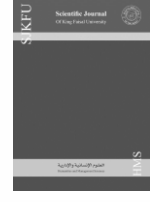




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### Transitivity: An Application of Halliday's Systemic-functional Grammar to Hemingway's *The Old Man and the Sea*

Samah Abdel-Karim Ibrahim Mohammed  
Department of English Language, College of Sciences and Humanities, Majmaah University, Al-Qhat, Saudi Arabia

### التعددية: تطبيق نظرية النحو الوظيفي لهاليداي في تحليل رواية العجوز والبحر لإنست هيمنجواي

سماح عبد الكريم إبراهيم محمد  
قسم اللغة الإنجليزية، كلية العلوم والدراسات الإنسانية، جامعة المجمعة، الغاط، المملكة العربية السعودية

#### KEYWORDS الكلمات المفتاحية

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#### ABSTRACT

This study aims to investigate the functional significance of transitivity in Hemingway's *The Old Man and the Sea*, depending upon Halliday's Systemic-functional Grammar (SFG). Transitivity is a set of grammatical choices made by language users to express their experiences. These goings-on are realised by the verb type in the clause. The study investigates the process types: material, mental, relational, behavioural and existential, with a particular focus on the presentation of the protagonist's inner thoughts and his conscious practices. It examines the percentage of the frequent pattern of five process types in the novel and investigates the role of transitivity model through the actions and the complex mental states of the persona. Data are analysed qualitatively using the proportion method to make up the percentage of each process type. The findings reveal that the material process is the most dominant. Second to this is the relational process. The mental process type is also significant, whereas behavioural and existential process types represent only a slight portion of the texture of the novel. The dominance of material processes can justify the critics' arguments on the novel's dynamism and the old man's heroism represented in his struggle with the giant marlin. So, the study can be an attempt to explore how the theme of the novel is expressed by the author's linguistic choices.

#### المخلص

تتناول الدراسة الدور الوظيفي لأنماط نظرية التعددية من خلال تطبيق نظرية النحو النسقي الوظيفي لهاليداي على واحدة من أهم روايات الكاتب الأمريكي إنست همنغواي 'العجوز والبحر'. تعد ظاهرة التعددية مجموعة من الخيارات النحوية التي يتخذها مستخدمو اللغة للتعبير عن تجاربهم وخبراتهم. يتم تحقيق هذه الأحداث من خلال نوع الفعل في الجملة. تعتمد الدراسة المنهج النوعي في تحليل البيانات باستخدام طريقة النسبة المئوية لنوع من أنواع العمليات في الرواية، وذلك من خلال تحليل العمليات المادية والذهنية والعلاقاتية (أفعال الكينونة) والسلوكية والوجودية مع التركيز على عرض الأفكار الداخلية ليظل الرواية وممارساته الإدراكية. ويتألف نموذج التحليل من مرحلتين: إظهار التكرار النسبي لأفعال التعددية في النص قيد التحليل، ودراسة دور الإطار النظري للتعددية في تحليل أفعال الشخصية الرئيسية والحالات الذهنية المعقدة للشخصية في النص. تكشف الدراسة سيادة الأفعال المادية في الرواية التي تبرر آراء النقاد حول ديناميكية الرواية وبراعة الرجل العجوز التي تكمن في صراعه مع سمكة المارلين العملاقة. تحتل الأفعال العلاقاتية الترتيب الثاني من مجمل الرواية، بينما تأتي الأفعال الذهنية المرتبة الثالثة. وأوضحت الدراسة ثانوية العمليات السلوكية والوجودية في الرواية قيد التحليل. وبذلك تكمن أهمية الدراسة في كونها محاولة لاستكشاف كيفية التعبير عن موضوع الرواية من خلال الخيارات اللغوية للمؤلف.

## 1. Introduction

According to Halliday (1994), transitivity is a part of the ideational function of the clause. Simpson (1993, p. 88) suggests that transitivity refers to 'the way meaning is expressed in a clause to encode one's mental picture of reality'. Events and processes are performed by clauses, and transitivity clarifies how those events and actions are performed, by whom and on what. Transitivity is an essential tool in the analysis of representation. Its function is that of 'representing processes or experiences: actions, events, processes of consciousness and relations' (Halliday, 1985: 53). As Hasan (1988, p. 63) puts it: 'Transitivity is concerned with a coding of the goings-on: who does what in relation to whom/what, where, when, how and why. Thus, the analysis is in terms of some process, its participants, and the circumstances pertinent to the process - participant configuration'.

With regard to the six processes, material, relational and mental are the major ones represented. A material process describes what is going on in real-life situations, whereas a mental process reflects the innermost experience of the mind. Material processes are sub-classified into events (i.e., happening) and action (i.e., doing) processes, whereas mental processes are subcategorized into perception, cognition, and affection. A relational process is concerned with classifying and identifying. It is divided into two categories: attributive and identifying. Material, mental, and relational processes represent the majority of clauses. The other three process types are subsidiary (Halliday, 2004, p. 170). The borderline between material and mental is the behavioural process. It represents both the inner consciousness and the physiological reaction. Between mental and relational processes lies the verbal process. It refers to the action of saying. The existential process lies between relational and material

processes. It is represented by verb 'to be' or 'to exist' (Halliday, 2004, p. 170).

The study provides a detailed account of the material, mental, relational, behavioural, and existential processes. The verbal processes are not reviewed since they are not entirely relevant to the novella in question. Thus, the investigation focuses primarily on those concepts appropriate for the specific linguistic features of the text. The framework introduced is reviewed mainly from Halliday (1994); and Halliday (2004). The examples are taken from the novella as illustrations

Language study attracts many academic researchers from different disciplines to better understand contemporary society. This study attempts to explain the role of Halliday's framework in literary discourse by identifying and analysing how the main character is portrayed and represented through language in the novella. The practical value of the present study is most relevant for students accomplishing similar research in the application of SFG to literary texts. Moreover, the summarised theoretical material and collected examples are expected to be a contribution to further studies and investigations of Halliday's framework.

Halliday's transitivity model is the preferred one, since it contains a comprehensive and delicate categorization of various types of processes of the world relevant to the characteristic features of Hemingway's style exhibited in *The Old Man and the Sea*. Hemingway himself said that '[his] intent in writing was to make his readers hear, feel and see' (Baker, 1972, p. 74). The model provides an analytic tool for the study of those artistically motivated and foregrounded lexical choices made by the author. Using transitivity analysis, the study tries to examine the structure of sentences which are represented by processes, the participants involved in these

processes, and the circumstances in which the processes and participants are involved.

The significance of the story refers to its depiction of Hemingway's isolation and his knowledge of deep-sea fishing represented in Santiago, who struggles alone to confront his own fate (Donaldson, 1996, pp. 24–52). Indeed, the story is loaded with practical fishing terms, figurative language, and 'reliance on plain, ordinary words which are direct and exact' (Bonyng, 1977, p. 11). Many critics have been struck by the release of *The Old Man and the Sea*. It has been regarded as a starting point in Hemingway's literary reputation, and one of the everlasting works of American fiction.

Hemingway believes that a writer's task is to invent truly, without faking. He stresses that a true artist should be honest and simply write down in explicit language what he sees and experiences. Therefore, what he writes is created only from his own experience, as he often said, 'I only know what I have seen' (Baker, 1972, p. 48). Nelson affirms that for Hemingway, to write truly means to 'describe life as it is, not as it ought to be' (1984, p. 26). That is why his writings primarily focus on real people in real places, describing actions physically without much intellectual discussion. As mentioned in Baker (1972), Hemingway aimed at making his readers hear, feel and see through writing, as he once said to Samuel Putman in the late 1920s: 'Put down what I see and what I feel in the best and simplest way I can tell it' (Baker, 1972, p. 54). As elaborated by Baker (1972), three aesthetic instruments constitute the core of Hemingway's literary work: 'the sense of place, the sense of fact, and the sense of scene'. Most of his fiction is provided by real characters in real places; even the specific situations in which events happen are often presented clearly.

## 2. Related Studies

The most influential example in transitivity analysis is Halliday's (1971) article 'Linguistic function and literary style: An inquiry into the language of William Golding's *The Inheritors*'. Carter and Stockwell describe it as 'one of the ground-breaking analysis in stylistics' (Halliday, 1971, p. 203). In this article, Halliday analyses only four passages focusing mainly on the choice of verbs, including processes, participants and the circumstances that occur in the clauses and sentences of the text. He manages to illustrate how these linguistic choices are used by Golding to imply 'cognitive limitation, a decreased sense of causation and an incomplete recognition' (Halliday, 1971, p. 81) of how human beings, represented by the main character, can control the world. Therefore, Halliday (1971, p. 81) claims that 'transitivity is the set of options whereby the speaker encodes his experience and transitivity is really the cornerstone of the semantic organization of experience'.

Kennedy (1982) applies Halliday's approach to two different texts, one an excerpt from Joseph Conrad's novel *The Secret Agent*, and the other James Joyce's short story 'Two Gallants'. Kennedy uses transitivity analysis to show how the characters in the texts are construed with regard to their involvement in both their own actions and the actions that are directed at them.

The scene taken from *The Secret Agent* is one in which Mr Verloc is murdered by his wife. Kennedy shows how Mr Verloc is construed as 'a passive observer of an act he can do nothing to prevent' (Kennedy, 1982, p. 88). Mrs Verloc, on the other hand, is seen as 'detached' from her murder, because of 'the avoidance of clauses with Mrs Verloc as actor' (Kennedy, 1982, p. 89). Instead, the knife is seen as if it is moving up and down by itself; the knife is 'planted in his breast through a plunging blow, delivered over the side of the couch', but nothing from this indicates that Mrs Verloc is the murderer (1982, pp. 86–88). In this way, the verbs used by Joseph Conrad give the

impression of detachment as if the murderer were someone who is acting without deliberate intent.

In the same article, Kennedy also analyses Joyce's 'Two Gallants', clarifying how transitivity patterns reflect the 'asymmetrical relationship between two characters: Lenehan and Carley. The former is construed as a "passive observer", whereas the latter is portrayed as an active, a man of self-decision who "gets what he wants"' (Kennedy, 1982, pp. 92–94).

Also, there is Burton's (1982) feminist stylistic analysis of a scene from Sylvia Plath's *The Bell Jar*. Burton reveals an unparalleled power relationship between the medical staff and a female patient. In her study, Burton uses the systemic-functional model to examine process types in the passage. She concludes that through Plath's use of 'disabling syntactic structures', it is evident to see that the female is a concept of helpless victim represented in the patient who has nothing to do or make decisions among the medical staff in the hospital. The findings show how transitivity analysis reflects the gender stereotype: the processes embedded to male characters are more powerful than those embedded to female characters. Similarly, Kies' (1992) *The uses of passivity: Suppressing agency in Nineteen Eighty-Four* analyses the main linguistic patterns of George Orwell's masterpiece. The main character in the novel, Winston Smith, is a low-ranking member of the ruling party in London who is imposed on and controlled by the party in all his actions. He feels frustrated as he is prohibited even from free thought and expression of individuality. Using systemic-functional linguistics, Kies manages to reveal how the citizen feels oppressed under the leadership of authoritarian state.

Hemingway's fiction itself has been the focus of several studies from the 1970s to today. For instance, Gutwinski (1976) explores grammatical and lexical cohesion of an extract of 607 words from Hemingway's *Big Two-Hearted River: Part 1*, comparing it with a paragraph of James' *The Portrait of a Lady*. Carter (1982) investigates the stylistic influence of nominal group structure, verbal structure, free indirect speech and so on in Hemingway's 1920s short story 'Cat in the Rain'. Fowler (1996) studies the transitivity pattern of an extract of twenty sentences from the short story *Big Two-Hearted River: Part 1*. Simpson (1987) conducts a stylistic analysis of the narrative structure of a passage of forty-four sentences from the middle of *The Old Man and the Sea*. He employs three different linguistic frameworks to study the grammatical structure: textual component, modes of speech and thought presentation of the extract. He concludes that the passage reveals 'narrative movement' equivalent to the actual movement of the old man and his boat at sea. Such an effect is created by the evolution of the text, combined with 'the complex rhythmic transitions between the speech, thought and narrative report of action strand', producing narrative structure like 'narrative waves' which mirror every event of the novel (Simpson, 1987, pp. 220–222).

Simpson (1993) analyses only eight paragraphs from *The Old Man and the Sea* in terms of modality and transitivity. He elaborates the narrative mode within the extract and concludes how a mode may dominate a text despite momentary infractions into other subordinate modes.

Moreover, Simpson investigates transitive verbs in the first paragraph of the extract. He finds that transitivity is depicted by the invariable use of active rather than passive voice. The material processes are dominant while the mental and other processes are limited, proving 'a highly actional descriptive framework' (Simpson, 1993, p. 91). The difference between this study and Simpson's analysis lies in the fact that Simpson focuses on two short extracts, while this study attempts to cover the old man's three-day battle with the fish from one

perspective of SFG represented in transitivity framework as a dynamic linguistic tool to analyse the main character's actions and his inner world.

From what has been discussed above, the study may draw the conclusion that the inadequacy of the previous studies is that they do not pay adequate attention to the function of transitivity in a certain discourse, especially a complete literary work. It is just the gap that the present study tries to fill.

### 3. Data and Analysis Techniques

In order to get the most reliable research results, qualitative methods are used for in-depth analysis and interpretation. A transitivity system has been adopted for analysis at the clause level. To test validity, a number of procedures have been followed: First, the researcher identified all the ranking clauses, which is the basic unit of the process analysis, and then obtained the number of the clauses. In order to calculate clauses, the researcher identified the process types of the chosen clauses by adopting the criteria set by Halliday. In collecting data, the researcher uses observation and documentation methods. There are two techniques of analysing the data. First, the researcher uses theory of Lexico-grammar to identify the transitivity elements: Processes, Participants and Circumstances. Second, the researcher mathematically uses the table of percentage to show the dominant elements found in the text. These are the basis on which the transitivity analysis in this paper mainly depends. Third, the number of each process type is to be counted, and then the percentage of each type of process is calculated. Tables are given explaining the distribution of each process type in the novel. Finally, qualitative analysis has been adopted to interpret and explain the functions of each process type. Since language is produced in certain language context, the different functions of each type of process are interpreted.

### 4. Results and Discussions

In order to present a better understanding of each process type revealed in the novella, qualitative data were collected, analysed, and interpreted. Frequency data of each category of transitivity model are listed in separate tables. After each frequency list, qualitative analysis and findings are provided for interpretation.

#### 4.1. Material Processes:

What follows is a frequency list of material clauses 'see Table 1':

Table 1. A List of frequencies of sub-categories of material clauses

Category	Material Processes	Frequency	Percentage (out of 864)
1.a.	Total frequency of categories of Transitive / effective finite clause (Actor + Process + Goal)	345	39.93 %
1.a.1.	Processes performed on the fishing gear such as the line, tiller, harpoon, bait, coils, oar, etc...	174	20.13 %
1.a.2.	Processes performed on the fish, shark, marlin, dolphin, sardines, etc...	81	9.37 %
1.a.1.	take / took / taken	35	4.05 %
1.a.2.	put	30	3.47 %
	hold / held	24	2.77 %
	cut	15	1.73 %
	carry / carried	13	1.50 %
	made ... fast	12	1.38 %
	bring / brought	12	1.38 %
	picked up	9	1.04 %
	catch / caught	7	0.81 %
1.a.3.	Processes performed by the old man's or the boy's body such as his hands, shoulders, back, mouth, foot, fingers, head, etc.	76	8.79 %
	work (ed)	8	0.92 %
	eat / ate	10	1.15 %
	kill (ed)	7	0.81 %
1.a.4.	Processes performed by the fish, sharks.	14	1.62 %
1.b.	Total frequency of categories of transitive / effective non-finite verbs	47	5.43 %
1.b.1.	actions performed on the fishing gear such as the line, tiller, harpoon, bait, coils, oar, etc...	17	1.96 %
1.b.2.	Processes performed on the fish, shark, marlin, dolphin, sardines, etc...	15	1.73 %
1.b.3.	Processes performed by the old man's or the boy's body such as his hands, shoulders, back, mouth, foot, fingers, head, etc.	15	1.73 %
1.c.	Total frequency of categories of transitive / effective clause Actor + Process (one or two lexical verbs / imperfective) + Goal	26	3.00 %
1.c.1.	Processes performed on the fishing gear such as the line, tiller, harpoon, bait, coils, oar, knife, cord, skiff, etc...	14	1.62 %

1.c.2.	Processes performed on the fish, shark, tuna, marlin, dolphin, sardines, shells, etc...	5	0.57 %
1.c.3.	Processes performed by the old man's or the boy's body such as his hands, shoulders, back, mouth, foot, fingers, head, etc...	7	0.81 %
1.d.	Intransitive / middle clause (Actor + Process)	239	27.66 %
	go / went	28	3.24 %
	come / came	26	3.00 %
	sail (ed)	8	0.92 %
	Rowed	6	0.69 %
	sleep / slept	5	0.57 %
1.e.	Intransitive/middle non-finite clause: Actor + Process (two lexical verbs/perfective with to)	37	4.28 %
1.f.	Intransitive / middle clause Actor + Process (one or two lexical verbs / imperfective)	44	5.09 %

As shown in the above table, most of the material processes are recognized by the past tense with the third-person (e.g., 'drew,' 'cut,' 'placed,' 'held' and 'picked up') or in the present tense in the first-person speech or protagonist mode (e.g., 'make' and 'bring'). On the contrary, there is a small number of non-finite verbs (with or without to) or the imperfective finite clauses. The perfective clauses are found in the sub-categories 1.b.1., 1.b.2. and 1.b.3. of the transitive/effective clauses, 1.e. of the intransitive/middle clauses and 1.h. of the range clauses; whereas the imperfective clauses exist in their counterpart sub-categories 1.c.1., 1.c.2., 1.c.3.; 1.f. and 1.i. There is a total of one hundred and one perfective and eighty-three imperfective clauses, respectively accounting for 11.68% and 9.60% out of material clauses. These clauses represent only a little portion of the investigated material processes.

As for perfective non-finite clauses (with or without to), they are usually 'material processes' expressing actions to be accomplished, potential or proposals in hypotactic clause complex such as 'sailed...to make' and 'found...to steer'. The examples are as follows:

- ...try to get something to eat.
- He slipped away to swallow.
- The old man rowed gently to keep the lines straight up and down.
- He pushed against the wood to be warm.

The following clauses are perfective realised by two lexical verbs in hypotactic verbal group complex:

- They [sharks] turned to come once more.
- The fish continued to swim at a slightly higher fin.
- He remembered to give himself more confidence.
- He started to pass the boat.
- He began to shift more of the strain to it.
- The line commenced to race out.
- He tried to settle more comfortably.
- He tried to get up.
- He tried to keep the cutting across the calloused parts.

The first three clauses express targets to be fulfilled, intentions or suggestions. However, the most dominant types of perfective processes are those realising an inceptive time-phase relation in hypotactic verbal group complex as in the three succeeding examples, and those realising a conative relation as revealed in the last three clauses. In these verbal groups complex, the material processes are indicated by the second lexical verbs like 'he began to row out of the harbour', 'he tried to increase the tension', while the first lexical verbs provide further information for elucidating the process; they highlight the old man's conscious endeavours to perform his goal to catch the fish.

Regarding the non-perfective clauses, some are indicated by a finite verb as in the clauses from one to three, or a non-finite verb as in the last three clauses:

- He [the old man] was unknitting it slowly.
- He was moving into a great canyon of clouds.
- They were losing and finding the scent in their excitement.
- He swung over once again, wrapping himself in two loops of the rope.
- He lay forward cramping himself against the line.
- He took hold of it with his right hand, flexing his hand on it.

In fact, most of the 'material clauses' are indicated by the past tense such as 'put,' 'picked up,' or 'took' with the third-person in the form of narration. According to Hofmann (1993, p. 149), these types of verbs can be viewed as 'accomplishment verbs, which depict events as occurring over a period and include the end point denoting their completion'.

Moreover, another class of verbs are also widely used such as 'he *slit* him [the shark] quickly', 'he *slapped* his left hand hard and fast', 'the old man *stabbed* him in his left eye', 'he *clubbed* at heads', 'he *dropped* the guts and the gills over the stern'. They belong to the punctive verbs, which refer to something that happened at a particular moment in the past and has no duration (Hofmann, 1993, p. 150). These transitive verbs highlight the old man's firm control of the gear he operates in struggling against the giant fish.

Overall, material clauses with their subordinate categories are often accompanied by adverbial phrases, particularly those of space and manner, inspiring 'the sense of place and the sense of scene in the depiction of an objective setting' (Baker, 1972, p. 54).

As clearly noticed in Table 1, the material transitive/effective clause (Actor+Process+Goal) – with its three categories 1.a.1. to 1.a.3. – represent the most prevalent of the five process types analysed in this study. The most frequent verbs are those which express how the old man deals with the line, harpoon, and mast to catch the fish. These clauses are frequently employed throughout the three-day battle to describe the old man's recurrent endeavours to spear the marlin. The verbs of category 1.a.3. are used to express the actions performed by the old man such as: 'he ate the white eggs to give himself strength' and 'he works his way slowly back to the bow'. The material intransitive/middle clauses (Actor+Process) expressing the old man's dynamic movements such as 'he *sailed* into the little harbour', 'he *rowed* slowly and steadily', and his physiological reactions such as 'cramped', 'he *slept* on the other old newspapers', or 'it *coagulated* and dried' are also prominent. It is evident that the old man appears alone most of the time struggling with the marlin.

4.2. Relational Processes:

A second major process type revealed in the novel is relational clauses. The sub-category of the intensive attributive clauses with Quality Attribute, realised by a nominal group with Epithet as Head is the major one with 229 clauses, constituting 62.91% of the total. Table 2 represents a list of frequencies of relational process with its sub-categories as investigated:

Table 2. Frequencies of sub-categories of relational clauses

Category	Relational Processes	Frequency	Percentage (out/364)
3.a.1.	Intensive attributive clause: Quality Attribute Carrier +Process: intensive +Attribute	229	62.91 %
	Good	12	3.30 %
	Sorry	9	2.47 %
	Tired	7	1.92 %
	Clear	6	1.65 %
	Afraid	5	1.37 %
3.a.1.1.	Intensive attributive clauses expressed by the old man in the 1 <sup>st</sup> person, or the 2 <sup>nd</sup> person as a Carrier	36	9.89 %
3.a.1.2.	Intensive attributive clauses expressed as old man / He as a Carrier	38	10.44 %
3.a.1.3.	Intensive attributive clauses denoting the objective properties of flying fish, shark, dolphin, bird, etc...	59	16.21 %
3.a.1.4.	Intensive attributive clauses denoting the old man's and the boy's body parts: eyes, mouth, hands, the fishing gear as skiff, sail, oar, line, mast and the surroundings such as wind, breeze, sun, coast, falling water, etc.	65	17.86 %
3.a.1.5.	Intensive attributive clauses: please type with Carrier serving as phenomenon	31	8.51 %
3.a.2.	Intensive attributive clause: Entity Attribute Carrier +Process: intensive +Attribute	23	6.32 %
3.b.	Intensive Identifying Clause Identified / Token + Process: Intensive + Identifier / Value	17	4.67 %
3.c.	Circumstantial attributive clause	37	10.16 %
3.c.1.	Carrier + Process: intensive + Attribute circumstance: location as attribute (prepositional phrase)	32	8.79 %
3.c.2.	Carrier + Process: intensive + Attribute circumstance: companionship as attribute (prepositional phrase)	4	1.10 %
3.c.3.	Carrier + Process: intensive + Attribute circumstance: manner as attribute (prepositional phrase)	1	0.27 %
3.d.	Circumstantial Identifying clause Identified/Token (circumstance: time) + Process: intensive + Identifier/Value (circumstance: time)	10	2.75 %
3.e.	Possessive Attributive Clause	48	13.19 %
3.e.1.	Carrier: possessor + Process: possession + Attribute: possessed	26	7.14 %

(concrete things as attribute)			
3.e.2.	Carrier: possessor + Process: possession + Attribute: possessed (abstract entities or human sensation as attribute)	22	6.05 %

As revealed in Table 2, the intensive attributive clause is divided into two types regarding the Attribute: 'quality and entity. As for the quality Attribute, it is realised by a nominal group with Epithet as Head' (Halliday, 2004), conveying an individual emotion or an external experience of the old man. These attributes are defined by an adjective such as 'good', 'cold', 'sad', 'ready', 'silly', 'strange', 'timid', 'crazy', 'comfortable', 'angry' or 'stiff', to reveal both good and bad moods of the protagonist in struggling with the marlin. Epithets for qualitative attributes are also realised by participial phrase in '- ed', such as 'the sail was *patched* with flour sacks and *furled*', 'he was *bare-footed*', 'the door of the house was *unlocked*', and 'the old man's left hand was *uncramped*'. They are recurrently modified by adverbs of degree such as 'too', 'very', 'as...as', 'more', and 'most'.

A close survey of the domains of attribution illustrates that a few intensive attributive clauses construe the inner experience of the old man, with seventy-four clauses accounting for 20.33 % of the total relational processes. Those are expressed either by the first person in the form of thought presentation of the old man as a protagonist of the story, or by the third person 'he' or 'the old man' serving as a Senser. Examples of such a type are 'I am crazy', 'the old man is wet', 'he was happy to see', 'I'm not lucky anymore' and 'I'm too tired to say them now'.

More intensive attributes construe the outer experience – the objective properties of things, constituting one hundred and twenty-four instances (34.07% of the total). They express the old man's comments on the surrounding objects- 'metathings'. Thus, the attributes could be material as 'it was *sharp* and *hard-feeling* and *heavy*', 'the breeze was *fresh*', or semiotic like 'the fish is *calm* and *steady*', 'he [the fish] was *very tired*'. These clauses usually depict the old man's observations of the surroundings such as shark, dolphin, flying fish, the door of the shack, the flowing water, sun, wind, breeze, sky, and the fishing gear as skiff, sail, line, oar, mast, boat, etc. As for the 'semiotic' attribute, there is one type that denotes a quality of sensing equivalent to the mental processes; for example, 'he was *pleased* or 'he was *sorry* for them all'.

All those clauses fall into the like type of mental clauses, with Carrier serving as Senser. Yet, there is another class of attributes that belongs to the please type of mental clause, with Carrier serving as Phenomenon; for example, 'it is *unworthy to be cramped*', 'it was *too good to last*', 'that is *very kind of you*', 'it was *pleasant and sunny on the Terrace*'. They represent a minor portion out of the total (with 31 clauses as 8.51%).

The qualities stated above manifest the old man's jumbled inner sensations. He is torn between being '*afraid of another sudden lurch by the fish*', while trying to reach a small tuna under the stern, and his sorrow for the great fish, the bird, and the turtle. He was '*sorry for the bird as 'he was too tired to examine the line and he teetered on it his delicate feet gripped it fast*', commenting: 'he [the bird] was very *tired*'; he was sorry for the turtle as they have been cut up and butchered, or for the great fish that had nothing to eat. Being determined to kill him, he thought that there is no one worthy of eating them. He was sorry for the great fish's dignity'. The old man's positive attitude towards fishing helps him see tomorrow as 'a *good day*'. Although he had gone eighty-four days without catching a fish, his hope and confidence had never gone at all.

As for entity attribute, the study elucidates that there is a little portion of intensive attributive processes realised by nominal groups with Things as Head, for example:

- It was a fair-weather breeze.

- It was a great mistake.
- They were wedge-shaped strips.
- It is a big school of dolphin.

These attributes are used to construe the properties of objective facts, and they constitute twenty-three clauses accounting for 6.32% of the total.

In addition, a small number of identifying clauses recognizes the old man with the sea creatures. 'Though they are only seventeen clauses, some of them represent the personality of the old man: 'and once he had the old man, who was *not an old man then but was Santiago El Campeon*, 'but that was *the thing that I was born for*, 'that [luck] is the thing I wish for now', 'my choice was *to go there to find him beyond all people*'. His identity – 'Santiago El Campeon' – was mentioned to retrieve his past success in beating the Negro in the wrestling match and his desire to catch the fish. Demonstrative 'that' and 'my choice' are construed as Identified/Token, being assigned by the Identifier/Value (the nominal groups) that follows. Being 'equative', Token and Value are reversible. Other clauses express the old man's company with the wind, the bed and the flying fish either as friends such as '*the wind is our friend*, '*bed is my friend*, or brothers '*like the flying fish*'. One clause reveals how the old man's age plays an important role in waking him in the morning as 'his alarm clock'. Being old, he gets up so early to have a very long day.

Also, there are thirty-seven circumstantial attributive processes, most of them with a circumstance of location, constituting thirty-two clauses as 8.79% of the total. These clauses are realised by prepositional phrases expressed as the Attributes such as 'the two sets of knives and forks and spoons were *in his pocket*'. They are used to provide details on the exact location of objects. A few other processes with circumstances of accompaniment and manner are also investigated such as 'my feet and hands are *like theirs*' and 'I am *with a friend*'. They represent only 1.37% of the relational clauses constituting five circumstantial attributive processes.

As regards the circumstantial identifying clauses, there are only ten identifying the circumstantial elements of time with other time elements; for example, '*Tomorrow is the eighty-fifth day*', '*This is the second day now*', '*Now is no time to think of baseball*', '*Now that it is daylight*', '*Every day is a new day*', '*Each time was a new time*', '*Now is the time to think of only one thing*', or 'But *today is eighty-five days*'. The recurrent use of the temporal deictic expression 'now' throughout the novel reveals the old man as a real protagonist who challenges his bad luck.

Next to the intensive attributive clauses is the sub-category 'possessive attributive clauses'. They constitute forty-eight utterances, accounting for 13.19% of the texture of the novel. These clauses depict the old man's concrete and abstract properties. The concrete objects possessed are mostly expressed by the first person such as 'I have *enough line to handle him*', 'I had *six reserve coils of line*', and 'I have *the two oars and the tiller and the short club*'. Most of these possessions are either fishing gear or other tools used by the old man to hook the fish. Those constitute twenty-six clauses for 7.14% of relational processes. Other abstract entities are represented metaphorically as in 'the birds have a harder life than we do', 'only I had no luck anymore' and 'he hasn't much faith'. They comprise 6.05% of the total for twenty-two clauses.

### 4.3. Mental Processes:

The following table provides a frequency list of four sub-categories of mental clauses: perception, cognition, desideration and emotion:

Table 3. A List of frequencies of sub-categories of mental clauses

Category	Mental Processes	Frequency	Percentage (out of 308)
2.a.	Mental clauses of perception (see)	85	27.60%
2.a.1.	Senser + Process + Phenomenon: a thing (nominal group)	46	14.94%

2.a.2.	bounded perfective without to clause Senser + Process + Macrophenomenon: an act	11	3.57%
2.a.3.	unbounded imperfective non-finite clause Senser + Process + Macrophenomenon: an act	14	4.55%
2.a.4.	Senser + Process + Metaphenomenon: a fact	7	2.27%
2.a.5.	Senser + Process	7	2.27%
2.b.	Mental clauses of perception (feel)	57	18.51%
2.b.1.	Senser + Process + Phenomenon: a thing (nominal group)	26	8.44%
2.b.2.	bounded perfective without to clause Senser + Process + Macrophenomenon: an act	10	3.25%
2.b.3.	unbounded imperfective non-finite clause Senser + Process + Macrophenomenon: an act	5	1.62%
2.b.4.	Senser + Process + Metaphenomenon: a fact	4	1.30%
2.b.5.	Agnate relational attributive clauses Senser + Process (feel) + Attribute of Quality	12	3.90%
2.c.	Mental clauses of perception (hear)	11	3.57%
2.c.1.	Senser + Process + Phenomenon: a thing (nominal group)	4	1.30%
2.c.2.	Bounded perfective without to clause Senser + Process + Macrophenomenon: an act	5	1.62%
2.c.3.	unbounded imperfective non-finite clause Senser + Process + Macrophenomenon: an act	2	0.65%
2.d.	Mental processes of perception (note, notice)	5	1.62%
2.d.1.	Senser + Process (note, notice) + Phenomenon: a thing (nominal group)	4	1.30%
2.d.2.	Senser + Process (note) + Metaphenomenon: a fact with (that)	1	0.32%
2.e.	Mental clauses of cognition (think / thought) Senser + Process + Metaphenomenon: projected idea (proposition)	31	10.06%
2.f.	Mental clauses of cognition (know / knew)	61	19.80%
2.f.1.	Senser + Process + Metaphenomenon: projected idea (proposition)	51	16.56%
2.f.2.	Senser + Process + Phenomenon: a thing (nominal group)	5	1.62%
2.f.3.	Senser + Process	5	1.62%
2.g.	Mental clauses of cognition (remember (ed))	6	1.95%
2.g.1.	Senser + Process + Metaphenomenon: projected idea (proposition)	2	0.65%
2.g.2.	Senser + Process + Phenomenon: a thing (nominal group)	2	0.65%
2.g.3.	unbounded imperfective non-finite clause Senser + Process + Macrophenomenon: an act	2	0.65%
2.h.	Mental clauses of cognition (believe (ed) Senser + Process + Metaphenomenon: projected idea (proposition)	6	1.95%
2.i.	Cognitive clauses	8	2.58%
2.i.1.	Dream	3	0.97%
2.i.2.	judge	2	0.65%
2.i.3.	Consider	1	0.32%
2.i.4.	Realise	1	0.32%
2.i.5.	identify	1	0.32%
2.j.	Verbs of desideration like to, want to, hope, decide, wish, expect	25	8.11%
2.k.	Mental verbs of emotion love, hate	12	3.89%
2.l.	Mental processes of emotion (enjoy)	1	0.32%

As revealed in Table 3, three types of Phenomenon are involved in the mental processes of perception, including an Act realised by a perfective without to or an imperfective non-finite clause, and a Fact introduced by a complement clause with an embedded 'that' known as a Complementizer. These things could be those tiny details, which the old man sees about the fish, the shark, the dolphin, the lines, the birds, and so on. Some of them are used as perfective non-finite verbs such as 'the old man *saw* the great scythe-blade of his tail *go under*', and 'the old man *could feel* the skiff *shake* as he jerked and pulled on the fish', indicating the fulfilment of the events. Most Act clauses are realised by the unbounded imperfective non-finite clauses such as 'he *saw* the line *slanting* slowly upward', indicating progression.

Moreover, twelve mental clauses of feeling can be used as alternative for 'to be'. The underlined Epithets such as 'felt *faint* again', 'felt *very tired* now', 'he was feeling *so badly*' and 'I feel *better* with the sun' express the old man's inner feelings, particularly his illness and tiredness in struggling an exhausting conflict against the giant fish. Also, a little portion of perceptive mental clauses – 'hear' and 'note or notice' – constitute eleven and five utterances respectively, constituting 3.57% and 1.62% of the total. Those clauses describe the sounds and other surrounding events the old man hears and notices in the sea. Some are processes associated with a phenomenon as a nominal group as 'the old man heard *the dip and push of their oars*', or 'he heard *the breaking of the ocean and the heavy splash*'. Others are realised either by perfective without to or imperfective non-finite clauses such as 'he heard the tiller *break*', or 'he could hear them [the porpoises] *rolling and blowing*'.

In addition, another important division of cognitive processes formed by the verbs 'know' and 'think' comprises sixty-one and thirty-one instances respectively, representing 19.80% and 10.06% of the total. They indicate the protagonist's propositions about the position of the fish, 'he knew *there was the fish and his hands and back were no dream*', and his endeavours to kill it. The old man's observation of the surroundings – the weather, the sun, the breeze, the sky – can be clearly noticed in utterances such as 'I do not know *whether the sun*

*will rot or dry what is left* and 'the old man knew *the breeze would last all night*'. These cognitive processes are increasingly used at the end of the battle when the old man realises that the fish is about to be swallowed by the sharks he saw coming, and that he '*had no fear at all*'. Sometimes, the old man indulges in his own self-reflections, commiserating the loss of the fish such as 'he knew *how alone he was now*'.

Two further processes are uncovered in the corpus under discussion: behavioural and existential, constituting respectively fifty-six and sixty-three clauses. Table 4 comprises the frequencies of the behavioural and existential processes:

Table 4. A List of Frequencies of Behavioural / Existential Clauses

Category	Total frequency of Behavioural processes	Frequency	Percentage (out of 56)
4.a.	Processes of watching	28	50%
4.a.1.	Behaver + Process + Phenomenon	11	19.64%
4.a.2.	Behaver + Process + Phenomenon (perfective with to)	2	3.57%
4.a.3.	Behaver + Process + Phenomenon (perfective without to)	9	16.07%
4.a.4.	Behaver + Process + Phenomenon (imperfective)	5	8.93%
4.a.5.	Behaver + Process	1	1.79%
4.b.	Processes of looking	28	50%
4.b.1.	Behaver + Process + Phenomenon	26	46.43%
4.b.2.	Behaver + Process	2	3.57%
Category	Total frequency of Existential processes	Frequency	Percentage (out of 63)
5.a.1.	Existential clause There + Process (existential)+Existent: entity (person, object, abstraction)	37	58.73%
5.a.2.	Existential clause There + Process (existential)+Existent: event (action or event)	19	30.16%
5.a.3.	Existential clause as meteorological process	7	11.11%

#### 4.4. Behavioural Processes:

Those are mainly realised by finite verbs in the past tense 'watched' and 'looked', alternated with the equivalent verb 'saw' to convey the old man's recognition of his surroundings. As for the processes of watching, they are mostly used to depict the motion of the sharks, the bird, the flying fish, the line, the skiff, the flow of water, and to snapshot the movement of the surroundings such as 'the sun go(es) into the ocean'. They are mostly accompanied by a phenomenon to be observed such as 'he watched *only the forward part of the fish*', 'he watched *the flow of the water* against it' and 'he watched *the lines*', constituting as 19.64% out of the behavioural processes as a whole. Some phenomena are accompanied by perfective non-finite verbs with/without 'to', represented respectively in two and nine clauses (accounting for 3.57% and 16.07% of the total) such as:

- He watched the sharks come.
- He watched the flying fish burst out again and again.
- The old man watched for him to come again.
- He watched for the glow *to come* in the sky.

A few others are realised by the imperfective non-finite (8.93%) such as 'he *watched* the school *working* the water', 'he did not even *watch* the big shark *sinking* slowly in the water' and 'he *watched* the bird *slanting* his wings'. What remains is only one middle behavioural clause constituting (Behaver+Process). It represents a minor portion (1.79% of the total): 'as the old man *watched*, a small tuna rose into the air'.

With regard to the behavioural processes of looking, they are precisely used to describe the target settings as 'sea', 'coils of line', 'stars', 'bird' and 'road'. In addition, they are mostly accompanied by either a circumstance of matter as in 'he looked down *into the water*', 'he looked back *at the coils of line*', or a circumstance of manner as in 'he looked at it *in disgust*' and 'he looked at the fish *constantly*'. These constitute the majority of behavioural clauses (46.43% of the total). Others are middle clauses without circumstance, construing (Behaver+Process) as in 'he *looked back*, *he is not just looking*'. They represent only 3.57% of the sum. Unlike the non-behavioural mental processes of seeing, the behavioural processes clearly depict the active movement of the creatures in the sea.

#### 4.5. Existential Processes:

Eventually, a small amount of existential processes interprets that something exists or happens formularized as 'there was something'. According to Halliday (1994), there are two types of existent - **Existent** as an entity versus **Existent** as an action or event. The former are mostly those concrete objects including the boats, the sea, the flying fish and the fishing gear, or the portrayal of the bait fish, yellow weed on the line, and especially a precise depiction of the 'very sharp blue head' and 'the swallowing jaws of the shark'. **Existents** construed as actions and events are used to express the old man's comments on different states and conditions such as 'there was *something more for them to eat*', 'there is *no one worthy of eating hini*' and 'there is *very much slave work to be done*'. Furthermore, there are a few existential processes construing particularly meteorological processes like 'there is a *hurricane*' or 'there were *high cumulus clouds*'. That is to say, the representation of the concrete entities is the most dominant in existential clauses as they constitute thirty-seven instances accounting for more than half of the whole number of existential process types with 58.73% out of the total.

To conclude, 1,655 clauses of sixty-six sub-classes of material, relational, mental, behavioural, and existential processes are compiled from the texture of the novel. What follows are the concluding remarks on the overall individual linguistic features observed in the analysis.

On the whole, material processes are the most prevalent; comprising more than half of the analysed clauses, with a total of 864 instances, representing 52.21% of the total. Relational process type comes second, with 364 examples, 21.99% of the total. The mental process type is also considerable, with 308 utterances, 18.61% of the total. Behavioral and existential process types are the lowest categories at 3.38% and 3.81% of the total, with fifty-six and sixty-three utterances respectively.

Moreover, the most frequent category of material process type is 1.a. transitive/effective clause with processes particularly accomplished by the old man or his body parts, such as his hands, shoulders, back, mouth, foot, fingers, head; on his fishing gear such as the line, harpoon, coils, oar; or the sea animals such as the giant fish, the shark, the dolphin or the sardines. These actions are consistently expressed by the active voice. The dominance of the material processes over other process types creates a 'highly actional descriptive framework' (Simpson, 1993, pp. 97–98). Moreover, most processes are concrete, exhibiting the physical actions carried out by the old man to beat the giant fish. Such material processes are 'dispositive', in which the goal exists before the main verb, often accompanied by circumstances of location to indicate the outcomes of the struggle such as:

- He rammed the harpoon down onto the shark's head.
- The old man soaked his hands in the salt water.
- He rubbed the cramped hand against his trousers.

Next to this are category 1.d., the intransitive/middle clauses, with 239 clauses representing 14.44% and 3.a.1. 'the intensive attributive clauses with Quality Attributes', with 229 occurrences accounting for 13.84%. This constitutes the third most frequently occurring sub-category of data. This type of process manifests the old man's inner emotions such as 'he is good, he is sorry, his head is clear, and he is tired'.

It is noteworthy that the mental verb 'see', which indicates perception, represents the most frequent lexical element of the five recorded processes, with eighty-five frequencies, construing 5.13% of the whole. The perceptive processes of feeling come second with fifty-seven examples as 3.44%, associated with sixty-one occurrences or 3.69% of the cognitive verb 'know,' and thirty-one (1.87%) occurrences of 'think'. This demonstrates that the mental activities: 'see, feel, know and think' are the dominant verb types orderly

combined with the material activities to depict how the old man shifts orderly between performing and thinking. Moreover, nearly all mental activities are used as linking verbs, with the emotion emerging from a state of affairs like 'he felt himself going when he turned the fish'. A small number of clauses contains only the Senser with an inherent experience such as 'The old man felt faint and sick and he could not see well'.

## 5. Conclusion

To sum up, the aim of the transitivity analysis is to find linguistic evidence for the researcher's interpretation and the critical evaluation of the novella. Facing dangers and difficulties all by himself, the old man shows great courage and heroic spirit. He is a hero and proves himself by stretching his own powers to the absolute limits regardless of the physical results. He proves in the novel that 'a man is not made for defeat. He can be destroyed, but not defeated'. The reader's impression of the old man's heroism has been justified by critical evaluations of the novel. What this study attempts to do is to make a transitivity analysis of the novel to see how the theme of the novel is expressed by the author's linguistic choice, and at the same time, to testify to the effectiveness of transitivity analysis with a stylistic analytical method.

Being the largest number of the analysed processes, the material process justifies the opinions of the critical world about the author and the novel. It is widely believed that a story by Hemingway is always full of action. It is also agreed by critics, as stated by Gurko, 'Santiago's struggle is always a dynamic one' (1968, p. 160). The large number of material processes suggests this dynamism. Most importantly, the old man's courage and heroism are felt from his dynamic struggle with the natural world.

Another process type that helps in weaving the construction of the novel is the mental process, representing the third major process (308 clauses for 18.61% of the total). A further analysis of mental clauses unfolds three mental aspects of the old man: his loneliness, his love for the fish, and his determination to kill the fish.

What the reader wonders is why he is so determined to kill the fish. The answer can be found in his own thinking. His determination to kill the fish is motivated by his desire to 'show what a man can do and what a man endures'. His courage and heroism are clearly expressed by this kind of thinking. His determination to kill the fish is also related to the greatness of the fish. He loves the fish, but that does not prevent his desire for killing it.

On the contrary, the greater and the more wonderful the fish is, the more determined he is to kill it, for conquering a strong fish can best affirm his identity as a fisherman. The readers get this impression from his mental projections: 'I'll kill him though', he said, 'In all his greatness and his glory'. In these projections, the old man's admiration for the great fish comes together with his determination to kill it. So, it can be inferred that his desire to kill the fish is strengthened by its greatness.

The analysis of the mental processes invites the researchers to see the old man's rich and active mental world. It makes his feelings and attitudes so clear, and explains the researchers' impression of the old man's determination and endurance. In search of self-realisation, the old man is pitched into the dangerous ocean all by himself, with no one to talk to or to share his mental activities. From these mental processes, the activities of the old man's mind can be felt. His self-thinking helps reinforce the impression of the old man's heroic and undefeated spirit.

It can be concluded that the transitivity analysis helps researchers have a fuller understanding and interpretation of the novel, and the

linguistic evidence that is found has justified the readers' initial impression and critics' evaluation of the novel. At the same time, the analytical linguistic method – transitivity analysis – has been testified and proven to be a very effective means in literary stylistic studies.

## Bio

### Samah Abdel-Karim Ibrahim Mohammed

Department of English Language, College of Sciences and Humanities, Majmaah University, Al-Ghat, Saudi Arabia, 00966537661657, s.ibrahim@mu.edu.sa  
Samah Mohammed, PhD in Linguistics, October 2016, Department of English, Faculty of Arts, Sohag University, Egypt. She has taught as a lecturer in the Department of Languages and Translation, Faculty of Girls in Thebes, Al-Azhar University for two years from 2009 to 2011. As a lecturer from 2012 to date, she taught all branches of linguistics, including Phonetics and Phonology, Morphology, Stylistics, Pragmatics, Discourse Analysis, Transformational Grammar and Syntax.

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