

FUNCTIONAL GRAMMAR– CHAPTER ONE: INTRODUCTION

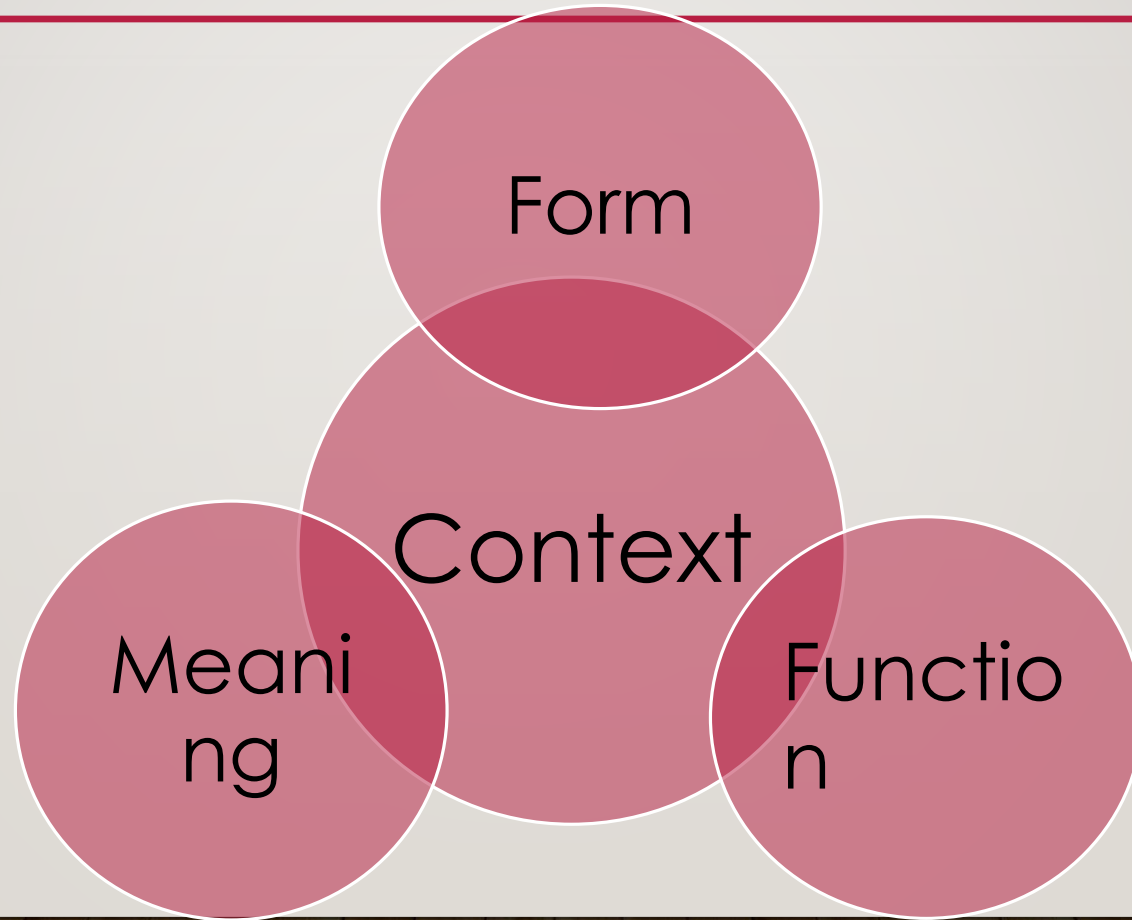
LECTURER: **PHẠM HỒNG ANH**



CHAPTER ONE OUTLINE

- Language and meaning
- Three ways of interpreting clause structure
- Grammatical units and ranks of units
- Classes of units

LANGUAGE AND MEANING



COMMUNICATIVE ACTS (SPEECH ACT)

Offer	J: If you like, I'll come into your shop tomorrow and get some more model aeroplane kits.
Reminder	C: O.K. Don't forget to bring the bill with you this time.
Promise	J: I won't.
Question	Do you enjoy working there?
Statements	C: It's all right, I suppose. Gets a bit boring. It'll do for a while.
Statement	J: I would have thought you were good at selling things.
Statement	C: I don't know what to do really. I've had other jobs. My Dad keeps on at me to go into his business. He keeps offering me better wages,
Exclamation	but the last thing to do is to work for him!
Question	J: Why?
Echo question	C: Why? You don't know my old man! I
Exclamations	wouldn't work for him! He always
Statement	wanted me to, but we don't get on. . . .
Question	D'you think it's possible to get me on a part-time Youth Leadership Course?
Offer/Promise	J: I'll ring up tomorrow, Chris, and find out for you.
Thanking	C: Thanks a lot.

COMMUNICATIVE ACTS (SPEECH ACT)

The kind of meaning encoded as questions, statements, offers, reminders, and thanks is **interpersonal meaning**.



THE CONTENT OF COMMUNICATION

Language and context (language operates in context)

Context has to do with one's experience of life (the doings and happenings) in the real world or imaginary world (called **situation**).

The conceptualisation of the situation has such components as **processes, participants, attributes, and circumstances**.

Representational meaning is the meaning that has to do with the content of the message.



THREE WAYS OF INTERPRETING CLAUSE

A clause as

- i. The linguistic representation of our experience of the world;
- ii. A communicative exchange between persons;
- iii. An organised message or text.

THE CLAUSE AS REPRESENTING SITUATIONS: TRANSITIVITY STRUCTURES

Janice	will give	Chris	the bill	tomorrow
Agent	Process (action)	Recipient	Affected	Circumstance (time)

Figure 1.2 Semantic roles.

THE CLAUSE AS INTERACTION: MOOD STRUCTURES

Declarative

Janice	will	give	Chris	the bill	tomorrow
Subject	Finite	Predicator	Object	Object	Adjunct

Figure 1.3 Order of syntactic elements in the declarative clause.

Interrogative

Will	Janice	give	Chris	the bill	tomorrow?
Finite	Subject	Predicator	Object	Object	Adjunct

Figure 1.4 Order of syntactic elements in the interrogative clause.

THE CLAUSE AS MESSAGE: THEMATIC STRUCTURES

Janice	will give	Chris	the bill	tomorrow
Theme	Rheme			

Figure 1. 5 Theme-Rheme order.

SUBJECT, ACTOR (AGENT), THEME

The Theme functions in the structure of the clause as a message;

The Subject functions in the structure of the clause as an exchange;

The Actor/Agent functions in the structure of the clause as representation

Table 2-7 Three lines of meaning in the clause

Metafunction	Clause as ...	System	Structure
textual	message	THEME	Theme ^ Rheme
interpersonal	exchange	MOOD	Mood [Subject + Finite] + Residue [Predicator (+ Complement) (+ Adjunct)]
experiential	representation	TRANSITIVITY	process + participant(s) (+ circumstances), e.g. Process + Actor + Goal

LINGUISTIC FORMS AND SYNTACTIC FUNCTIONS

Syntactic concepts:

Structural units

Ranks

Classes

Elements

LINGUISTIC FORMS AND SYNTACTIC FUNCTIONS

Unit	Boundary marker	Example
Clause:		the effects of the accident are very serious
Group:		the effects of the accident are very serious
Word:	a space	the effects of the accident are very serious
Morpheme:	+	{EFFECT} + {PLURAL}, realised by the morphs effect and –s

Figure 1.7 Units on the rank scale.

FUNCTIONAL GRAMMAR– CHAPTER TWO

THE SKELETON OF THE MESSAGE

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CHAPTER TWO OUTLINE

- Syntactic elements and structures of the clause
- Subject and Predicator
- Direct, Indirect, and Prepositional Objects
- Subject and Object Complements
- Adjuncts

SYNTACTIC ELEMENTS AND STRUCTURES OF THE CLAUSE

Example:

A crash involving four vehicles caused delays on the A14 yesterday.
(*Cambridge News*, 20 April, 2016)

A clause describes an event/situation/state.



SYNTACTIC ELEMENTS AND STRUCTURES OF THE CLAUSE

Subject and Predicator

Subject	Predicator
1 The plane	landed
2 Tom	disappeared suddenly after the concert

Figure 2.1 Subject (S) and Predicator (P).

Object and Complement

S	P	O
3 The students	carried	backpacks
4 Jo	is	a student
S	P	C

Figure 2.2 Object (O) and Complement (C).

BASIC SYNTACTIC STRUCTURES OF THE CLAUSE

S-P	Tom disappeared
S-P-Od	We hired a car
S-P-Oi-Od	I have sent them an invitation
S-P-Cs	My brother is a physiotherapist
S-P-A	He works in London
S-P-Od-Co	They appointed James First Secretary
S-P-Od-C _{loc}	I put the casserole in the microwave

SUBJECT AND PREDICATOR

The Subject (S)

Semantic and cognitive features

Jones kicked the ball into the net. (Agent)

The ball was kicked into the net. (Affected in a passive clause)

Lightning struck the oak tree. (Force)

His secretary has been given too much work. (Recipient in a passive clause.)

SUBJECT AND PREDICATOR

The Subject (S)

Realisations of the Subject:

- Nominal groups, e.g. *That man is crazy; The handicapped are given special facilities in public areas.*
- Finite and Non-finite clauses, e.g. *That we've gotten to this point is astonishing to me; To take such a risk is rather foolish.*
- Anticipatory It + end-placed subject, e.g. *It was impossible for everyone to escape.*
- Dummy It, e.g. *It's nearly three o'clock; It's raining.*
- Unstressed There, e.g. *There was only one letter delivered today.*

SUBJECT AND PREDICATOR

The Predicator (P)

Semantically, the predicator encodes the following main types of 'processes':

- Material processes of 'doing' with verbs like *make*, *catch*, *go*;
- Mental processes of 'experiencing' with cognitive verbs of perception (*see*), cognition (*know*), affectivity, (*like*) and desideration (*hope*)
- Relational processes of 'being' with verbs such as *be* and *belong*.

DIRECT, INDIRECT, AND PREPOSITIONAL OBJECTS

The Direct Object (Od): Realisations

- Nominal group, e.g. We hired a caravan.
- Anticipatory it, e.g. I find it strange that she left
- Finite clause, e.g. You know (that) I am right.
- Non-finite clause, e.g. They enjoy travelling by train.



DIRECT, INDIRECT, AND PREPOSITIONAL OBJECTS

The Indirect Object (Oi): Syntactic and semantic features

Examples:

0. I am writing *him* a letter.
1. I am writing a letter to *him*.
2. I am writing a letter for *him*.

<i>Recipient as Subject in passive clause</i>	<i>Beneficiary as Subject</i>
<i>I</i> have been lent a few CDs.	*You'll be bought a drink.
<i>The injured man</i> was given oxygen.	*We were got the tickets.
<i>The students</i> are being taught maths by Sammy Karanja.	He was left a note.

Figure 2.8 Recipient as Subject and Beneficiary as Subject.

DIRECT, INDIRECT, AND PREPOSITIONAL OBJECTS

The Prepositional Object (PO): Syntactic and semantic features

Examples:

1. I looked after their cat.
2. You can rely on Jane in an emergency.

Stranding the preposition:

Non-stranded and stranded	Stranded only
The transport on which they rely The transport they rely on	The matter I looked into *The matter into which I looked
The friends for whom we care The friends we care for	The house they broke into *The house into which they broke

SUBJECT AND OBJECT COMPLEMENTS

The Complement of the Subject (Cs):

- Attributive Complements (S-P-Cs); E.g. *She was ambitious.*
- Identifying Complements (S-P-Cs); E.g. *Her name was Betina.*

The Complement of the Object (Co):

You (S) are making (P) me (Od) angry (Co)

Dye your hair *blue* (AdjG)/*whatever colour you like* (finite nominal clause)

ADJUNCTS

- Circumstantial Adjuncts: information concerning time, place, manner, means
- Stance Adjuncts: information concerning the speaker's attitude on the content
- Connective Adjuncts: are not elements but connectors of the clause structure

FUNCTIONAL GRAMMAR– CHAPTER THREE

THE DEVELOPMENT OF THE MESSAGE

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CHAPTER THREE OUTLINE

- Complementation of the verb and Valency
- Intransitive and copular patterns
- Transitive patterns
- Complementation by finite clauses
- Complementation by non-finite clauses

COMPLEMENTATION OF THE VERB AND VALENCY

Complementation of the verb refers to the syntactic patterns made up by configurations of the clause elements. Each pattern contains a Subject and a Verb. The number

<i>Type of complementation</i>	<i>Structural pattern</i>	<i>Illustration</i>
Intransitive	S-V	Ted laughed
Copular	S-V-C	The idea is crazy
Transitive		
Monotransitive	S-V-O	He bought a video
Ditransitive	S-V-O-O	He gave Jo the video
Complex-transitive	S-V-O-C	I find the idea crazy

The potential number of participants, including the Subject – that is, the number the clause that the verb controls is referred to as its semantic **valency**.

INTRANSITIVE AND COPULAR PATTERNS

When there is no complementation, the verb is said to be intransitive. The structure is:

Examples:

- *They laughed.*
- *We walked home.*
- *He retired last year.*

The S-V-Cs pattern contains a copular verb that links the Subject to a Complement. The complement is what the Subject is or becomes. The most typical copula is *be*.

Example:

A couch potato is someone who lies watching television all day.



TRANSITIVE PATTERNS

Monotransitive

- S-V-Od

E.g.: I (S) ate (V) a toasted cheese sandwich (Od)

- Verbs used transitively and intransitively

E.g.: Drinking and driving don't match.

- Causatives with an intransitive counterpart (ergative pairs)

E.g. He opened the door; The door opened.

- Verbs with a reflexive meaning

E.g. He shaved (himself). She dressed (herself).

- Verbs with a reciprocal meaning

E.g. Tom and Jo met (each other) at a concert.

TRANSITIVE PATTERNS

Ditransitive

- S-V-Oi-Od

E.g.: I (S) gave (V) her (Oi) a present (Od)

- S-V-Od-Cprep

E.g.: This sunblock (S) will protect (V) your skin (Od) from the sun's rays (Cprep).

Complex-transitive

- S-V-Od-Co

E.g.:

He (S) got (V) his shoes (Od) wet (Co)

COMPLEMENTATION BY FINITE CLAUSES

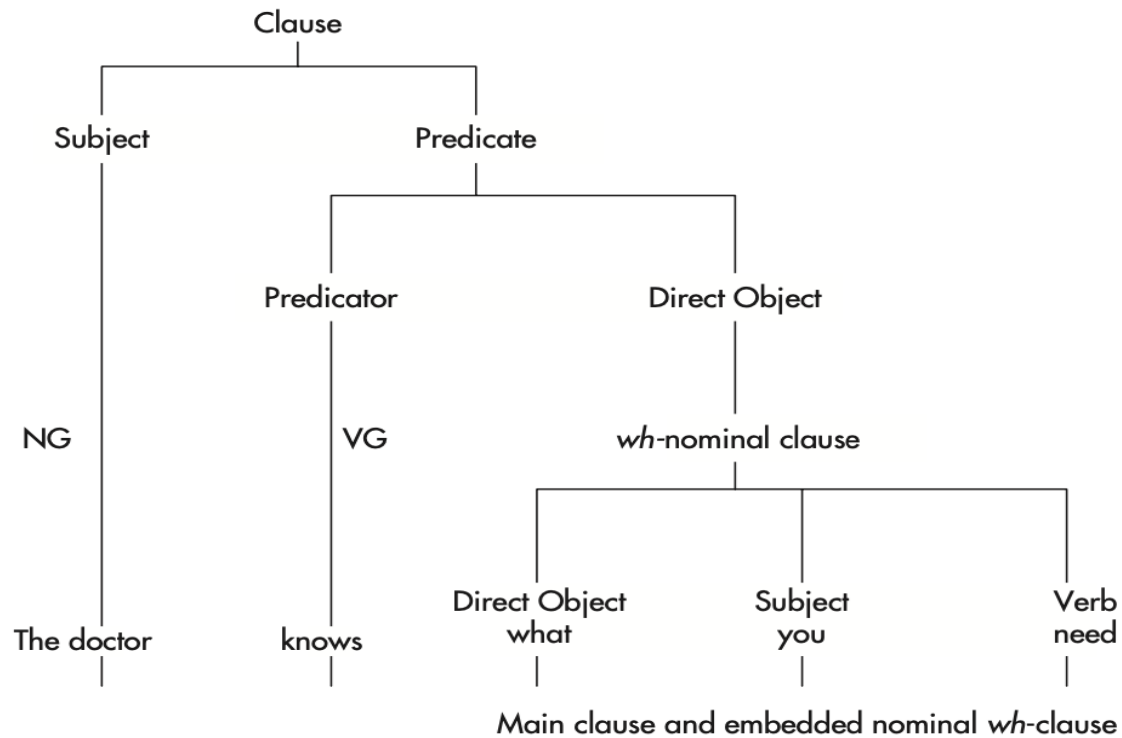


Figure 3.1 Main clause and embedded nominal *wh*-clause.

COMPLEMENTATION BY NON-FINITE CLAUSES

A catenative verb is a verb that controls a non-finite complement.

- Want, wish, intend, arrange
- Like, love, prefer, can't bear, hate
- Promise, agree, learn, forget, decide

Examples:

He wants *to stay*.

They believe *him to be a genius*.

He made *them stand up*.

She saw *two men enter the shop*.

I heard *two shots fired*.



FUNCTIONAL GRAMMAR– CHAPTER FOUR

INTERACTION BETWEEN SPEAKER AND HEARER

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CHAPTER FOUR OUTLINE

- Speech acts and clause types
- The declarative and interrogative clause types
- The exclamative and imperative clause types
- Indirect speech acts, clause types, and discourse functions
- Questions, clause types and discourse functions
- Directives

SPEECH ACTS AND CLAUSE TYPES

Speech acts are the acts we perform through words. Certain general types of speech acts are basic to everyday interaction: statements, questions, exclamations, and

Clause type	Basic speech act	Example
Declarative	making a statement	You are careful.
Interrogative (yes/no)	asking a question	Are you careful?
Interrogative (wh-)	asking a question	How careful are you?
Exclamative	making an exclamation	How careful you are!
Imperative	issuing a directive	Be careful!

Figure 4.2 Correspondence between clause types and speech acts.

THE DECLARATIVE AND INTERROGATIVE CLAUSE TYPES

SUBJECT-FINITE VARIATION

Clause type	Order	Example
Declarative	Subject-Finite	Jane sings.
Interrogative (yes/no)	Finite + Subject	Does Jane sing?
Interrogative (wh-)	wh + Finite + Subject	What does Jane sing?
Exclamative	wh + Subject + Finite	How well Jane sings!
Imperative	no subject, base form of verb	Sing!

Figure 4.3 Clause types and the ordering of the subject and finite.

THE EXCLAMATIVE AND IMPERATIVE CLAUSE TYPES

The exclamative

***Wh-* element**

<i>What a shock</i>	they'll have!
<i>What a mess</i>	we have made.
<i>How dark</i>	it is!
<i>How</i>	it snowed!

The imperative

Imperative	Declarative
Everybody sit down, please!	Everybody sits down.
No-one say a word!	No-one says a word.

Figure 4.4 Imperative and declarative.

INDIRECT SPEECH ACTS, CLAUSE TYPES AND DISCOURSE FUNCTIONS

Performatives

- Explicit performatives

I promise I'll be careful.

We advise you to book early to avoid disappointment.

- Less explicit performatives with modalisation

I can offer you beer, whisky, gin, cola...

Let me thank you once more for your collaboration.

I am afraid I have to request you to move to another seat.

- Negative declaratives

I don't need any more calendars, thank you.

I don't promise you that I'll convince him.

Smoking is not allowed here.

QUESTIONS, CLAUSE TYPES AND DISCOURSE FUNCTIONS

- **Rhetorical questions:**

Do you expect me to wait here all day?

What could I say?

- **Questions as preliminaries:**

Are you going to the hospital this morning?

No.

Well if you do it'll give us a chance to find out whether he's coming home.

- **SOME, ANY, and NEGATIVES forms in biased questions:**

Do you know anyone in Westminster? Vs Do you know someone in Westminster?

Is there no butter? (There should be some butter, but it seems there isn't.)

Isn't there some butter somewhere? (It seems there isn't, but I expect there is.)

Would you like some more coffee?

Do you want something, a soft drink before you go?

DIRECTIVES

- 1 Peel those potatoes
- 2 Pick up those papers
- 3 Sit down
- 4 Listen to this
- 5 Enjoy your holiday
- 6 Have another sandwich

more cost to addressee

less polite



more benefit to addressee



more polite

(Adapted from Leech 1983)

DIRECTIVES

Get out of here!	command
Keep off the grass.	prohibition
Please close the window!	request
Don't tell me you've passed your driving test!	disbelief
Do that again and you'll be sorry.	condition of threat
Pass your exams and we'll buy you a bike.	condition of promise
Don't forget your umbrella!	reminder
Mind the step!/ Be careful with that hot plate!	warning
Feel free to take as many leaflets as you like.	permission
Just listen to this!	showing interest/involvement
Try one of these!	offer
Let's go jogging!	suggestion
Come on now, don't cry!/ Go on, have a go!	encouragement
Sleep well! Have a safe journey!	good wishes
Suppose he doesn't answer.	considering a possible happening
Think nothing of it.	rejecting thanks
[Some people make easy profit.] <i>Take</i> drug handlers.	illustrative example of a claim

FUNCTIONAL GRAMMAR– CHAPTER FIVE

CONCEPTUALISING PATTERNS OF EXPERIENCE

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CHAPTER FIVE OUTLINE

- Conceptualising experiences expressed as situation types
- Material processes of doing and happening
- Causative processes
- Processes of transfer
- Conceptualising what we think, perceive and feel
- Relational processes of being and becoming
- Processes of saying, behaving and existing

CONCEPTUALISING EXPERIENCES EXPRESSED AS SITUATION TYPES

- Processes, participants, and circumstances

Fred	bought	a new shirt	in Oxford Street	yesterday
Participant	Process	Participant	Circumstance	Circumstance

- Types of processes:

Material processes are processes of 'doing'

Mental processes, or processes of 'experiencing' or 'sensing'

Relational processes, or processes of 'being' or 'becoming'

- Inherent participants and actualised participants

E.g. Do you drive? (a car); Have you eaten yet? (lunch, dinner)

MATERIAL PROCESSES OF DOING AND HAPPENING

- Agent and Affected in voluntary processes of “doing”

E.g.: The Prime Minister (Agent) resigned (Process). (*What did X do?*)

Ted (Agent) hit (Process) Bill (Affected).

- Force

E.g.: The earthquake (Force) destroyed (Process) most of the city (Affected)

- Affected subject of involuntary processes of “happening”

E.g.: Jordan (Affected subject) slipped (Involuntary Process) on the ice (Circum)

CAUSATIVE PROCESSES

Causative material processes and ergative pairs

Initiating Agent	Process	Affected
Paul	opened	the door
Pat	boiled	the water
I	rang	the bell

Figure 5.7 Transitive-causative structure.

Affected	Process
The door	opened
The water	boiled
The bell	rang

Figure 5.8 Anti-causative structure.

PROCESSES OF TRANSFER

PROCESSES THAT ENCODE TRANSFER: GIVE, LEND, CHARGE, PAY, OFFER OWE

Examples:

Ed gave *the cat* a bit of tuna.

Bill's father has lent *us* his car.

Have you paid the *taxi-driver* the right amount?

CONCEPTUALISING WHAT WE THINK, PERCEIVE, AND FEEL

MENTAL PROCESSES: COGNITION (know, understand), PERCEPTION (see, notice, hear, feel), EMOTION (like, love, admire, miss), and DESIDERATION (hope, want, desire)

Experiencer	Process	Phenomenon
1 I 2 Most people Phenomenon	don't understand are horrified Process	his motives by the increase in violence Exeriencer
3 His motives 4 The increase in violence	elude horrifies	me most people

Figure 5.11 Examples of mental processes.

-ing clause	to-infinitive clause
They enjoy <i>walking in the woods</i> . She likes <i>visiting her friends</i> . I hate <i>having a tooth out</i> .	They love to <i>walk in the woods</i> . She would like to <i>visit Janet</i> . I would hate to <i>have my teeth out</i> .

Figure 5.12 Examples of cognitive processes.

RELATIONAL PROCESSES OF BEING AND BECOMING

- The attributive pattern

Carrier	Process	Attribute
Their eldest son The unemployment figures Sports equipment	was are is	a musician alarming on the third floor

Figure 5.13 Carrier with its Attribute.

- The identifying pattern

Reversibility in Identifying clauses			
<i>Identified</i>		<i>Identifier</i>	
Mont Blanc	is	the highest mountain in Europe.	
My father-in-law	is	the one in the middle.	
<i>Identifier</i>		<i>Identified</i>	
Mont Blanc	is	the highest mountain in Europe.	
My father-in-law	is	the one in the middle.	

PROCESSES OF SAYING, BEHAVING, AND EXISTING

- **Verbal processes:**

Silvia (Sayer) had to say (Verbal process) her name twice (Said)

Jill (Sayer) told (Verbal process) him (Recipient) what she knew (Said)

- **Behavioural processes:**

He yawned rudely.

- **Existential processes:**

There is a good film on at the Scala.

FUNCTIONAL GRAMMAR– CHAPTER SIX ORGANISING THE MESSAGE

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CHAPTER SIX OUTLINE

- Theme: the point of departure of the message
- The distribution and focus of information
- The interplay of Theme-Rheme and Given-New

THEME: THE POINT OF DEPARTURE OF THE MESSAGE

- Theme and rheme

Theme	Rheme
1 We	'll reach Lancaster, but not Carlisle, by noon.
2 By noon	we'll reach Lancaster, but not Carlisle.
3 Lancaster, but not Carlisle	we'll reach by noon.

- Unmarked theme and marked theme
- Topic and subject as theme

THEME: THE POINT OF DEPARTURE OF THE MESSAGE (CONT'D)

- Circumstantial adjuncts as themes

Theme	Rheme
1 We	did a lot of sightseeing <i>in London last year</i> .
2 <i>In London last year</i> ,	we did a lot of sightseeing.

- Objects and Complements as themes

Moussaka you ordered, and *moussaka* you've got.

Janet asked me to bring her some tea from London. *This* I did.

- Clauses as themes

1 *As you weren't at home*, I left a message on your answer-phone.

2 *As she stepped off the kerb*, a cyclist crashed into her.

THE DISTRIBUTION AND FOCUS OF INFORMATION

- Information units, tone units
- Given and new information

A. What's NEW then?

B. Well, Jim's bought a new CAR, //, Norma's getting a DIVORCE // and Jamie's got CHICKEN-POX //, but apart from that . . .

- Unmarked focus and marked focus

Pete's just COMPLAINED about it.

Given - - - - New - - - - - Given

SHE didn't make the phone call, ROBERT did.

The kids didn't SIT on the sofa, they JUMPED on it.

THE INTERPLAY OF THEME-RHEME AND GIVEN-NEW

- Thematic progression:

Simple linear: T1 – R1

T2 – R2

Continuous: T1 – R1

T1 – R2

T1 – R3

Derived: Hypertheme: T1 – R1, T2 – R2, T3 – R3,

- Theme-Rheme = Given-New

THE INTERPLAY OF THEME-RHEME AND GIVEN-NEW (CONT'D)

Thematisation/thematic fronting

- Clefting: It-clefts and Wh-clefts

It's MONEY (that) they need (*it*-cleft)

What they need is MONEY (*wh*-cleft)

- Active - Passive alternative
- Extraposition of clauses

Clause as Subject

That the banks are closed on Saturday is a nuisance.

What they are proposing to do is horrifying.

To interfere would be unwise.

Extraposed clause

It's a nuisance that the banks are closed on Saturday.

It's horrifying what they are proposing to do.

It would be unwise to interfere.

FUNCTIONAL GRAMMAR– CHAPTER SEVEN

COMBINING CLAUSES INTO SENTENCES

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CHAPTER SEVEN OUTLINE

- Clause combining: the complex sentence
- Relationships of equivalence between clauses
- Relationships of non-equivalence between clauses
- Subordination and subordinators

CLAUSE COMBINING

- Independent and dependent clauses
- The complex sentence

Examples:

Sam bought the tickets.

Sam bought the tickets while Sue parked the car.

A boy of six saved the lives of his brother and two sisters yesterday (1) when fire broke out (2) while they were at home alone (3).

RELATIONSHIPS OF EQUIVALENCE BETWEEN CLAUSES

- Coordination and coordinators *and, or, but*

Examples:

*I don't like it **and** I don't want it.*

*You can keep it **or** you can give it away.*

*It's a fine piece of furniture, **but** (it is) too large for this room.*

- Correlative coordination

Examples:

*You should **either** accept his offer **or (else)** never see him again.*

***Either** we give the tickets back **or (else)** you drop everything and go.*

*You should **neither** ask him for money **nor** accept it if he offers.*

- Unlinked coordination

Examples:

It must be genuine; it has the hallmark.

He had been drinking very hard – only I knew how hard.

RELATIONSHIPS OF NON-EQUIVALENCE BETWEEN CLAUSES

- Sentence relative clauses

Examples:

They decided not to go, *which turned out to be a mistake*.

He'll probably forget I ever mentioned it. *Which suits me fine*.

- Non-finite supplementive clauses

Examples:

The mountains were invisible, *enveloped in a thick mist*.

The soldiers filled the couches, *the younger ones eating sandwiches and chocolate*.

- Contrastive dependency: *while, whereas, but for the fact that*

Examples:

Jamie already speaks two foreign languages, *whereas* her brother hasn't yet learned any.

It would have been a disaster, *but for the fact that* everyone helped to save the situation.

SUBORDINATION AND SUBORDINATORS

- Subordinators are of three types: simple (consisting of one word, e.g. *when*, *if*), conjunctive groups (two words, e.g. *as if*, *even though*, etc.), and complex (e.g. *provided that*, *supposing that*, etc.)
- Adverbial clauses of time, concession, reason, purpose, result, and manner
- Conditional clauses

THE INTERPLAY OF THEME-RHEME AND GIVEN-NEW

- Thematic progression:

Simple linear: T1 – R1

T2 – R2

Continuous: T1 – R1

T1 – R2

T1 – R3

Derived: Hypertheme: T1 – R1, T2 – R2, T3 – R3,

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THE INTERPLAY OF THEME-RHEME AND GIVEN-NEW (CONT'D)

Thematisation/thematic fronting

- Clefting: It-clefts and Wh-clefts

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