

# Unit 5 (a)

## Transitivity

Clause as representation – ‘construing’ experience

Slides for the session of

*Exploring English Grammar – the world of clauses*

held on

10.i.2022

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

Robert Spence  
LangSciTech  
Saarland University

## The learning goals for today's session are:

γρα

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- 1 To understand how English 'construes' human experience as a series of 'goings-on'.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## The learning goals for today's session are:

- 1 To understand how English 'construes' human experience as a series of 'goings-on'.
- 2 To learn the types of processes that are recognized by the grammar of English.

γρα

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## The learning goals for today's session are:

- 1 To understand how English 'construes' human experience as a series of 'goings-on'.
- 2 To learn the types of processes that are recognized by the grammar of English.
- 3 To learn the number and types of participants that can be involved in these processes in English.

YPA

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- 4 To learn an alternative, more general classification of types of participants.

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- 1 To understand how English 'construes' human experience as a series of 'goings-on'.
- 2 To learn the types of processes that are recognized by the grammar of English.
- 3 To learn the number and types of participants that can be involved in these processes in English.
- 4 To learn an alternative, more general classification of types of participants.
- 5 To learn the types of circumstances that the grammar of English recognizes.

# Grammar as a theory of reality

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework



- 1 ni-lʔθawa-ʔko-n-a 'I pull the branch aside'.

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

- 1 ni-lʔθawa-ʔko-n-a 'I pull the branch aside'.
- 2 ni-lʔθawa-ʔko-θite 'I have an extra toe on my foot'.

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- 4 I + forked-outline + tree-like + by-hand-action + done-to-something.

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- ⑥ English construes these two situations totally differently – it doesn’t “see” the similarity.

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- 7 The grammar of a natural human language is a collective, unconscious theory of reality.

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- 7 The grammar of a natural human language is a collective, unconscious theory of reality.
- 8 Can some interpretations of reality be ‘more successful’ than others?



# How do English clauses construe human experience?

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- You're outdoors, and there's motion overhead:

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## How do English clauses construe human experience?

- You're outdoors, and there's motion overhead:
- "It's winging!" (cf. English: "It's raining") [0 participants!!]

ΥΡΑ

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- You're outdoors, and there's motion overhead:
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γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## How do English clauses construe human experience?

- You're outdoors, and there's motion overhead:
- "It's winging!" (cf. English: "It's raining") [0 participants!!]
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- English represents experience as a series of 'goings-on' ('something is going on').

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- Each 'going-on' typically consists of 1 Process + 1-3 Participant(s) + < 7 Circumstance(s).

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Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- Process -> verbal group (is winging, is raining, are flying, is dropping).

YPA

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- Process → verbal group (is winging, is raining, are flying, is dropping).
- Participant → nominal group [typically] (birds, the sky, water; but NOT the “it” in “it's raining”).

YPA

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework



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- Each 'going-on' typically consists of 1 Process + 1-3 Participant(s) + < 7 Circumstance(s).
- Process -> verbal group (is winging, is raining, are flying, is dropping).
- Participant -> nominal group [typically] (birds, the sky, water; but NOT the "it" in "it's raining").
- Circumstance -> adverbial group or prepositional phrase (in the sky).

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Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Engative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Interpersonal and experiential structure compared

Mood		Residue
Subject	Finite	Predicator

it            is            raining

Process
---------

Mood		Residue	
Subject	Finite	Predicator	Adjunct

birds            are            flying            in the sky

Participant	Process	Circumstance
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# The grammar of experience: types of process in English

- See page 1 of your three-page handout.

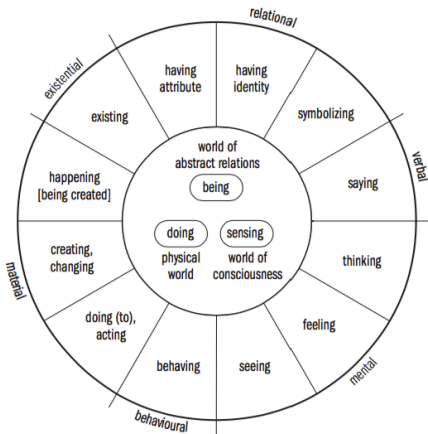


Fig. 5-2 The grammar of experience: types of process in English

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

# The circle of process types

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## The circle of process types

- Main types of process: doing — sensing — being.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## The circle of process types

- Main types of process: doing — sensing — being.
- In-between types of process: behaving — saying — existing.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## The circle of process types

- Main types of process: doing — sensing — being.
- In-between types of process: behaving — saying — existing.
- Together they form a complete circle, with ‘existing’ flowing into ‘happening’.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

- Main types of process: doing — sensing — being.
- In-between types of process: behaving — saying — existing.
- Together they form a complete circle, with ‘existing’ flowing into ‘happening’.
- Meteorological processes (e.g. “it’s raining”) are a special subtype of ‘happening’ material processes.



## The system of PROCESS TYPE, with primary participant(s) of each type

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- See page 1 of your three-page handout.

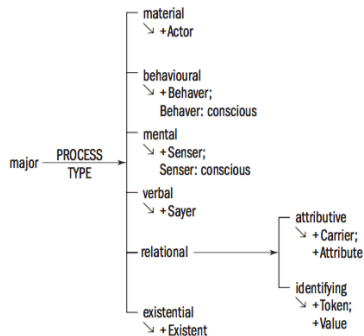


Fig. 5-3 TRANSITIVITY represented as system network

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Process types in English are *cryptotypes*

- Process types in English are ‘cryptotypes’.

ΥΡΑ

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

**Table 5(8)** Unmarked present tense with material and mental processes

	<b>present</b>	<b>present in present</b>
material	[marked] they build a house (for every employee) [habitual; generalized]	[unmarked] they're building a house
mental	[unmarked] I know the city	[marked] I'm knowing the city (for the first time) [inceptive]

## Process types in English are *cryptotypes*

- Process types in English are ‘cryptotypes’.
- Cryptotypes are ‘covert’ semantic categories that have no explicit ‘mark’ – you can’t recognize them. (Is “think” really a mental process? – In a moment we’ll find out.)

**Table 5(8)** Unmarked present tense with material and mental processes

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- Cryptotypes (like PROCESS TYPE in English) react with ‘overt’ semantic categories (like TENSE in English) in surprising ways.

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- That’s how they exist, and are transmitted to the next generation, and can be discovered and studied (if you dig deeply – even though you’re not supposed to).

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## General and specific types of participants

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## General and specific types of participants

- In addition to types of participants that are specific to just one type of process...

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework



## General and specific types of participants

- In addition to types of participants that are specific to just one type of process...
- ... there are more general types of participants that can be identified in all types of processes.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## General and specific types of participants

- In addition to types of participants that are specific to just one type of process...
- ... there are more general types of participants that can be identified in all types of processes.
- The more general types of participants are:

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## General and specific types of participants

- In addition to types of participants that are specific to just one type of process...
- ... there are more general types of participants that can be identified in all types of processes.
- The more general types of participants are:
- Medium (the 'affected' participant, the one most centrally involved)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- ... there are more general types of participants that can be identified in all types of processes.
- The more general types of participants are:
- Medium (the 'affected' participant, the one most centrally involved)
- Agent (the external 'cause' of the process)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- ... there are more general types of participants that can be identified in all types of processes.
- The more general types of participants are:
- Medium (the 'affected' participant, the one most centrally involved)
- Agent (the external 'cause' of the process)
- Beneficiary (the participant who benefits from the process)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- Agent (the external 'cause' of the process)
- Beneficiary (the participant who benefits from the process)
- Range (the 'unaffected' participant)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- ... there are more general types of participants that can be identified in all types of processes.
- The more general types of participants are:
- Medium (the 'affected' participant, the one most centrally involved)
- Agent (the external 'cause' of the process)
- Beneficiary (the participant who benefits from the process)
- Range (the 'unaffected' participant)
- We'll use *both* groups of labels (e.g. both 'Actor' and 'Agent').

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

# Transitive vs. ergative interpretations of processes

YPA

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework



## Transitive vs. ergative interpretations of processes

- In a **transitive** interpretation of a material process, someone 'acts'.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Transitive vs. ergative interpretations of processes

- In a **transitive** interpretation of a material process, someone ‘acts’.
- Either that’s that (‘intransitive’), or else the action ‘goes through’, ‘goes across’ (‘transitive’) and impacts on another participant (the Goal).

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- In a **transitive** interpretation of a material process, someone ‘acts’.
- Either that’s that (‘intransitive’), or else the action ‘goes through’, ‘goes across’ (‘transitive’) and impacts on another participant (the Goal).
- This is a ‘linear-mechanical’ theory of reality.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Transitive vs. ergative interpretations of processes

- In a **transitive** interpretation of a material process, someone ‘acts’.
- Either that’s that (‘intransitive’), or else the action ‘goes through’, ‘goes across’ (‘transitive’) and impacts on another participant (the Goal).
- This is a ‘linear-mechanical’ theory of reality.
- In an **ergative** interpretation of any process, the process manifests itself “in the medium of” someone or something: “My pocket tore!” (the tearing happened in the cloth of the pocket).

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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- Either that’s that (‘intransitive’), or else the action ‘goes through’, ‘goes across’ (‘transitive’) and impacts on another participant (the Goal).
- This is a ‘linear-mechanical’ theory of reality.
- In an **ergative** interpretation of any process, the process manifests itself “in the medium of” someone or something: “My pocket tore!” (the tearing happened in the cloth of the pocket).
- Either that’s that (‘middle’), or else the process was brought about by an external agent (‘effective’): “That hook tore my pocket!”

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Transitive vs. ergative interpretations of processes

- In a **transitive** interpretation of a material process, someone ‘acts’.
- Either that’s that (‘intransitive’), or else the action ‘goes through’, ‘goes across’ (‘transitive’) and impacts on another participant (the Goal).
- This is a ‘linear-mechanical’ theory of reality.
- In an **ergative** interpretation of any process, the process manifests itself “in the medium of” someone or something: “My pocket tore!” (the tearing happened in the cloth of the pocket).
- Either that’s that (‘middle’), or else the process was brought about by an external agent (‘effective’): “That hook tore my pocket!”
- This is a ‘technological-magical’ theory of reality.
- English uses both theories in modelling processes, so we’ll use both (more specific) **transitive** labelling (Actor, Goal, Recipient; Senser, Phenomenon; etc.) and (more general) **ergative** labelling (Medium, Agent, Beneficiary, Range).

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Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

## Transitive and ergative participant labelling

**Table 5(41)** Table of transitivity functions, showing transitive and ergative equivalents (participant functions only)

	Typical preposition	Ergative function	Transitive function							
			material	behavioural	mental	verbal	relational: attributive	relational: identifying	existential	
process	–	1 Process								
participants		2 Medium	Actor [mid.]; Actor or Goal [eff.]	Behavior	Senser	Sayer [mid.]; Target [eff.]	Carrier	Token	Existent	
	by	3 Agent	Initiator or Actor [eff.]	–	Phenomenon ['please']	Sayer [eff.]	Attributor	Assigner	–	
	to, for	4 Beneficiary	Recipient; Client	–	–	Receiver	(Beneficiary)		–	
	at, on, &c.	5 Range	Scope	Behaviour	Phenomenon ['like']	Verbiage	Attribute	Value	–	
circumstances	for; over, across, &c.	6 Extent	duration, frequency (temporal), distance (spatial)				how long? how far? how often?			
	at, in, on, from, &c.	7 Location	time (temporal), place (spatial)				when? where?			
	with, by, like	8 Manner	means, quality, comparison, degree				how? what with? in what way? like what? to what extent?			
	through, for, &c.	9 Cause	reason, purpose, behalf				why? what for? who for?			
	in case of, &c.	10 Contingency	condition, concession, default				under what conditions?			
	with, besides, &c.	11 Accompaniment	comitativation, addition				who/what with? who/what else?			
	as, into, &c.	12 Role	guise, product				what as? what into?			

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs experiential structure

English process types

Cryptotypes

Ergative vs transitive interpretations

Grammatical criteria for distinguishing process types

Exercise

Homework

## Transitive and ergative participant labelling

- See page 2 of your three-page handout.

**Table 5(41)** Table of transitivity functions, showing transitive and ergative equivalents (participant functions only)

	Typical preposition	Ergative function	Transitive function							
			material	behavioural	mental	verbal	relational: attributive	relational: identifying	existential	
process	–	1 Process								
participants		2 Medium	Actor [mid.]; Actor or Goal [eff.]	Behavior	Senser	Sayer [mid.]; Target [eff.]	Carrier	Token	Existent	
	by	3 Agent	Initiator or Actor [eff.]	–	Phenomenon ['please']	Sayer [eff.]	Attributor	Assigner	–	
	to, for	4 Beneficiary	Recipient; Client	–	–	Receiver	(Beneficiary)		–	
	at, on, &c.	5 Range	Scope	Behaviour	Phenomenon ['like']	Verbiage	Attribute	Value	–	
circumstances	for; over, across, &c.	6 Extent	duration, frequency (temporal), distance (spatial)				how long? how far? how often?			
	at, in, on, from, &c.	7 Location	time (temporal), place (spatial)				when? where?			
	with, by, like	8 Manner	means, quality, comparison, degree				how? what with? in what way? like what? to what extent?			
	through, for, &c.	9 Cause	reason, purpose, behalf				why? what for? who for?			
	in case of, &c.	10 Contingency	condition, concession, default				under what conditions?			
	with, besides, &c.	11 Accompaniment	comitation, addition				who/what with? who/what else?			
	as, into, &c.	12 Role	guise, product				what as? what into?			

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs experiential structure

English process types

Cryptotypes

Ergative vs transitive interpretations

Grammatical criteria for distinguishing process types

Exercise

Homework



## Transitivity/ergativity produces nuclear, not linear structures (1)

- See page 2 of your three-page handout.

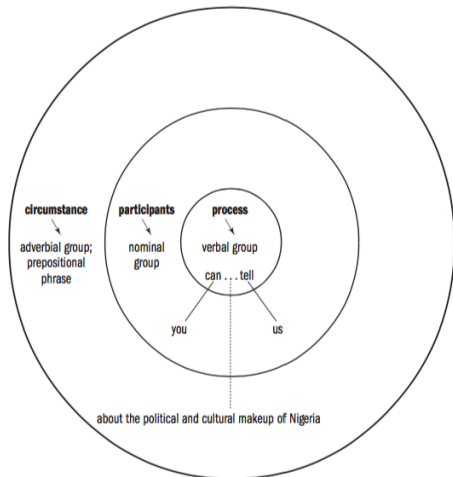
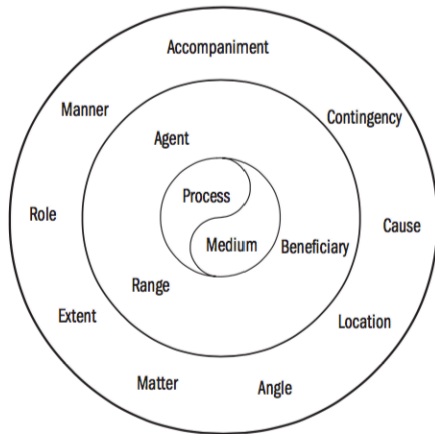


Fig. 5-4 Central and peripheral elements in the experiential structure of the clause

## Transitivity/ergativity produces nuclear, not linear structures (2)

- See page 3 of your three-page handout.
- Medium and Process are very closely related (lexical collocation!!)
- Agent is like Manner, Beneficiary is like Cause, Range is like Extent.



**Fig. 5-38** Clause nucleus of Process + Medium, inner ring of Agent, Beneficiary and Range and outer ring of circumstances

## Transitivity/ergativity produces nuclear, not linear structures (3)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

- See page 3 of your three-page handout.
- Agent, Beneficiary, and Range can be expressed as prepositional phrases.

**Table 5(44)** Association of prepositional phrase with textual prominence

	<b>non-prominent</b>	<b>marked Theme</b>	<b>'late news'</b>
Agent (her nephew)	her nephew sent her flowers	by her nephew she was sent flowers	she was sent flowers by her nephew
Beneficiary (his aunt)	he sent his aunt flowers	to his aunt he sent flowers	he sent flowers to his aunt
Range (the high jump)	John wins the high jump every time	at the high jump John wins every time	John wins every time at the high jump

# There are grammatical criteria for distinguishing process types

ΥΡΑ

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

**Table 5(45)** Criteria for distinguishing process types

	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning	doing (doing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants:	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant:	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant:	thing		thing or fact			(same as 1st)	
Ability to project:	--	--	projection of ideas	projection of occasions	--	--	--
Directionality:	one way	one way	two way: phases type	like type	one way	one way	one way
Voice:	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle
Type of receptive:		receptive		receptive	medio- receptive		receptive
Pro-verbs:	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented

# There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

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	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning:	doing (doing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants:	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant:	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant:	thing		thing or fact			(same as 1st)	
Ability to project:	--	--	projection of ideas	projection of occasions	--	--	--
Directionality:	one way	one way	two way: phases type	like type	one way	one way	one way
Voice:	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle
Type of receptive:		receptive		receptive	medio- receptive		receptive
Pro-verbs:	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented

## There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.
- What are you doing ('right now')? (present-in-present tense → material process)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

Table 5(45) Criteria for distinguishing process types

	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning	doing (thing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants:	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant:	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant:	thing		thing or fact			(same as 1st)	
Ability to project:	--	--	projection of ideas	projection of occasions	--	--	--
Directionality:	one way	one way	two way: subject type	like type	one way	one way	one way
Voice:	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle
Type of receptive:		receptive	receptive	medio- receptive		receptive	
Pro-verbs:	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented

## There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.
- What are you doing ('right now')? (present-in-present tense → material process)
- Quiet! I'm thinking! (present-in-present tense → material (or behavioural?))

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs experiential structure

English process types

Cryptotypes

Ergative vs transitive interpretations

Grammatical criteria for distinguishing process types

Exercise

Homework

Table 5(45) Criteria for distinguishing process types

	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning	doing (thing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant	thing		thing or fact			(same as 1st)	
Ability to project	--	--	projection of ideas	projection of occasions	--	--	--
Directionality	one way	one way	two way: behave type	like type	one way	one way	one way
Voice:	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle
Type of receptive:		receptive	receptive	medio-receptive		receptive	
Pro-verb:	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented

## There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.
- What are you doing ('right now')? (present-in-present tense → material process)
- Quiet! I'm thinking! (present-in-present tense → material (or behavioural?))
- What do you think ('right now')? (simple present tense → mental process)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

Table 5(45) Criteria for distinguishing process types

	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning	doing (thing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants:	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant:	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant:	thing		thing or fact			(same as 1st)	
Ability to project:	--	--	projection of ideas	projection of occasions	--	--	--
Directionality:	one way	one way	two way: phase type	like type	one way	one way	one way
Voice:	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle or effective
Type of receptive:		receptive		receptive	medio- receptive		receptive
Pro-verb:	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented



## There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.
- What are you doing ('right now')? (present-in-present tense → material process)
- Quiet! I'm thinking! (present-in-present tense → material (or behavioural?))
- What do you think ('right now')? (simple present tense → mental process)
- I think it's a good idea. (projects a proposition as a 'that'-clause in a 'Denkblase' → mental process)

γρα

Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs experiential structure

English process types

Cryptotypes

Ergative vs transitive interpretations

Grammatical criteria for distinguishing process types

Exercise

Homework

Table 5(45) Criteria for distinguishing process types

	verbal	behav.	mental	verbal	relational attributive	identifying	existential
Category meaning	doing (thing, happening, doing to/with)	behaving	sensing	saying	being (attribute)	being (identity)	being (existence)
Number of inherent participants	1 or 2	1	2	1	1	2	1 or 0
Nature of first participant	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact
Nature of second participant	thing		thing or fact			(same as 1st)	
Ability to project	--	--	projection of ideas	projection of occasions	--	--	--
Directionality	one way	one way	two way: phase type	like type	one way	one way	one way
Voice	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle
Type of receptive:		receptive	receptive	medio-receptive		receptive	
Pro-verbs	do	do to/with	do	(do to)			
Unmarked present tense:	present in present	present in present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb:	accented	accented	accented	(either)	(either)	unaccented	unaccented

## There are grammatical criteria for distinguishing process types

- See page 3 of your three-page handout.
- What are you doing ('right now')? (present-in-present tense → material process)
- Quiet! I'm thinking! (present-in-present tense → material (or behavioural?))
- What do you think ('right now')? (simple present tense → mental process)
- I think it's a good idea. (projects a proposition as a 'that'-clause in a 'Denkblase' → mental process)
- It's not JUST a question of what you think a clause means... you need firm grammatical evidence!

Table 5(45) Criteria for distinguishing process types

	verbal		behav.		mental		verbal		relational attributive		identifying		existential	
	doing (thing, happening, doing to/with)	behaving	sensing	being (attributive)	being (identity)	being (existence)	1 or 2	1	1	1	2	1 or 0	1 or 0	1 or 0
Category meaning	doing (thing, happening, doing to/with)	behaving	sensing	being (attributive)	being (identity)	being (existence)	1 or 2	1	1	1	2	1 or 0	1 or 0	1 or 0
Number of inherent participants	1 or 2	1	2	1	1	2	1 or 0	1	1	2	1 or 0	1 or 0	1 or 0	1 or 0
Nature of first participant	thing	conscious thing	conscious thing	symbol source	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact	thing or fact
Nature of second participant	thing		thing or fact			(same as 1st)								
Ability to project	--	--	projection of ideas	projection of occasions	--	--	--	--	--	--	--	--	--	--
Directionality	one way	one way	two way: phasal type	like type	one way	one way	one way	one way	one way	one way	one way	one way	one way	one way
Voice	middle or effective	middle	effective	middle	middle or effective (target type)	middle or effective	middle or effective	middle or effective	middle or effective	middle or effective	middle or effective	middle or effective	middle or effective	middle or effective
Type of receptive		receptive		receptive	medio-receptive						receptive			
Pro-verbs	do	do to/with	do	(do to)										
Unmarked present tense	present in present	present in present	simple present	simple present	simple present	simple present	simple present	simple present	simple present	simple present	simple present	simple present	simple present	simple present
Accentuation of verb	accented	accented	accented	(either)	(either)	unaccented	unaccented	unaccented	unaccented	unaccented	unaccented	unaccented	unaccented	unaccented

# Exercise

γρα

## Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

## Exercise

Homework

## Exercise

- We're going to try to find function labels for the components of the clauses in your twelve-page handout.

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### Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

### Exercise

Homework

- We're going to try to find function labels for the components of the clauses in your twelve-page handout.
- In the process, we'll learn something about the different kinds of processes that the grammar of English recognizes.

## Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

## Exercise

Homework

## Exercise

- We're going to try to find function labels for the components of the clauses in your twelve-page handout.
- In the process, we'll learn something about the different kinds of processes that the grammar of English recognizes.
- We'll try to get as far as mental and maybe even verbal processes.

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### Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

### Exercise

Homework

### Transitivity

#### Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

- Your homework for next week is to go through the six-page handout again.

In case you missed the class, that handout is also available here:

<http://www.spence.saar.de/courses/grammar/questions05a/index.pdf>

- The three-page handout is available here: [http://www.spence.saar.de/courses/grammar/unit05a/handout\\_5a.pdf](http://www.spence.saar.de/courses/grammar/unit05a/handout_5a.pdf)

## Acknowledgements, further reading, other sources



### Transitivity

Goals

A theory of reality

Construing experience

Interpersonal vs  
experiential structure

English process types

Cryptotypes

Ergative vs transitive  
interpretations

Grammatical criteria for  
distinguishing process  
types

Exercise

Homework

Most of the ideas presented here come from M.A.K. Halliday, *An Introduction to Functional Grammar*, 2nd edition 1994 (“IFG2”) or 3rd edition 2004 (“IFG3”).

Further reading: IFG2, chapter 5; or IFG3, chapter 5.

See also: Annabelle Lukin’s “prezi” slides on Clause as representation (on Vimeo):

<https://vimeo.com/album/2028694/video/48590461> (PART 1)

<https://vimeo.com/album/2028694/video/49338877> (PART 2)