Unit 9

Auxiliaries and Functional Categories

Tense, Mood, Aspect and Voice

Learning Objectives

- Using theta grids, explain the restrictions that various kinds of C, T, and D nodes impose on their complements.

- Learn to distinguish the various tense, aspect, voice, and mood properties of English verbal constructions.

- Learn to identify the modals and various auxiliaries.

- Identify participles, gerunds, bare forms, preterites, and present tense forms of verbs.

- Demonstrate the similarities and differences between main verbs, auxiliaries, and modals.

- Draw trees showing stacked VPs.

- Discuss the properties of do-support.

Selection of and by functional categories

Selection of Complementizers

1. I think that Art likes his beer.
2. I think Art likes his beer.
3. *I think for Art to like his beer.
4. *I think Art to like his beer.
5. *I think if Art likes his beer.
6. I ordered that Art drink his beer.
7. I ordered Art drink his beer.
8. ?I ordered for Art to drink his beer.
9. I ordered Art to drink his beer.
10. *I ordered if Art drink his beer
11. *I inquired that Art like his beer.
12. *I inquired Art likes his beer.
13. *I inquired for Art to like his beer.
14. *I inquired Art to like his beer.
15. I inquired if Art likes his beer.

think: *nonfinite, *if

order: *if

inquire: *that, *Ø, *nonfinite

Complementizers

C	[Q]	[Finite]
that	–	+
Ø (finite)	–	+
for	–	–
Ø (non-finite)	–	–
if/whether	+	–

Theta Grids For Cs

Think

Agent DP	CP [–Q,+finite]

think: *nonfinite, *if

Order

Agent DP	CP [–Q]

order: *if

Inquire

Agent DP	CP [+Q,+Finite]

inquire: *that, *Ø, *nonfinite

Note: this theta grid is wrong in the textbook, change -Q to +Q

Selection by complementizers

1. *Heidi thinks that Andy to eat salmon-flavored candy bars.
2. Heidi thinks that Andy is eating salmon-flavored candy bars.
3. Heidi thinks that Andy has eaten salmon-flavored candy bars.
4. Heidi thinks that Andy should eat salmon-flavored candy bars.
5. Heidi thinks that Andy will eat salmon-flavored candy bars.
6. Heidi thinks that Andy eats salmon-flavored candy bars.
7. Heidi thinks that the salmon-flavored candy bars were eaten

that

to: [−infinitive]
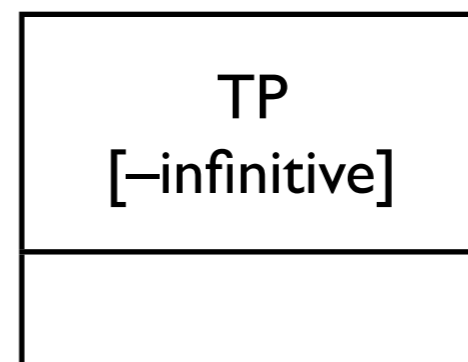
not to be confused with [finite], which is a
feature of Complementizers

TP [−infinitive]

Selection by D

- the muffin
- a muffin
- the muffins
- *a muffin
- *the Andrew
- *the him

a/an

NP [-plural, -proper, -pronoun]

the

NP [-proper, -pronoun]

Do all NPs have DPs?

Strike

Agent DP	Theme DP

1. The man struck the rock.
2. Andrew struck it.
3. Raindrops struck rooftops

Ø_{proper}

NP [+proper]

Ø_{pronoun}

NP [+pronoun]

Ø_{plural}

NP [+plural]

an alternative has pronouns and proper names being category D themselves.

All

- all the women

All

DP

DP
|
D'
/ \
D   DP
all |
     D'
    / \
   D   NP
  the   △
       women
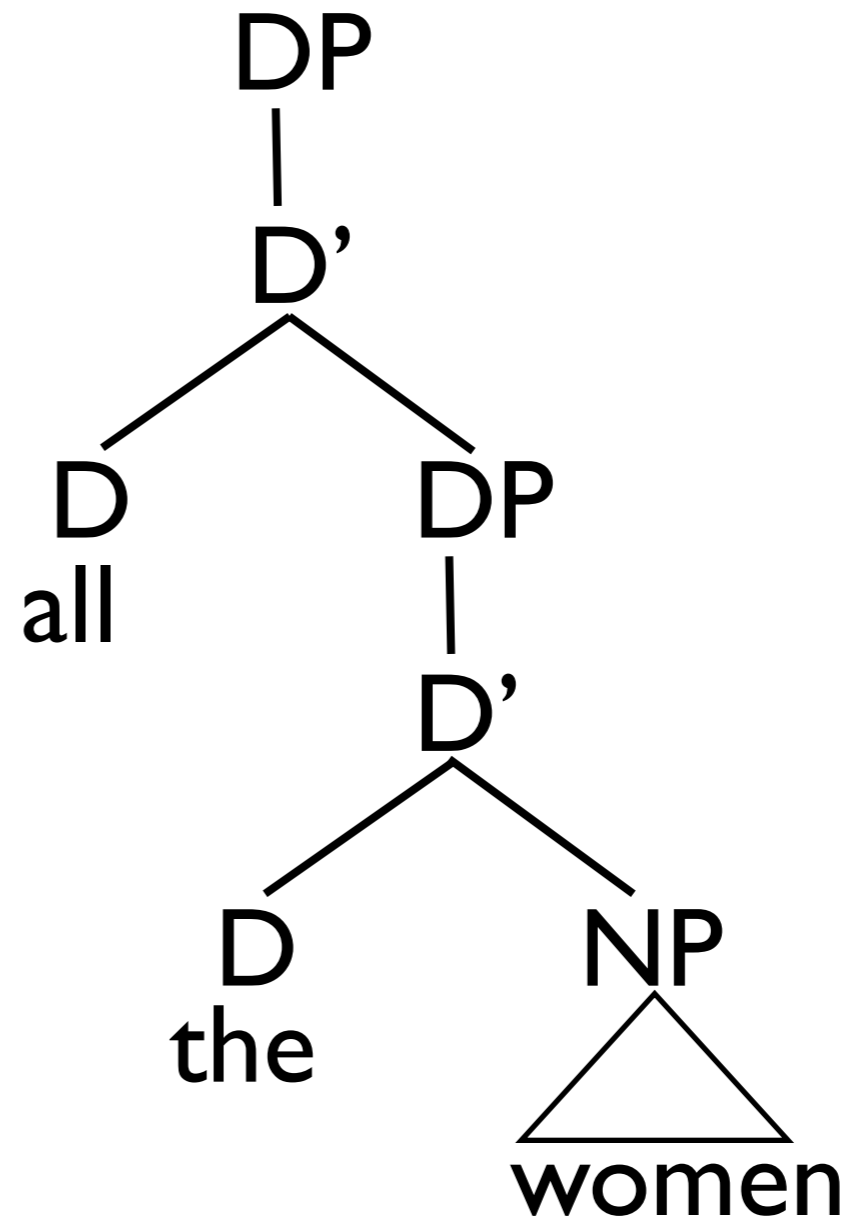
Distinguishing Tense, Aspect, Voice, and Mood

Tense

- **Event Time**: the time the action being described occurs.

- **Assertion Time**: the time of speaking of the sentence.

- Tense:

    - past tense $ET < AT$ marked by preterite (danced, ran)
    - present tense $ET = AT$ marked by -s in 3rd person (dances)
    - future tense $AT > ET$ marked by will (will dance)

Aspect

- Aspect is defined relative to a Reference Time (RT)

    - Perfect aspect: RT > ET: I had fallen

    - Progressive aspect RT and ET overlap: I was falling.

There are many other aspectual distinctions, but these are the two that are marked in English

Marking Aspect

- ## Participle

  - sometimes called a "past participle" but that name is confusing since it can occur in all tenses.
  - *eaten, danced, drunk, hit*
  - watch out for the *-ed* forms, they are not necessarily past tense, e.g. *He will have danced.*

- ## Gerund

  - sometimes called a "present participle". Note not restricted to nominal uses.
  - *eating, dancing, drinking, hitting*

Marking Aspect

- Perfect Aspect: HAVE + PARTICIPLE

  - I had eaten (past perfect)
  - I have eaten (present perfect)
  - I will have eaten (future perfect)

- Progressive Aspect: BE + GERUND
  - I was eating (past progressive)
  - I am eating (present progressive)
  - I will be eating (future progressive)

Aspects can be combined

- I had been eating (past perfect progressive)
- I have been eating (present perfect progressive)
- I will have been eating (future perfect progressive)

- *been* is the participle form of *be* (so *have* + *been* gives us perfect)

- *Been* + *eating* = progressive.

- *have been eating* = perfect progressive

Voice

- Voice represents changes to the number and position of arguments.

  - Active: theme is in object position: *Calvin ate the beef-waffles*

  - Passive: theme is in subject position: *The beef waffles **were eaten** by Calvin.*

- Active in English is unmarked, Passive is marked by BE+PARTICIPLE

Marking voice and aspect

	auxiliary	*following verb*
perfect	have	participle
progressive	be	gerund
passive	be	participle

Combining aspect & voice

- Shannon **tense** ha(ve)+d be+en be+ing beat+en

  perfect   progressive   passive
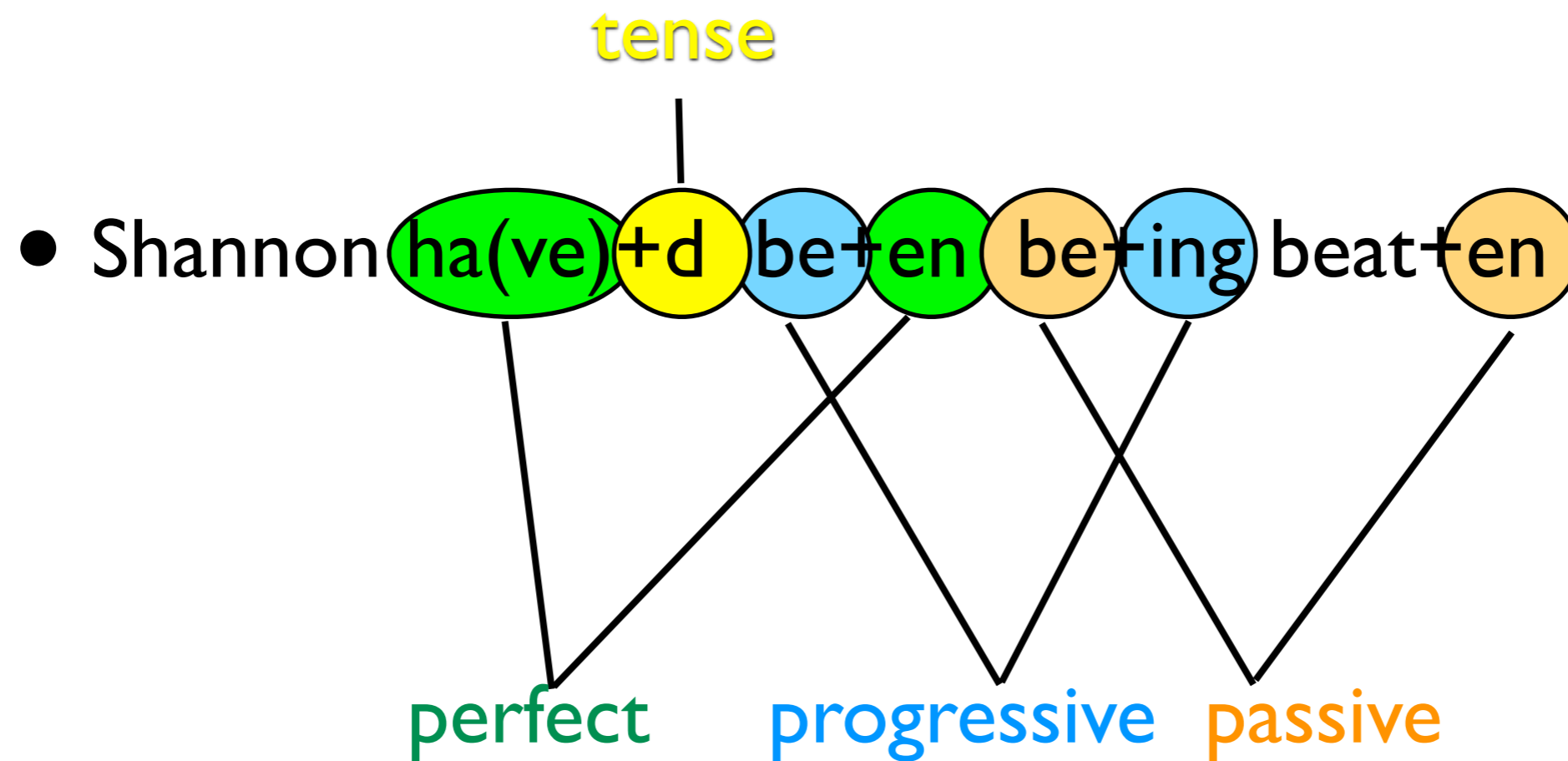
Mood

- Speaker's perspective on the event

- possibility, probability, necessity, obligation, ability

- Modals are one mean of expressing mood (other means include adverbs or embedding verbs)

- Modals: *can, could, may, might, would, shall, should, must, ought*

Modals

- ## There can only be one modal

  - *Jeff must can eat the muffin.

The exception is "might could" in some dialects of English, which is probably a compound

- ## Always precede all other auxiliaries

  - Jeff must have eaten the deep-fried muffin
  - *Jeff has must eaten the deep-fried muffin

- ## Always precedes *not*

  - Jeff must not have eaten the muffin
  - *Jeff not must have eaten the muffin

- ## Is followed by the bare form of the verb and are not inflected for person themselves

  - *Jeff musts eat a deep fried muffin
  - *Jeff must eats a deep fried muffin

The [FORM] Feature

[FORM *bare*]	[FORM *participle*]	[FORM *gerund*]	[FORM *preterite*]	[FORM *present*]
eat	eaten	eating	ate	eat/eats
dance	danced	dancing	danced	dance/dances
bite	bitten	biting	bit	bite/bites
take	taken	taking	took	take/takes
lay	laid	laying	laid	lay/lays
be	been	being	was/were	is/am/are
have	had	having	had	have/has

Selection by Modals and will

- Modals & will can only take VPs as complements, explaining why there can only be one of those. They never selects for another TP. Any VP will do.

  - I must eat (main verb complement)
  - I must have eaten (perfect complement)
  - I must be eating (progressive complement)
  - The muffin must be eaten (passive complement)
  - *I must could eat
  - *I will must eat

- They also require that whatever semantic type of VP follows, it has to be in the bare form.

  - *I must being eaten
  - *I must eaten
  - *He must eats

Selection by T

should

VP
[FORM *bare*]

```
        TP
        |
        T'
       /  \
      T    VP
   should   |
            V'
           /  \
          V    ...
          be
      [FORM bare]
```
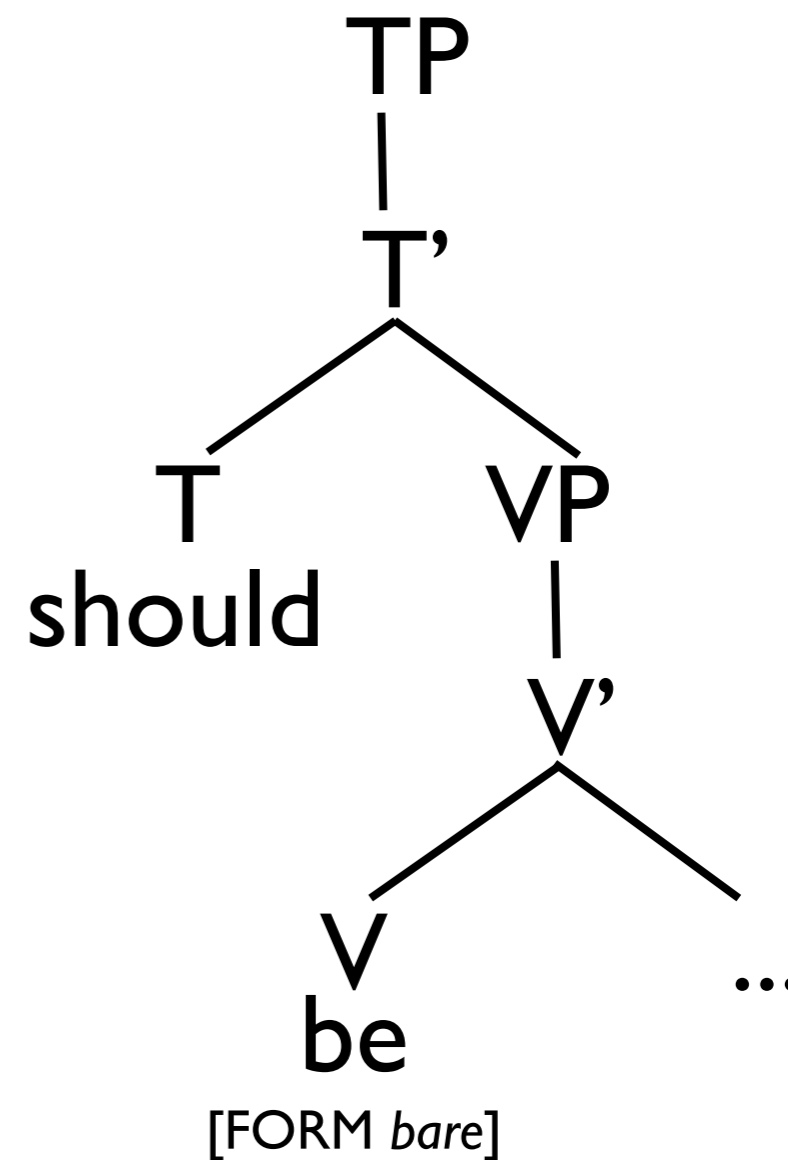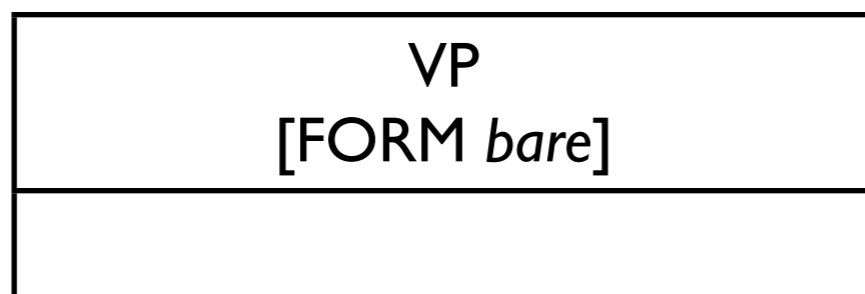
Selection by T

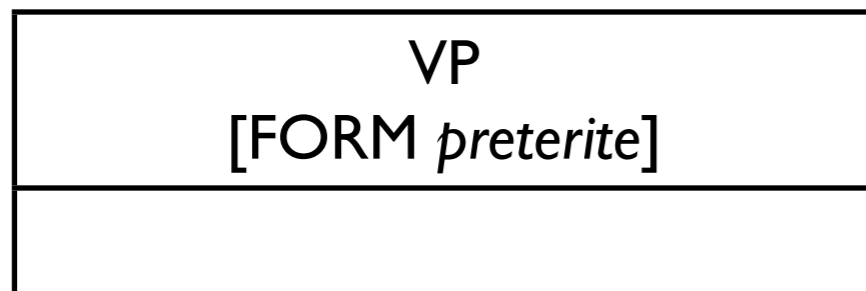- *Will*, the future tense marker behaves like modal and takes a verb in its bare form

will

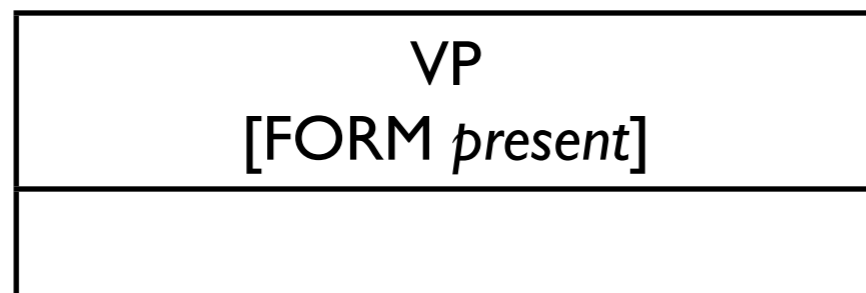| VP [FORM *bare*] |
| --- |
| |
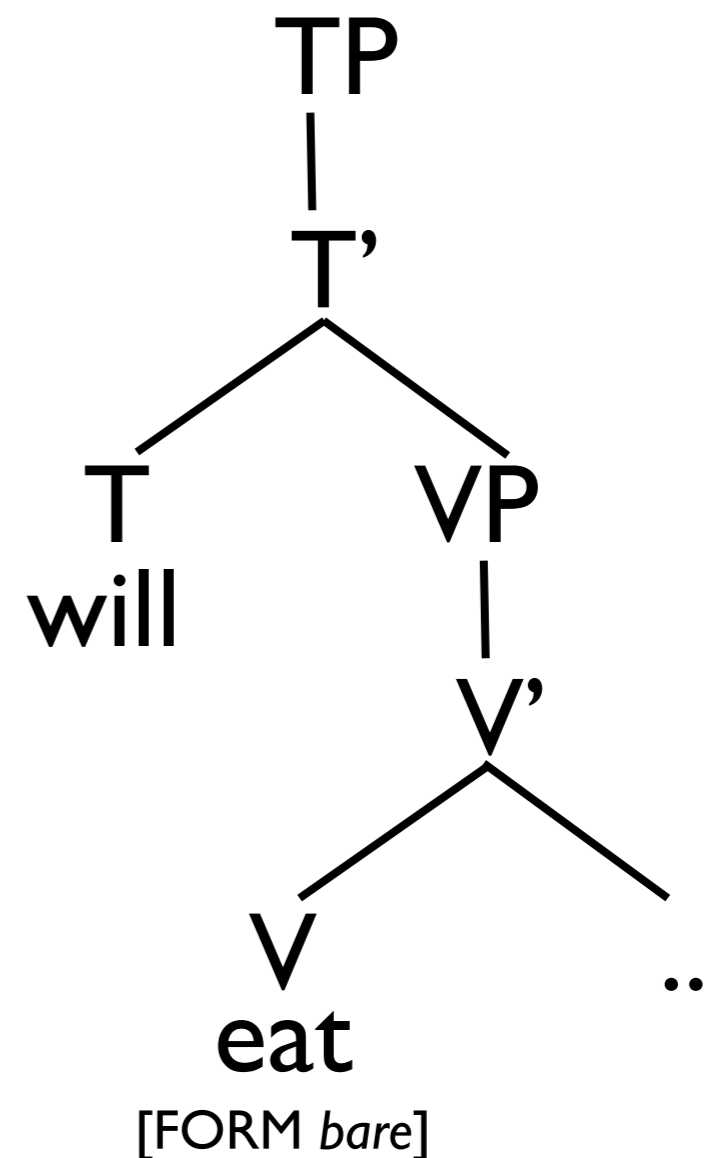
Selection by T

- A similar analysis can be given to the $\emptyset_{past}$ and $\emptyset_{present}$ T heads, except that they select for preterite and present forms respectively


$\emptyset_{past}$

VP
[FORM *preterite*]

$\emptyset_{present}$

VP
[FORM *present*]
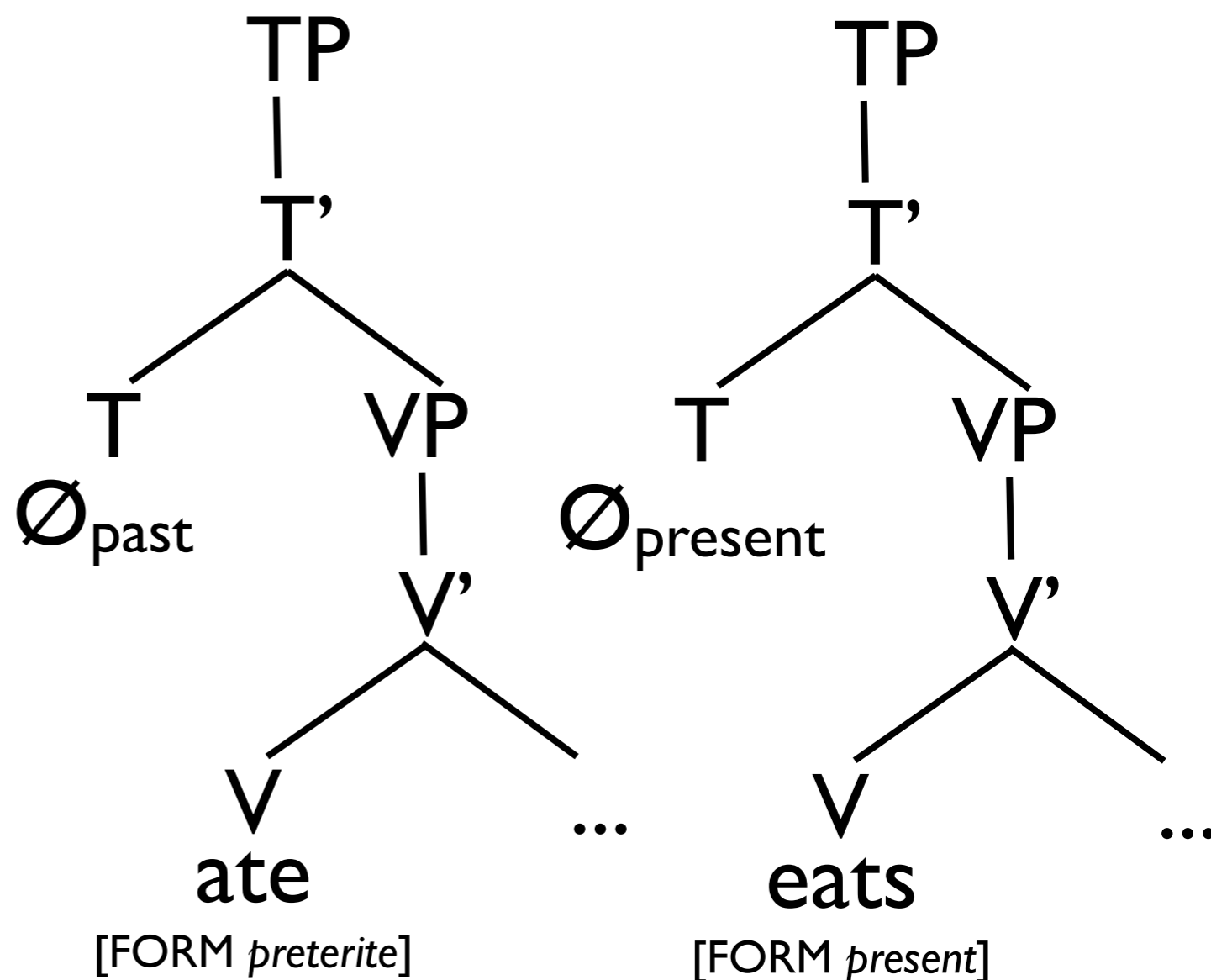
Perfects

- Perfects can take progressives and passives and main verbs as complements, but never modals nor other perfects

  - I have eaten (simple perfect.
  - I have been eating (perfect progressive)
  - The muffin has been eaten (perfect passive)
  - *I have must gone.
  - *I have had gone†.

- They also require that whatever semantic type of VP follows, it has to be in the *participle* form.
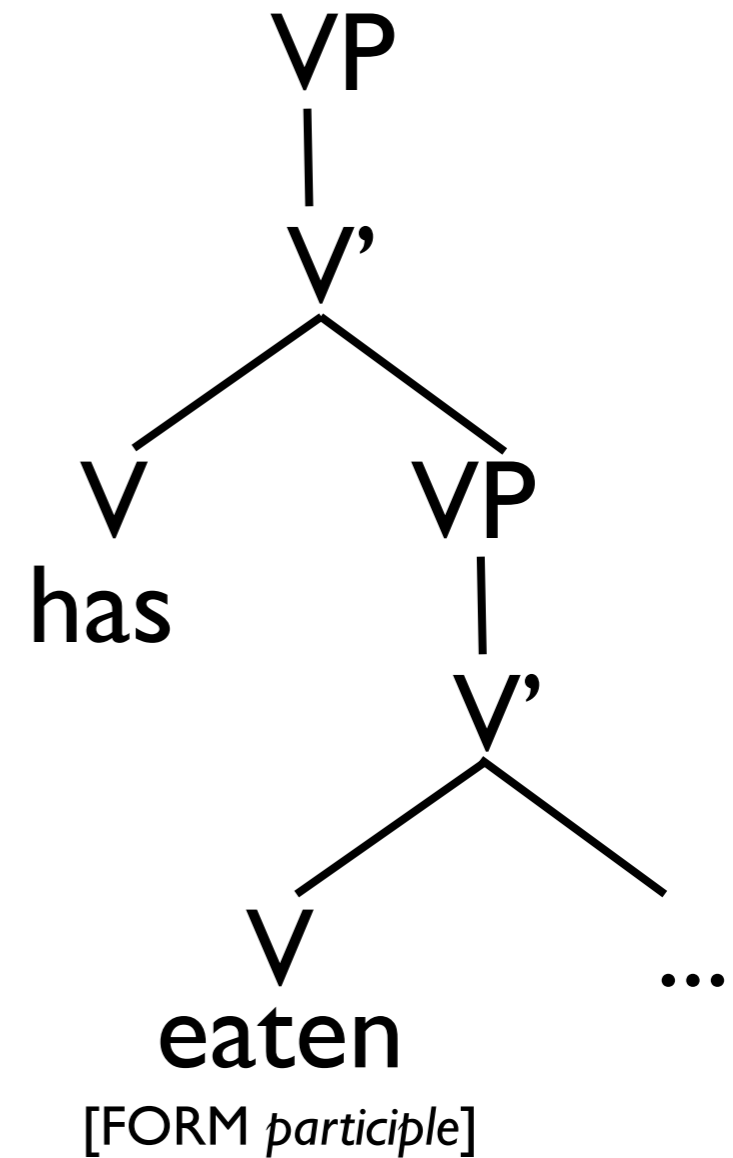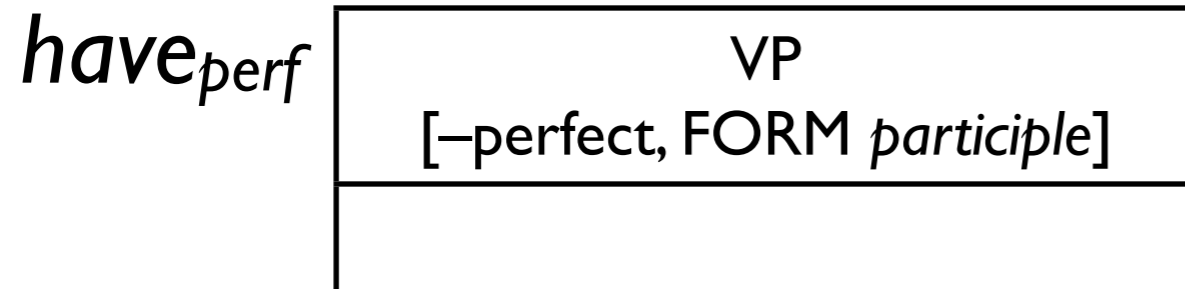
†there is a dialect of English that allows two auxiliary *haves* in a row: *If I had have eaten* -- this is a different *have*. It is a modal roughly equivalent to *would*.

Perfects

have$_{perf}$

VP [−perfect, FORM *participle*]

VP
|
V'
/ \
V   VP
has |
     V'
    / \
   V   ...
   eaten
   [FORM *participle*]

†there is a dialect of English that allows two auxiliary *haves* in a row: If I had have eaten --
this is a different *have*. It is a modal roughly equivalent to *would*.

Progressives

- Progressives can take passives and main verbs as complements, but never modals, perfect *have*, nor other progressive *be* auxiliaries

  - I am eating (simple progressive)
  - The muffin is being eaten (progressive passive)
  - *I have must gone.
  - *I have had gone.
  - *I am being eating.

- They also require that whatever semantic type of VP follows, it has to be in the *gerund* form.

Progressives

be_{prog}

VP
[−perfect, −progressive, FORM *gerund*]

VP
|
V'
/ \
V   VP
is |
       V'
   / \
     V   ...
   eating
   [FORM *gerund*]
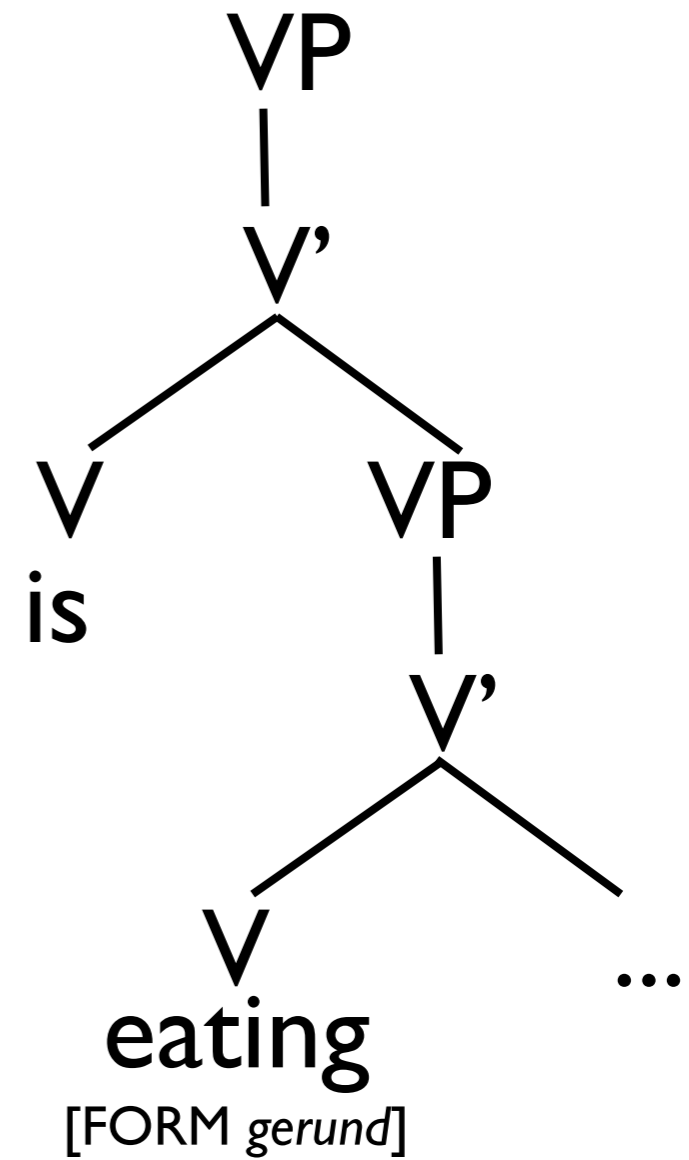
Passives

- Passives can take only main verbs as complements, but never modals, perfect *have*, progressive *be* auxiliaries, or other passive be auxiliaries

  - The muffin(simple passive)
  - *The muffin is been eaten
  - *I have must gone.
  - *I have had gone.
  - *I am being eating.

- They also require that the following verb has to be in the *participle* form.

Passives

be_{pass}

VP
[−perfect, −progressive, −passive, FORM *participle*]

VP
|
V'
/ \
V   VP
was |
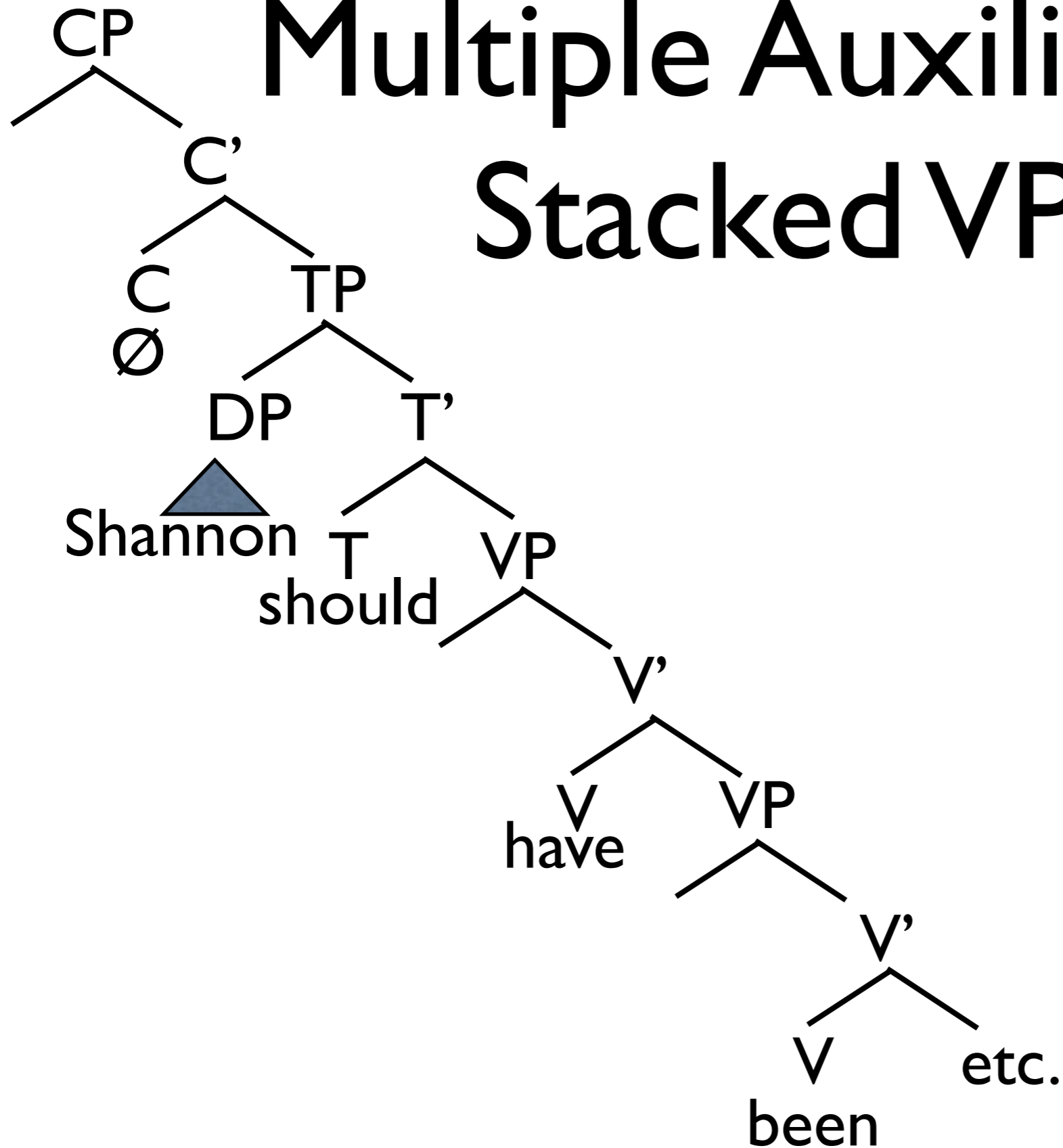   V'
   / \
  V ...
eaten
[FORM *participle*]
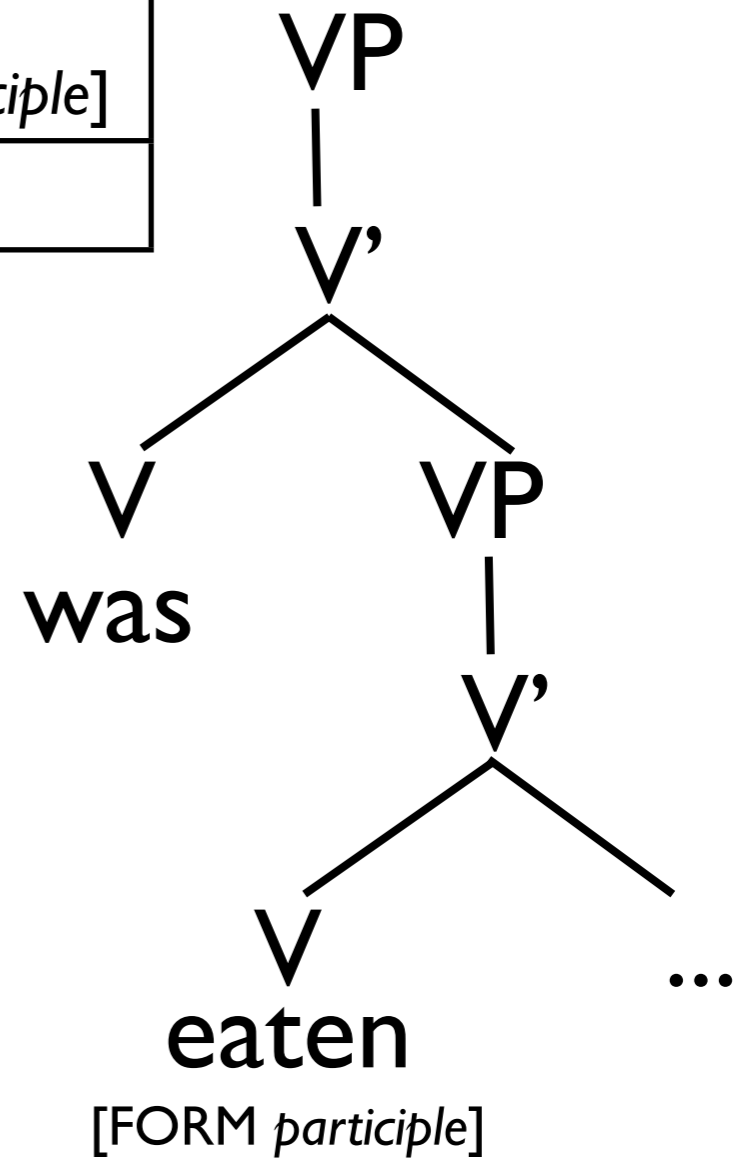
we also need some means of changing what is the subject of a passive -- we return to this in chapter 11

Explaining the strict ordering

- The selectional restrictions of each type of element (e.g. [-perfect]) determines what can appear as their complement.

  - Modals/Will > Perfect Aux > Progressive Aux > Passive Aux > Verb.

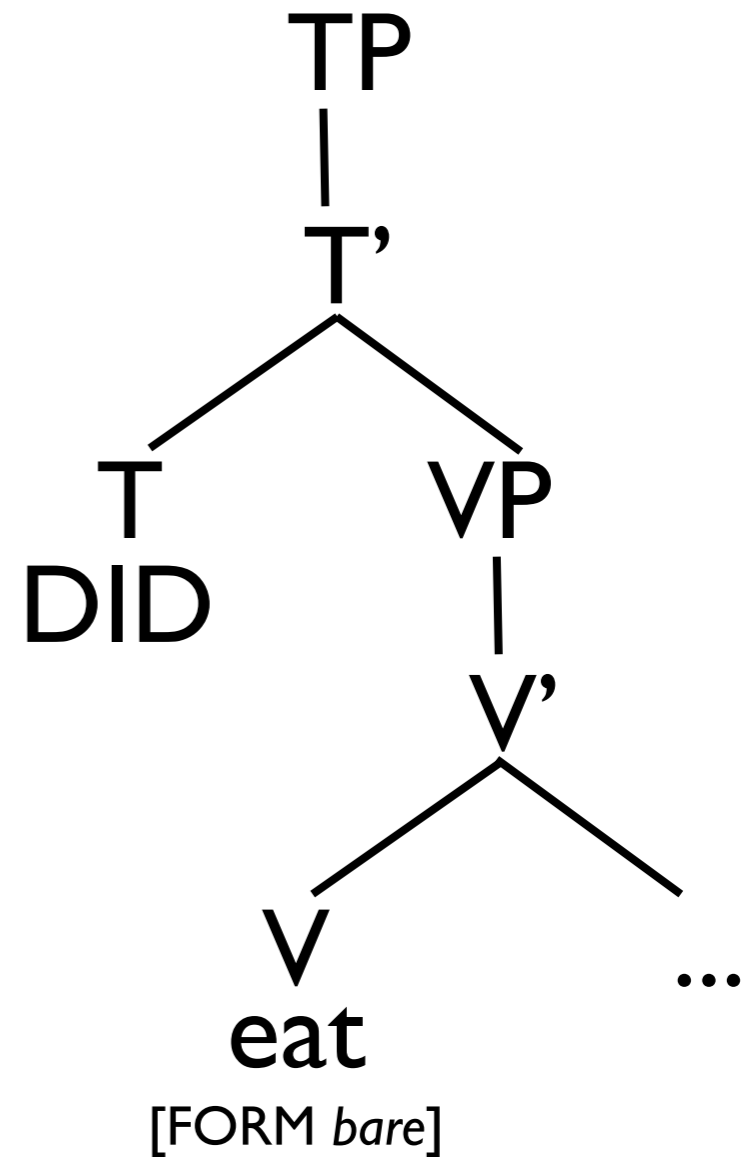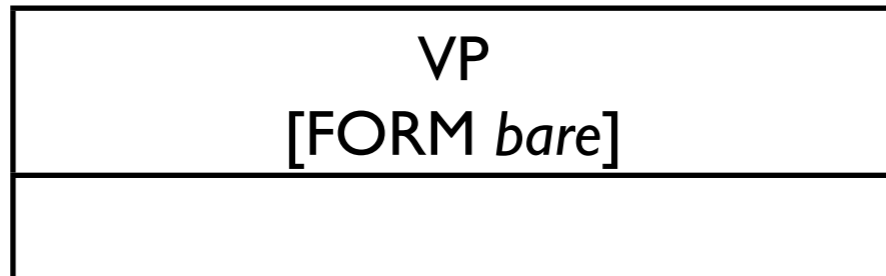# Multiple Auxiliaries: Stacked VPs

- Shannon should have been being fed at the table.

Do Support

- You have eaten the apples ~ Have you eaten the apples?
- I ate the apples ~ *Ate you the apples? ~ Did you eat the apples?
- You DID eat the apples!
- I eat apples ~ I do not eat apples

- Appears in yes/no questions when there is no other auxiliary
- Appears in emphatic constructions
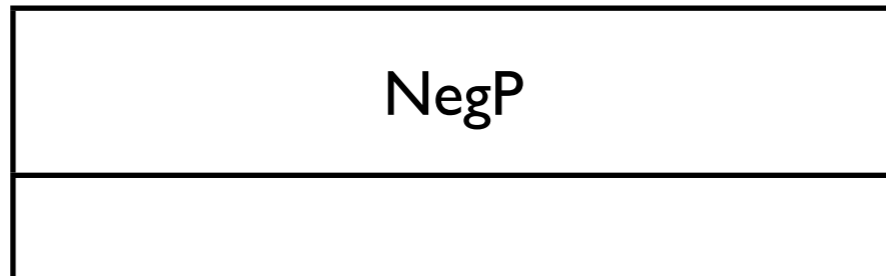- Appears with negatives when there is no other auxiliary

Do_{emphatic}
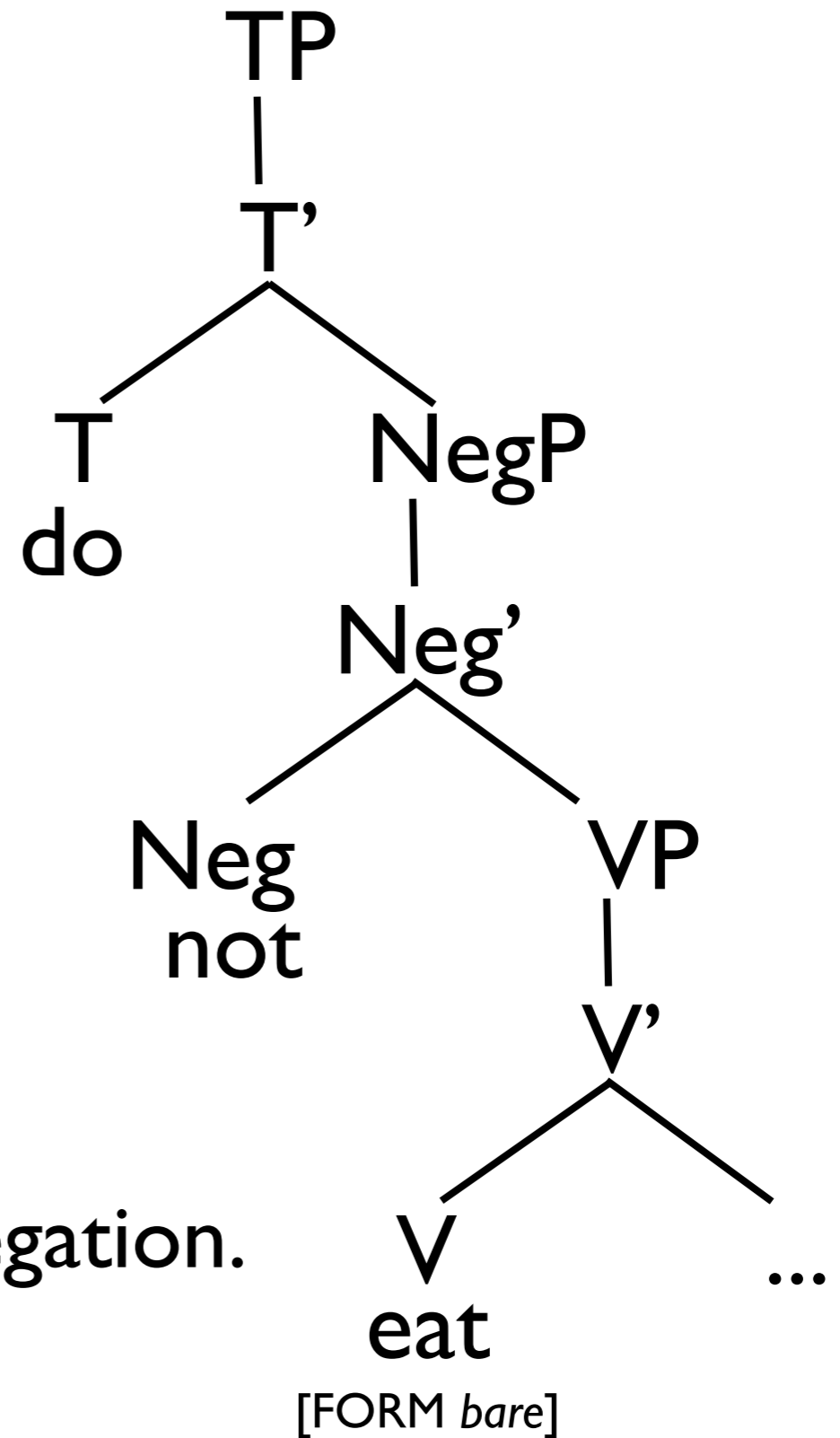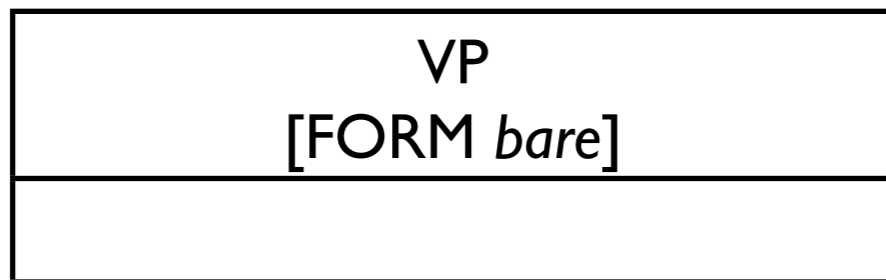
Do_{emph}

VP [FORM *bare*]

TP
|
T'
/ \
T   VP
DID |
V'
/ \
V   ...
eat
[FORM *bare*]

Do~neg~

Do_{neg}

do~neg~

NegP

not

VP [FORM *bare*]

$\varnothing_{past}$ and $\varnothing_{pres}$ don't select for negation.

```
            TP
            |
            T'
           /  \
          T    NegP
          do    |
               Neg'
              /    \
           Neg      VP
           not      |
                    V'
                   /  \
                  V    ...
                 eat
              [FORM bare]
```

Questions

- Do support for questions is more complicated. We'll return to this in later units.

Summary

- Selection of complementizers by main verbs [±Q], [±finite]

- Selection of TP by C, [±infinitive]

- Selection of NP by types of D [±proper, ±pronoun, ±plural]

- Null (Ø) D heads explain selection of proper names, pronouns etc by Verbs that otherwise require a DP

Summary

- Tense: Past, Present, Future

- Aspect: Perfect, Progressive

- Voice: Active, Passive

- Mood: Necessity, Obligation, Possibility, Ability

Summary

- Perfect = HAVE + participle

- Progressive = BE + Gerund

- Passive = BE + participle

- Modals are T nodes that select VPs

- Theta grids using the [FORM] feature guarantee the co occurrence of auxiliaries with forms, as well as strict ordering.

Summary

- Do support for negation and emphatics is accomplished with theta grids.

- Do support for questions will be dealt with in later chapters.