest-ranking unit in the grammar. It is the point of origin of the systems of TRANSITIVITY, MOOD and THEME, realized by three simultaneous structural layers (transitivity structure, modal structure and thematic structure). In the unmarked case, it realizes a figure (experiential), move (interpersonal) and message (textual); and it is realized by a tone group.

3.4.1 Major clause

A major clause is a regular clause which has a MOOD element even though the MOOD element may sometimes be omitted. This is most common in dialogues like:

— Did you buy that book?

— Yes.

Did	you	buy	that book?
Finite	Subject	Predicator	Complement
MOOD		RESIDUE	

Non-elliptical (full) major clause

Yes	(I	did)
Adjunct: Polarity	(Subject	Finite)
MOOD		

Elliptical major clause

From the analyses we have made above, we know that in an elliptical major clause, a MOOD component has been selected because we can “fill in” the Subject and Finite. Elliptical Clauses are grammatically incomplete in the sense that they are missing either the relative pronoun (dependent word) that normally introduces such a clause or something from the predicate in the second part of a comparison. The missing parts of the elliptical clause can be guessed from the context and most readers are not aware that anything is missing. In fact, elliptical clauses are regarded as both useful and correct, even in formal prose, because they are often elegant, efficient means of expression.

3.4.2 Minor clause

A minor clause, however, is an irregular type of clause, which has never had a MOOD constituent. For example, “*Mary!*” “*Yes.*” “*Coffee.*” etc. Other examples of

minor clauses are headings (e.g. the heading of this chapter), stereotyped expressions (*Hello!*), emotional expressions (*Wow!*), proverbs, etc. This can also include nominal clauses like "*The more, the merrier*". These do not contain verbs in order to intensify the meaning around the nouns and are normally found in poetry and catchphrases.

Minor clauses are typically brief, but their brevity is not the result of ellipsis. We cannot fill out a Subject and a Finite for a minor clause, for the simple reason that such clauses have never selected a Subject or Finite. "*OK*" does not mean "*I'm OK*" or "*It's OK*" or "*We are OK*". It simply means "*OK*"! (Eggins, 1994)

Minor Clause Types do not themselves serve the essential functions of the Major Clause Types of Stating, Questioning, Exclaiming, or Commanding. Instead, their unmarked function is to constitute the Background of the Processes expressed for such functions by the Major Clauses constituting the Foreground. So terms like 'declarative' and 'interrogative' must accurately apply to Major Clauses, and not, as in traditional grammars, to whole 'sentences'. A term like 'declarative sentence' must mean: a 'sentence that coincides with a declarative clause'.

3.4.3 Independent clause and dependent clause

An independent clause is a group of words that contains a subject and verb and expresses a complete thought. An independent clause can stand alone as a sentence. For example, *We walk to school*.

A dependent clause is a group of words that contains a subject and verb but does not express a complete thought. Often a dependent clause is marked by a dependent marker word. For example, *when he comes*. Dependent Clauses cannot stand by themselves and make good sense. They must be combined with an independent clause so that they become part of a sentence that can stand by itself. For example, *We will begin the meeting when he comes*.

Another term for dependent clause is subordinate clause: this means that the clause is subordinate to another element (the independent clause) and depends on that other element for its meaning. The subordinate clause is created by a subordinating conjunction or dependent word.

An independent clause, "She is older than her brother" (which could be its own sentence), can be turned into a dependent or subordinate clause when the same group of words begins with a dependent word (or a subordinating conjunction in this case): "Because she is older than her brother, she tells him what to do."

3.4.4 Scope of the data analysis

Consistent with the absence of the Subject and Finite, we find that minor clauses cannot be tagged in the following metafunction analyses. We cannot identify the realization patterns of the three metafunctions. Minor clauses are not to be covered in any part of the following data analysis. As dependent clauses do not make good sense by themselves, they will not be treated alone in the Mood analysis and the Theme analysis. As a part of a clause complex, they will be investigated from the perspective of Transitivity analysis in order that the experiential meaning of the corpus is fully investigated.

Chapter 4 Analysis of Metafunctions in the Selected Corpus

Language itself has been interpreted as a three-level semiotic system, where the discourse-semantic unit, the text, semantically unified through cohesive patterns, is the locus of choices in experiential, textual and interpersonal meaning. These semantic choices, themselves derived from the need to express context in language, are in turn realized through lexico-grammatical choices, with each semantic dimension relating in a predictable and systematic way to choices from the three simultaneous systems of grammatical structure, Mood, Transitivity and Theme. The tri-partite structural description of the clause allows us to describe how language makes meanings simultaneously. (Eggins, 1994) Based on the tri-partite description of language, three major analytical tools have been introduced in Chapter 3. This chapter will focus on the contrastive analysis of metafunctions in two groups of song texts, demonstrating how a systemic functional approach provides a very useful theoretical and analytical framework for exploring and explaining how language in the texts are structured to make meanings, how the texts are alike and different and what are the implications of the similarities and differences.

4.1 Selection of corpus

Whenever we search for “Lyrics of Christmas songs” on the Web, we will get numerous results. As it is impossible to examine all the lyrics, great efforts have been made in the data collection process, in order to make the conclusion reliable, persuasive and insightful. Finally, 20 examples from each group have been selected to be the target of the diachronic analysis.

The first group is made up of lyrics of 20 traditional Christmas carols, written in the time ranging from the 12th century to the mid-19th century. They cover all the oldest carols. Most of them are well-known and popular while there are a few that are not as wide-spread due to various reasons. The second group consists of lyrics of 20 modern Christmas songs composed at the end of the 20th century or the beginning of this century. All of them are among the best-sellers and typical representatives of modern Christmas songs.

All the carols and songs selected are those highly recommended by the famous musician Elton Smith in the site “New Christmas Music”, which is part of “Songs of

Praise". The carols are also among the list offered by the free encyclopedia and <http://www.carols.org.uk/index.htm>. The carols and songs chosen are the following:

Group1: Traditional Christmas Carols	Group 2: Modern Christmas Songs
Angels From The Realms Of Glory	A Gift For All
Angels We Have Heard On High	Advent Candles
Coventry Carol	Christ is Christmas
God Rest Ye Merry Gentlemen	Christmas Morning
Hark The Herald Angels Sing	Christmas Time
I Saw Three Ships	Do You Know It's Christmas
It Came Upon The Midnight Clear	For the Wonder of God's Love
Jingle Bells	Jesus Was Born In My Heart
Joy To The World	Mary's Song
O Christmas Tree	Oh, What A Wonder
O Come All Ye Faithful	On This Holy Night
O Come, O Come Immanuel	Our Saviour Has Come
O Holy Night	Retro Christmas
Silent Night	Sent From The Heart of God
The First Noel	Thank God For Christmas Day
The Holy and the Ivy	The Shepherd's Song
The Twelve Days Christmas	Who Was Born?
We Three Kings	Wisemen Still Seek Him
We Wish You a Merry Christmas	Wishing
While Shepherds Watched Their Flocks	You Gave Us Hope

Figure 4.1 List of lyrics selected

4.2 Methodology

The exploration of the language feature is descriptive by nature, so the methodology for conducting this research will be mainly inductive. To obtain this objective, both a qualitative and a quantitative approach will be adopted. A qualitative approach starts from natural observation and concentrates on analysis and description of phenomena that occur naturally, thus deriving pattern or model existing in certain kinds of natural material. A quantitative approach is concerned with the frequency of certain

features in a specific context and certain factors affecting the features.

Practically, the author take four steps: sorting the data, doing the numerical computation, displaying the data and making the conclusion. The information is presented numerically in terms of rate to compare different samples with respect to frequency of some variables. Then the research results are displayed in various figures as supports to the conclusions. At the same time, the author also made some comparisons and contrasts. The cooperation and supplement of different approaches leads the investigation more thorough.

4.3 Data analysis

In this section, the corpus selected will be analyzed in three steps: Mood analysis, Transitivity analysis and Theme analysis. The basic unit for the analysis is a clause. Each clause is analyzed in the same way as is shown by the following figure:

On the first day of Christmas,	my true love	sent		to me	a partridge in the pear tree.		
Adjunct: circumstantial	Subject	Finite	Predicator	Adjunct: circumstantial	Complement		
RESIDUE	MOOD		RESIDUE				
Cir: location	Actor	Pr: material		Recipient	Goal		
Topical							
THEME	RHEME						

Figure 4.2 A model of the tri-functional analysis

Altogether, there are over 700 clauses in the corpus concerned. It is impractical to make a figure of every clause, showing the realization patterns of each metafunction. In the following analysis, figures will be made to show distribution of all the factors examined in the analysis. Each step of analysis is made up of two parts: statistics and implications. Statistics are numbers in the form of figures, showing the patterns in a group of texts and thus greatly reducing the length of the thesis. Implications are elaborations on results from the contrastive analysis of each perspective, giving answers to the research questions at the same time.

4.3.1 Mood analysis

Whenever we use language we are using it to interact, to exchange. Our first choice in an exchange is to decide whether we will take on the speech role of initiator or

responder. If we choose to initiate an exchange, we must take on either the speech role of giving, or the speech role of demanding. However, in order to interact, we must have something to exchange, either information or goods and services. The choices of speech roles and commodity types are expressed grammatically through choices in the Mood structure of the clause. Choices about the functional constituents and their configurations bring different Mood classes such as Declaratives, Polar Interrogatives, WH-Interrogatives, Imperatives, Exclamatives, Elliptical clauses and Minor clause.

Modality falls into Modalization and Modulation on the basis of the distinction between the exchange of information and the exchange of goods-&-service. In the exchange of information, people make propositions. In terms of proposition, apart from the positive pole "it is so" and the negative pole "it isn't so" there is probability with the intermediate degrees of "possibly/probably /certainly" and usuality with the intermediate degrees of "sometimes/usually/always". These intermediate degrees of probability and usuality are what Halliday refers to as Modalization and it has to do with the different ways in which a language user can get into the text, expressing a judgement about the likelihood or usuality.

In the exchange of goods-&-service, people make proposals. Likewise with proposals, people do not just argue about "do it" or "don't do it", there is a scale in between. In obligation, there are intermediate degrees of "allowed to/supposed to/required to" and in inclination there are intermediate degrees of "willing to/anxious to/determined to". The scales of obligation and inclination are what Halliday refers to as Modulation and it is a way in which speakers express their judgments or attitudes about actions and events.

4.3.1.1 Statistics

The following figures show results from Mood analysis of each group of texts.

	Declarative	Polar Interrogative	WH-Interrogative	Imperative	Exclamative	Elliptical	Minor	Modalization	Modulation	Total clauses
1	6	0	0	4	0	0	0	0	1	10
2	1	0	4	4	0	1	2	0	0	11
3	1	0	1	1	0	0	3	1	0	6
4	6	0	1	4	1	0	6	1	0	17
5	11	0	0	3	0	0	4	1	0	18
6	12	0	4	2	0	0	0	6	0	18
7	14	0	2	3	0	0	1	2	1	20
8	17	0	0	4	2	0	0	0	1	22
9	4	0	0	5	0	0	10	0	0	19
10	6	0	0	0	3	1	0	0	0	10

11	2	0	0	18	0	0	1	0	0	21
12	2	0	0	13	0	1	1	0	0	16
13	16	0	0	5	0	0	2	2	0	23
14	7	0	0	0	0	1	2	0	0	10
15	16	0	0	1	0	0	0	0	0	17
16	9	0	0	0	0	0	5	0	0	14
17	12	0	0	0	0	0	0	0	0	12
18	15	0	0	0	0	0	0	0	0	15
19	10	0	0	3	0	1	0	3	0	14
20	12	0	0	0	0	0	0	0	0	12

Figure 4.3 Mood analysis of texts in Group 1

	Declarative	Polar Interrogative	WH-Interrogative	Imperative	Exclamative	Elliptical	Minor	Modalization	Modulation	Total clauses
1	15	0	0	4	0	0	2	4	0	21
2	10	0	0	0	0	4	1	2	1	15
3	21	0	0	0	0	0	0	0	0	21
4	20	0	0	0	0	0	1	2	0	21
5	4	0	0	12	0	0	0	1	1	16
6	11	9	0	2	0	1	1	4	0	23
7	25	0	0	0	0	0	0	0	0	28
8	8	0	0	0	0	0	0	0	0	8
9	22	1	1	6	0	1	0	2	0	31
10	10	0	0	6	3	1	1	1	0	21
11	10	0	0	2	0	2	2	3	0	16
12	7	0	0	14	0	0	1	0	0	22
13	14	0	0	2	0	0	2	0	0	18
14	10	0	0	8	0	0	1	1	0	19
15	21	0	1	2	0	5	0	1	0	29
16	14	0	0	2	0	0	0	0	1	16
17	11	0	2	2	0	2	0	3	1	17
18	26	0	0	0	0	2	0	2	0	28
19	4	0	0	1	0	0	3	2	0	8
20	12	0	0	8	0	0	4	0	0	24

Figure 4.4 Mood analysis of texts in Group 2

A comparison of Mood analysis can be well presented by Figure 4.5.

	Texts in Group 1	Texts in Group 2
Total clauses	306	404

Declarative	179	278
Percentage	58.5%	68.8%
Polar Interrogative	0	10
Percentage	0%	2.5%
WH- Interrogative	12	4
Percentage	3.9%	1%
Imperative	70	71
Percentage	22.9%	17.6%
Exclamative	6	3
Percentage	2%	0.7%
Elliptical	5	18
Percentage	1.6%	4.5%
Minor	35	20
Percentage	11.4%	5%
Modalization	16	28
Percentage	5.2%	6.9%
Modulation	3	4
Percentage	0.7%	1%

Figure 4.5 Comparison of Mood analysis in 2 Groups

4.3.1.2 Implications

From the figures above, it is apparent that Declaratives, occupying 58.5% and 68.8% respectively, are the major Mood class in texts of both groups. Imperatives come the second place, but much fewer than Declaratives. There are even fewer Interrogatives (including Polar Interrogatives and WH- Interrogatives). In Group 1, no Polar Interrogatives are identified at all! Exclamatives are rare in both groups. Besides Major clauses, each group contains a certain number of Minor clauses. Both Modalization and Modulation are seldom employed in all the texts.

The dominance of Declaratives indicates that the speech function intended to achieve is "statement". Through the declarative structures, the narrators/singers want to convey some information to the audience, mainly about what they do, how they feel, what is happening to them and etc. In modern Christmas songs, there is an even larger percentage of Declaratives as the narrators/singers are telling more about their celebration of Christmas. In traditional Christmas carols, the narrators/singers relate more to some religious ceremonies and more imperatives are used to call on the audience to do what are proposed by the narrators/singers. We have also noticed that in

Group 1, three texts (Text 17, 18, 20) contain only Declaratives. In Group 2, it is the same case with Text 3 and 8. These texts add to the largest portion of Declaratives in both groups.

Imperatives are used for different reasons, such as telling people what to do, giving instructions and advice, making recommendations and suggestions, and for making offers and invitations: *Come to Bethlehem and see him whose birth the angels sing*; *Sages, leave you contemplations; Then let us all rejoice again*. In lyrics we can find many imperatives as the narrators/singers frequently show their eagerness to arouse the same feelings in the audience.

Interrogatives are mainly used to seek information from the listeners. The narrators/singers may ask for information or for confirmation or denial of a statement. With the mood of interrogatives, they can apparently negotiate with the audience and arouse them to involve in thinking about the questions they ask. And sometimes the narrators/singers can manipulate the answers from their points and get the expected answers. Since lyrics we examine here are mostly about religion, they involve little direct interaction between the narrators/singers and the audience. Therefore, few interrogatives are included in the corpus.

Exclamatives are used to make exclamations, expressing strong feelings (like surprise, disgust, worry, etc), strong emphasis or emotion: *How faithful are thy branches*, *What a wonder that God has performed*. There are very few exclamatives in the 40 texts partly because the topic of the lyrics is the solemn Christmas. Another reason may be that in singing a song, the singer always tries to appeal to the feelings of the audience through various implicit ways rather than explicit expressions.

Elliptical clauses are more common in Group 2 as some everyday expressions like “gonna” appear in the lyrics of modern Christmas songs, e.g. *Gonna chase our blues away*. All the Elliptical clauses are Declaratives. We can guess what have been ellipsed and we can “fill in” the ellipsed part in Mood analysis. For example, *Gonna chase our blues away* = “We are” *gonna chase our blues away*.

The figures also show us that the percentage of Minor clauses in Group 1 is much higher than that in Group 2. Many Minor clauses are repetitions of the theme of each text. As carols are often sung by a choir in the church and usually have fairly rapid, regular, simple and straightforward rhythms, at least one chorus should be included. It is the chorus that brings most Minor clauses, which are often nominal groups. Some carols were composed in the Middle Ages, and sometimes contain some Latin words, like Text

2 and 3 in Group 1. They cannot be classified into the Mood classes of modern English grammar. In modern Christmas songs, it is not the same case and therefore, there are fewer Minor clauses.

Halliday (2000:89) suggests that both probability and usuality can be expressed by a finite modal, a modal operator in the verbal group, or by both together. Both obligation and inclination can be expressed by a finite modal operator or an expansion of the Predicator, e.g. *be supposed to*, *be anxious to*. Although there are many ways to realize Modalization or Modulation, we still find the percentage is very small. The few Modalizations and Modulations indicate that the narrators/singers are presenting factual or objective information they are sure of, instead of subjective opinions, judgments or orders.

4.3.2 Transitivity analysis

Systemicists argue that the clause's experiential meaning is realized simultaneously with its interpersonal meaning, so that the description of Transitivity in the clause complements its simultaneous Mood description. The task of constructing a world of experience in talk is undertaken simultaneously with the task of expressing and exploring role relationships and attitudes. The reality of interaction demands that we not only talk *about* something, but that we talk *to* someone and this simultaneous semiotic requirement is realized through the simultaneous structuring of linguistic choices for both Transitivity and Mood functions. (Eggins, 1994) The system of Transitivity concerns the choice of process types and participant roles seen as realizing interactants' encoding of their experiential reality. Transitivity system construes the world of experience into a manageable set of process types, including material, mental, relational, verbal, behavioural and existential processes. Of the six types of processes, the first three are major types and the rest are minor types. The process type specifies the action, events or relationships between implicated participants (nominal constituents, functionally labeled according to the process type), and the processes may be situated circumstantially (for time, place, cause, etc.). Transitivity analysis offers a description of one of the structural strands of the clause. (Eggins, 1994)

4.3.2.1 Statistics

After a careful examination of all the clauses (both independent and dependent), figures can be designed to illustrate the process distribution in the corpus selected.

	Material	Mental	Relational	Verbal	Behavioural	Existential	Total
1	8	4	0	1	1	0	14
2	5	5	2	0	0	0	12
3	2	0	1	1	2	0	6
4	11	4	1	0	2	0	18
5	8	1	1	0	6	0	16
6	6	4	4	0	4	0	18
7	11	4	0	0	7	0	22
8	16	1	7	1	3	0	28
9	13	3	0	0	3	0	19
10	1	0	6	1	0	0	8
11	16	10	0	0	4	0	30
12	24	4	1	1	0	0	30
13	18	4	4	0	4	0	30
14	5	0	2	0	2	0	9
15	18	1	4	1	5	0	29
16	9	0	2	0	0	0	11
17	12	0	0	0	0	0	12
18	11	1	2	0	1	0	15
19	11	6	0	0	0	0	17
20	8	1	3	2	3	0	17

Figure 4.6 Transitivity analysis of texts in Group 1

	Material	Mental	Relational	Verbal	Behavioural	Existential	Total
1	11	5	6	2	0	0	24
2	20	4	3	1	0	0	28
3	9	6	15	0	3	0	33
4	17	9	2	0	3	1	32
5	16	3	1	0	0	1	21
6	10	11	12	0	4	0	37
7	23	0	3	2	4	1	33
8	6	0	4	0	0	0	10
9	27	4	10	1	1	1	44
10	15	5	2	0	2	0	24
11	6	3	3	0	1	0	13
12	16	0	1	0	13	0	30
13	10	8	2	0	2	0	22

14	18	7	1	3	0	0	29
15	16	5	6	0	0	1	27
16	14	1	2	0	2	0	19
17	14	5	1	0	1	2	23
18	21	8	2	1	4	0	36
19	5	3	0	0	0	0	8
20	28	0	0	0	0	0	28

Figure 4.7 Transitivity analysis of texts in Group 2

In order to make a contrast between the two groups, we make out Figure 4.8.

	Texts in Group 1	Texts in Group 2
Total processes	361	522
Material	203	302
Percentage	56.2%	57.9%
Mental	53	87
Percentage	14.7%	16.7%
Relational	40	76
Percentage	11.1%	14.6%
Verbal	8	10
Percentage	2.2%	1.9%
Behavioural	47	40
Percentage	13%	7.7%
Existential	0	7
Percentage	0%	1.3%

Figure 4.8 Comparison of Transitivity analysis in 2 Groups

4.3.2.2 Implications

A glimpse of Figure 4.8 indicates that no significant difference has been pointed out. Both groups have more than half of material process. Other processes distribute similarly. When we look closely at the statistics, we find the two groups do differ in some aspects.

The figures above clearly demonstrate that Material process is the process most frequently used in texts of both groups, and this can be easily understood. As discussed above, material process is a process of 'doing' and 'happening'. It means that some entity does something — which may be done *to* some other entity, or undertakes some action — which may be undertaken *by* some other entity. In the lyrics, the narrators

mainly talk about how Jesus was born, what people do to celebrate Christmas, what else happens at Christmas. The most common Participant is *Christ* or its synonyms *the Lord, God, the King*.

Mental process, the process of 'sensing' ranks the second, which is quite typical for the special text type of lyrics about Christmas. A large part of the contents are concerned with how people feel about Christ and Christmas. Words like *adore, feel, know, remember, wish* frequently appear to express people's admiration of Christ and longing for the wonderful Christmas to commemorate the Navity. Although modern Christmas songs are more festive than religious, they are still about people's feelings towards the eternal Christ and the joyous holiday. 16.7% of verbs are describing Mental processes, a percentage even than the more sacred Christmas carols.

The third most frequently used process type is different in the two groups. In Group 1, what comes the third is Behavioural process while in Group 2, Relational process. This is because of different orientations of the narrators in the two groups. In Group 1, the narrators frequently bring us into the very time and place Jesus was born. There we can always find Jesus *lying* in a manger, Mary *kneeling*, others *bending* before Him, most often of all, *singing* for Jesus' birth. In this way, many verbs are used to describe physiological or psychological behaviours. Therefore, in Group 1, we notice a larger percentage of Behavioural process.

Relational process, which often ranks the second in other types of texts, is of less prominence here, especially in texts in Group 1. Relational processes are processes of 'being'. According to Halliday, all relational processes come in two distinct modes: attributive and identifying (Halliday, 2000:119). In the analysis of relational processes in the sample texts, further study shows that most of the relational processes are attributive ones, giving a direct and vivid description of how things are on the spot.

Verbal process is what comes the fifth in both groups. Verbal processes are processes of 'saying'. Besides *say*, some other words are used to express Verbal process, e.g. *ask, call, order, proclaim, tell*.

Existential process, the process of 'existing', is the last choice made by the narrators. In Group 1, we find no Existential process at all, in Group 2, seven. The rare presence of the minor process types may due to the narrators' obvious emphasis on what or how people do to eulogizing Jesus, which is always the central subject of Christmas carols or songs. The absence of Existential process in Group 1 is also caused by the fact that in early English, the structure of "There be" was rarely used.

4.3.3 Theme analysis

So far we have investigated how the clause is organized to express interpersonal meanings (through selections of Mood and Modality) and experiential meanings (through selections of Transitivity). In this section, we will examine the third simultaneous strand of meaning that enables texts to be negotiated: textual meaning, which is mainly realized through the system Theme at the lexico-grammatical level. The Theme network shows that Theme involves three major systems: choice of type of Theme (topical, interpersonal and/or textual), choice of marked or unmarked Theme, and choice of predicated or unpredicated Theme. (Eggins, 1994) As there is only one predicated Theme in a dependent clause in Text 9 of Group 2, Theme Predication is not taken into consideration in the following analysis.

4.3.3.1 Statistics

The two figures below clearly demonstrate distribution of different Theme choices in the corpus selected.

	Inter-personal Theme	Textual Theme	Topical Theme	Single Theme	Multiple Theme	Unmarked Theme	Marked Theme	Clausal Theme	Total clauses
1	2	0	10	8	2	7	3	0	10
2	1	0	8	7	1	7	1	0	11
3	1	1	3	1	2	2	1	0	6
4	0	3	11	9	2	7	4	1	17
5	1	0	14	12	1	8	6	0	18
6	0	9	18	9	9	16	2	0	18
7	3	8	19	10	9	11	8	0	20
8	1	4	22	17	5	15	7	0	22
9	1	2	13	10	3	13	0	0	19
10	8	9	10	5	5	10	0	0	10
11	1	13	20	6	14	18	2	0	21
12	6	10	15	7	8	11	4	0	16
13	3	4	23	18	5	12	11	0	23
14	0	0	8	8	0	5	3	0	10
15	0	7	17	11	6	5	12	0	17
16	0	4	9	5	4	8	1	0	14

17	0	0	12	12	0	0	12	0	12
18	0	5	14	9	5	8	6	0	15
19	0	3	13	10	3	12	1	0	14
20	0	5	12	7	5	3	9	1	12

Figure 4.9 Theme analysis of texts in Group 1

	Inter-personal Theme	Textual Theme	Topical Theme	Single Theme	Multiple Theme	Unmarked Theme	Marked Theme	Clausal Theme	Total clauses
1	0	3	18	15	3	14	4	0	21
2	0	2	12	12	2	10	4	0	15
3	0	2	21	19	2	13	8	0	21
4	1	0	20	19	1	17	3	1	21
5	0	1	16	15	1	14	2	1	16
6	0	1	22	22	1	20	2	1	23
7	0	1	27	26	1	15	12	3	28
8	0	0	8	8	0	8	0	0	8
9	2	3	31	26	5	26	5	1	31
10	1	10	20	11	9	17	3	0	21
11	0	2	14	12	2	10	4	0	16
12	0	2	21	19	2	19	2	0	22
13	0	2	16	14	2	12	4	0	18
14	0	1	18	17	1	13	5	0	19
15	1	0	29	28	1	24	5	0	29
16	0	1	16	15	1	15	1	0	16
17	0	5	17	12	5	13	4	0	17
18	8	8	28	16	12	22	6	0	28
19	1	0	5	4	1	5	0	0	8
20	0	0	24	24	0	20	4	0	24

Figure 4.9 Theme analysis of texts in Group 2

An important principle in Systemic Functional Grammar is that every clause must contain one and only one topical theme. It is this principle that allows us to determine

the Theme/Rheme boundary the clause. This principle also implies the number of Topical Themes should be equal to the number of clauses (Major clauses).

As Minor clauses are not examined in Theme analysis, the percentage of each variable is based on the total of major clauses in each group, which is shown by Figure 4.10.

	Texts in Group 1	Texts in Group 2
Total clauses	306	404
Major clauses	271	385
Topical Theme	271	385
Interpersonal Theme	28	14
Percentage	10.3%	3.6%
Textual Theme	87	44
Percentage	32.1%	11.4%
Single Theme	182	333
Percentage	67.2%	86.5%
Multiple Theme	89	52
Percentage	32.8%	13.5%
Unmarked Theme	180	307
Percentage	66.4%	79.7%
Marked Theme	91	78
Percentage	33.6%	20.3%
Clausal Theme	1	7
Percentage	0.37%	1.8%

Figure 4.10 Comparison of Theme analysis in 2 Groups

4.3.3.2 Implications

In texts from Group 1, there is a larger percentage of Interpersonal Themes and Textual Themes, thus leading to a higher frequency of Multiple Themes. The Interpersonal Themes are mainly Vocatives and Mood Adjuncts, with only 1 Comment Adjunct (truly) and no Polarity Adjunct. This is because the narrators often put Vocatives like *angels*, *sages* before Imperatives as if they are speaking face-to-face with the angels or sages. Although Vocatives do not impact on the MOOD constituent of the clause, they effect the clause as a whole. When they occur initially or at least before the

Topical Theme, they become part of a Multiple Theme. The Textual Themes are mostly the Continuity Adjuncts “*O*” and Conjunctive Adjuncts like “*and, but, yet*”. Single Themes are inevitably Topical Themes. The most extended Multiple Theme in Group 1 is made up of 1 Interpersonal Theme, 3 Textual Theme and 1 Topical Theme and the one in Group 2 consists of 3 Textual Themes and 1 Topical Theme: *Yes, and oh, what a wonder we see*—. Analysis of the sentence would be like that in the following figure.

Yes,	and	oh,	what	a wonder	we	see		
Adj: contin	Adj: conj	Adj: contin	WH/Complement		Subject	Finite		
			RESIDUE ...		MOOD			
Textual	Textual	Textual	Topical					
THEME			RHEME					

Figure 4.11 Example of a Multiple Theme

Group 1 includes more Marked Themes than Group 2. Most Marked Themes are comprised of Circumstantial Adjuncts as Topical Themes, e.g. *From God our heavenly Father a blessed angel came*. Another few are Complements or even Predicators as Topical Themes, e.g. *Glad tidings of great joy I bring to you and all mankind, Thus spake (old form of spoke) the seraph*.

The high markedness of Theme choices always implies certain patterns of inversion. The inverted part often implies more emphasis on the information they carry. Some Marked Themes bring special rhetorical effects. For example, in “*The Twelve Days Christmas*” (Text 17 in Group 1), every clause begins with the Marked Theme “*on the ... day of Christmas*”, which makes the whole song a parallelism. Another effect Marked Themes help to bring is rhyme. In some texts, Marked Themes and the according inversions contribute to the beautiful rhyme of the whole text. For example, in the well-known “*Jingle Bells*”, many Circumstances are put before the Subject of Declaratives and thus become Topical Themes (Marked). At the same time, we find the whole text strictly rhymed. For example, the first clause in the text is:

*Dashing through the snow,
In a one horse open sleigh
O'er the hills we go,
Laughing all the way*

If we choose an Unmarked Theme, the clause will be like:

*We go over the hills
Dashing through the snow
In a one horse open sleigh
Laughing all the way*

Then we can find that the clause cannot, like all the other clauses, fit into the rhyme pattern of *abab*.

As 16 of the 20 texts in Group 1 are rhymed (only 7 are rhymed in Group 2), the appropriate order of words is of vital importance to make the lyrics in harmony with the carols' fairly rapid, regular, simple and straightforward rhythms based on musical arrangements and chords of the Medieval period.

In both groups we find few Clausal Themes, not to mention Predicated Themes. This is largely due to the simple syntax in the genre of lyrics. There are only a few Dependent Clauses, most of which are attributive clauses of nouns or nominal groups and will not occur in the initial place of a clause.

4.4 Summary

After a three-step analysis of the corpus, we find that there are more similarities than differences. This is chiefly because both traditional Christmas carols and modern Christmas songs belong to the same genre of lyrics. They also share very similar field, tenor and mode. But the differences are of more research values as they describe the different linguistic features of the English language through time. The differences are achieved through different choices of the system of Mood, the system of Transitivity and the system of Theme. As lyrics are mainly written for singing, these choices are influenced by other factors like the tune, the cultural and religious background. In Functional Grammar, choice is meaning; form is meaning. Therefore, the different choices made in the corpus denote different meanings and at the same time realize different metafunctions.

Chapter 5 Conclusion

This thesis is aimed at a diachronic description of realization patterns of the three metafunctions in lyrics of traditional Christmas carols and modern Christmas songs. With regard to the time of creation, 20 samples of great popularity have been chosen for each group as the corpus for this research. The 40 samples are investigated from three perspectives: choices of Mood and Modality, choices of process types and choices of Theme. Through the three-level analysis, we can understand the realization patterns of the three metafunctions in the corpus. The major findings are as follows:

➤ In Mood analysis, Declarative is the major Mood class in both groups. There are only a small number of clauses having the Mood structure of Interrogatives and Exclamatives in both groups. There is a larger percentage of Imperatives and Minor clauses in traditional Christmas carols. This indicates the narrators are making more orders, offers, invitations or suggestions. The larger number of minor clauses results from the indispensable chorus, Latin words or different syntax in different historical stages. Both groups witness few Modalization or Modulation as the narrators are presenting factual or objective information that they are certain of, rather than subjective opinions or judgments.

➤ In Transitivity analysis, the two groups are alike in that Material process is the dominant one in both groups, Mental process comes the second and there are few Verbal processes and Existential Processes. But Group 1 contains more Behavioural processes as the narrators often imagine they are witnessing the birth of Jesus and people around Him are responding differently. Then more physiological or psychological behaviours are described in contrast with more Relational processes covered in Group 2. Lyrics in Group 1 are more concerned with what people do to commemorate the birth of Jesus while those in Group 2 relate more to how people feel and how the circumstances are around Christmas.

➤ In Theme analysis, we find greater differences. Group 1 consists of a larger percentage of Inerpersonal Themes, Textual Themes, Multiple Themes and Marked Themes while Group 2 includes relatively more Single Themes and Unmarked Themes. The different choices of Theme and different orders of constituents make rhetorical as well as structural effects. Some differences may have resulted from intentional arrangements of the writers, others due to influences from the development of the English language.

➤ Although the samples all belong to the same genre of lyrics, each group shares generalities of their own age. In terms of linguistic features, lyrics of Group 1 are briefer, more sacred and serious, relating most to the Nativity. However, lyrics in Group 2 are more casual and diversified, covering more linguistic forms.

After doing the contrastive analysis, the author of this thesis benefits a lot from the research. She gains a far better command of major theories in the field of Systemic Functional Linguistics, knows much more about the text type of lyrics and acquires a good understanding of Christmas carols and songs. Moreover, as this thesis is a diachronic study of texts from the same genre, it provides new insights into learning about dynamic developments of the English language.

As the analysis of lyrics as a special text type is still at its infancy, this thesis is a tentative study to reveal how the three metafunctions are realized through choices of Mood, Transitivity and Theme. This thesis is of significance for future research in this field, and for the application of Systemic Functional Linguistics and Appraisal theory to the analysis of lyrics. This thesis validates that the theories of three metafunctions within the framework of SFL are applicable and effective in the study of metafunctions in traditional Christmas carols and modern English songs. However, there are some limitations in this thesis. Firstly, limited samples studied in this thesis may narrow the research findings, therefore findings of the thesis need to be tested on more lyrics of traditional Christmas carols and modern English songs. Secondly, due to limited research time, the present study is not able to cover all facets of metafunctions. Resources such as Voice, types of Participants, adjuncts, and Thematic Progression are not covered in this study. Thirdly, the author's selection of corpus is confined to the selection made by Elton Smith and a few websites. Data analysis should involve more samples, adopting more scientific statistical methods. Finally, the author's understanding of Systemic Functional Linguistics is still not good enough to elaborate all the linguistic phenomena, where efforts should be exerted in later studies.

It is our enthusiastic expectation that this thesis will encourage more worthwhile studies on the lyrics of various kinds, on Functional discourse analysis and cultural issues concerning Christmas.

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Acknowledgements

At the completion of this thesis, I would like to acknowledge my heartfelt gratitude to a number of people without whose help and support it would never have been possible for me to complete this research.

First and foremost, my warmest thanks go to Doctor Yang Rufu. It is his insightful advice and constructive comments that have made my research more reasonable and add much to the readability of the thesis.

I am especially grateful for my Supervisor, Professor Zeng Jianping, for his patience, for his scholarly tolerance, for his optimistic attitude towards life and for his consistent encouragement and assistance through the days when my health was in poor conditions.

I would also like to give my special thanks to the professors who have taught me in the MA program, broadening my knowledge in linguistics, translation and literature. Their enlightening instruction and valuable guidance helps to lay a good foundation for my future research and life.

My sincerest gratitude also goes to my friends and fellow students who have been the source of both intellectual stimulation and enjoyable moments. Here I don't want to mention their names for fear that anyone would be missing from the list.

Finally, I owe a lot to my family for their unselfish love, endless support and timely comfort.

